濒危野生动植物种国际贸易公约
正式文件汇编

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

中华人民共和国濒危物种进出口管理办公室
中华人民共和国濒危物种科学委员会 编译

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前　　言

濒危野生动植物种国际贸易公约（CITES，以下简称《公约》）第18次缔约方大会于2019年8月17日至28日在瑞士日内瓦召开。会议通过一系列新的决议和决定，并修订了《公约》附录和前17次缔约方大会作出的部分决议和决定。会后，《公约》秘书处将所有目前仍生效的决议和决定整理、汇编成册，并印发给各缔约方。

我国于1981年4月8日正式成为《公约》的缔约方，且在第十七次缔约方大会上当选为《公约》常委会副主席国。为便于了解、贯彻和执行《公约》决议和决定，我们对《公约》的所有有效决议和决定进行了编译、整理，并印制成册，以供国内各有关部门、单位和个人在实际工作中参考。

本《汇编》包括第1至18次缔约方大会作出且仍生效的所有决议和决定。为便于全面了解《公约》的精神及议事规则，《汇编》还包含了《公约》文本及其修正案、缔约方大会、常委会和动植物委员会的最新议事规则。

为便于区分和参考，对于以前历次缔约方大会通过但以后又有修改的有效决议，在其标题或编号后加上“（Rev. CoPXX）”标志；在有效决议中涉及到被废除、替代或变更编号的决议时，在脚注中加以说明。在参阅1997年以来编印的《濒危野生动植物种国际贸易公约及有效决议汇编》时，如有与本《汇编》内容不一致的，以本《汇编》为准。

考虑到中文不是《公约》的工作语言，为便于读者更准确地理解有关文件的含义，我们在《汇编》中还提供了所有上述文件的英文本，以便对照查阅。由于编译者水平有限，加之时间紧迫，在翻译过程中可能会有不尽准确之处，如中文和英文表述的意思不一致，应以英文为准。

中华人民共和国濒危物种进出口管理办公室

中华人民共和国濒危物种科学委员会

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第一部分

公约文本及修正案

濒危野生动植物种国际贸易公约

1973年3月3日签订于华盛顿

1979年6月22日修订于波恩

缔约各国:

认识到 许多美丽的、种类繁多的野生动物和植物是地球自然系统中无可代替的一部分，为了我们这一代和今后世世代代，必须加以保护；

意识到 从美学、科学、文化、娱乐和经济观点看，野生动植物的价值都在日益增长；

认识到 各国人民和国家是，而且应该是本国野生动植物的最好保护者；

并且**认识到**，为了保护某些野生动物和植物物种不致由于国际贸易而遭到过度开发利用，进行国际合作是必要的；

确信 为此目的迫切需要采取适当措施；

同意 下列各条款：

第一条 定义

除非内容另有所指，就本公约而言：

a） “物种”指任何的种、亚种，或其地理上隔离的种群；

b） “标本”指：

i) 任何活的或死的动物，或植物；

ii) 如系动物，指附录Ⅰ和附录Ⅱ所列物种，或其任何可辨认的部分，或其衍生物和附录Ⅲ所列物种及与附录Ⅲ所指有关物种的任何可辨认的部分，或其衍生物。

iii) 如系植物，指附录Ⅰ所列物种，或其任何可辨认的部分，或其衍生物和附录Ⅱ、附录Ⅲ所列物种及与附录Ⅱ、附录Ⅲ所指有关物种的任何可辨认的部分，或其衍生物。

c） “贸易”指出口、再出口、进口和从海上引进；

d） “再出口”指原先进口的任何标本的出口；

e） “从海上引进”指从不属任何国家管辖的海域中取得的任何物种标本输入某个国家；

f） “科学机构”指依第九条所指定的全国性科学机构；

g） “管理机构”指依第九条所指定的全国性管理机构；

h） “缔约国”指本公约对之生效的国家。

第二条 基本原则

1. 附录Ⅰ应包括所有受到和可能受到贸易的影响而有灭绝危险的物种。这些物种的标本的贸易必须加以特别严格的管理，以防止进一步危害其生存，并且只有在特殊的情况下才能允许进行贸易。

2. 附录II应包括：

   (a) 所有那些目前虽未濒临灭绝，但如对其贸易不严加管理，以防止不利其生存的利用，就可能变成有灭绝危险的物种；

   (b) 为了使本款第a项中指明的某些物种标本的贸易能得到有效的控制，而必须加以管理的其它物种。

3. 附录III应包括任一缔约国认为属其管辖范围内，应进行管理以防止或限制开发利用而需要其他缔约国合作控制贸易的物种。

4. 除遵守本公约各项规定外，各缔约国均不应允许就附录Ⅰ、附录II、附录III所列物种标本进行贸易。

第三条　附录Ⅰ所列物种标本的贸易规定

1. 附录Ⅰ所列物种标本的贸易，均应遵守本条各项规定。

2. 附录Ⅰ所列物种的任何标本的出口，应事先获得并交验出口许可证。只有符合下列各项条件时，方可发给出口许可证：

   (a) 出口国的科学机构认为，此项出口不致危害该物种的生存；

   (b) 出口国的管理机构确认，该标本的获得并不违反本国有关保护野生动植物的法律；

   (c) 出口国的管理机构确认，任一出口的活标本会得到妥善装运，尽量减少伤亡、损害健康，或少遭虐待；

   (d) 出口国的管理机构确认，该标本的进口许可证已经发给。

3. 附录Ⅰ所列物种的任何标本的进口，均应事先获得并交验进口许可证和出口许可证，或再出口证明书。只有符合下列各项条件时，方可发给进口许可证：

   (a) 进口国的科学机构认为，此项进口的意图不致危害有关物种的生存；

   (b) 进口国的科学机构确认，该活标本的接受者在笼舍安置和照管方面是得当的；

   (c) 进口国的管理机构确认，该标本的进口，不是以商业为根本目的。

4. 附录Ⅰ所列物种的任何标本的再出口，均应事先获得并交验再出口证明书。只有符合下列各项条件时，方可发给再出口证明书：

   (a) 再出口国的管理机构确认，该标本系遵照本公约的规定进口到本国的；

   (b) 再出口国的管理机构确认，该项再出口的活标本会得到妥善装运，尽量减少伤亡、损害健康，或少遭虐待；

   (c) 再出口国的管理机构确认，任一活标本的进口许可证已经发给。

5. 从海上引进附录Ⅰ所列物种的任何标本，应事先获得引进国管理机构发给的证明书。只有符合下列各项条件时，方可发给证明书：

   (a) 引进国的科学机构认为，此项引进不致危害有关物种的生存；

   (b) 引进国的管理机构确认，该活标本的接受者在笼舍安置和照管方面是得当的；

   (c) 引进国的管理机构确认，该标本的引进不是以商业为根本目的。

第四条　附录II所列物种标本的贸易规定

1. 附录Ⅱ所列物种标本的贸易，均应遵守本条各项规定。
2. 附录Ⅱ所列物种的任何标本的出口，应事先获得并交验出口许可证。只有符合下列各项条件时，方可发给出口许可证：
   (a) 出口国的科学机构认为，此项出口不致危害该物种的生存；
   (b) 出口国的管理机构确认，该标本的获得并不违反本国有关保护野生动植物的法律；
   (c) 出口国的管理机构确认，任一出口的活标本会得到妥善装运，尽量减少伤亡、损害健康，或少遭虐待。
3. 各缔约国的科学机构应监督该国所发给的附录Ⅱ所列物种标本的出口许可证及该物种标本出口的实际情况。当科学机构确定，此类物种标本的出口应受到限制，以便保持该物种在其分布区内的生态系中与它应有作用相一致的地位，或者大大超出该物种够格成为附录Ⅰ所属范畴的标准时，该科学机构就应建议主管的管理机构采取适当措施，限制发给该物种标本出口许可证。
4. 附录Ⅱ所列物种的任何标本的进口，应事先交验出口许可证或再出口证明书。
5. 附录Ⅱ所列物种的任何标本的再出口，应事先获得并交验再出口证明书。只有符合下列各项条件时，方可发给再出口证明书：
   (a) 再出口国的管理机构确认，该标本的进口符合本公约各项规定；
   (b) 再出口国的管理机构确认，任一活标本会得到妥善装运，尽量减少伤亡、损害健康，或少遭虐待。
6. 从海上引进附录Ⅱ所列物种的任何标本，应事先从引进国的管理机构获得发给的证明书。只有符合下列各项条件时，方可发给证明书：
   (a) 引进国的科学机构认为，此项引进不致危害有关物种的生存；
   (b) 引进国的管理机构确认，任一活标本会得到妥善处置，尽量减少伤亡、损害健康，或少遭虐待。
7. 本条第 6 款所提到的证明书，只有在科学机构与其他国家的科学机构或者必要时与国际科学机构进行磋商后，并在不超过一年的期限内将全部标本如期引进，才能签发。

第五条　附录Ⅲ所列物种标本的贸易规定

1. 附录Ⅲ所列物种标本的贸易，均应遵守本条各项规定。
2. 附录Ⅲ所列物种的任何标本，从将该物种列入附录Ⅲ的任何国家出口时，应事先获得并交验出口许可证。只有符合下列各项条件时，方可发给出口许可证：
   (a) 出口国的管理机构确认，该标本的获得并不违反该国保护野生动植物的法律；
   (b) 出口国的管理机构确认，任一活标本会得到妥善装运，尽量减少伤亡、损害健康，或少遭虐待。
3. 除本条第 4 款涉及的情况外，附录Ⅲ所列物种的任何标本的进口，应事先交验原产地证明书。如该出口国已将该物种列入附录Ⅲ，则应交验该国所发给的出口许可证。
4. 如系再出口，由再出口国的管理机构签发有关该标本曾在该国加工或正在进行再出口的证明书，以此向进口国证明有关该标本的再出口符合本公约的各项规定。

第六条　许可证和证明书

1. 根据第三条、第四条和第五条的各项规定签发的许可证和证明书必须符合本条各项规定。
2. 出口许可证应包括附录四规定的式样中所列的内容，出口许可证只用于出口，并自签发之日起半年内有效。
3. 每个出口许可证或证明书应载有本公约的名称、签发出口许可证或证明书的管理机构的名称和任何一种证明印鉴，以及管理机构编制的控制号码。
4. 管理机构发给的许可证或证明书的副本应清楚地注明其为副本。除经特许者外，该副本不得代替原本使用。
5. 交付每批标本，均应备有单独的许可证或证明书。
6. 任一标本的进口国管理机构，应注销并保存出口许可证或再出口证明书，以及有关该标本的进口许可证。
7. 在可行的适当地方，管理机构可在标本上盖上标记，以助识别。此类“标记”系指任何难以除去的印记、铅封或识别该标本的其他合适的办法，尽量防止无权发证者进行伪造。

第七条 豁免及与贸易有关的其他专门规定

1. 第三条、第四条和第五条的各项规定不适用于在缔约国领土内受海关控制的标本的过境或转运。
2. 出口国或再出口国的管理机构确认，某一标本是在本公约的规定对其生效前获得的，并具有该管理机构为此签发的证明书。则第三条、第四条和第五条的各项规定不适用于该标本。
3. 第三条、第四条和第五条的各项规定不适用于作为个人或家庭财产的标本，但这项豁免不得用于下列情况：
   (a) 附录Ⅰ所列物种的标本，是物主在其常住国以外获得并正在向常住国进口；
   (b) 附录Ⅱ所列物种的标本：
      (i) 它们是物主在常住国以外的国家从野生状态中获得；
      (ii) 它们正在向物主常住国进口；
      (iii) 在野生状态中获得的这些标本出口前，该国要求事先获得出口许可证。但管理机构确认，这些物种标本是在本公约的规定对其生效前获得的，则不在此限。
4. 附录Ⅰ所列的某一动物物种的标本，系为了商业目的而由人工饲养繁殖的，或附录Ⅰ所列的某一植物物种的标本，系为了商业目的，而由人工培植的，均应视为附录Ⅱ内所列的物种标本。
5. 当出口国管理机构确认，某一动物物种的任一标本是由人工饲养繁殖的，或某一植物物种的标本是由人工培植的，或确认它们是此类动物或植物的一部分，或是它们的衍生物，该管理机构出具的关于上述情况的证明书可以代替按第三条、第四条或第五条的各项规定所要求的许可证或证明书。
6. 第三条、第四条和第五条的各项规定不适用于在本国管理机构注册的科学家之间或科学机构之间进行非商业性的出借、馈赠或交换的植物标本或其他浸制的、干制的或埋置的博物馆标本，以及活的植物材料，但这些都必须附以管理机构出具的或批准的标签。

7. 任何国家的管理机构可不按照第三条、第四条和第五条的各项规定，允许用作巡回动物园、马戏团、动物展览、植物展览或其他巡回展览的标本，在没有许可证或证明书的情况下运送，但必须做到以下各点：

   (a) 出口者或进口者向管理机构登记有关该标本的全部详细情况；

   (b) 这些标本系属于本条第 2 款或第 5 款所规定的范围；

   (c) 管理机构已经确认，所有活的标本会得到妥善运输和照管，尽量减少伤亡、损害健康或少遭虐待。

第八条　缔约国应采取的措施

1. 缔约国应采取相应措施执行本公约的规定，并禁止违反本公约规定的标本贸易，包括下列各项措施：

   (a) 处罚对此类标本的贸易或占有，或两者均予处罚；

   (b) 规定对此类标本进行没收或退还出口国。

2. 除本条第 1 款所规定的措施外，违反本公约规定措施的贸易标本，予以没收所用的费用，如缔约国认为必要，可采取任何办法内部补偿。

3. 缔约国应尽可能保证物种标本在贸易时尽快地通过一切必要手续。为便利通行，缔约国可指定一些进出口岸，以供对物种标本进行检验放行。各缔约国还须保证所有活标本，在过境、扣留或装运期间，得到妥善照管，尽量减少伤亡、损害健康，或少遭虐待。

4. 在某一活标本由于本条第 1 款规定而被没收时：

   (a) 该标本应委托给没收国的管理机构代管；

   (b) 该管理机构经与出口国协商后，应将标本退还该出口国，费用由该出口国负担，或将其送往管理机构认为合适并且符合本公约宗旨的拯救中心，或类似地方；

   (c) 管理机构可以征询科学机构的意见，或者，在其认为需要时，与秘书处磋商以加快实现根据本款第 b 项所规定的措施，包括选择拯救中心或其他地方。

5. 本条第 4 款所指的拯救中心，是指由管理机构指定的某一机构，负责照管活标本，特别是没收的标本。

6. 各缔约国应保存附录Ⅰ、附录Ⅱ、附录Ⅲ所列物种标本的贸易记录，内容包括：

   (a) 出口者与进口者的姓名、地址；

   (b) 所发许可证或证明书的号码、种类，进行这种贸易的国家，标本的数量、类别，根据附录Ⅰ、附录Ⅱ、附录Ⅲ所列物种的名称，如有要求，在可行的情况下，还包括标本的大小和性别。

7. 各缔约国应提出执行本公约情况的定期报告，递交秘书处；

   (a) 包括本条第 6 款第 b 项所要求的情况摘要的年度报告；

   (b) 为执行本公约各项规定而采取的立法、规章和行政措施的双年度报告。

8. 本条第 7 款提到的情况，只要不违反有关缔约国的法律，应予公布。

第九条　管理机构和科学机构

1. 各缔约国应为本公约指定：

(a) 有资格代表该缔约国发给许可证或证明书的一个或若干个管理机构；

(b) 一个或若干个科学机构。

2. 一国在将其批准、接受、核准或加入的文书交付保存时，应同时将授权与其他缔约国和秘书处联系的管理机构的名称、地址通知保存国政府。

3. 根据本条规定所指派的单位名称，或授予的权限，如有任何改动，应由该缔约国通知秘书处，以便转告其他缔约国。

4. 本条第 2 款提及的任何管理机构，在秘书处或其他缔约国的管理机构请求时，应将其图章、印记及其他用以核实许可证或证明书的标志的底样寄给对方。

第十条　与非公约缔约国贸易

向一个非公约缔约国出口或再出口，或从该国进口时，该国的权力机构所签发的类似文件，在实质上符合本公约对许可证和证明书的要求，就可代替任一缔约国出具的文件而予接受。

第十一条　　缔约国大会

1. 在本公约生效两年后，秘书处应召集一次缔约国大会。

2. 此后，秘书处至少每隔两年召集一次例会，除非全会另有决定，如有三分之一以上的缔约国提出书面请求时，秘书处得随时召开特别会议。

3. 各缔约国在例会或特别会议上，应检查本公约执行情况，并可：

(a) 做出必要的规定，使秘书处能履行其职责；

(b) 根据第十五条，考虑并通过附录Ⅰ和附录Ⅱ的修正案；

(c) 检查附录Ⅰ、附录Ⅱ、附录Ⅲ所列物种的恢复和保护情况的进展；

(d) 接受并考虑秘书处，或任何缔约国提出的任何报告；

(e) 在适当的情况下，提出提高公约效力的建议。

4. 在每次例会上，各缔约国可根据本条第 2 款的规定，确定下次例会召开的时间和地点。

5. 各缔约国在任何一次会议上，均可确定和通过本次会议议事规则。

6. 联合国及其专门机构和国际原子能总署以及非公约缔约国，可以观察员的身份参加大会的会议，但无表决权。

7. 凡属于如下各类在技术上有能力保护、保持或管理野生动植物的机构或组织，经通知秘书处愿以观察员身份参加大会者，应接受其参加会议，但有三分之一或以上缔约国反对者例外：

(a) 政府或非政府的国际性机构或组织、国家政府机构和组织；

(b) 为此目的所在国批准而设立的全国性非政府机构或组织。观察员经过同意后，有权参加会议，但无表决权。

第十二条　　秘书处

1. 在本公约生效后，由联合国环境规划署执行主任筹组一秘书处。在他认为合适的方式和范围内，可取得在技术上有能力保护、保持和管理野生动植物方面的政府间的或非政府的，国际或国家的适当机构和组织的协助。
2. 秘书处的职责为：
   (a) 为缔约国的会议做出安排并提供服务；
   (b) 履行根据本公约第十五条和第十六条的规定委托给秘书处的职责；
   (c) 根据缔约国大会批准的计划，进行科学和技术研究，从而为执行本公约做出贡献，包括对活标本的妥善处置和装运的标准以及识别有关标本的方法；
   (d) 研究缔约国提出的报告，如认为必要，则要求他们提供进一步的情况，以保证本公约的执行；
   (e) 提请缔约国注意与本公约宗旨有关的任何事项；
   (f) 定期出版并向缔约国分发附录Ⅰ、附录Ⅱ、附录Ⅲ的最新版本，以及有助于识别这些附录中所列物种标本的任何情报；
   (g) 向缔约国会议提出有关工作报告和执行本公约情况的年度报告，以及会议上可能要求提供的其他报告；
   (h) 为执行本公约的宗旨和规定而提出建议，包括科学或技术性质情报的交流；
   (i) 执行缔约国委托秘书处的其他职责。

第十三条　　国际措施

1. 秘书处根据其所获得的情报，认为附录Ⅰ、附录Ⅱ所列任一物种，由于该物种标本的贸易而正受到不利的影响，或本公约的规定没有被有效地执行时，秘书处应将这种情况通知有关的缔约国，或有关的缔约国所授权的管理机构。
2. 缔约国在接到本条第 1 款所指的通知后，应在其法律允许范围内，尽快将有关事实通知秘书处，并提出适当补救措施。缔约国认为需要调查时，可特别授权一人或若干人进行调查。
3. 缔约国提供的情况，或根据本条第 2 款规定进行调查所得到的情况，将由下次缔约国大会进行审议，大会可提出它认为合适的任何建议。

第十四条　　对国内立法及各种国际公约的效力

1. 本公约的规定将不影响缔约国有权采取以下措施：
   (a) 附录Ⅰ、附录Ⅱ、附录Ⅲ所列物种标本的贸易、取得、占有和转运、在国内采取更加严格的措施或完全予以禁止；
   (b) 对附录Ⅰ、附录Ⅱ、附录Ⅲ未列入的物种标本的贸易、取得、占有和转运，在国内采取限制或禁止的措施。
2. 本公约的规定，将不影响缔约国在国内采取任何措施的规定，也不影响缔约国由于签署了已生效或即将生效的涉及贸易、取得、占有或转运各物种标本其他方面的条约、公约或国际协议而承担的义务，包括有关海关、公共卫生、兽医或动植物检疫等方面的任何措施。

3. 本公约的规定不影响各国间已缔结或可能缔结的建立同盟或区域贸易协议的条约、公约或国际协定中所作的规定或承担的义务，上述同盟或区域贸易协议是用来建立或维持该同盟各缔约国之间的共同对外关税管制或免除关税管制。

4. 本公约的缔约国，如果也是本公约生效时其他有效的条约、公约或国际协定的缔约国，而且根据这些条约、公约和协定的规定，对附录Ⅱ所列举的各种海洋物种应予保护，则应免除该国根据本公约的规定，对附录Ⅱ所列举的，由在该国注册的船只捕获的、并符合上述其他条约、公约或国际协定的规定而进行捕获的各种物种标本进行贸易所承担的义务。

5. 尽管有第三条、第四条和第五条的规定，凡出口依本条第 4 款捕获的标本，只需要引进国的管理机构出具证明书，说明该标本是依照其他条约、公约或国际协定规定取得的。

6. 本公约不应妨碍根据联合国大会 2750C 字(XXV)号决议而召开的联合国海洋法会议从事编纂和发展海洋法，也不应妨碍任何国家在目前或将来就海洋法以及就沿岸国和船旗国的管辖权的性质和范围提出的主张和法律观点。

第十五条　　附录Ⅰ和附录Ⅱ的修改

1. 下列规定适用于在缔约国大会的会议上对附录Ⅰ和附录Ⅱ修改事宜：

   (a) 任何缔约国可就附录Ⅰ或附录Ⅱ的修改提出建议，供下次会议审议。所提修正案的文本至少应在会前一百五十天通知秘书处。秘书处应依据本条第 2 款第 b 项和第 c 项之规定，就修正案同其他缔约国和有关机构进行磋商，并不迟于会前三十天向各缔约国发出通知；

   (b) 修正案应经到会并参加投票的缔约国三分之二多数通过。此处所谓“到会并参加投票的缔约国”系指出席会议，并投了赞成票或反对票的缔约国。弃权的缔约国将不计入为通过修正案所需三分之二的总数内；

   (c) 在一次会议上通过的修正案，应在该次会议九十天后对所有缔约国开始生效，但依据本条第 3 款提出保留的缔约国除外。

2. 下列规定将适用于在缔约国大会闭会期间，对附录Ⅰ和附录Ⅱ的修改事宜：

   (a) 任何缔约国可在大会闭会期间按本款的规定，以邮政程序就附录Ⅰ和附录Ⅱ提出修改建议，要求审议；

   (b) 对各种海洋物种，秘书处在收到建议修正案文本后，应立即将修正案文本通知缔约国。秘书处还应与业务上和该物种有关的政府间机构进行磋商，以便取得这些机构有可能提供的科学资料，并使与这些机构实施的保护措施协调一致。秘书处应尽快将此类机构所表示的观点和提供的资料，以及秘书处的调查结果和建议，通知缔约国；

   (c) 对海洋物种以外的物种，秘书处应在收到建议的修正案文本后，立即将其通知缔约国，并随后尽快将秘书处的建议通知缔约国；

   (d) 任何缔约国于秘书处根据本款第 b 或第 c 项的规定，将其建议通知缔约国后的六十天内，应将其对所提的修正案的意见，连同有关的科学资料和情报送交秘书处；

   (e) 秘书处应将收到的答复连同它自己的建议，尽快通知缔约国；

   (f) 秘书处依据本款第 e 项规定将上述答复和建议通知缔约国后三十天内，如未收到对建议的修正案提出异议，修正案即应在随后九十天起，对所有缔约国开始生效，但依据本条第 3 款提出保留的缔约国除外；

(g) 如秘书处收到任何缔约国提出的异议，修正案即按本款第 h、第 I 和第 j 项的规定，以邮政通信方式交付表决；

(h) 秘书处应将收到异议的通知事先告知缔约国；

(i) 秘书处按本款第 h 项的规定发出通知后六十天内，从各方收到赞成、反对或弃权票总数必须占缔约国总数一半以上，否则，修正案将提交缔约国大会的下一次会议上进行审议；

(j) 如收到缔约国投票数已占一半，则修正案应由投赞成或反对票的缔约国的三分之二多数通过；

(k) 秘书处将投票结果通知所有缔约国；

(l) 如修正案获得通过，则自秘书处发出修正案被接受的通知之日起后九十天，对各缔约国开始生效。但按本条之第 3 款规定提出保留之缔约国除外。

3. 在本条第 1 款第 c 项，或第 2 款第 l 项规定的九十天期间，任何缔约国均可向公约保存国政府以书面通知形式，对修正案通知提出保留。在此保留撤销以前，进行有关该物种的贸易时，即不作为本公约的缔约国对待。

第十六条 附录III及其修改

1. 按第二条第 3 款所述，任何缔约国可随时向秘书处提出它认为属其管辖范围内，并由其管理的物种的名单。附录III应包括：提出将某些物种包括在内的缔约国的名称、提出的物种的学名，以及按第一条第 b 项所述，与该物种相联系的有关动物或植物的任何部分或衍生物。

2. 根据本条第 1 款规定提出的每一份名单，都应由秘书处在收到该名单后尽快通知缔约国。该名单作为附录III的一部分，在发出此项通知之日起的九十天后生效。在该名单发出后，任何缔约国均可随时书面通知公约保存国政府，对任何物种，或其任何部分，或其衍生物持保留意见。在撤销此保留以前，进行有关该物种，或其一部分，或其衍生物的贸易时，该国即不作为本公约的缔约国对待。

3. 提出应将某一物种列入附录III的缔约国，可以随时通知秘书处撤销该物种，秘书处应将此事通知所有缔约国，此项撤销应在秘书处发出通知之日起的三十天后生效。

4. 根据本条第 1 款的规定提出一份名单的任何缔约国，应向秘书处提交一份适用于此类物种保护的所有国内法律和规章的抄本，并同时提交缔约国对该法律规章的适当解释，或秘书处要求提供的解释。该缔约国在上述物种被列入在附录III的期间内，应提交对上述法律和规章的任何修改或任何新的解释。

第十七条　　公约之修改

1. 秘书处依至少三分之一缔约国提出的书面要求，可召开缔约国大会特别会议，审议和通过本公约的修正案。此项修正案应经到会并参加投票的缔约国三分之二多数通过。此处所谓“到会并参加投票的缔约国”系指出席会议并投了赞成票，或反对票的缔约国。弃权的缔约国将不计入为通过修正案所需三分之二的总数内。

2. 秘书处至少应在会前九十天将建议的修正案的案文通知所有缔约国。

3. 自三分之二的缔约国向公约保存国政府递交接受该项修正案之日起的六十天后，该项修正案即对接受的缔约国开始生效。此后，在任何其他缔约国递交接受该项修正案之日起的六十天后，该项修正案对该缔约国开始生效。

第十八条　　争议之解决

1. 如两个或两个以上缔约国之间就本公约各项规定的解释或适用发生争议，则涉及争议的缔约国应进行磋商。
2. 如果争议不能依本条第 1 款获得解决，经缔约国相互同意，可将争议提交仲裁，特别是提交设在海牙的常设仲裁法院进行仲裁，提出争议的缔约国应受仲裁决定之约束。

第十九条　　签署

本公约于一九七三年四月三十日以前在华盛顿开放签署，在此以后，则于一九七四年十二月三十一日以前在伯尔尼开放签署。

第二十条　　批准、接受、核准

本公约需经批准、接受或核准，批准、接受或核准本公约的文书应交存公约保存国瑞士联邦政府。

第二十一条　加入

本公约将无限期地开放加入，加入书应交公约保存国保存。

第二十二条　生效

1. 本公约自第十份批准、接受、核准或加入本公约的文书交存公约保存国政府九十天后开始生效。
2. 在第十份批准、接受、核准或加入本公约的文书交存以后，批准、接受、核准或加入本公约的国家，自向公约保存国政府交存批准、接受、核准或加入的文书之日起九十天后对该国生效。

第二十三条　保留

1. 对本公约的各项规定不得提出一般保留。但根据本条或第十五条和第十六条的规定，可提出特殊保留。
2. 任何一国在将其批准、接受、核准或加入本公约的文书交托保存的同时，可就下述具体事项提出保留。
   (a)　附录Ⅰ、附录Ⅱ或附录Ⅲ中所列举的任何物种；
   (b)　附录Ⅲ中所指的各物种的任何部分或其衍生物。
3. 缔约国在未撤销其根据本条规定提出的保留前，在对该保留物种，或其一部分，或其衍生物进行贸易时，该国即不作为本公约的缔约国对待。

第二十四条　废约

任何缔约国均可随时以书面形式通知公约保存国政府废止本公约。废约自公约保存国政府收到书面通知之日起十二个月后生效。

第二十五条　保存国

1. 本公约正本以中、英、法、俄和西班牙文写成，各种文本都具有同等效力。正本应交存公约保存国政府，该政府应将核证无误的副本送致本公约的签字国，或加入本公约的国家。
2. 公约保存国政府应将批准、接受、核准或加入、本公约的生效和修改、表示保留和撤销保留以及废止的文书签署交存情况通知本公约所有签字国、加入国和秘书处。
3. 本公约生效后，公约保存国政府应立即将核证无误的文本根据联合国宪章第一百零二条，转送联合国秘书处登记和公布。

各全权代表受命在本公约上签字，以资证明。

公历一千九百七十三年三月三日签订于华盛顿

针对《公约》文本的波恩修正案

《公约》缔约国大会于1979年6月22日通过了一份针对《公约》文本的修正案。该修正案建议在《公约》第十一条第3款a项的末尾插入“并通过有关财政规定”的字词，并相应读作：

3. 各缔约国在例会或特别会议上，应检查本《公约》执行情况，并可：

a) 做出必要的规定，使秘书处能履行其职责，并通过有关财政规定；……

根据《公约》第十七条第3款，波恩修正案在1979年6月22日时已属《公约》缔约国的50个国家中的34个国家(即三分之二)递交其表示认可的法律文书后60天生效，即1987年4月13日。当时也只是对那些接受修正案的国家(不论其何时成为缔约国)生效。但是，现在修订后的《公约》文本则对在修正案生效后成为缔约国的任何国家自动适用。

目前，183 个缔约国中已有 149 个接受了波恩修正案。

针对《公约》文本的哈博罗内修正案

《公约》缔约国大会于1983年4月30日(第四次缔约国大会的最后一天)在博茨瓦纳的哈博罗内召开了其第二次特别会议，以对一份针对《公约》第二十一条而提议的修正案进行研究，该修正案提议允许地区性经济一体化组织加入《公约》。

缔约国大会经过一些修改后采纳提案，批准将另五段文字(即2到6款)加入到文本第二十一条的修订，如下：

1. *本公约将无限期地开放加入，加入书应交公约保存国保存。*
2. *本《公约》应对由主权国家组成的经济一体化组织开放加入。此类经济一体化组织经其缔约国授权，拥有就国际条约中由其缔约国转交的事务及本《公约》所包含的事务开展谈判、决策和实施的权限。*
3. *此类经济一体化组织应在加入《公约》的法律文书中声明其关于《公约》所辖事务的权限范围。这些经济一体化组织还应通知保存国政府任何关于其权限范围的实质性更改。保存国政府则应将此类经济一体化组织就其关于《公约》所辖事务的权限范围及相关更改情况所递交的通知转发给各缔约国。*
4. *就其权限范围内的事务，此类经济一体化组织应行使相应的权力并履行《公约》赋予其各缔约国(均属本《公约》缔约国)的义务。在这种情况下，经济一体化组织的各缔约国必须统一(而非各自)行使此类权力。*
5. *在其权限范围内，经济一体化可按拥有等同于其缔约国(亦为本《公约》缔约国)数量的票数行使表决权。如果由其各缔约国行使表决权，则此类经济一体化组织不应再行使表决权，反之亦然。*
6. *本《公约》第一条 h 项所用“缔约国”及本《公约》所指的“国家”／“各国”、“联邦下的缔约国”／“联邦下的各缔约国”等术语应被解释为包含任何地区性经济一体化组织(经其缔约国授权，拥有就国际条约中由其缔约国转交的事务及本《公约》所包含的事务开展谈判、决策和实施的权限)的含意在内。*

遵照公约文本第十七条第3款，哈博罗内修正案已于2013年11月29日生效，即在1983年4月30日加入公公约的80个缔约国中的54个（三分之二）递交了接受该项修正案之日起的六十天后。那时候，修正案只对那些接受修正案的国家生效。修正案文本对任何在2013年11月29日后加入公约的缔约国自动生效。对在此日期前加入公约的且未接受修正案的缔约国，修正案仅在其接受后的60天生效。

目前，183个缔约国中已有101个接受了哈博罗内修正案。

PART I

Text and Amendments

Convention on International Trade in Endangered Species of Wild Fauna and Flora

Signed at Washington, D.C., on 3 March 1973
Amended at Bonn, on 22 June 1979

The Contracting States,

Recognizing that wild fauna and flora in their many beautiful and varied forms are an irreplaceable part of the natural systems of the earth which must be protected for this and the generations to come;

Conscious of the ever-growing value of wild fauna and flora from aesthetic, scientific, cultural, recreational and economic points of view;

Recognizing that peoples and States are and should be the best protectors of their own wild fauna and flora;

Recognizing, in addition, that international co-operation is essential for the protection of certain species of wild fauna and flora against over-exploitation through international trade;

Convinced of the urgency of taking appropriate measures to this end;

Have agreed as follows:

Article I Definitions

For the purpose of the present Convention, unless the context otherwise requires:

(a) "Species" means any species, subspecies, or geographically separate population thereof;

(b) "Specimen" means:

  (i) any animal or plant, whether alive or dead;

  (ii) in the case of an animal: for species included in Appendices I and II, any readily recognizable part or derivative thereof; and for species included in Appendix III, any readily recognizable part or derivative thereof specified in Appendix III in relation to the species; and

  (iii) in the case of a plant: for species included in Appendix I, any readily recognizable part or derivative thereof; and for species included in Appendices II and III, any readily recognizable part or derivative thereof specified in Appendices II and III in relation to the species;

(c) "Trade" means export, re-export, import and introduction from the sea;

(d) "Re-export" means export of any specimen that has previously been imported;

(e) "Introduction from the sea" means transportation into a State of specimens of any species which were taken in the marine environment not under the jurisdiction of any State;

(f) "Scientific Authority" means a national scientific authority designated in accordance with Article IX;

(g) "Management Authority" means a national management authority designated in accordance with Article IX;

(h) "Party" means a State for which the present Convention has entered into force.

Article II Fundamental Principles

1. Appendix I shall include all species threatened with extinction which are or may be affected by trade. Trade in specimens of these species must be subject to particularly strict regulation in order not to endanger further their survival and must only be authorized in exceptional circumstances.
2. Appendix II shall include:
   (a) all species which although not necessarily now threatened with extinction may become so unless trade in specimens of such species is subject to strict regulation in order to avoid utilization incompatible with their survival; and
   (b) other species which must be subject to regulation in order that trade in specimens of certain species referred to in sub-paragraph (a) of this paragraph may be brought under effective control.
3. Appendix III shall include all species which any Party identifies as being subject to regulation within its jurisdiction for the purpose of preventing or restricting exploitation, and as needing the co-operation of other Parties in the control of trade.
4. The Parties shall not allow trade in specimens of species included in Appendices I, II and III except in accordance with the provisions of the present Convention.

Article III Regulation of Trade in Specimens of Species Included in Appendix I

1. All trade in specimens of species included in Appendix I shall be in accordance with the provisions of this Article.
2. The export of any specimen of a species included in Appendix I shall require the prior grant and presentation of an export permit. An export permit shall only be granted when the following conditions have been met:
   (a) a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species;
   (b) a Management Authority of the State of export is satisfied that the specimen was not obtained in contravention of the laws of that State for the protection of fauna and flora;
   (c) a Management Authority of the State of export is satisfied that any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment; and
   (d) a Management Authority of the State of export is satisfied that an import permit has been granted for the specimen.
3. The import of any specimen of a species included in Appendix I shall require the prior grant and presentation of an import permit and either an export permit or a re-export certificate. An import permit shall only be granted when the following conditions have been met:
   (a) a Scientific Authority of the State of import has advised that the import will be for purposes which are not detrimental to the survival of the species involved;
   (b) a Scientific Authority of the State of import is satisfied that the proposed recipient of a living specimen is suitably equipped to house and care for it; and
   (c) a Management Authority of the State of import is satisfied that the specimen is not to be used for primarily commercial purposes.

4. The re-export of any specimen of a species included in Appendix I shall require the prior grant and presentation of a re-export certificate. A re-export certificate shall only be granted when the following conditions have been met:

   (a) a Management Authority of the State of re-export is satisfied that the specimen was imported into that State in accordance with the provisions of the present Convention;

   (b) a Management Authority of the State of re-export is satisfied that any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment; and

   (c) a Management Authority of the State of re-export is satisfied that an import permit has been granted for any living specimen.

5. The introduction from the sea of any specimen of a species included in Appendix I shall require the prior grant of a certificate from a Management Authority of the State of introduction. A certificate shall only be granted when the following conditions have been met:

   (a) a Scientific Authority of the State of introduction advises that the introduction will not be detrimental to the survival of the species involved;

   (b) a Management Authority of the State of introduction is satisfied that the proposed recipient of a living specimen is suitably equipped to house and care for it; and

   (c) a Management Authority of the State of introduction is satisfied that the specimen is not to be used for primarily commercial purposes.

Article IV Regulation of Trade in Specimens of Species Included in Appendix II

1. All trade in specimens of species included in Appendix II shall be in accordance with the provisions of this Article.

2. The export of any specimen of a species included in Appendix II shall require the prior grant and presentation of an export permit. An export permit shall only be granted when the following conditions have been met:

   (a) a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species;

   (b) a Management Authority of the State of export is satisfied that the specimen was not obtained in contravention of the laws of that State for the protection of fauna and flora; and

   (c) a Management Authority of the State of export is satisfied that any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment.

3. A Scientific Authority in each Party shall monitor both the export permits granted by that State for specimens of species included in Appendix II and the actual exports of such specimens. Whenever a Scientific Authority determines that the export of specimens of any such species should be limited in order to maintain that species throughout its range at a level consistent with its role in the ecosystems in which it occurs and well above the level at which that species might become eligible for inclusion in Appendix I, the Scientific Authority shall advise the appropriate Management Authority of suitable measures to be taken to limit the grant of export permits for specimens of that species.

4. The import of any specimen of a species included in Appendix II shall require the prior presentation of either an export permit or a re-export certificate.

5. The re-export of any specimen of a species included in Appendix II shall require the prior grant and presentation of a re-export certificate. A re-export certificate shall only be granted when the following conditions have been met:

   (a) a Management Authority of the State of re-export is satisfied that the specimen was imported into that State in accordance with the provisions of the present Convention; and

   (b) a Management Authority of the State of re-export is satisfied that any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment.

6. The introduction from the sea of any specimen of a species included in Appendix II shall require the prior grant of a certificate from a Management Authority of the State of introduction. A certificate shall only be granted when the following conditions have been met:

   (a) a Scientific Authority of the State of introduction advises that the introduction will not be detrimental to the survival of the species involved; and

   (b) a Management Authority of the State of introduction is satisfied that any living specimen will be so handled as to minimize the risk of injury, damage to health or cruel treatment.

7. Certificates referred to in paragraph 6 of this Article may be granted on the advice of a Scientific Authority, in consultation with other national scientific authorities or, when appropriate, international scientific authorities, in respect of periods not exceeding one year for total numbers of specimens to be introduced in such periods.

Article V Regulation of Trade in Specimens of Species Included in Appendix III

1. All trade in specimens of species included in Appendix III shall be in accordance with the provisions of this Article.

2. The export of any specimen of a species included in Appendix III from any State which has included that species in Appendix III shall require the prior grant and presentation of an export permit. An export permit shall only be granted when the following conditions have been met:

   (a) a Management Authority of the State of export is satisfied that the specimen was not obtained in contravention of the laws of that State for the protection of fauna and flora; and

   (b) a Management Authority of the State of export is satisfied that any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment.

3. The import of any specimen of a species included in Appendix III shall require, except in circumstances to which paragraph 4 of this Article applies, the prior presentation of a certificate of origin and, where the import is from a State which has included that species in Appendix III, an export permit.

4. In the case of re-export, a certificate granted by the Management Authority of the State of re-export that the specimen was processed in that State or is being re-exported shall be accepted by the State of import as evidence that the provisions of the present Convention have been complied with in respect of the specimen concerned.

Article VI Permits and Certificates

1. Permits and certificates granted under the provisions of Articles III, IV, and V shall be in accordance with the provisions of this Article.

2. An export permit shall contain the information specified in the model set forth in Appendix IV, and may only be used for export within a period of six months from the date on which it was granted.

3. Each permit or certificate shall contain the title of the present Convention, the name and any identifying stamp of the Management Authority granting it and a control number assigned by the Management Authority.

4. Any copies of a permit or certificate issued by a Management Authority shall be clearly marked as copies only and no such copy may be used in place of the original, except to the extent endorsed thereon.

5. A separate permit or certificate shall be required for each consignment of specimens.

6. A Management Authority of the State of import of any specimen shall cancel and retain the export permit or re-export certificate and any corresponding import permit presented in respect of the import of that specimen.

7. Where appropriate and feasible a Management Authority may affix a mark upon any specimen to assist in identifying the specimen. For these purposes "mark" means any indelible imprint, lead seal or other suitable means of identifying a specimen, designed in such a way as to render its imitation by unauthorized persons as difficult as possible.

Article VII Exemptions and Other Special Provisions Relating to Trade

1. The provisions of Articles III, IV and V shall not apply to the transit or transhipment of specimens through or in the territory of a Party while the specimens remain in Customs control.

2. Where a Management Authority of the State of export or re-export is satisfied that a specimen was acquired before the provisions of the present Convention applied to that specimen, the provisions of Articles III, IV and V shall not apply to that specimen where the Management Authority issues a certificate to that effect.

3. The provisions of Articles III, IV and V shall not apply to specimens that are personal or household effects. This exemption shall not apply where:

   (a) in the case of specimens of a species included in Appendix I, they were acquired by the owner outside his State of usual residence, and are being imported into that State; or

   (b) in the case of specimens of species included in Appendix II:

      (i) they were acquired by the owner outside his State of usual residence and in a State where removal from the wild occurred;

      (ii) they are being imported into the owner's State of usual residence; and

      (iii) the State where removal from the wild occurred requires the prior grant of export permits before any export of such specimens; unless a Management Authority is satisfied that the specimens were acquired before the provisions of the present Convention applied to such specimens.

4. Specimens of an animal species included in Appendix I bred in captivity for commercial purposes, or of a plant species included in Appendix I artificially propagated for commercial purposes, shall be deemed to be specimens of species included in Appendix II.

5. Where a Management Authority of the State of export is satisfied that any specimen of an animal species was bred in captivity or any specimen of a plant species was artificially propagated, or is a part of such an animal or plant or was derived therefrom, a certificate by

that Management Authority to that effect shall be accepted in lieu of any of the permits or certificates required under the provisions of Article III, IV or V.

6. The provisions of Articles III, IV and V shall not apply to the non-commercial loan, donation or exchange between scientists or scientific institutions registered by a Management Authority of their State, of herbarium specimens, other preserved, dried or embedded museum specimens, and live plant material which carry a label issued or approved by a Management Authority.

7. A Management Authority of any State may waive the requirements of Articles III, IV and V and allow the movement without permits or certificates of specimens which form part of a travelling zoo, circus, menagerie, plant exhibition or other travelling 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 this Article; 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.

Article VIII Measures to Be Taken by the Parties

1. The Parties shall take appropriate measures to enforce the provisions of the present Convention and to prohibit trade in specimens in violation thereof. These shall include measures:

   (a) to penalize trade in, or possession of, such specimens, or both; and

   (b) to provide for the confiscation or return to the State of export of such specimens.

2. In addition to the measures taken under paragraph 1 of this Article, a Party may, when it deems it necessary, provide for any method of internal reimbursement for expenses incurred as a result of the confiscation of a specimen traded in violation of the measures taken in the application of the provisions of the present Convention.

3. As far as possible, the Parties shall ensure that specimens shall pass through any formalities required for trade with a minimum of delay. To facilitate such passage, a Party may designate ports of exit and ports of entry at which specimens must be presented for clearance. The Parties shall ensure further that all living specimens, during any period of transit, holding or shipment, are properly cared for so as to minimize the risk of injury, damage to health or cruel treatment.

4. Where a living specimen is confiscated as a result of measures referred to in paragraph 1 of this Article:

   (a) the specimen shall be entrusted to a Management Authority of the State of confiscation;

   (b) the Management Authority shall, after consultation with the State of export, return the specimen to that State at the expense of that State, or to a rescue centre or such other place as the Management Authority deems appropriate and consistent with the purposes of the present Convention; and

   (c) the Management Authority may obtain the advice of a Scientific Authority, or may, whenever it considers it desirable, consult the Secretariat in order to facilitate the decision under sub-paragraph (b) of this paragraph, including the choice of a rescue centre or other place.

5. A rescue centre as referred to in paragraph 4 of this Article means an institution designated by a Management Authority to look after the welfare of living specimens, particularly those that have been confiscated.

6. Each Party shall maintain records of trade in specimens of species included in Appendices I, II and III which shall cover:

   (a) the names and addresses of exporters and importers; and

   (b) the number and type of permits and certificates granted; the States with which such trade occurred; the numbers or quantities and types of specimens, names of species as included in Appendices I, II and III and, where applicable, the size and sex of the specimens in question.

7. Each Party shall prepare periodic reports on its implementation of the present Convention and shall transmit to the Secretariat:

   (a) an annual report containing a summary of the information specified in sub-paragraph (b) of paragraph 6 of this Article; and

   (b) a biennial report on legislative, regulatory and administrative measures taken to enforce the provisions of the present Convention.

8. The information referred to in paragraph 7 of this Article shall be available to the public where this is not inconsistent with the law of the Party concerned.

Article IX Management and Scientific Authorities

1. Each Party shall designate for the purposes of the present Convention:

   (a) one or more Management Authorities competent to grant permits or certificates on behalf of that Party; and

   (b) one or more Scientific Authorities.

2. A State depositing an instrument of ratification, acceptance, approval or accession shall at that time inform the Depositary Government of the name and address of the Management Authority authorized to communicate with other Parties and with the Secretariat.

3. Any changes in the designations or authorizations under the provisions of this Article shall be communicated by the Party concerned to the Secretariat for transmission to all other Parties.

4. Any Management Authority referred to in paragraph 2 of this Article shall, if so requested by the Secretariat or the Management Authority of another Party, communicate to it impression of stamps, seals or other devices used to authenticate permits or certificates.

Article X Trade with States not Party to the Convention

Where export or re-export is to, or import is from, a State not a Party to the present Convention, comparable documentation issued by the competent authorities in that State which substantially conforms with the requirements of the present Convention for permits and certificates may be accepted in lieu thereof by any Party.

Article XI Conference of the Parties

1. The Secretariat shall call a meeting of the Conference of the Parties not later than two years after the entry into force of the present Convention.

2. Thereafter the Secretariat shall convene regular meetings at least once every two years, unless the Conference decides otherwise, and extraordinary meetings at any time on the written request of at least one-third of the Parties.

3. At meetings, whether regular or extraordinary, the Parties shall review the implementation of the present Convention and may:

   (a) make such provision as may be necessary to enable the Secretariat to carry out its duties, and adopt financial provisions;

   (b) consider and adopt amendments to Appendices I and II in accordance with Article XV;

   (c) review the progress made towards the restoration and conservation of the species included in Appendices I, II and III;

   (d) receive and consider any reports presented by the Secretariat or by any Party; and

   (e) where appropriate, make recommendations for improving the effectiveness of the present Convention.

4. At each regular meeting, the Parties may determine the time and venue of the next regular meeting to be held in accordance with the provisions of paragraph 2 of this Article.

5. At any meeting, the Parties may determine and adopt rules of procedure for the meeting.

6. The United Nations, its Specialized Agencies and the International Atomic Energy Agency, as well as any State not a Party to the present Convention, may be represented at meetings of the Conference by observers, who shall have the right to participate but not to vote.

7. Any body or agency technically qualified in protection, conservation or management of wild fauna and flora, in the following categories, which has informed the Secretariat of its desire to be represented at meetings of the Conference by observers, shall be admitted unless at least one-third of the Parties present object:

   (a) international agencies or bodies, either governmental or non-governmental, and national governmental agencies and bodies; and

   (b) national non-governmental agencies or bodies which have been approved for this purpose by the State in which they are located. Once admitted, these observers shall have the right to participate but not to vote.

Article XII The Secretariat

1. Upon entry into force of the present Convention, a Secretariat shall be provided by the Executive Director of the United Nations Environment Programme. To the extent and in the manner he considers appropriate, he may be assisted by suitable inter-governmental or non-governmental international or national agencies and bodies technically qualified in protection, conservation and management of wild fauna and flora.

2. The functions of the Secretariat shall be:

   (a) to arrange for and service meetings of the Parties;

   (b) to perform the functions entrusted to it under the provisions of Articles XV and XVI of the present Convention;

   (c) to undertake scientific and technical studies in accordance with programmes authorized by the Conference of the Parties as will contribute to the implementation of the present Convention, including studies concerning standards for appropriate preparation and shipment of living specimens and the means of identifying specimens;

(d) to study the reports of Parties and to request from Parties such further information with respect thereto as it deems necessary to ensure implementation of the present Convention;

(e) to invite the attention of the Parties to any matter pertaining to the aims of the present Convention;

(f) to publish periodically and distribute to the Parties current editions of Appendices I, II and III together with any information which will facilitate identification of specimens of species included in those Appendices;

(g) to prepare annual reports to the Parties on its work and on the implementation of the present Convention and such other reports as meetings of the Parties may request;

(h) to make recommendations for the implementation of the aims and provisions of the present Convention, including the exchange of information of a scientific or technical nature;

(i) to perform any other function as may be entrusted to it by the Parties.

Article XIII International Measures

1. When the Secretariat in the light of information received is satisfied that any species included in Appendix I or II is being affected adversely by trade in specimens of that species or that the provisions of the present Convention are not being effectively implemented, it shall communicate such information to the authorized Management Authority of the Party or Parties concerned.
2. When any Party receives a communication as indicated in paragraph 1 of this Article, it shall, as soon as possible, inform the Secretariat of any relevant facts insofar as its laws permit and, where appropriate, propose remedial action. Where the Party considers that an inquiry is desirable, such inquiry may be carried out by one or more persons expressly authorized by the Party.
3. The information provided by the Party or resulting from any inquiry as specified in paragraph 2 of this Article shall be reviewed by the next Conference of the Parties which may make whatever recommendations it deems appropriate.

Article XIV Effect on Domestic Legislation and International Conventions

1. The provisions of the present Convention shall in no way affect the right of Parties to adopt:
   (a) stricter domestic measures regarding the conditions for trade, taking, possession or transport of specimens of species included in Appendices I, II and III, or the complete prohibition thereof; or
   (b) domestic measures restricting or prohibiting trade, taking, possession or transport of species not included in Appendix I, II or III.
2. The provisions of the present Convention shall in no way affect the provisions of any domestic measures or the obligations of Parties deriving from any treaty, convention, or international agreement relating to other aspects of trade, taking, possession or transport of specimens which is in force or subsequently may enter into force for any Party including any measure pertaining to the Customs, public health, veterinary or plant quarantine fields.
3. The provisions of the present Convention shall in no way affect the provisions of, or the obligations deriving from, any treaty, convention or international agreement concluded or which may be concluded between States creating a union or regional trade agreement

establishing or maintaining a common external Customs control and removing Customs control between the parties thereto insofar as they relate to trade among the States members of that union or agreement.

4. A State party to the present Convention, which is also a party to any other treaty, convention or international agreement which is in force at the time of the coming into force of the present Convention and under the provisions of which protection is afforded to marine species included in Appendix II, shall be relieved of the obligations imposed on it under the provisions of the present Convention with respect to trade in specimens of species included in Appendix II that are taken by ships registered in that State and in accordance with the provisions of such other treaty, convention or international agreement.

5. Notwithstanding the provisions of Articles III, IV and V, any export of a specimen taken in accordance with paragraph 4 of this Article shall only require a certificate from a Management Authority of the State of introduction to the effect that the specimen was taken in accordance with the provisions of the other treaty, convention or international agreement in question.

6. Nothing in the present Convention shall prejudice the codification and development of the law of the sea by the United Nations Conference on the Law of the Sea convened pursuant to Resolution 2750 C (XXV) of the General Assembly of the United Nations nor the present or future claims and legal views of any State concerning the law of the sea and the nature and extent of coastal and flag State jurisdiction.

Article XV Amendments to Appendices I and II

1. The following provisions shall apply in relation to amendments to Appendices I and II at meetings of the Conference of the Parties:

   (a) Any Party may propose an amendment to Appendix I or II for consideration at the next meeting. The text of the proposed amendment shall be communicated to the Secretariat at least 150 days before the meeting. The Secretariat shall consult the other Parties and interested bodies on the amendment in accordance with the provisions of sub-paragraphs (b) and (c) of paragraph 2 of this Article and shall communicate the response to all Parties not later than 30 days before the meeting.

   (b) Amendments shall be adopted by a two-thirds majority of Parties present and voting. For these purposes "Parties present and voting" means Parties present and casting an affirmative or negative vote. Parties abstaining from voting shall not be counted among the two-thirds required for adopting an amendment.

   (c) Amendments adopted at a meeting shall enter into force 90 days after that meeting for all Parties except those which make a reservation in accordance with paragraph 3 of this Article.

2. The following provisions shall apply in relation to amendments to Appendices I and II between meetings of the Conference of the Parties:

   (a) Any Party may propose an amendment to Appendix I or II for consideration between meetings by the postal procedures set forth in this paragraph.

   (b) For marine species, the Secretariat shall, upon receiving the text of the proposed amendment, immediately communicate it to the Parties. It shall also consult inter-governmental bodies having a function in relation to those species especially with a view to obtaining scientific data these bodies may be able to provide and to ensuring co-ordination with any conservation measures enforced by such bodies. The Secretariat shall communicate the views expressed and data provided by these bodies and its own findings and recommendations to the Parties as soon as possible.

(c) For species other than marine species, the Secretariat shall, upon receiving the text of the proposed amendment, immediately communicate it to the Parties, and, as soon as possible thereafter, its own recommendations.

(d) Any Party may, within 60 days of the date on which the Secretariat communicated its recommendations to the Parties under sub-paragraph (b) or (c) of this paragraph, transmit to the Secretariat any comments on the proposed amendment together with any relevant scientific data and information.

(e) The Secretariat shall communicate the replies received together with its own recommendations to the Parties as soon as possible. (f) If no objection to the proposed amendment is received by the Secretariat within 30 days of the date the replies and recommendations were communicated under the provisions of sub-paragraph (e) of this paragraph, the amendment shall enter into force 90 days later for all Parties except those which make a reservation in accordance with paragraph 3 of this Article.

(g) If an objection by any Party is received by the Secretariat, the proposed amendment shall be submitted to a postal vote in accordance with the provisions of sub-paragraphs (h) , (i) and (j) of this paragraph.

(h) The Secretariat shall notify the Parties that notification of objection has been received.

(i) Unless the Secretariat receives the votes for, against or in abstention from at least one-half of the Parties within 60 days of the date of notification under sub-paragraph (h) of this paragraph, the proposed amendment shall be referred to the next meeting of the Conference for further consideration.

(j) Provided that votes are received from one-half of the Parties, the amendment shall be adopted by a two-thirds majority of Parties casting an affirmative or negative vote.

(k) The Secretariat shall notify all Parties of the result of the vote.

(l) If the proposed amendment is adopted it shall enter into force 90 days after the date of the notification by the Secretariat of its acceptance for all Parties except those which make a reservation in accordance with paragraph 3 of this Article.

3. During the period of 90 days provided for by sub-paragraph (c) of paragraph 1 or sub-paragraph (l) of paragraph 2 of this Article any Party may by notification in writing to the Depositary Government make a reservation with respect to the amendment. Until such reservation is withdrawn the Party shall be treated as a State not a Party to the present Convention with respect to trade in the species concerned.

Article XVI Appendix III and Amendments thereto

1. Any Party may at any time submit to the Secretariat a list of species which it identifies as being subject to regulation within its jurisdiction for the purpose mentioned in paragraph 3 of Article II. Appendix III shall include the names of the Parties submitting the species for inclusion therein, the scientific names of the species so submitted, and any parts or derivatives of the animals or plants concerned that are specified in relation to the species for the purposes of sub-paragraph (b) of Article I.

2. Each list submitted under the provisions of paragraph 1 of this Article shall be communicated to the Parties by the Secretariat as soon as possible after receiving it. The list shall take effect as part of Appendix III 90 days after the date of such communication. At any time after the communication of such list, any Party may by notification in writing to the Depositary Government enter a reservation with respect to any species or any parts or derivatives, and until such reservation is withdrawn, the State shall be treated as a State not a Party to the present Convention with respect to trade in the species or part or derivative concerned.

3. A Party which has submitted a species for inclusion in Appendix III may withdraw it at any time by notification to the Secretariat which shall communicate the withdrawal to all Parties. The withdrawal shall take effect 30 days after the date of such communication.

4. Any Party submitting a list under the provisions of paragraph 1 of this Article shall submit to the Secretariat a copy of all domestic laws and regulations applicable to the protection of such species, together with any interpretations which the Party may deem appropriate or the Secretariat may request. The Party shall, for as long as the species in question is included in Appendix III, submit any amendments of such laws and regulations or any interpretations as they are adopted.

Article XVII Amendment of the Convention

1. An extraordinary meeting of the Conference of the Parties shall be convened by the Secretariat on the written request of at least one-third of the Parties to consider and adopt amendments to the present Convention. Such amendments shall be adopted by a two-thirds majority of Parties present and voting. For these purposes "Parties present and voting" means Parties present and casting an affirmative or negative vote. Parties abstaining from voting shall not be counted among the two-thirds required for adopting an amendment.

2. The text of any proposed amendment shall be communicated by the Secretariat to all Parties at least 90 days before the meeting.

3. An amendment shall enter into force for the Parties which have accepted it 60 days after two-thirds of the Parties have deposited an instrument of acceptance of the amendment with the Depositary Government. Thereafter, the amendment shall enter into force for any other Party 60 days after that Party deposits its instrument of acceptance of the amendment.

Article XVIII Resolution of Disputes

1. Any dispute which may arise between two or more Parties with respect to the interpretation or application of the provisions of the present Convention shall be subject to negotiation between the Parties involved in the dispute.

2. If the dispute can not be resolved in accordance with paragraph 1 of this Article, the Parties may, by mutual consent, submit the dispute to arbitration, in particular that of the Permanent Court of Arbitration at The Hague, and the Parties submitting the dispute shall be bound by the arbitral decision.

Article XIX Signature

The present Convention shall be open for signature at Washington until 30th April 1973 and thereafter at Berne until 31st December 1974.

Article XX Ratification, Acceptance, Approval

The present Convention shall be subject to ratification, acceptance or approval. Instruments of ratification, acceptance or approval shall be deposited with the Government of the Swiss Confederation which shall be the Depositary Government.

Article XXI Accession

The present Convention shall be open indefinitely for accession. Instruments of accession shall be deposited with the Depositary Government.

Article XXII Entry into Force

1. The present Convention shall enter into force 90 days after the date of deposit of the tenth instrument of ratification, acceptance, approval or accession, with the Depositary Government.
2. For each State which ratifies, accepts or approves the present Convention or accedes thereto after the deposit of the tenth instrument of ratification, acceptance, approval or accession, the present Convention shall enter into force 90 days after the deposit by such State of its instrument of ratification, acceptance, approval or accession.

Article XXIII Reservations

1. The provisions of the present Convention shall not be subject to general reservations. Specific reservations may be entered in accordance with the provisions of this Article and Articles XV and XVI.
2. Any State may, on depositing its instrument of ratification, acceptance, approval or accession, enter a specific reservation with regard to:
   (a) any species included in Appendix I, II or III; or
   (b) any parts or derivatives specified in relation to a species included in Appendix III.
3. Until a Party withdraws its reservation entered under the provisions of this Article, it shall be treated as a State not a Party to the present Convention with respect to trade in the particular species or parts or derivatives specified in such reservation.

Article XXIV Denunciation

Any Party may denounce the present Convention by written notification to the Depositary Government at any time. The denunciation shall take effect twelve months after the Depositary Government has received the notification.

Article XXV Depositary

1. The original of the present Convention, in the Chinese, English, French, Russian and Spanish languages, each version being equally authentic, shall be deposited with the Depositary Government, which shall transmit certified copies thereof to all States that have signed it or deposited instruments of accession to it.
2. The Depositary Government shall inform all signatory and acceding States and the Secretariat of signatures, deposit of instruments of ratification, acceptance, approval or accession, entry into force of the present Convention, amendments thereto, entry and withdrawal of reservations and notifications of denunciation.
3. As soon as the present Convention enters into force, a certified copy thereof shall be transmitted by the Depositary Government to the Secretariat of the United Nations for registration and publication in accordance with Article 102 of the Charter of the United Nations.

In witness whereof the undersigned Plenipotentiaries, being duly authorized to that effect, have signed the present Convention.

Done at Washington this third day of March, One Thousand Nine Hundred and Seventy-three.

Bonn amendment to the text of the Convention

The Conference of the Parties to CITES adopted an amendment to the text of the Convention on 22 June 1979. This amendment consists of inserting at the end of Article XI, paragraph 3. a), the words ", and adopt financial provisions" so that it reads as follows:

> *3. At meetings, whether regular or extraordinary, the Parties shall review the implementation of the present Convention and may:*
>
> *(a) make such provision as may be necessary to enable the Secretariat to carry out its duties, and adopt financial provisions; …*

In accordance with Article XVII, paragraph 3, of the Convention, the Bonn amendment entered into force 60 days after 34 (two-thirds) of the 50 States that were party to CITES on 22 June 1979 deposited their instruments of acceptance, i.e. on 13 April 1987. At that time it entered into force only for those States that had accepted the amendment (no matter on what date they became party to the Convention.) However the amended text of the Convention now applies automatically to any State that becomes a Party after the date of entry into force of the amendment.

There are currently 149 Parties out of 183 that have accepted the Bonn amendment.

Gaborone amendment to the text of the Convention

The Conference of the Parties to CITES held its second extraordinary meeting in Gaborone, Botswana, on 30 April 1983 (the last day of its fourth regular meeting), to consider a proposed amendment to Article XXI of the Convention to permit accession by regional economic integration organizations.

The Conference adopted the proposal with several changes, and the agreed amendment consists of the addition to Article XXI of five new paragraphs (numbered from 2 to 6 below) so that the Article now reads as follows:

1. *The present Convention shall be open indefinitely for accession. Instruments of accession shall be deposited with the Depositary Government.*
2. *This Convention shall be open for accession by regional economic integration organizations constituted by sovereign States which have competence in respect of the negotiation, conclusion and implementation of international agreements in matters transferred to them by their Member States and covered by this Convention.*
3. *In their instruments of accession, such organization shall declare the extent of their competence with respect to the matters governed by the Convention. These organizations shall also inform the Depositary Government of any substantial modification in the extent of their competence. Notifications by regional economic integration organizations concerning their competence with respect to matters governed by this Convention and modifications thereto shall be distributed to the Parties by the Depositary Government.*
4. *In matters within their competence, such regional economic integration organizations shall exercise the rights and fulfil the obligations which this Convention attributes to their Member States, which are Parties to the Convention. In such cases the Member States of the organizations shall not be entitled to exercise such rights individually.*
5. *In the fields of their competence, regional economic integration organizations shall exercise their right to vote with a number of votes equal to the number of their Member States which are Parties to the Convention. Such organizations shall not exercise their right to vote if their Member States exercise theirs, and vice versa.*
6. *Any reference to "Party" in the sense used in Article 1(h) of this Convention, to "State"/"States" or to "State Party"/State Parties" to the Convention shall be construed as including a reference to any regional economic integration organization having competence in respect of the negotiation, conclusion and application of international agreements in matters covered by this Convention.*

In accordance with Article XVII, paragraph 3, of the Convention, the Gaborone amendment entered into force on 29 November 2013, 60 days after 54 (two-thirds) of the 80 States that were party to CITES on 30 April 1983 deposited their instrument of acceptance of the amendment. At that time it entered into force only for those States that had accepted the amendment. The amended text of the Convention will apply automatically to any State that becomes a Party after 29 November 2013. For States that became party to the Convention before that date and have not accepted the amendment, it will enter into force 60 days after they accept it.

There are currently 101 Parties out of 183 that have accepted the Gaborone amendment.

第二部分

有效决议

Conf. 2.11 (Rev.)*

附录Ⅰ物种狩猎纪念物的贸易

考虑到 需要对公约有关狩猎纪念物的问题做出统一解释；

公约缔约方†大会

1. 建议：

a) 除根据公约第七条第 3 款规定予以豁免的极少数情况外，仅当遵循公约第三条时，即附有进口许可证和出口许可证，附录Ⅰ所列动物物种狩猎纪念物贸易才可被批准；

b) 为达到由进口国和出口国以最有效和最全面的方式对附录Ⅰ物种贸易进行所设想的互补控制，进口国科学机构应接受出口国科学机构有关该狩猎纪念物出口不会危害该物种生存的判定，除非有科学及管理数据来表明并非如此；及

c) 进口国依据公约第三条第 3 款(a)项进行的科学审查应独立于出口国根据公约第三条第 2 款(a)项所作的科学评估结果而开展，反之亦然。

* 经第九次缔约方大会修订

† 编者注：如前公约文本所示，在欧盟未加入公约之前Parties被译为缔约国，2016年之后的决议决定部分均译为缔约方。

Conf. 2.11(Rev.)* Trade in hunting trophies of species listed in Appendix I

CONSIDERING the need of uniform interpretation of the Convention with regard to hunting trophies;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that:

   a) with the exception of the rare case of exemptions granted under paragraph 3 of Article VII of the Convention, trade in hunting trophies of animals of the species listed in Appendix I be permitted only in accordance with Article III, i.e. accompanied by import and export permits;

   b) in order to achieve the envisaged complementary control of trade in Appendix-I species by the importing and exporting countries in the most effective and comprehensive manner, the Scientific Authority of the importing country accept the finding of the Scientific Authority of the exporting country that the exportation of the hunting trophy is not detrimental to the survival of the species, unless there are scientific or management data to indicate otherwise; and

   c) the scientific examination by the importing country in accordance with paragraph 3 (a) of Article III of the Convention be carried out independently of the result of the scientific assessment by the exporting country in accordance with paragraph 2 (a) of Article III, and vice versa.

**Amended at the ninth meeting of the Conference of the Parties.*

Conf. 3.4*

技 术 合 作

注意到 目前公约至少有三分之二的缔约方属发展中国家；

认识到 发展中国家在管理机构和科学机构的建立、人员配备、培训和设备等方面遇到的特殊困难；

感谢 世界自然基金会†和濒危物种人民信托基金在这一领域已为发展中国家提供了技术援助；

公约缔约方大会

1. **呼吁** 所有缔约方确保，在公约相关事务中，将技术援助纳入其所参加的双边或多边开发援助项目中；
2. **敦促** 各缔约方安排可用的特别经费和合格工作人员，可能的情况下通过向秘书处和发展中国家派遣“初级专员”的方式，以开展此类惠及其它缔约方的技术援助项目；并
3. **要求** 秘书处与常委会商议，继续为此目的寻求外部资金，并执行由此方式得到资助的项目。

* 秘书处遵照第14.19号决定和第58次常委会会议的决定做修订。
† 以前指“世界野生动植物基金会”。

Conf. 3.4 Technical cooperation

NOTING that more than two-thirds of the present Parties to the Convention are developing countries;

RECOGNIZING the special difficulties of developing countries in the establishment, staffing, training and equipment of Management Authorities and Scientific Authorities;

ACKNOWLEDGING with appreciation the technical assistance to developing countries in this field, already provided by the World Wide Fund for Nature[1] and the People's Trust for Endangered Species;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. CALLS on all Parties to ensure the inclusion of technical assistance, in matters relating to this Convention, in the bilateral and multilateral programmes of development aid in which they participate;
2. URGES Parties to make special funding and qualified staff available, possibly by way of 'associate expert' assignments to the Secretariat and to developing countries, to carry out such technical assistance projects for the benefits of the other Parties; and
3. REQUESTS the Secretariat to continue to seek external funding for this purpose, in consultation with the Standing Committee, and to execute the projects so funded.

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* *Amended by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 58th meeting of the Standing Committee.*

[1] *Formerly referred to the "World Wildlife Fund".*

Conf. 4.6 (Rev. CoP18)*

向缔约方大会提交决议草案和其他文件

考虑到 在准备提交缔约方大会例会的文件过程中所需的工作量；

申明 缔约方在缔约方大会组织过程中与秘书处紧密合作的义务；

认识到 事先将其他缔约方提交的决议草案和其他文件通知各缔约方的必要性；及

察觉 公约第十五条第1款(a)段要求缔约方，将所提附录I和附录II修正案的文本至少在会前一百五十天通知秘书处；

公约缔约方大会

1. **同意** 公约第十五条第1款的术语“所提修正案的文本”，包括与之相随的十分完整的支持性声明，并将这一解释扩展到那些提交缔约方大会考虑的相关决议、决定草案和其他文件；

2. **建议：**

   a) 各缔约方拟提交缔约方大会讨论的任何决议草案、决定草案和其他文件的文本应至少在会议召开前150天转交给秘书处；

   b) 授权秘书处只在一些特殊情况下，在弄清并确信在规定截止期限之前无法提交决议、决定草案和其他文件时，才能在150天截止日期之后接受决议草案、决定草案和其他文件 (附录Ⅰ和附录Ⅱ修订提案除外)；

   c) 如果起草的决议旨在全面处理某项议题，或是对处理某问题的方式做出重大变动，则缔约方应本着一旦该决议获得通过将取代和废除涉及同一议题的所有现有决议(或酌情相关段落)的标准来准备决议草案；

   d) 如果起草的决议或决定草案需要收集信息时，缔约方应考虑这类信息能否通过公约第八条第7款要求的报告来获得，或者是否需要一份特别报告，并通常要确保使所需的报告任务保持在最低限度；

   e) 缔约方在起草决定草案时，应明确指出应由谁来执行该决定，并通常将决定转交给常委会、动物委员会、植物委员会、秘书处或缔约方；

   f) 除非另有实际考虑，决议草案不应包括：

      i) 给委员会、工作组或秘书处的指示或要求，除非它们是一项长期进程的一部分；

      ii) 关于附录表达形式的决定；及

      iii) 将会在采纳后立即执行并于随后被废止的建议 (或其他形式的决定)；

   g) 除非另有实际考虑，决议草案不应包括筹资要求；

   h) 作为一条通用规则，提交缔约方大会考虑的文件长度不得超过12页；及

   i) 如果通过一项仅会给现有决议的建议部分 (或其他决定)增加一些内容或做出一些小修改的决议草案，则用添加了一致同意的修改内容的修改版本代替现有决议；

* 经第十、十二和十三次缔约方大会修订，由秘书处遵照第14.19号决定和第58次常委会会议的决定做修订，此后经第十五次、第十六次、第十七次和第十八次缔约方大会做进一步修订。

3. **指示** 秘书处将下列提案纳入下一次缔约方大会特别会议 (如果召开这种会议的话)的议程，作为对公约文本的修订：

   a) 公约文本第十六条关于列入附录III的部分和衍生物的条款，应同附录 I 和附录 II 的公约程序 (第十五条)一致；

   b) 第十四条第5款应为：尽管有第四条规定，任何标本的出口等；

   c) 公约文本第三条第3款 (b)项和第5款 (b)项应包括“某国的管理机构或科学机构”等；

   d) 提供公约官方文件的阿拉伯文本；及

   e) 改正公约文本中被发现存在的拼写错误；

4. 进一步**指示** 秘书处：

   a) 在每一次缔约方大会后修改其现有决议出版物时，改正已有决议的文本，保证对任何其他决议的引用保持准确；

   b) 在每一次缔约方大会后更新决定清单，以将所有未被记入决议和仍生效的建议 (或其他形式的决定)包含进来。应使用决议的主题作为指导，按主题对决定清单进行分类。 在每一个主题下，再分别按照其被指示的不同主体将决定划分开。秘书处应在每一次缔约方大会后，尽快向各缔约方散发一份经过更新的决定清单；及

   c) 在修订现有决定的清单，旨在提出关于某项决定的修正、删除或保留的建议时，秘书处应在每次缔约方大会上给出任何修改建议的理由；

   d) 在每一次缔约方大会之后，准备一份报告要求的清单，并以及时和便利的方式将这些信息发布在CITES网站上；及

   e) 在为每次缔约方会议做准备时，秘书处要为预计在其他议题中不会被作为主题讨论的那些决定做一个列表，其目的是允许各缔约方确定那些决定应该被删除还是被保留；

5. **要求** 常委会应回顾秘书处关于更正现行决议和决定中非实质性错误或微小编辑错误的任何提议，并决定如果没有达成一致意见，是否应将它们提交缔约方大会。如委员会同意提议意见，可指示秘书处重新刊发经过必要修改的决议和决定；

6. **决定** 任何拟提交缔约方大会考虑的决议或决定草案如果涉及到秘书处或永久委员会的工作量或预算时，则应附上相关工作的预算，并指出其所需经费的来源；并

7. 进一步**决定** 经缔约方大会通过的决议或决定中所包含的建议，除非在相关建议中另外明确，应从相应缔约方大会结束后90天起开始生效。

Conf. 4.6 (Rev. CoP18)*

Submission of draft resolutions, draft decisions and other documents for meetings of the Conference of the Parties

CONSIDERING the volume of work involved in the preparation of documents to be submitted to the Conference of the Parties at its regular meetings;

AFFIRMING the obligation of the Parties to collaborate closely with the Secretariat in the organization of meetings of the Conference of the Parties;

RECOGNIZING the necessity that the Parties be informed in advance of the draft resolutions and other documents submitted by other Parties; and

OBSERVING that Article XV, paragraph 1 (a), of the Convention requires Parties to communicate the text of proposed amendments to Appendices I and II to the Secretariat at least 150 days before the meeting of the Conference of the Parties;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. AGREES that the term "the text of the proposed amendment" in Article XV, paragraph 1, of the Convention includes the substantially complete supporting statement accompanying it, and this interpretation is extended to draft resolutions, draft decisions and other documents submitted for consideration at meetings of the Conference of the Parties;
2. RECOMMENDS that:

a) the text of any draft resolution, draft decision or other document to be submitted for consideration at a meeting of the Conference of the Parties be communicated to the Secretariat at least 150 days before the meeting;

b) the Secretariat be authorized to accept draft resolutions, draft decisions and documents (other than proposals for amendment of Appendices I and II) after the 150-day deadline only in exceptional circumstances, when it is established, to the satisfaction of the Secretariat, that the draft resolutions, draft decisions or documents could not have been communicated before the deadline;

c) when drafting a resolution that is intended to treat a subject comprehensively, or to make significant changes in the way in which a subject is dealt with, a Party prepare the draft so that, if adopted, it will replace and repeal all existing Resolutions (or, as appropriate, the relevant paragraphs) on the same subject;

d) when drafting resolutions and decisions which require the gathering of information, a Party consider whether such information could be sought via reports required under the provisions of Article VIII, paragraph 7, of the Convention or, if a special report is needed, and generally ensure that the reporting burden is kept to a minimum;

e) when drafting decisions, a Party clearly identify who should implement the decision and normally direct the decision to the Standing Committee, the Animals Committee, the Plants Committee, the Secretariat or Parties;

f) unless practical considerations dictate otherwise, draft resolutions not include:

**Amended at the 10th, 12th and 13th meetings of the Conference of the Parties; amended by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 58th meeting of the Standing Committee; and further amended at the 15th, 16th, 17th and 18th meetings of the Conference of the Parties.*

i) instructions or requests to committees, working groups or the Secretariat, unless they are part of a long-term procedure;

ii) decisions on the presentation of the Appendices; and

iii) recommendations (or other forms of decision) that will be implemented soon after their adoption and will then be obsolete;

g) unless practical considerations dictate otherwise, draft decisions not include calls for funding;

h) as a general rule, documents submitted for consideration at a meeting of the Conference of the Parties be no more than 12 pages in length; and

i) when a draft resolution is adopted that merely adds points to the recommendations (or other decisions) in existing Resolutions, or makes minor amendment thereto, the existing Resolutions be replaced by revised versions with the agreed changes;

3. DIRECTS the Secretariat to put the following proposals on the agenda of the next extraordinary meeting of the Conference of the Parties, whenever this may be convened, as amendments to the Convention:

a) the provisions of Article XVI, regarding the listing of Appendix-III parts and derivatives, should be brought into line with Convention procedures for Appendices I and II (Article XV);

b) paragraph 5 of Article XIV should read: "Notwithstanding the provisions of Article IV, any export of a specimen" etc.;

c) paragraphs 3 (b) and 5 (b) of Article III should include "either a Management Authority or a Scientific Authority of the State" etc.;

d) the adoption of an official text of the Convention in Arabic; and

e) correction of errors of an orthographical nature discovered in the text of the Convention;

4. DIRECTS the Secretariat further:

a) when revising its publication of current Resolutions after each meeting of the Conference of the Parties, to correct the texts of already existing Resolutions to ensure that all references to other Resolutions are accurate;

b) to update the Decisions after each meeting of the Conference of the Parties, to contain all the recommendations (or other forms of decision) that are not recorded in Resolutions and that remain in effect. The Decisions shall be sorted according to subject, using the subjects of the Resolutions for guidance, and within the section for each subject they shall be divided according to the body to which they are directed. The Secretariat shall distribute to the Parties a copy of the updated Decisions soon after each meeting of the Conference; and

c) when reviewing the list of current Decisions for the purpose of suggesting amendments, deletions or continuity, the Secretariat shall provide justification of any proposed changes to a Decision at each meeting of the Conference of the Parties;

d) to prepare, following each meeting of the Conference of the Parties, a list of reporting requirements and make this information available on the CITES website in a timely and easily accessible manner; and

e) In preparation for each meeting of the Conference of the Parties, the Secretariat shall prepare a list of Decisions that are not anticipated to be subject to discussion under other agenda items at the meeting, for the purpose of allowing Parties to determine whether those Decisions should be deleted or retained;

5. REQUESTS the Standing Committee to review proposals from the Secretariat to correct non-substantive errors or minor editorial faults in current Resolutions and Decisions and decide

whether they should be referred to the Conference of the Parties if there is lack of agreement. In cases where the Committee agrees with the proposals, it may instruct the Secretariat to republish the Resolutions and Decisions with the necessary corrections;

6. DECIDES that any draft resolutions or decisions submitted for consideration at a meeting of the Conference of the Parties that have budgetary and workload implications for the Secretariat or permanent committees must contain or be accompanied by a budget for the work involved and an indication of the source of funding; and

7. DECIDES further that the recommendations contained in Resolutions and Decisions adopted by the Conference of the Parties shall enter into effect 90 days after the meeting at which they are adopted, unless otherwise specified in the recommendation concerned.

Conf. 4.22*

国外法的证明

忆及 根据公约第十四条规定，缔约方对附录Ⅰ、附录Ⅱ、附录Ⅲ所列有关物种可采取更为严格的国内措施；

忆及 公约第十六条要求缔约方向秘书处提交有关被其列入附录Ⅲ的物种的国内法律法规及其说明的最新版本；

认识到 缔约方时常通知秘书处他们对附录Ⅰ、附录Ⅱ、附录Ⅲ所列有关物种的标本采取了更为严格的国内措施，秘书处已就这些措施及其他有关由缔约方颁发的某些具有实效的贸易文件签发了通知，并敦促各缔约方对此类措施予以考虑；

认识到 有些缔约方为采取适当的行动，可能会索取有关此类措施的文件或资料；

公约缔约方大会

1. 建议：

a) 缔约方告知秘书处其现有、采纳或修订的更严格的国内措施，向秘书处提供一份有关法律法规、法令及其他建立这些措施的文件、任何其他可能有助于理解这些措施的说明或资料、对这些法律法规、法令及其他文件的引用的副本，还应提供执行此类措施的政府机构和官员的名称、地址、电话、传真号码和邮箱；及

b) 缔约方应以签署声明的形式，将所有许可证和证明书的失效、不足或特殊要求通知秘书处，声明中应包含负责签发相关许可证或证明书的政府机构和官员的名称、地址、电话、传真号码和邮箱；并

2. **要求** 秘书处将上述 a)和 b)段提及的由缔约方提交的信息附在其发给缔约方的有关通知后。

* 秘书处遵照第14.19号决定和第58次常委会会议的决定做修订。

Conf. 4.22*

Proof of foreign law

RECALLING that, in accordance with Article XIV of the Convention, Parties may adopt stricter domestic measures with regard to species included in Appendices I, II and III;

RECALLING that the provisions of Article XVI of the Convention require Parties to submit to the Secretariat updated copies of all domestic laws and regulations and interpretations thereof concerning species they include in Appendix III;

RECOGNIZING that: Parties have notified the Secretariat from time to time of stricter domestic measures taken by them concerning specimens of species included in Appendices I, II and III; the Secretariat has circulated notifications of such measures as well as notifications containing information bearing on the validity of certain documents of trade issued by Parties; and the Secretariat has urged the Parties to take such measures into consideration;

RECOGNIZING that some Parties may require further documentation of such measures and information in order to take appropriate action;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that:

a) Parties informing the Secretariat of the existence, adoption or amendment of stricter domestic measures provide the Secretariat with a copy of the laws, regulations, decrees, and other documents establishing such measures, any interpretation and other information which may be of assistance in understanding such measures, citations to such laws, regulations, decrees, and other documents, and the name, address, telephone and fax numbers, and email address of the government organization and official responsible for implementing such measures; and

b) Parties informing the Secretariat of the invalidity, deficiency or special requirements of permits and certificates do so in a signed statement containing the name, address, telephone and fax numbers, and email address of the government agency and official responsible for granting the relevant permits and certificates; and

2. REQUESTS that the Secretariat attach copies of the information submitted by the Parties mentioned in paragraphs a) and b) to the relevant notifications it circulates to the Parties.

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* *Amended by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 58th meeting of the Standing Committee.*

Conf. 4.25 (Rev. CoP18)*

保 留

认识到 根据公约第二十三条，当一国成为CITES缔约方时，可提出对任何列入附录I、II或III的物种，或列入附录III的某一物种的指定的任何部分或衍生物提出保留。在这种情况下，当该缔约方就特定的物种、部分或衍生物开展贸易时，该缔约方应被作为该公约的非缔约方对待，直到该国撤消上述保留为止；

认识到 当根据公约第十五条对附录I或II进行修订时，任何缔约方可在90天内对该修订做出保留。在这种情况下，该国就有关物种开展贸易时应被作为非缔约方对待，直到该国撤消上述保留为止；

注意到 为了有效履行公约，明确保留提交的截止日期、晚于截止日期提交的保留的处理、及保留撤销的生效日期等都很关键；

进一步**认识到** 根据公约第十六条，任何缔约方可在任何时间对列入附录III的某物种或任何特定的部分或衍生物提出保留，在这种情况下，该国就有关物种、部分或衍生物开展贸易时，应被作为非缔约方对待，直到该国撤消上述保留为止；

注意到 各缔约方对公约的这些条款做出了不同的解释；

相信 将物种从公约的某一附录转移到另一附录必须被视为从某附录删除，同时被列入另一附录；

考虑到 如果一个物种被从附录删除，与该物种相关的任何保留都将不再生效；

考虑到 所有缔约方应按统一的标准对公约进行解释；

公约缔约方大会

1. **建议** 对列入附录I的物种提出保留的任何缔约方，不管何种贸易目的，都将该物种作为列入附录II对待，包括文件要求和贸易控制；
2. **同意** 如果某一物种被从某一附录删除并同时被列入另一附录，所有与该物种有关的保留随即失效，因此，任何希望维持对该物种保留的缔约方必须根据公约第十五条第3款或第十六条第2款提交新的保留；
3. **呼吁** 已经提出保留的缔约方，仍然在年度报告中维持和提交保留物种的贸易统计记录，使得这些物种标本的国际贸易能被恰当地监测；
4. **指示** 秘书处明确提醒受保留将失效的缔约方，以便缔约方如果愿意，可及时更新其保留。
5. **提醒** 需要提出保留的缔约方，需按照公约第十五条第3款的要求，在公约缔约方大会结束后的90天内，写信通知保存国政府，其对新修订的附录I或附录Ⅱ物种提出保留；
6. **要求** 保存国政府在90天截止日期过后，不接受任何针对附录I或附录Ⅱ修订的保留；并
7. **同意** 在保存国政府向各缔约方发出通知的当天，保留的撤销随即生效，除非撤销保留的缔约方另行约定一个更晚的日期。

* 经第十四次缔约方大会修订。秘书处遵照第14.19号决定和第58次常委会会议的决定做修订。

Conf. 4.25 (Rev. CoP18)* Reservations

RECOGNIZING that, in accordance with Article XXIII of the Convention, a State may, when it becomes a Party to CITES, enter a reservation with respect to any species included in Appendix I, II or III, or any parts or derivatives specified in relation to a species included in Appendix III, and that, in this case, it shall be treated as a State not a Party to the Convention with respect to trade in the specified species or parts or derivatives until it withdraws such reservation;

RECOGNIZING that, when Appendix I or II is amended in accordance with Article XV of the Convention, any Party may, within 90 days, make a reservation with respect to the amendment, and that, in this case, it shall be treated as a State not a Party to the Convention with respect to trade in the species concerned until such reservation is withdrawn;

NOTING that for the effective application of the Convention, clarity on the deadline for the submission of a reservation, treatment of a late reservation and effective date of the withdrawal of a reservation is critical;

RECOGNIZING FURTHER that, in accordance with Article XVI of the Convention, any Party may at any time enter a reservation with respect to a species included in Appendix III or any specified parts or derivatives, and that, in this case, the State shall be treated as a State not a Party to the Convention with respect to trade in the species or part or derivative concerned until such reservation is withdrawn;

NOTING that there have been different interpretations of these provisions of the Convention by Parties;

BELIEVING that the transfer of a species from one Appendix of the Convention to another must be viewed as a deletion from one Appendix and its simultaneous inclusion in the other;

CONSIDERING that, if a species is deleted from the Appendices, any reservation entered in relation to that species ceases to be valid;

CONSIDERING also that all Parties should interpret the Convention in a uniform manner;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that any Party having entered a reservation with regard to any species included in Appendix I treat that species as if it were included in Appendix II for all purposes, including documentation and control;

2. AGREES that, if a species is deleted from one Appendix of the Convention and simultaneously included in another, the deletion shall render invalid any reservation that was in effect in relation to the species and, consequently, any Party that wishes to maintain a reservation in relation to the species must enter a new reservation in accordance with Article XV, paragraph 3, or Article XVI, paragraph 2;

3. CALLS on the Parties having entered reservations to nevertheless maintain and communicate statistical records on trade in the species concerned, as part of their annual reports, so that international trade in specimens of these species may be properly monitored;

4. INSTRUCTS the Secretariat to remind affected Parties explicitly of the reservations that will be rendered invalid, in time for the Parties to renew their reservations if they so desire;

5. REMINDS Parties of the requirement to notify the Depositary Government in writing of a reservation it wishes to make with respect to an amendment to Appendix I or II within 90 days after the meeting, in accordance with Article XV, paragraph 3, of the Convention;

6. REQUESTS the Depositary Government not to consider valid any reservation with respect to an amendment to Appendix I or II entered after the 90-day deadline; and

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* *Amended at the 14th meeting of the Conference of the Parties, amended by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 58th meeting of the Standing Committee; and further amended at the 18th meeting of the Conference of the Parties.*

7. AGREES that the withdrawal of a reservation becomes operational on the date of the Depositary's notification to the Parties unless a later date has been set by the Party withdrawing the reservation.

Conf. 4.27*

对公约第十七条第3款的解释

认识到 仅当缔约方大会以与生成公约的基本原则相符的方式来界定公约的各项规定，公约才能得到实施和起作用；

承认 公约第十七条第3款的狭义解释和广义解释均可在法律上立得住；

考虑到 从广义上解释公约第十七条第3款可能会引发的困境；

考虑到 除非所需接受修正案的缔约方数量已得到确立，公约的任何修正案均无法生效；

公约缔约方大会

建议 第十七条第3款的含义按狭义解释，从而其意为，在通过某项修正案时，必须有当时2/3的缔约方接受，此修正案方可生

* 秘书处遵照第14.19号决定和第58次常委会会议的决定做修订。

Conf. 4.27*

Interpretation of Article XVII, paragraph 3, of the Convention

RECOGNIZING that the Convention can only operate and be effective if the Conference of the Parties defines the provisions of the Convention in line with the basic principles which gave birth to it;

ACKNOWLEDGING that Article XVII, paragraph 3, of the Convention could be legally defended in both its narrow and wide interpretations;

CONSIDERING the difficulties which might result from a wide interpretation of Article XVII, paragraph 3, of the Convention;

CONSIDERING that any amendment to the Convention could not enter into force unless the number of Parties that need to accept it has been established;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

- RECOMMENDS that the meaning of Article XVII, paragraph 3, of the Convention be interpreted in its narrow sense so as to mean that the acceptance of two-thirds of the Parties at the time of the adoption of an amendment is required for the coming into force of such amendment.

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* *Amended by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 58th meeting of the Standing Committee.*

Conf. 5.10 (Rev. CoP15)[7]

“以商业为主要目的”的定义

察觉 根据公约第三条第3款(c)项和第5款(c)项，对附录Ⅰ物种标本，只有在符合一定条件，包括进口国 (或从海上引进国)的管理机构认可此类标本的进口或从海上引进不是以商业为主要目的，方可发给进口许可证或从海上引进证明书；

认识到 由于公约未对第七条第4款的“以商业为主要目的”和“商业目的”给出定义，也未对第七条第6款的“非商业性”给出定义，缔约方可能以不同方式解释“以商业为主要目的”这一术语 (及上面提到的其他术语)；

承认 各缔约方的法律和立法习惯不同，造成对该术语简明“客观”的解释难以达成一致意见，且每批进口的实际情况，将决定其用途是否“以商业为主要目的”；

认识到 缺乏对包含“商业性”一词的术语的专门定义，且每批交易的实际情况需要各缔约方就基本原则和具体实例取得共识，以指导各缔约方对进口附录Ⅰ物种标本用途的商业性做出评价；

意识到 由于公约第二条第1款的基本原则，要求对附录Ⅰ物种标本的贸易必须加以特别严格的管理，并且只有在特殊情况下才允许贸易，所以，对“以商业为主要目的”术语的释义取得共识是很重要的；

公约缔约方大会

1. 建议 就公约第三条第 3 款(c)项和第 5 款(c)项而言，各缔约方在评估附录Ⅰ物种标本进口的用途是否“以商业为主要目的”时，应使用下列基本原则和本决议附件中的案例：

基本原则

a) 对附录Ⅰ物种的贸易必须特别严格管理，只有在特殊情况下才允许贸易。

b) 一种活动的目的如是为了获取经济利益 (无论是现金或其他形式)及具有转卖、交换、提供服务或其他形式的经济用途或利益的倾向，那么这一活动一般被认为是“商业性”活动。

c) 进口国应对“商业目的”的术语做出尽可能宽泛的定义，以便将任何不完全是“非商业性”的交易视为“商业性”。在将这一原则用于“以商业为主要目的”的术语时，所有非商业成分不明显占主导地位的用途应视为实质上“以商业为主要目的”，从而不应允许附录Ⅰ物种标本的进口。提供证据，以表明附录Ⅰ所列物种标本的用途明显是非商业性的责任，应由试图进口此类标本的个人或单位承担。

d) 公约第三条第 3 款(c)项和第 5 款(c)项关心附录Ⅰ物种标本在进口国内的用途，而不是指出口国标本拥有者和进口国标本接受者之间的交易性质。可以认为，许多附录Ⅰ物种标本从出口国转入进口国本质上都是一种商业性交易，但并不一定自动意味着此类标本的用途是“以商业为主要目的”。

[7] 秘书处遵照第14.19号决定和第58次常委会会议的决定做修订，此后经第十五次缔约方大会再次修订。

附件　案例

下面的案例是关于非商业成分占主导地位或不占主导地位的各类交易，视具体情况而定。每个案例后面的逐一讨论，为评估实际商业性程度提供了指导和标准。以下列表只是不“以商业为主要目的”进口公约附录 I 物种标本的部分情形：

a) 纯个人使用：公约第七条第 3 款对属于“个人或家庭财产”的标本做出特别规定。豁免条款并不适用于附录 I 物种标本被新拥有人员在其常住国以外获得并要进口到常住国的情形。但从这些规定可以得出，纯个人使用的进口标本不应视为“以商业为主要目的”。

b) 科研目的：公约第七条第 6 款使用了“在科学家之间或科研单位之间的非商业租借、赠送或交换”的术语。据此，公约承认“科研目的”可能是一种特殊的不符合公约一般程序的目的。在明显以科研为主要目的，进口者是经注册或被进口国管理机构认可的科学家或科研单位，且转卖、商业交换或获取经济利益的展览不是主要目的的情况下，附录 I 物种标本的进口可被允许。

c) 教育或培训：附录 I 物种标本也可因保护、教育、培训目的而被进口国管理机构认可的政府机构或非盈利性机构进口。例如，培训海关工作人员进行有效的 CITES 监管，这种情形的标本进口是允许的。

d) 生物医药工业：对生物医药工业的基本假定是其具有商业目的，因此，因生物医药工业进口附录 I 物种标本必须严格检查。此种进口有双重目的：一是开发产品促进公众健康，二是出售产品获取利润。通常认为后者是生物医药工业的主要目的，此种情形的进口通常不能许可。然而，如进口者能向其所在国管理机构确切表明此种进口只是用于公众健康研究，而不是以经济利益为主要目的，那么，此种进口应属于上面 b)的情形。

e) 人工繁育项目：为人工繁育而进口附录 I 物种标本是一个特例。因人工繁育目的进口此种标本应符合 Conf.10.16(Rev.)号决议的规定，并且按照该决议的要求必须被作为受影响的物种长期保护工作中的优先项目方可进口。一些人工繁育单位出售多余的标本以换回人工繁育项目成本费用。如果所获利润不是用作私人或参股者的个人经济利益，则此种情形的进口是允许的。所获全部利润要用于支持有益于附录 I 物种的人工繁育项目的持续开展。因此，不应该认为此种进口是不适当的。至于进口人工繁育标本用于商业目的的人工繁育项目，应按照公约第七条第 4、5 款规定，可不必强调公约第三条第 3 款(c)项提出的“以商业为主要目的”的问题。应该注意的是，作为一般性规则，因人工繁育目的的进口，必须是在物种原产国帮助下所开展的、以恢复物种为目标的整个项目的部分内容。可能获得的利润应用于支持恢复附录 I 物种项目的持续开展。

f) 通过职业贸易商的进口：如果进口是通过职业贸易商进行的，前面的 b)至 e) 案例会出现问题。此种情形，进口的初衷是商业目的，因此，原则上应按公约第三条第 3 款(c)项规定禁止进口。贸易商将进口的标本最终出售给未定动物园或科研机构的事实，也不应改变总的结论。实际上，活体标本一般是仅具有这种目的的商业性进口。然而，只要最终目的是属于上面案例 b)、c)和 e)中的目的之一，进口和出售附录 I 物种特定标本的契约 (包括获取许可证的合同条款)已被职业贸易商和购买机构签订，并随同进口许可证的申请提交给进口国管理机构，合格的科学、教育、动物或其他非盈利性组织通过贸易商进口是许可的。这同样适用于案例 d)，只要该交易是以公众健康为目的，而不是以经济利益为主要目的。

如果附录Ⅰ物种标本的进口符合上面的案例之一，仍需满足公约所有其他的适用条款，才能批准进口。例如，以科学研究或动物展览为主要目的进口，公约第三条第3款或第5款的其他适用条件也必须得到满足。因此，如进口被认为有害于该物种生存，或如是活体标本，最终接受者被认为缺乏适当设施以安置和妥善照管该标本，这种情况，即使是以科研或动物展览为目的的进口也是不适当的。

此外，遵循公约第二条第1款的规定，以上述目的之一而进口从野外获得的附录Ⅰ物种标本，按照一般规则是不允许的，除非进口者事先表明：

a) 其不能获得同一物种的适合的人工繁育标本；

b) 其他未列入附录Ⅰ的物种不可能用作既定目的；及

c) 既定目的不可能通过其他替代方式达到。

Conf. 5.10 Definition of 'primarily commercial purposes' (Rev. CoP15)*

OBSERVING that, under Article III, paragraphs 3 (c) and 5 (c), of the Convention, a permit for the import or a certificate for the introduction from the sea of specimens of Appendix-I species may be issued only if certain conditions are met, including that the Management Authority of the State of import (or introduction from the sea) is satisfied that the specimens are not to be used for primarily commercial purposes;

RECOGNIZING that, because the Convention does not define the terms 'primarily commercial purposes', 'commercial purposes' in paragraph 4 of Article VII, or 'non-commercial' in paragraph 6 of Article VII, the term 'primarily commercial purposes' (as well as the other terms mentioned above) may be interpreted by the Parties in different ways;

ACKNOWLEDGING that the Parties' differing legislation and legal traditions will make it difficult to reach agreement on a simple 'objective' interpretation of the term and that the facts concerning each import will determine whether a proposed use would be for primarily commercial purposes;

RECOGNIZING that lack of specific definitions for terms involving 'commercial' and the importance of the facts concerning each proposed transaction create a need for consensus by the Parties regarding general principles and examples to guide the Parties in assessing the commerciality of the intended use of those specimens of Appendix-I species to be imported;

AWARE that agreement on interpreting the term 'primarily commercial purposes' is important because of the fundamental principle in Article II, paragraph 1, of the Convention that trade in specimens of Appendix-I species must be subject to particularly strict regulation and only authorized in exceptional circumstances;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that for the purposes of Article III, paragraphs 3 (c) and 5 (c), of the Convention, the following general principles and the examples in the Annex attached to the present Resolution be used by the Parties in assessing whether the import of a specimen of an Appendix-I species would result in its use for primarily commercial purposes:

General principles

a) Trade in Appendix-I species must be subject to particularly strict regulation and authorized only in exceptional circumstances.

b) An activity can generally be described as 'commercial' if its purpose is to obtain economic benefit (whether in cash or otherwise), and is directed toward resale, exchange, provision of a service or any other form of economic use or benefit.

c) The term 'commercial purposes' should be defined by the country of import as broadly as possible so that any transaction which is not wholly 'non-commercial' will be regarded as 'commercial'. In transposing this principle to the term 'primarily commercial purposes', it is agreed that all uses whose non-commercial aspects do not clearly predominate shall be considered to be primarily commercial in nature, with the result that the import of specimens of Appendix-I species should not be permitted. The burden of proof for showing that the intended use of specimens of Appendix-I species is clearly non-commercial shall rest with the person or entity seeking to import such specimens.

d) Article III, paragraphs 3 (c) and 5 (c), of the Convention concern the intended use of the specimen of an Appendix-I species in the country of import, not the nature of the transaction between the owner of the specimen in the country of export and the recipient in the country of import. It can be assumed that a commercial transaction underlies many of the transfers of specimens of Appendix-I species from the country of export to the country of import. This does

* *Amended by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 58th meeting of the Standing Committee; and further amended at the 15th meeting of the Conference of the Parties.*

not automatically mean, however, that the specimen is to be used for primarily commercial purposes.

Annex Examples

The following examples recognize categories of transactions in which the non-commercial aspects may or may not be predominant, depending upon the facts of each situation. The discussions that follow each example provide further guidance in, and criteria for, assessing the actual degree of commerciality on a case-by-case basis. The list is not intended to be exhaustive of situations where an import of specimens of Appendix-I species could be found to be not for primarily commercial purposes:

a) Purely private use: Article VII, paragraph 3, of the Convention contains special rules for specimens "that are personal or household effects". The exception mentioned does not apply when specimens of Appendix-I species are acquired by the new owner outside of his or her country of usual residence and are imported into that country. It can, however, be deduced from this provision that specimens imported for purely private use should not be considered to be for primarily commercial purposes.

b) Scientific purposes: Article VII, paragraph 6, of the Convention uses the term "non-commercial loan, donation or exchange between scientists or scientific institutions". Thus, the Convention acknowledges that scientific purposes may justify a special departure from the Convention's general procedure. The import of specimens of an Appendix-I species may be permitted in those situations where the scientific purpose for such import is clearly predominant, the importer is a scientist or a scientific institution registered or otherwise acknowledged by the Management Authority of the country of import, and the resale or commercial exchange of the specimens, or their exhibit for economic benefit is not the primary intended use.

c) Education or training: Specimens of Appendix-I species may also be imported by government agencies or non-profit institutions acknowledged by the Management Authority of the country of import for purposes of conservation, education or training. For example, a specimen could be imported primarily to train Customs staff in effective CITES control. Imports of this type would thus be considered permissible.

d) Biomedical industry: Close scrutiny must be applied to imports of specimens of Appendix-I species in connection with the biomedical industry, with an initial presumption that such imports are commercial. The purpose of the import here would be twofold: to develop products to promote public health and to sell such products, i.e. to make a profit. The latter aspect in this case would usually be considered to be predominant. As a result, imports of this type will most often not be acceptable. However, where the importer makes a clear showing to the Management Authority of the country of import that the sale of products is only incidental to public health research and not for the primary purpose of economic benefit, then such imports could fall within group b) above.

e) Captive-breeding programmes: Imports of specimens of Appendix-I species for captive-breeding purposes are a special case. Any import of such specimens for captive-breeding purposes should be in accordance with Resolution Conf. 10.16 (Rev.) and must be aimed as a priority at the long-term protection of the affected species, as required in Resolution Conf. 10.16 (Rev.). Some captive-breeding operations sell surplus specimens to underwrite the cost of the captive-breeding programme. Imports under these circumstances could be allowed if any profit made would not inure to the personal economic benefit of a private individual or shareholder. Rather, any profit gained would be used to support the continuation of the captive-breeding programme to the benefit of the Appendix-I species. It should not, therefore, be assumed that imports under such circumstances are inappropriate. As for imports of captive-bred specimens for captive-breeding programmes for commercial purposes, Article VII, paragraphs 4 and 5, eliminate the need to address the 'primarily commercial purposes' requirement in Article III, paragraph 3 (c). In connection with captive-breeding purposes, it should be noted that, as a general rule, imports must be part of general programmes aimed at the recovery of species and be undertaken with the help of the Parties in whose territory the species originate. The profit that might result should be used to support the continuation of the programme aimed at the recovery of the Appendix-I species.

f) Imports via professional dealers: A problem occurs with examples b) through e) above if the import is via a professional dealer. In such situations, the import initially serves a commercial purpose and in principle, therefore, should be prohibited under Article III, paragraph 3 (c), of the Convention. The fact that the dealer states an intention to eventually sell the imported specimen to an undetermined zoo or scientific institution should not change this overall conclusion. In practice, living specimens are generally imported commercially with just this aim in mind. However, imports through a professional dealer by a qualified scientific, educational, zoological or other non-profit organization may be considered acceptable if the ultimate intended use would be for one of the purposes set out in examples b), c) and e) above, and where a binding contract (including a contract conditioned on the granting of permits) for the import and sale of a particular specimen of an Appendix-I species has already been concluded between the professional dealer and the purchasing institution and is presented to the Management Authority of the country of import with the import permit application. The same should apply to example d) if sale is incidental to public health and not for the primary purpose of economic benefit.

If a proposed import of a specimen of an Appendix-I species fits within one of the above examples, all other applicable provisions of the Convention must still be satisfied in order for the import to be acceptable. For example, where the primary purpose for import is scientific study or zoological exhibition, the remaining conditions under Article III, paragraph 3 or 5, as applicable, must still be met. Thus, it is possible for an import for scientific or zoological exhibition purposes to be inappropriate where such import is found to be detrimental to the survival of the species or where, in the case of live specimens, it is found that the ultimate recipient of the specimens lacks facilities suitably equipped to house and properly care for the specimens.

Moreover, in keeping with the provisions of Article II, paragraph 1, the import of specimens of Appendix-I species removed from the wild for one of the purposes set forth above should, as a general rule, not be allowed unless the importer has first demonstrated that:

a) he has been unable to obtain suitable captive-bred specimens of the same species;

b) another species not listed in Appendix I could not be utilized for the proposed purpose; and

c) the proposed purpose could not be achieved through alternative means.

Conf. 5.20 (Rev. CoP17)*

秘书处根据公约第十五条提出建议的指导原则

注意到 公约第十五条第2款第(b)和第(c)项要求秘书处就修订附录Ⅰ和附录Ⅱ的提案向缔约方提出建议；

认识到 秘书处在获得提出建议所需的充分数据时所遇到的困难；

还认识到 上述数据和资料可来自广泛的渠道和种类繁多的出版物；

公约缔约方大会

1. 确立 秘书处在根据公约第十五条第 2 款第(b)项和第(c)项提出建议时应遵循如下指导原则：

a) 必要时，建议文本中应引用参考资料，以便可以找到具体数据的来源；

b) 引用应符合公认的科学引用标准；

c) 在标明其出处后，可以引用和参考未出版的资料。如果该材料属于保密范畴，则必须加以注明；

d) 如果提案中包括注释，建议应特别包括：

i) 所提议的注释对那些从原产国出口后首次出现在国际贸易中，且对野外资源的贸易和需求占主导地位的标本的适用性；

ii) 所提议的注释实施过程中的任何潜在问题；及

iii) 所提议的注释是否同现有注释相一致；

e) 如某物种曾经被列入或被提议列入或撤出附录，则建议中应包括该物种附录等级变化和所享受公约待遇的简要说明；

f) 应引用任何涉及到提案的现有决议或已经提交但尚待缔约方大会审议的决议草案；

g) 可要求提案国和／或原产国或通过其他任何渠道提供更多的生物学和／或贸易资料，以核对现有资料；及

h) 秘书处在提出建议时，应尽量以可得到的广泛资料为依据，这种资料不应只限于科学数据；及

2. 敦促 公约秘书处为实现公约的宗旨和有效执行公约而继续提出建议。

*经第十六次和十七次缔约方大会修订。

Conf. 5.20 (Rev. CoP17)*

Guidelines for the Secretariat when making recommendations in accordance with Article XV

NOTING Article XV, paragraph 2 (b) and (c), of the Convention requiring the Secretariat to make recommendations to the Parties for amendments proposed for Appendices I and II;

RECOGNIZING problems encountered by the Secretariat in always obtaining sufficient data on which to base its recommendations; and

RECOGNIZING also that data and information may be obtained from a wide variety of publications and sources;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. ESTABLISHES the following guidelines to be followed by the Secretariat when making recommendations in accordance with Article XV, paragraph 2 (b) and (c), of the Convention:

a) where appropriate, references shall be cited in the text of recommendations so that specific data can be traced to a source;

b) citations shall be given in accordance with a recognized scientific standard for such citations;

c) data in unpublished form may be used and referred to provided the source is indicated. If the information is classified as confidential, the fact must be stated;

d) if the proposal includes an annotation, the recommendations should specifically cover:

i) the appropriateness of the proposed annotation with regard to those specimens that first appear in international trade as exports from range States and that dominate the trade and the demand for the wild resource;

ii) any potential problems in implementing the proposed annotation; and

iii) whether the proposed annotation is harmonized with existing annotations;

e) if the species has been listed previously or proposed for listing or delisting, a brief history of such listing or proposals and their treatment under CITES may be included in the recommendations;

f) if applicable, reference should be made to any existing Resolutions affecting the proposal or to any draft resolutions that have been tabled and await consideration by the Parties;

g) additional biological and/or trade data may be requested from the proposing and/or range States or from any other source to confirm or dispute other available data; and

h) as far as possible, the Secretariat recommendations should be based on as wide a range of information as it can obtain recognizing that such information should not be limited to scientific data; and

2. URGES the Secretariat to continue to endeavour to provide recommendations with the main objective of furthering the principles and effective implementation of the Convention

Amended at the 16th and 17th meetings of the Conference of the Parties.

Conf. 6.7

对公约第十四条第1款的解释

意识到 国际合作是实现公约宗旨的基础；

认识到 有些缔约方担心，按照公约第十四条第1款所采取的更严格的国内管理措施可能会对有关物种的保护起到不利的影响；

相信 通过相互合作和商议，因采取更严格的国内措施所带来的任何困难都能得到解决；

公约缔约方大会

1. 建议：

a) 按照公约第十四条第 1 款的规定，准备在其国内对附录中的非本土物种标本的贸易采取更严格措施的缔约方，在采取措施之前要及早尽最大努力通知有关物种的分布国，并与有相应要求的分布国进行商议；及

b) 在本决议通过前，已对非本土物种采取此类严格措施的缔约方，在分布国要求时，应与之探讨此类措施是否适当。

Conf. 6.7 Interpretation of Article XIV, paragraph 1, of the Convention

AWARE that international cooperation is fundamental to achieving the objectives of the Convention;

RECOGNIZING the concern of some Parties that stricter domestic measures taken pursuant to Article XIV, paragraph 1, of the Convention may have an adverse impact on the conservation status of the species concerned in their countries of origin;

BELIEVING that any difficulties that arise with respect to the adoption of stricter domestic measures can be resolved by mutual consultation and cooperation;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that:

a) each Party intending to take stricter domestic measures pursuant to Article XIV, paragraph 1, of the Convention regarding trade in specimens of non-indigenous species included in the Appendices make every reasonable effort to notify the range States of the species concerned at as early a stage as possible prior to the adoption of such measures, and consult with those range States that express a wish to confer on the matter; and

b) each Party that has taken such stricter domestic measures for non-indigenous species prior to the adoption of this Resolution consult, if requested, on the appropriateness of such measures with range States of the species concerned.

Conf. 7.12 (Rev. CoP15)*

在附录Ⅰ和附录Ⅱ中均有种群被列入的分类单元的标本贸易的标记要求

认识到 公约第七条第4款对商业性目的人工繁育所获的附录Ⅰ物种标本的国际贸易进行管理做出了特别规定；

还**认识到** 公约缔约方大会已授权缔约方允许来自被批准的捕养机构的标本进行商业性贸易——经第十一次缔约方大会 (吉吉里，2000)通过并经第十四和第十五次缔约方大会 (海牙，2007；多哈，2010)修订的Conf. 11.16 (Rev. CoP15)号决议；

意识到 为便于实施差别管理控制，对从捕养或人工繁育获取标本的任何体系必须是可行的，且所有缔约方都易于实施；

注意到 缔约方大会已经在以往的会议中，分别就捕养或人工繁育机构所获标本的贸易管理问题进行了探讨；

公约缔约方大会

1. 建议：

a) 针对活体标本的鉴别，任何需要附加标记物、环志或其他特殊的标签，或利用动物身体组织的某一部分进行标识的标记系统，只有在充分考虑了人道的照料、健康及相关标本自然习性的情况下方能采用；及

b) 应具体缔约方的要求，对于捕养或人工繁育所获动物的身体部分和衍生物，可由秘书处订购和分发适当编号的标记物或印花，相关费用由参加缔约方承担。

*经第九次缔约方大会修订，并由秘书处于第十四次缔约方大会后修正，秘书处遵照第14.19号决定和第58次常委会会议的决定做修订，此后经第十五次缔约方大会修订。

Conf. 7.12 (Rev. CoP15)*

Marking requirements for trade in specimens oftaxa with populations in both Appendix I and Appendix II

RECOGNIZING that Article VII, paragraph 4, of the Convention specifically provides for regulated international trade in specimens of species included in Appendix I that have been bred in captivity for commercial purposes;

RECOGNIZING also that the Conference of the Parties has established the right of a Party to permit commercial trade in specimens derived from an approved ranching operation – Resolution Conf. 11.16 (Rev. CoP15) adopted by the Conference of the Parties at its 11th meeting (Gigiri, 2000) and amended at its 14th and 15th meetings (The Hague, 2007; Doha, 2010);

CONSCIOUS that, in order to facilitate the application of differential regulatory controls, any system of marking specimens derived from ranching or captive breeding must be practical and readily implementable by all Parties;

NOTING that, at previous meetings, the Conference of the Parties has addressed separately the issues of regulating trade derived from ranching and captive breeding operations;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that:

a) with respect to the identification of live specimens, any marking system that requires the attachment of a tag, band or other uniquely marked label, or the marking of a part of the animal's anatomy be undertaken only with due regard for the humane care, well-being and natural behaviour of the specimen concerned; and

b) with regard to parts and derivatives of ranched or captive-bred animals, where requested by individual Parties, the Secretariat purchase and disseminate appropriately coded tags or stamps, and that the costs be recovered from participating Parties.

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* *Amended at the ninth meeting of the Conference of the Parties and corrected by the Secretariat following the 14th meeting, and further amended by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 58th meeting of the Standing Committee. Further amended at the 15th meeting of the Conference of the Parties.*

Conf. 8.3 (Rev. CoP13)[#]

认可野生动植物贸易的益处

注意到 公约寻求保护和发展的大多数野生动植物种均分布在世界上的发展中国家；

认识到 野生动植物种的可持续利用，无论是消耗性的还是非消耗性的，都为我们提供了一种经济上极具竞争性的土地利用方式；

意识到 除非保护项目既考虑到了当地人民的需求又为野生动植物的可持续利用提供了鼓励，才会发生可替代的土地利用方式的转变；

认识到 过度利用有害于野生动植物的保护；

进一步**认识到** 对某一物种的合法贸易不应导致其分布区内任何地方非法贸易的增加；

还**认识到** 合法利用的收益可为支持管理野生动植物和消除非法贸易提供资金和激励；

承认 野生动植物的美学、科学、文化、娱乐和其他主要的非消耗性利用同样非常重要；

认识到 对许多物种来说，贸易会危害其生存；

公约缔约方大会

1. **认识到** 只要商业性贸易在不危害有关物种的生存的水平上进行，它就会造福物种及生态系统的保护和/或当地人民的发展；
2. **认识到** 执行公约附录调整的决定应考虑它对贫困阶层生计的潜在影响。

[#]经第十三次缔约方大会修订，秘书处遵照第14.19号决定和第58次常委会会议的决定做修订。

Conf. 8.3
(Rev. CoP13)*

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

1. RECOGNIZES that commercial trade may be beneficial to the conservation of species and ecosystems or to the development of local people when carried out at levels that are not detrimental to the survival of the species in question; and
2. RECOGNIZES that implementation of CITES-listing decisions should take into account potential impacts on the livelihoods of the poor.

• *Amended at the 13th meeting of the Conference of the Parties, and further amended by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 61st meeting of the Standing Committee.*

Conf. 8.4 (Rev. CoP15)*

履行公约的国家法律

忆及 公约第八条要求各缔约方采取适当的措施，执行公约的规定和禁止违反公约的标本贸易，包括对非法贸易、拥有这些标本进行处罚，并为没收或将此标本返还出口国等采取措施；

也**忆及** 公约第九条要求各缔约方至少指定一个管理机构和一个科学机构；

进一步**忆及** 公约第八条第三款要求各缔约方尽可能保证物种标本在贸易时尽快通过一切必要手续；

承认 关于公约战略愿景：2008—2013的Conf.14.2号决议，特别是目标1.1要求缔约方通过适当的政策、法律和程序来履行其公约义务；

认识到 CITES国家立法项目于1992年建立，并从那时起向缔约方提供法律分析和援助；

忆及 公约在第十一次缔约方大会（吉吉里，2000）上采纳，并在第十三、十四、十五、十七和十八次缔约方大会（泰国，2004；海牙，2007；多哈，2010，约翰内斯堡，2016；日内瓦，2019）上进行修订的Conf.11.3 (Rev.CoP18)号决议，表达了缔约方坚信若要实现公约之目标，必须持续关注公约的执法情况；

注意到 公约的履行虽然已取得实质性进展，但大约一半的缔约方至今仍未采取适当措施来履行公约的规定；

公约缔约方大会

1. **指示** 秘书处在可用资源的范围内：

a) 确定哪些缔约方的国内措施未给它们提供以下权力：

i) 至少指定一个管理机构和一个科学机构；

ii) 禁止违反公约的标本贸易；

iii) 处罚这类贸易；或

iv) 没收非法交易或拥有的标本；

b) 从所确定的每个缔约方获取相关信息，以说明作为最优先的事项，通过有效履行公约所需的法律所要的程序、行动和时限；及

c) 向常务委员会和每次缔约方大会报告其调查结论、建议和进展情况；

2. **敦促** 尚未采取行动的所有缔约方采取适当措施，以有效履行公约，并通知秘书处何时采取了这类措施；

3. **指示** 常委会根据Conf.14.3(Rev.CoP18)关于CITES遵约程序[1*]的决议，裁定哪些缔约方未就有效履行公约采取适当措施，并考虑适当的遵约措施，可包括暂停贸易的建议；

4. **指示** 秘书处争取外部资金，使其能够为缔约方制定其履约措施提供技术援助；并

*经第十四、十五次缔约方大会修订。

[1*] 秘书处在第十八次缔约方大会后修正。

5. **邀请** 所有缔约方、政府组织、政府间和非政府组织及其他方面为制定和有效实施这类措施提供财政和/或技术援助。

Conf. 8.4 (Rev. CoP15)*

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, including measures to penalize trade in, or possession of, such specimens, and to provide for the confiscation or return to the State of export of such specimens;

RECALLING ALSO that Article IX requires that each Party designate at least one Management Authority and one Scientific Authority;

RECALLING FURTHER that Article VIII, paragraph 3, requires each Party, as far as possible, to ensure that specimens pass through any formalities required for trade with a minimum of delay;

ACKNOWLEDGING the adoption of Resolution Conf. 14.2 on the *CITES Strategic Vision: 2008-2013*, particularly Objective 1.1 that Parties comply with their obligations under the Convention through appropriate policies, legislation and procedures;

RECOGNIZING that the CITES National Legislation Project was established in 1992 and has provided legislative analyses and assistance to Parties since that time;

RECALLING Resolution Conf. 11.3 (Rev. CoP18), adopted by the Conference of the Parties at its 11th meeting (Gigiri, 2000) and amended at its 13th, 14th, 15th, 17th and 18th meetings (Bangkok, 2004; The Hague, 2007; Doha, 2010; Johannesburg, 2016; Geneva, 2019), 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 substantial progress has been achieved, but that approximately half of the Parties have not yet taken the appropriate measures to enforce the provisions of the Convention;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. 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 envisaged in order to adopt, as a matter of the highest priority, the measures necessary for effective implementation of the Convention; and

c) to report its findings, recommendations or progress to the Standing Committee and at each meeting of the Conference of the Parties;

2. URGES all Parties that have not adopted appropriate measures for effective implementation of the Convention to do so and inform the Secretariat when such measures have been adopted;

3. INSTRUCTS the Standing Committee to determine which Parties have not adopted appropriate measures for effective implementation of the Convention and to consider appropriate compliance measures, which may include recommendations to suspend trade, in accordance with Resolution Conf. 14.3 (Rev. CoP18) on *CITES compliance procedures*;[1]

**Amended at the 14th and 15th meetings of the Conference of the Parties.*

1 Corrected by the Secretariat following the 18th meeting of the Conference of the Parties.

4. 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
5. INVITES all Parties, governmental, intergovernmental and non-governmental organizations and other sources to provide financial and/or technical assistance for the development and effective implementation of such measures.

Conf. 8.13 (Rev. CoP17)*

使用植入式代码微芯片对贸易中的活体动物进行标记

认识到 植入式代码微芯片已经被广泛应用于动物个体的识别；

也**认识到** 这种标记方法在管理公约附录所列动物物种活体标本方面的潜力；

相信 任何用来识别活体动物的此类方法在实际应用中均须予以标准化；

相信 没有任何理由将植入式代码微芯片的应用范围仅仅局限在公约附录Ⅰ所列动物物种或者高价值物种的活体标本；

注意到 管理机构可以根据公约第七条第7款规定允许用作巡回展览或者马戏团表演的标本在没有许可证或证明书的情况下运送；

考虑到 国际标准化组织(ISO)已经通过了ISO11784和ISO11785标准；

留意到 公约第六条第7款规定允许管理机构出于帮助鉴别之目的，采用合适的标本标记方法；

意识到 世界自然保护联盟物种存续委员会(IUCN/SSC)保护繁育专家组已经对植入式代码微芯片的应用情况进行了全面回顾，同时意识到有效实施公约第六条第7款规定会促进用于识别动物的植入式代码微芯片得到推广；

公约缔约方大会

1. 建议：

a) 各缔约方在可能的、合适的、不排除使用其他标记方法的情况下，使用载有永久的、不可编程、不能变更和具有终身独有代码内容的可植入应答器来标记活体动物；

b) 各缔约方应考虑 IUCN/SSC 保护繁育专家组对应答器频率、大小和卫生等所作的规定；

c) 植入微芯片应答器应保证不损害有关标本的健康；及

d) 应答器在任一动物的植入部位，应根据 IUCN/SSC 保护繁育专家组的建议标准化；

2. 指示：

a) 公约秘书处应就此问题经常性地与国际标准化组织总秘书处商议，并敦促该组织解决 ISO11784 和 ISO11785 标准目前存在的问题；及

b) 动物委员会监测微芯片植入技术和应用技术的发展，并就这些发展向秘书处提供咨询意见，供缔约方参考。

*经第十一次缔约方大会修订，由秘书处在第十三和十四次缔约方大会后修正，之后遵照第14.19号决定和第58次常委会会议的决定做修订，并在第十五次和第十六次缔约方大会后修正。并进一步在第十七次缔约方大会上修订。

Conf. 8.13 (Rev. CoP17)*

Use of coded-microchip implants for marking live animals in trade

RECOGNIZING the increasingly wide use of coded-microchip implants for the individual identification of animals;

RECOGNIZING also the potential of this method of marking for the regulation of trade in live animals of species included in the Appendices to the Convention;

BELIEVING that any such method employed to identify live animals should be standardized in its application;

BELIEVING that there is no reason to limit the use of coded-microchip implants to only live animals of species included in Appendix I or high-value species;

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;

CONSIDERING that the International Organization for Standardization (ISO) has adopted the standards ISO 11784 and ISO 11785;

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; and

AWARE that the International Union for Conservation of Nature / Species Survival Commission (IUCN/SSC) Conservation Breeding Specialist Group has already undertaken an extensive review of the application of coded-microchip implants, and that effective implementation of Article VI, paragraph 7, will result in increasingly wider use of coded-microchip implants for the identification of animals;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that:

a) Parties, where possible and appropriate, without excluding the use of other methods, adopt the use of implantable transponders bearing permanent, non-programmable, unalterable and permanently unique codes for the identification of live animals;

b) Parties take into account the findings of the IUCN/SSC Conservation Breeding Specialist Group regarding frequency, size and sterility of transponders;

c) microchip transponders be implanted where consistent with the well-being of the specimens concerned; and

d) the location of implanted transponders in each animal be standardized according to the advice from the IUCN/SSC Conservation Breeding Specialist Group; and

2. DIRECTS:

a) the Secretariat to consult regularly with the ISO Central Secretariat on this subject, and to urge it to resolve current problems with standards ISO 11784 and ISO 11785; and

b) the Animals Committee to monitor developments in microchip-implant technology and application techniques and to advise the Secretariat about such developments, for the information of the Parties.

** Amended at the 11th meeting of the Conference of the Parties, corrected by the Secretariat following the 13th and 14th meetings, and further amended by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 58th meeting of the Standing Committee. Then corrected by the Secretariat following the 15th and 16th meetings. Further amended at the 17th meeting of the Conference of the Parties.*

Conf. 8.21 (Rev. CoP16)*

就附录Ⅰ和附录Ⅱ的修正提案与分布国商议

注意到 对修正附录Ⅰ和附录Ⅱ的提案，在公约的规定中并不要求事先得到动植物分布国家的支持；

忆及 在第九次缔约方大会 (劳德代尔堡，1994)通过，并经第十二、十三、十四、十五和十六和十七次大会 (圣地亚哥，2002；曼谷，2004；海牙，2007；多哈，2010；曼谷，2013；约翰内斯堡，2016)修订的Conf.9.24 (Rev.CoP17)号决议，规定了提案的格式，并要求向分布国征询意见；

察觉 已提交的许多提案并未进行这种征询；

但**认识到** 对分布很广的某些物种进行这种商议可能很困难；

意识到 修订附录Ⅰ和附录Ⅱ可能会影响分布国的利益；

注意到 成功地履行国际条约靠的是合作和相互尊重；

留意到 与分布国进行商议可能额外需要一些时间；

公约缔约方大会

1. 建议，在提交公约附录Ⅰ和附录Ⅱ修正提案时采用下列两种程序中的一种：

a) 当提案国拟征求分布国的意见时：

i) 建议有关物种分布国的管理机构提交提案；

ii) 与这些国家的管理机构和科学机构就该提案(包括任何提议注释)的内容进行商议；并

iii) 按照 Conf.9.24 (Rev.CoP17)号决议把这些机构的意见纳入到其提案的第 10 节，在合理期限内未收到分布国答复意见的情况除外，提案国在这种情况下可以简单书面说明其曾试图获得这些意见；或；

b) 在不事先与分布国进行商议时：

i) 缔约方应在下一次缔约方大会的至少 330 天以前提交提案；

ii) 秘书处应尽快将提案转发至所有的缔约方；及

iii) 感兴趣的缔约方应向提案国提供意见，以便使其在下一次缔约方大会的至少 150 天之前提出一份修正的提案。修改过的提案应按照 Conf.9.24 (Rev.CoP17)号决议，包含收到的意见，并将这些意见分成两类，分别反映分布国和非分布国的意见。

*秘书处在第十三和十四次缔约方大会后修正，之后遵照第14.19号决定和第58次常委会会议的决定做修订。秘书处随后在第十五次和十七次缔约方大会后修正。第十六次缔约方大会缔约方大会进一步修订。

Conf. 8.21 (Rev. CoP16)*

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. 9.24 (Rev. CoP17), adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994) and revised at its 12th, 13th, 14th, 15th, 16th and 17th meetings (Santiago, 2002; Bangkok, 2004; The Hague, 2007; Doha, 2010; Bangkok, 2013; Johannesburg, 2016), 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 such consultation may be difficult for certain taxa with extensive distributions;

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

REMARKING that the successful implementation of international treaties relies upon cooperation 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

1. 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 should:

i) advise the Management Authorities of the range States within which the species occurs of its intention to submit a proposal;

ii) consult with the Management and Scientific Authorities of these States on the substance of the proposal, including any proposed annotation; and

iii) include the opinions of these Authorities in section 10 of the proposal submitted in accordance with Resolution Conf. 9.24 (Rev. CoP17) 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 should submit the proposal at least 330 days in advance of the next scheduled meeting of the Conference of the Parties;

ii) the Secretariat should circulate the proposal as soon as possible to all Parties; and

iii) interested Parties should 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. 9.24 (Rev. CoP17), separating them into two categories, reflecting the opinions of range States and non-range States.

Corrected by the Secretariat following the 13th and 14th meetings of the Conference of the Parties, and further amended by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 58th meeting of the Standing Committee. Then corrected by the Secretariat following the 15th and 17th meetings. Further amended at the 16th meeting of the Conference of the Parties.

Conf. 9.5 (Rev. CoP16)*

与非公约缔约方的贸易

忆及 第三次和第八次缔约方大会 (新德里，1981；京都，1992)通过的Conf.3.8号决议和Conf.8.8号决议；

忆及 公约第十条规定，允许接受非公约缔约方相应主管机构签发的类似的进出口许可文件；

考虑到 为统一执行公约第十条，需要向各缔约方提供指导；

进一步**考虑到** 有必要让非公约缔约方了解公约实施的进展情况，以使他们能够就与缔约方开展贸易发表看法，并促进对公约的更广泛参与；

考虑到 公约第四条第2款要求在某一出口许可证签发之前，出口国的科学机构应认定某项出口不会危害相关物种的生存；

意识到 来自和通过非缔约方的贸易可能会带来破坏公约效力的风险；

意识到 非法贸易，尤其是附录Ⅰ物种的非法贸易，趋向于避开公约缔约方，而从非公约缔约方寻求贸易往来和中转的途径；

忆及 第九次缔约方大会 (劳德代尔堡，1994)通过并经第十三和十五次缔约方大会 (曼谷，2004；多哈，2010)修订的Conf.9.7 (Rev.CoP15)号决议，建议对过境货物也要求具备有效的文件；

注意到 对过境货物的控制，能特别地提供有关公约标本非法贸易的大量信息；

认识到 各缔约方可能会依据公约第十四条对贸易采取更严格的国内控制措施；

确信 有必要严格限制申请同非缔约方开展贸易的条件，以遏止非法贸易；

公约缔约方大会

1. 建议：

a) 除非包含以下内容，否则不应接受非公约缔约方签发的许可证和证明书：

i) 某个被授权签发证书的机构的名称、印章和签字；

ii) 为公约目的，对有关物种能够充分鉴别；

iii) 有关标本来源的证明，包括原产国的出口许可证编号或缺少此类证明的理由；

iv) 对于公约附录Ⅰ或Ⅱ所列物种标本的出口，还应能够证明相应科研机构已认定该出口不会危害相关物种的生存 (如有疑问，可要求提供科研机构建议的副本)，并能证明该标本的获得没有违反出口国的法律；

v) 对于再出口，原产国的名称和：

A. 如果原产国是缔约方，出口许可证的编号和签发日期；

B. 如果原产国不是缔约方，表明由原产国的有权力的机构已经出具了能够实质上满足本公约第六条规定的条件的出口文件的证明；或

*经第十三、十四和十五次缔约方大会修正，秘书处应14.19号决定和第61次常务委员会通过的决定要求再次修订，第十六次缔约方大会进一步修订。

C. 如果出现的情况下，上述信息遗漏的理由；及

vi) 对于活体标本的出口或再出口，只有在动物满足 *IATA 活体动物规则*，植物的运输条件满足 *IATA 易损货物规则*时，许可证或证明书才被视为有效；

b) 除非秘书处确认没有更近的信息，否则只有在收录于公约在线通讯录中的非缔约方的主管机构和科研机构的详情是两年内被告知的情况下，各缔约方才能接受这些非缔约方的文件；

c) 对于发往或来自非公约缔约方的过境标本，或者此类国家间的过境标本，上述建议同样适用；

d) 应当特别注意对非公约缔约方出口或再出口的、或发往此类国家的过境标本进行查验，包括对其贸易文件进行查验；

e) 对于从非公约缔约方进口，或者向此类国家出口或再出口野外来源的附录 I 物种的标本，只有当贸易有利于物种的保护或者有益于标本的福利等特殊情况下，并且同秘书处商议之后，各缔约方才能予以批准；

f) 如果一缔约方认为从一非公约缔约方出口附录 II 或附录III物种标本对该物种的生存有害，应：

i) 直接与该国主管机构商议；并

ii) 如果必要，利用第十条规定的选项，拒绝其许可证，或者根据第十四条第1款(a)项的规定，采取相应的更严格的措施；

g) 只有得到秘书处的肯定意见后，缔约方才可允许从非缔约方进口人工繁育和人工培植的附录 I 物种标本；及

h) 各缔约方应当将涉及到非公约缔约方的贸易中存在的任何疑点通知秘书处；

2. **指示** 秘书处每两年收集由非缔约方告知的有关其指定的主管机构、科研机构和执法部门的详细信息，并将这些信息连同收到的日期收录于通讯录中；并

3. **废除** 下列决议：

a) Conf.3.8 号决议 (新德里，1981)——接受非公约缔约方签发的类似文件；及

b) Conf.8.8 号决议 (京都，1992)——与非公约缔约方的贸易。

Conf. 9.5 (Rev. CoP16)*

Trade with States not party to the Convention

RECALLING Resolutions Conf. 3.8 and Conf. 8.8, adopted by the Conference of the Parties at its third and eighth meetings (New Delhi, 1981; Kyoto, 1992);

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;

CONSIDERING the need to provide guidance to Parties for the uniform implementation of Article X of the Convention;

CONSIDERING further the need to keep States not party to the Convention informed of its progressive implementation, to enable them to express their views regarding trade with the Parties, and to promote wider participation in the Convention;

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 trade from and through States not party to the Convention risks jeopardizing 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 Resolution Conf. 9.7 (Rev. CoP15), adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994) and revised at its 13th and 15th meetings (Bangkok, 2004; Doha, 2010), recommending that valid documentation be required for transit shipments;

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

RECOGNIZING the possibility for 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 States not party to the Convention;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that:

a) permits and certificates issued by States not party to the Convention not be accepted by Parties unless they contain:

i) the name, stamp and signature of a competent issuing authority;

ii) sufficient identification of the species concerned for the purposes of the Convention;

iii) certification of the origin of the specimen concerned, including the export permit number from the country of origin, or justification for omitting such certification;

iv) in the case of export of specimens of a species included in Appendix I or II, certification to the effect that the competent 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) and that the specimens were not obtained in contravention of the laws of the State of export;

v) in the case of re-export, the name of the country of origin and:

Amended at the 13th, 14th and 15th meetings of the Conference of the Parties, and by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 61st meeting of the Standing Committee; and further amended at the 16th meeting of the Conference of the Parties.

A. if the country of origin was a Party, the number of the export permit and the date of issue;

B. if the country of origin was not a Party, certification to the effect that the competent authority of the country of origin has issued an export document that substantially meets the requirements of Article VI of the Convention; or

C. if the case arises, justification of the omission of the aforementioned information; and

vi) in the case of export or re-export of live specimens, a statement that the permit or certificate is valid only if the transport conditions comply with the *IATA Live Animals Regulations* or, if it covers plants, with the *IATA Perishable Cargo Regulations*;

b) Parties accept documentation from States not party to the Convention only if the details of the competent authorities and scientific institutions of such States that are included in the online CITES Directory were communicated less than two years previously, unless the Secretariat confirms that it has more recent information;

c) the recommendations above also apply to specimens in transit destined for or coming from States not party to the Convention, including specimens in transit between such States;

d) particular attention be given to the inspection of specimens in transit exported or re-exported from, or destined for States not party to the Convention and to the inspection of documentation for such specimens;

e) 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) if any Party deems that specimens of an Appendix-II or -III species are being exported from a State not party to the Convention in a manner detrimental to the survival of that species, it:

g) consult directly with the competent authorities of the State concerned; and

h) if necessary, make use of the options provided by Article X, to reject permits, or Article XIV, paragraph 1 (a), to take stricter measures as appropriate;

i) 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

j) Parties communicate to the Secretariat any inconsistencies in trade involving States not party to the Convention;

2. INSTRUCTS the Secretariat to seek, every two years, information on, and to include in the CITES Directory, details of the designated competent authorities, scientific institutions and enforcement authorities of non-party States that were communicated by these States, together with the date on which the details were received; and

3. REPEALS the Resolutions listed hereunder:

a) Resolution Conf. 3.8 (New Delhi, 1981) – *Acceptance of Comparable Documentation Issued by States not Party to the Convention*; and

b) Resolution Conf. 8.8 (Kyoto, 1992) – Trade with States not Party to the Convention.

Conf. 9.6 (Rev. CoP16)*

关于可辨认部分和衍生物的贸易

忆及 第一、第二、第四、第五、第六和第七次缔约方大会 (伯尔尼，1976；圣何塞，1979；哈博罗内，1983；布宜诺斯艾利斯，1985；渥太华，1987；洛桑，1989)通过的关于可辨认部分和衍生物的Conf.1.5号决议第3段[1]、Conf.1.7号决议[2]、Conf.2.18号决议[2]、Conf.4.8号决议、Conf.4.24号决议[2]、Conf.5.9号决议、Conf.5.22号决议c段、Conf.6.18号决议[2]、Conf.6.22号决议最后一段和Conf. 7.11号决议[2]；

认识到 公约第一条对“标本”一词的定义虽然包括了动植物的可辨认部分和衍生物，但并未对“可辨认的”一词加以定义，由此引起各缔约方对该术语的不同解释；

注意到 由于上述原因，某一缔约方管制的部分和衍生物的贸易并不总是受到其他缔约方的管制；

承认 按公约第三、四和五条规定，一些进口国有权要求从其他缔约方的进口贸易必须具有CITES许可证或证明书；

考虑到 只有所有进口国都将捕养机构的全部产品看作是可辨认的，才有可能对捕养标本的贸易开展合适的监测和报告；

认识到 对珊瑚沙和珊瑚碎片 (按Conf.11.10 (Rev.CoP15) 号决议[3]附件的定义)所属的珊瑚种或属难以识别；

公约缔约方大会

1. **同意** 将公约所使用的“可辨认的部分或衍生物”一词解释为：从其随行文件、包装、标记、标签或任何其他材料上能看出其属公约附录所列动植物的部分或衍生物的任何标本，除非公约针对这些部分或衍生物有特别的豁免规定；

2. **建议**：

   a) 各缔约方将捕养机构的所有产品看作是可辨别的标本；及

   b) 即便在出口国或再出口国不把某些部分或衍生物看作是可辨认的部分时，那些原来要求部分或衍生物进口必须具备CITES出口许可证或再出口证明书的进口国也不要放弃这种要求；

3. 并**同意**

   a) 珊瑚沙和珊瑚碎片 (按Conf.11.10 (Rev.CoP15) 号决议[3]附件所定义的)不被看作可辨认的部分或衍生物，由此也不受公约条款的约束；及

   b) 自然排出的尿液、粪便和龙涎香是废弃物，不受公约规定的管制；并

4. **废除** 下列决议或其部分条款：

   a) Conf.4.8号决议 (哈博罗内，1983)——对于从一个无需许可证的缔约方到另一个认

*经第十一次缔约方大会修订后，秘书处在第十四和十五次后修正，秘书处应14.19号决定和第61次常务委员会通过的决定要求再次修订；第十六次缔约方大会进一步修订。

[1]秘书处提请注意：其被Conf. 9.25 (Rev.)号决议废除，后者自身又被Conf. 9.25 (Rev. 14)号决议取代。

[2]秘书处提请注意：因采纳Com. 9.14号文件废除。

[3]秘书处在第十二、十四和十五次缔约方大会后修正，原指Conf. 11.10号决议，之后修正为Conf. 11.10 (Rev. CoP12)，Conf. 11.10 (Rev. CoP14)号决议。

为其是可辨认的部分和衍生物的缔约方的出口的处理；

b) Conf.5.9号决议 (布宜诺斯艾利斯，1985)——关于可辨认的部分和衍生物的管理；

c) Conf.5.22号决议 (布宜诺斯艾利斯，1985)——物种列入附录III的标准的C项建议；及

d) Conf.6.22 号决议 (渥太华，1987)——对捕养机构的监测和报告程序的“建议”以下的段落。

Conf. 9.6 (Rev. CoP16)* Trade in readily recognizable parts and derivative

RECALLING Resolutions Conf. 1.5, paragraph 3[1], Conf. 1.7[2], Conf. 2.18[2], Conf. 4.8, Conf. 4.24[2],

Conf. 5.9, Conf. 5.22, paragraph c), Conf. 6.18[2], Conf. 6.22, last paragraph, and Conf. 7.11[2], adopted by the Conference of the Parties at its first, second, fourth, fifth, sixth and seventh meetings (Bern, 1976; San José, 1979; Gaborone, 1983; Buenos Aires, 1985; Ottawa, 1987; Lausanne, 1989), relating to readily recognizable parts and derivatives;

RECOGNIZING that Article I of the Convention defines a 'specimen' as including readily recognizable parts and derivatives of animals and plants but does not define the term 'readily recognizable', which is therefore subject to differing interpretations by the Parties;

NOTING that the trade in parts and derivatives regulated by one Party is therefore not always subject to regulation in others;

ACKNOWLEDGING that, under Articles III, IV and V of the Convention, Parties may allow import of CITES specimens from other Parties only upon presentation of CITES documentation;

CONSIDERING that proper monitoring of and reporting on trade in ranched specimens are only possible if all importing countries consider all products of the operation to be readily recognizable;

RECOGNIZING that the species or genera of coral from which coral sand and coral fragments [as defined in the Annex of Resolution Conf. 11.10 (Rev. CoP15)[3]] are derived cannot be readily determined;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. AGREES that the term 'readily recognizable part or derivative', as used in the Convention, shall be interpreted to include any specimen which appears from an accompanying document, the packaging or a mark or label, or from any other circumstances, to be a part or derivative of an animal or plant of a species included in the Appendices, unless such part or derivative is specifically exempted from the provisions of the Convention;
2. RECOMMENDS that:

a) Parties consider all products of ranching operations to be readily recognizable; and

b) importing Parties that require that CITES export permits or re-export certificates accompany imports of parts and derivatives do not waive that requirement when such parts and derivatives are not considered to be readily recognizable by the exporting or re-exporting Party;

3. AGREES also that:

a) coral sand and coral fragments [as defined in the Annex of Resolution Conf. 11.10 (Rev. CoP15)[3]] are not considered readily recognizable and are therefore not covered by the provisions of the Convention; and

b) urine, faeces and ambergris that has been naturally excreted are waste products and are therefore not covered by the provisions of the Convention; and

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** Amended at the 11th meeting of the Conference of the Parties, corrected by the Secretariat following the 14th and 15th meetings; amended by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 61st meeting of the Standing Committee; and further amended at the 16th meeting of the Conference of the Parties.*

[1] Note from the Secretariat: repealed by Resolution Conf. 9.25 (Rev.), itself replaced by Resolution Conf. 9.25 (Rev. CoP18).

[2] Note from the Secretariat: repealed by the adoption of document Com. 9.14.

[3] Corrected by the Secretariat following the 12th, 14th and 15th meetings of the Conference of the Parties: originally referred to Resolution Conf. 11.10, later corrected to Resolution Conf. 11.10 (Rev. CoP12), then to Resolution Conf. 11.10 (Rev. CoP14).

4. REPEALS the Resolutions, or parts thereof, listed hereunder:

   a) Resolution Conf. 4.8 (Gaborone, 1983) – *Treatment of Exports of Parts and Derivatives without Permit from a Party to Another which Deems them Readily Recognizable*;

   b) Resolution Conf. 5.9 (Buenos Aires, 1985) – *Control of Readily Recognizable Parts and Derivatives*;

   c) Resolution Conf. 5.22 (Buenos Aires, 1985) – *Criteria for the Inclusion of Species in Appendix III* – recommendation c); and

   d) Resolution Conf. 6.22 (Ottawa, 1987) – *Monitoring and Reporting Procedures for Ranching Operations* – the paragraph under RECOMMENDS.

Conf. 9.7 (Rev. CoP 15)*

过境和转运

忆及 分别由第四次 (哈博罗内，1983)、第七次 (洛桑，1989)和第十次缔约方大会 (京都，1992)通过的Conf.4.10号、Conf.7.4号和Conf.10.5号决议，及第九次缔约方大会 (劳德代尔堡，1994)通过并经第十三、十四、十五和十六次缔约方大会 (曼谷，2004；海牙，2007；多哈，2010；曼谷，2013)修订的Conf.9.5 (Rev.CoP16)号决议[1]；

认识到 公约第七条第1款对标本在过境某一缔约方或在其境内转运时，可不实施公约第三、四和五条的情形做出了规定；

还认识到 可能存在将标本存放在一个缔约方境内却在另一个国家寻求买主的滥用上述条款的现象；

认识到 各缔约方需要采取措施以打击非法贸易；

不过又认识到 缔约方需要提高对持有海关货物临时入境单册证 (ATA carnets)频繁跨境货物样品的管理效率；

注意到 确认相关过境和转运货物是否伴随有效出口许可证或再出口证明书，是发现列入公约附录物种标本非法贸易的一个重要方式。

意识到 尽管持有海关货物临时入境单册证 (ATA carnets)但不在公约第七条指明的豁免范围之列的货物仍需要适当的CITES文件；

公约缔约方大会

1. 建议：

a) 为落实公约第七条第 1 款规定，措辞“标本的过境或转运”解释为仅指：

   i) 在运输过程中发生任何缘于此运输方式所必须安排的中断时，仍在海关控制之下的并处于向指定的收货人装运过程中的那些标本的过境或转运；及

   ii) 符合 Conf.12.3 (Rev.CoP18)号决议[2]第十六章节规定并且持有海关货物临时入境单册证 (ATA carnets)的货物样品的跨境转移；

b) 各缔约方在其国家立法允许的限度内，尽可能对从该国过境或转运的标本进行检查，以查验公约所要求的有效文件，或者能取得能证实存在此类文件的证据；

c) 此类有效文件应能明确表明货运的最终目的地，才能被认定为有效文件，对于货物样品来说，最终目的地必须是文件的签发国；

d) 过境或转运国对最终目的地的任何变更进行调查，以核实此项交易不违反公约的宗旨；

e) 各缔约方通过立法以允许扣压和没收那些在过境或转运中不具有有效文件或无法证明这些文件存在的标本；

f) 当某缔约方无法扣压或没收某一非法过境的标本时，该缔约方应尽快将全部有关信息提供给该标本的最终目的国和秘书处，如有可能，也应向此标本将要过境的

* 经第十三和十五次缔约方大会修订，并在第十六次缔约方大会后由秘书处修正。
[1] 秘书处在第十六次缔约方大会后修订，原指Conf. 9.5 (Rev. CoP15)号决议。
[2] 秘书处在第十六、十七和十八次缔约方大会后修订，原指Conf. 12.3 (Rev. CoP16)号决议。

其他国家提供这些信息；及

g) 上述建议也适用于被运往或来自非公约缔约方的过境和转运的标本，包括此类国家之间的过境标本；

2. **确认** 公约并未对免税商店、自由港或非海关控制区等特殊管理区域做出任何特殊规定，各缔约方必须在其全境内实施公约；

3. **敦促** 所有缔约方的管理机构同海关及其他相应的 CITES 执法官员联络，以确保持有海关货物临时入境单册证 (ATA carnets)或国际公路运输报关单册证 (TIR carnets)运输的所有 CITES 货物都符合公约适用的规定；及

4. **废除** 下列决议：

a) Conf.4.10 号决议 (哈博罗内，1983)——“过境”的定义；

b) Conf.7.4 号决议 (洛桑，1989)——过境的控制；及

c) Conf.10.5 号决议 (哈拉雷，1997)——持有海关货物临时入境单册证 (ATA)或国际公路运输报关单册证(TIR)的货物。

Conf. 9.7 (Rev. CoP15)* Transit and transhipment

RECALLING Resolutions Conf. 4.10, Conf. 7.4 and Conf. 10.5, adopted by the Conference of the Parties at its fourth, seventh and 10th meetings (Gaborone, 1983; Lausanne, 1989; Harare, 1997), and Resolution Conf. 9.5 (Rev. CoP16)[1], adopted at its ninth meeting (Fort Lauderdale, 1994) and revised at its 13th, 14th, 15th and 16th meetings (Bangkok, 2004; The Hague, 2007; Doha, 2010; Bangkok, 2013);

RECOGNIZING that Article VII, paragraph 1, of the Convention allows the transit or transhipment of specimens through or in the territory of a Party without the need for application of Articles III, IV and V;

RECOGNIZING also that there is potential for the abuse of this provision by the keeping of specimens in the territory of a Party while seeking a buyer in another country;

RECOGNIZING the need for Parties to take measures to fight illegal trade;

RECOGNIZING also, however, the need for Parties to facilitate the frequent cross-border movement of sample collections covered by ATA carnets;

NOTING that the verification of the existence of valid export permits or re-export certificates for control of specimens in transit or being transhipped is an important way to discover illegal trade in specimens of species included in the CITES Appendices;

AWARE that shipments not covered by the exemptions specified in Article VII of the Convention and travelling on an ATA carnet still require appropriate CITES documentation;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that:

a) for the purpose of Article VII, paragraph 1, of the Convention, the phrase 'transit or transhipment of specimens' be interpreted to refer only to:

i) specimens that remain in Customs control and are in the process of shipment to a named consignee when any interruption in the movement arises only from the arrangements necessitated by this form of traffic; and

ii) cross-border movements of sample collections of specimens that comply with the provisions of section XVI of Resolution Conf. 12.3 (Rev. CoP18)[2] and are accompanied by an ATA carnet;

b) Parties inspect, to the extent possible under their national legislation, specimens in transit or being transhipped, to verify the presence of a valid CITES permit or certificate as required under the Convention or to obtain satisfactory proof of its existence;

c) to be considered as valid, any such permit or certificate must clearly show the ultimate destination of the shipment**,** which, in the case of a sample collection, must be the country of issuance;

d) any change of ultimate destination be investigated by the country of transit or transhipment to verify that the transaction complies with the purposes of the Convention;

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* *Amended at the 13th and 15th meetings of the Conference of the Parties, and corrected by the Secretariat following the 16th meeting.*

[1] *Corrected by the Secretariat following the 16th meeting of the Conference of the Parties: originally referred to Resolution Conf. 9.5 (Rev. CoP15).*

[2] *Corrected by the Secretariat following the 16th, 17th and 18th meetings of the Conference of the Parties: originally referred to Resolution Conf. 12.3 (Rev. CoP16).*

e) Parties adopt legislation allowing them to seize and confiscate specimens in transit or being transhipped without a valid permit or certificate or proof of the existence thereof;

f) when an illegal shipment in transit or being transhipped is discovered by a Party that can not seize it, the Party provide to the country of final destination and to the Secretariat all relevant information on the shipment as soon as possible and, if applicable, to other countries through which the shipment will pass in transit; and

g) the above recommendations be applied also to specimens in transit or being transhipped that are destined for or coming from States not party to the Convention, including specimens in transit between such States;

2. CONFIRMS that each Party must apply the Convention over the whole of its territory, as the Convention does not make any provision for the exclusion of areas or zones under special regimes, such as duty free shops, free ports or non-Customs zones;

3. URGES all Management Authorities to communicate with the Customs and other competent CITES enforcement officials to ensure that all CITES shipments travelling on ATA or TIR carnets comply with the applicable provisions of CITES; and

4. REPEALS the Resolutions listed hereunder:

a) Resolution Conf. 4.10 (Gaborone, 1983) – *Definition of "In Transit"*;

b) Resolution Conf. 7.4 (Lausanne, 1989) – *Control of Transit*; and

c) Resolution Conf. 10.5 (Harare, 1997) – *Shipments covered by ATA and TIR carnets*.

Conf. 9.14 (Rev. CoP17) *

非洲和亚洲犀的保护及贸易

关注到 一些犀种群已经继续迅速减少，且所有5种犀中有4种处于濒临灭绝的状态；

忆及 缔约方大会于1977年将犀所有种列入了附录Ⅰ，1994年和2004年又分别将南非和斯威士兰两国的白犀指名亚种在附加注释的条件下由附录Ⅰ降列到了附录Ⅱ；

进一步**忆及** 第三次和第六次公约缔约方大会 (新德里，1981；渥太华，1987)分别通过的Conf. 3.11和Conf. 6.10号决议及第十次缔约方大会 (哈拉雷，1997)通过的10.45号决定均与犀保护和贸易有关；

赞赏 通常在困难条件下，某些非洲和亚洲分布国在犀保护管理中取得的成功；

进一步**赞赏** 一些缔约方为控制和减少犀角利用而采取的一系列措施，特别是那些数百年来一直将犀角利用作为其文化传统组成部分的国家；

明确 上述措施尚未遏制多数犀种群的下降趋势；

认识到 犀角的非法贸易属于全球性执法问题，其范围已经超出了分布国和传统消费国的范围，仅仅强调执法本身无助于消除犀所遭受的威胁；

注意到 采取目标明确的战略或项目对减少对非法获得的犀标本需求的重要性，及实施旨在提高社区对非法猎杀犀的经济、社会和环境影响认识的战略或项目的重要性；

认识到 在打击从事非法猎杀犀和贩运犀角的犯罪集团，特别是管理和组织这些非法活动的人员时，同样需要采用联合国打击跨国有组织犯罪公约和联合国反腐败公约规定的针对其他国内和跨国有组织犯罪的工具和技术；

注意到 在打击野生动植物动植物犯罪特别是非法猎杀犀和非法贩运犀角中，尽可能使用法庭学的重要性；

欢迎 公约犀执法特别行动组在其2013年内罗毕会议上制定的战略和行动建议，该战略和行动建议的具体内容见2014年1月23日发给缔约方的No. 2014/006号通知中；

欢迎 国际打击野生动植物犯罪同盟 (ICCWC) 的成立和它提供的支持；

意识到 国际打击野生动植物犯罪同盟在日常自然资源保护的国家野生动植物执法机构、次区域和区域网络提供着重要的协调支持；

鼓励 国际打击野生动植物犯罪同盟加大对缔约方的支持；

认识到 一些国际性的措施可能会产生意外的后果，如对贸易的影响；

认识到 关于保护犀的最有效方式众说纷纭；

关注到 对犀种群的威胁及对犀角、其他部分和衍生物的需求仍然存在，而且犀和犀角库存的安保费用不断增加，令很多分布国难以负担；

公约缔约方大会

1. 敦促：所有缔约方：

a) 制订和实施全面的立法和执法控制，包括国内贸易限制和处罚：

*经第十一、十三、十四、十五次和十七次缔约方大会修订。

i) 旨在减少犀部分和衍生物的非法贸易，包括根据随行文件、包装、标记或标签，或者根据任何其他情况认定为犀部分或衍生物的任何标本；

ii) 增加适用于公约相关违法的专门条款，包括占有违约所获犀标本，并在制订打击犀标本非法贸易、确保有效国内执法和起诉犯罪分子的立法措施时，酌情向秘书处寻求法律援助；及

iii) 提高处罚的力度，包括监禁处罚，来震慑非法猎杀犀及犀角的非法占有和贸易；

b) 通过制订立法或利用现有立法，来推动专门侦查技术的应用，如控制交付和秘密侦查，在适当时，作为对常规侦查技术的补充，特别是应用在涉及非法猎杀犀和犀角贩运的犯罪；

c) 通过使用其他的工具和规定，如反洗钱、财产充公的立法，来支持野生动植物立法，以尽可能发挥执法行动在打击非法猎杀犀和贩运犀角中的作用；

d) 如果可能，在起诉涉及犀犯罪的有组织犯罪集团成员时，合并使用相关法律的处罚规定，以取得有效的震慑效果；

e) 立即将在境内扣押的非法犀标本：

i) 通知原产国、中转国和目的国当局，如果适用，提供与扣押相关的信息，如作案手段、随行文件、扣押标本上的任何鉴别标识，如果适当的话，犯罪嫌疑人的详细信息，及能够协助原产国、中转国和目的国开展侦查的任何其他的信息；或

ii) 如果没有足够的信息，包括扣押活动的信息，来确定扣押犀标本的原产国、中转国和目的国，则应通知公约秘书处；

f) 对境内扣押的犀角取样进行法庭鉴定，以把扣押犀角与犯罪现场和涉案嫌疑人联系起来，增加成功提起诉讼的可能性；

g) 为支持上述 e)i)、ii)和 f)项规定的实施，使用作为本决议附件的“收集和共享犀角扣押和法庭分析样本数据表格”，作为收集和共享关于扣押犀标本和法庭鉴定样本信息的标准格式；

h) 在签发允许犀标本转移的许可证或证明书，包括公约前获得的证明书之前，应与目的国商议，以对该贸易进行核实和监测；及

i) 考虑采取更严格的国内措施，对任何来源的犀角标本的再出口进行管制；

2. 敦促

a) 所有缔约方对境内的犀角库存进行鉴别、标记、登记和保全，并于每年 2 月 28 日之前向秘书处申报库存情况，申报时应使用秘书处拟制订的格式；

b) 秘书处和其他适当的团体，如果可能的话，向在立法、执法或库存控制上存在不足的缔约方提供技术建议和相关信息的援助；

c) 分布国在执法时应保持警惕，包括禁止非法猎杀、早期发现潜在的违法者，以及运用适当的处罚，以获得有效的震慑效果；

d) 分布国和牵连国应通过现有的国际、区域和国家执法机制，及，如果必要，制订引渡条约或刑事司法协助条约等，来加强执法合作，遏制非法猎杀犀和犀角非法

贸易；及

e) 受到非法猎杀和贩运犀角影响的缔约方，不论是分布国或牵连国，应：

i) 作为一项优先事宜，与所有的利用群体和行业合作，制订和实施减少犀部分和衍生物利用和消费的有针对性的策略，来使消费者行为发生可察觉的变化；

ii) 制订和实施战略或项目，来提高社区对非法野生动植物贸易对经济、社会和环境影响的认识，鼓励公众向有关当局举报与非法猎杀和贩运犀角有关的活动，以便开展进一步调查；及

iii) 向IUCN/SSC非洲和亚洲犀专家组和TRAFFIC提供上述e)i)和ii)项规定的战略或项目效果的信息，以协助总结最佳实践和面临的威胁，并纳入IUCN/TRAFFIC的联合报告中；

3. **指示** 常委会继续寻求旨在终结非法猎杀和犀部分和衍生物非法贸易的活动，确保：

a) 所有此类活动须附带有效性评估和提出适当的建议；及

b) 应该根据评估结果，及时对指导干预措施的政策进行必要的调整；

4. **建议** 尚未制订列入预算的犀保护和管理计划的分布国，应尽快利用现有专业技术和资源，制订并实施此类预算计划；

5. 进一步**建议** 已经拥有列入预算的犀保护和管理计划的分布国，应努力尽快实施这类计划，并对其中的执法和贸易控制措施的效力进行回顾；

6. **建议** 酌情尽快落实犀角狩猎纪念物进口的国家水平上的措施，包括解决此类狩猎纪念物的改变和转手问题，以确保合法获得的犀角狩猎纪念物继续被合法所有者占有；

7. **指示** 秘书处，在每次缔约方大会之前，并根据外部资金情况，聘请 IUCN/SSC 非洲及亚洲犀专家组和 TRAFFIC 向秘书处提交一份报告，内容包括：

a) 非洲和亚洲犀物种的国家和洲际保护现状；

b) 犀标本的贸易；

c) 犀标本库存和库存管理；

d) 非法猎杀案例；

e) 执法事宜；

f) 保护行动和管理战略，以及对其效力的评估；及

g) 牵连国实施的终止犀部分和衍生物非法使用和消费的措施；

8. **要求** IUCN/SSC 非洲及亚洲犀专家组和 TRAFFIC 在根据本决议编写报告时，酌情与分布国和牵连国并在适当时与 UNEP 世界保护监测中心联系，并将商议结果纳入该报告中；

9. **指示** 秘书处：

a) 将提供给 IUCN/SSC 非洲及亚洲犀专家组和 TRAFFIC 进行分析，并纳入本决议规定提交给秘书处的报告中的申报的犀角库存数据汇总；

b) 在每次缔约方大会上汇报 IUCN/SSC 非洲及亚洲犀专家组和 TRAFFIC 的联合报告；及

c) 在报告的基础上，酌情起草决议草案供缔约方大会审议；

10. **鼓励** 缔约方向秘书处提供经费支持，资助 IUCN 非洲及亚洲犀专家组和 TRAFFIC 撰写联合报告，提交给每次缔约方大会；

11. **敦促** 非洲和亚洲犀分布国、牵连国、其他缔约方和其他利益相关者，与 IUCN/SSC 非洲及亚洲犀专家组和 TRAFFRIC 开展合作，支持它们收集信息和撰写本决议规定的报告；

12. **呼吁** 所有政府和政府间组织、国际援助机构和非政府组织提供资金，资助实施犀保护行动和本决议，禁止非法猎杀和犀角非法贸易；

13. **呼吁** 各缔约方建设性参与公约，以及公约和 IUCN/SSC 犀专家组之间协作增效，以实现本决议的目标；并

14. **废除** 下列决议：

a) Conf. 3.11 号决议 (新德里，1981) ----犀角贸易；及

b) Conf. 6.10 号决议 (渥太华，1987) ----犀产品贸易。

附件 扣押犀角和法庭分析样本数据收集和共享表格

本表共6页，分为A、B和C三部分。三部分都要填写完成。

本表的用途是为了帮助当局立即将非法进入该国境内的扣押犀角标本信息告知标本原产国、中转国和目的国当局，使它们能够适时采取适当后续侦查行动。在扣押非法贸易犀角标本后，须填写本表的A表、B表和C.1表。本表的A表和B表仅供执法机构使用，在适当时，用于负责执法的部门，如警察和海关部门之间的情报交流。如果不能确定原产、过境或目的国，如果认为合适，应该把填写完毕的表格送交公约秘书处。

如果从扣押的犀角标本上采集了样本进行法庭分析，则还须填写本表的C.1表和C.2表，然后将填写完毕的C.1表和C.2表连同样本一起送至分析的实验室。

A表

1. **记录**(案件、档案) **号**:

2. **扣押日期**:

3. **扣押国家**:

4. **扣押地点**(如机场名称，住宅地址等):

5. **报告部门** (名称和地址):

6. **联络官员**(姓名、电话、电子邮箱、地址):

7. **扣押原因** (请勾选): 非法: 出口 □ 再出口 □
进口 □ 过境 □ 拥有 □ (标价) 出售 □
其他 (请说明) □

8. **原产国**[*]:

9. **中转国** [1]:_

10. **最终目的国** [1]:

11. **运输方式** (请勾选): 空运 □ 陆运 □ 邮递/快递 □
海运 □ 其他 □ 如果你选择了“其他”，请在下面详细说明:

12. **随行文件**(请勾选): 无 □ 伪造 □
其他 □ 如果你选择了“其他”，请在下面详细说明：

13. **犀种类** (如果知道):

14. **标本类型**[†]**和数量**:

	犀角数量	**重量 (千克/克)**
整只犀角		
	犀角块数量	**重量 (千克/克)**
犀角制品[‡]		
犀角块		
犀皮		
		重量 (千克/克)
犀角屑		
		重量 (千克/克)
其他		

B表

15. 记录(案件、档案)号 (同 A 表):

[*] 如果不能确定原产、过境或目的国，请填写“未知”，否则请注明涉及国家是“已知或怀疑”的原产、过境或目的国。
[†] 如果是“犀角制品”、“犀角屑”和“其他”，请在B表的额外信息栏内详细说明是哪种类型。
[‡] 犀角制品是指进行过雕刻、整形或加工，如制成犀角杯、首饰等产品的犀角。

被捕犯人详情已记录 □

嫌疑犯详情已记录 □

罪犯信息缺失 □

其他 □

16. 如果你选择了“其他”，请在下面详细说明：

涉案人员身份:[§]

a) 姓

b) 名

c) 曾用名

d) 性别

e) 国籍

f) 护照或身份证号码

g) 出生日期

h) 永久住址

i) 职业

j) 其他信息(电话、车辆等)

k) 目标在案件中的角色，如未知、送货人和交易人等。

查获方式:

在什么情况下扣押，查获的方式，如随机检验、长期侦查、X 光机、室内搜查和路检等。

犯罪手法

藏匿技术、包装方式等。

额外信息

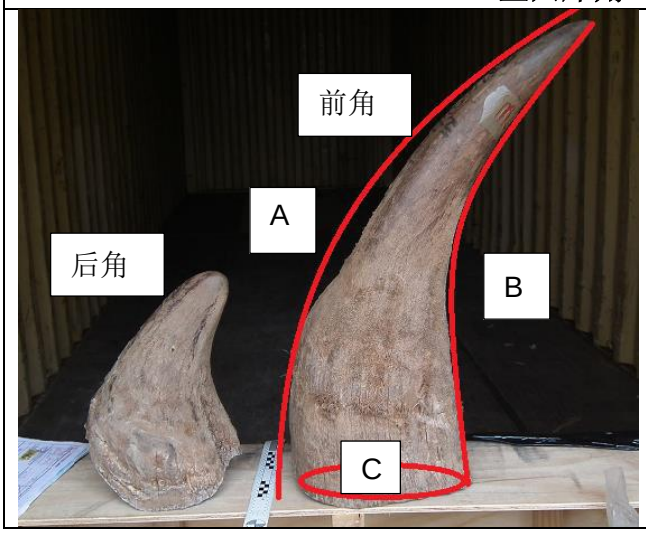
请提供关于扣押的任何其他信息，如是否与其他案件联系在一起；对扣押的犀角制品，则应说明扣押犀角制品的类型，如犀角杯、首饰等。

[§] 每个人员须单独填写本页。

C表

记录 (案件、档案) 号 (同A表)	
备注： ● 每只扣押的整只犀角都要单独填写本页。 ● 对犀角制品、犀角块、犀皮、犀角屑或其他类型的标本，请以 C 表附件的方式，详细说明扣押标本的类型，如果适用，每件扣押标本的重量、长度、宽度和高度等信息。 ● 如果适用，尽可能地提供每件扣押标本的标记、微芯片号码或任何其他的相关信息。 ● 每件扣押标本须附带一张照片。	

C.1 表

整只犀角**		
	前角还是后角？	
	A-角外缘长 (标明度量单位)	
	B-角内缘长 (标明度量单位)	
	C-角底圆周长 (表名度量单位)	
	重量 (标明度量单位)	
	微芯片号码*	
	是否拍摄照片 (是/否)	

* 如果可能，使用适当的微芯片读码器来检查犀角内是否安装了微芯片。

检查犀角表面是否有打印或涂写的号码，及任何其他相关的标记。详细记录。		
已经或将要从扣押标本上取样进行法庭分析？	是	否
备注： 如果你选择了“是”，请填写下面的C.2表。填写完成后，请复制一份本表的C.1和C.2表，然后将副本和采集的样本一起送交进行分析的实验室。		

C.2 表

记录 (案件、档案) 号 (同A表)	

请填写以下信息：

a) 样本送交的实验室名称	
b) 取样日期	

** 请参考测量前角和后角的外缘长、内缘长和圆周长的照片指南。

c) 案件侦办人员详细信息	
姓名	
部门和职务	
电话号码	
电子邮箱地址	
d) 采样人员详细信息	
姓名	
部门和职务	
电话号码	
电子邮箱地址	
e) DNA样本编号	
f) 证据袋编号	
g) 采样人签名	

Conf. 9.14 (Rev. CoP17)* Conservation of and trade in African and Asian rhinoceroses

CONCERNED that some rhinoceros populations have continued to decline drastically and that four of the five species are threatened with extinction;

RECALLING that the Conference of the Parties included all species of rhinoceroses in Appendix I of the Convention in 1977, and that the South African and Swaziland populations of *Ceratotherium simum simum* were transferred to Appendix II with an annotation in 1994 and 2004 respectively;

RECALLING further Resolution Conf. 3.11 and Resolution Conf. 6.10, adopted by the Conference of the Parties at its third and sixth meetings respectively (New Delhi, 1981; Ottawa, 1997), and Decision 10.45, adopted at its 10th meeting (Harare, 1997), all relating to the conservation of and trade in rhinoceroses;

COMMENDING the successful management and protection of rhinoceroses in some African and Asian range States, often under difficult circumstances;

COMMENDING further the measures taken by Parties to control and reduce use of rhinoceros horn, especially Parties where use is part of a cultural tradition extending back many centuries;

CONCLUDING that the above measures have yet not arrested the decline of most rhinoceros populations;

RECOGNIZING that the illegal trade in rhinoceros horn is known to be a global law enforcement problem, extending beyond range States and traditional consuming countries, but that emphasis solely on law enforcement has failed to remove the threat to rhinoceroses;

NOTING the importance of well targeted strategies or programmes to reduce demand for illegally obtained rhinoceros specimens, and the importance of implementing strategies or programmes to enhance community awareness of the economic, social and environmental impacts of illegal killing of rhinoceroses;

RECOGNIZING the need to deploy the same tools and techniques as those used against other domestic and transnational organized crimes, provided for in the United Nations Convention against Transnational Organized Crime and the United Nations Convention Against Corruption, against the criminal groups involved in the illegal killing of rhinoceroses and the trafficking of rhinoceros horns, and in particular against those individuals managing and organizing these illegal activities;

NOTING the importance of using forensic science to the fullest extent possible in order to combat wildlife crime, and in particular rhinoceros poaching and illicit rhinoceros horn trafficking;

WELCOMING the strategies and proposed actions developed by the CITES Rhinoceros Enforcement Task Force at its meeting in Nairobi, in 2013 as made available through Notification to Parties No. 2014/006 of 23 January 2014;

WELCOMING the establishment of and support provided by the International Consortium on Combating Wildlife Crime (ICCWC);

AWARE of the important role of ICCWC in bringing coordinated support to the national wildlife law enforcement agencies and to the subregional and regional networks that, on a daily basis, act in defence of natural resources;

ENCOURAGING ICCWC to further increase its support to Parties;

**Amended at the 11th, 13th, 14th, 15th and 17th meetings of the Conference of the Parties.*

RECOGNIZING that some international measures may have unintended consequences, for example, on trade;

RECOGNIZING that there is a diversity of opinion as to the most effective approaches to the conservation of rhinoceroses;

CONCERNED that threats to rhinoceros populations and demand for rhinoceros horns and other parts and derivatives still exist, and that the cost of ensuring adequate security for rhinoceroses and rhinoceros horn stocks is increasing and cannot easily be met by many range States;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. URGES all Parties to:

a) adopt and implement comprehensive legislation and enforcement controls, including internal trade restrictions and penalties:

   i) aimed at reducing illegal trade in rhinoceros parts and derivatives, including any specimen that appears from an accompanying document, the packaging, a mark or label, or from any other circumstances, to be a rhinoceros part or derivative;
   ii) incorporating specific provisions that apply to CITES-related offences, including the possession of rhinoceros specimens acquired in violation of the Convention, and to engage with the Secretariat as may be needed, for legal assistance in the development of legislative measures aimed at tackling illegal trade in rhinoceros specimens and to ensure effective domestic enforcement and prosecution of offenders; and
   iii) that make provision for strong penalties, including custodial sentences, to deter illegal killing of rhinoceroses and illegal possession of and trade in rhinoceros horn;

b) adopt legislation or draw upon existing legislation to facilitate the use of specialized investigation techniques such as controlled deliveries and covert investigations, where appropriate, in support of conventional investigation techniques, in particular for offences related to the illegal killing of rhinoceroses and the trafficking of rhinoceros horns;

c) maximize the impact of enforcement actions to combat illegal killing of rhinoceroses and the trafficking of rhinoceros horns, by using other tools and regulations, such as anti-money-laundering and asset forfeiture legislation, in support of wildlife legislation;

d) prosecute members of organized crime groups implicated in rhinoceros-related crimes under a combination of relevant laws which carry appropriate penalties that will act as effective deterrents, whenever possible;

e) immediately bring the seizure of illegal rhinoceros specimens made within their territories:

   i) to the attention of authorities in countries of origin, transit and destination, as applicable, providing information associated with the seizure, for example on *modus operandi*, accompanying documentation, any identification marks on the seized specimens, where appropriate the details of the offenders involved, and any other information that could assist the initiation of investigations as appropriate, in countries of origin, transit and destination; or
   ii) to the attention of the CITES Secretariat in cases where sufficient information is not available to identify the countries of origin, transit and destination of the seized rhinoceros specimens, including information describing the circumstances of the seizure;

f) collect samples from rhinoceros horn seized within their territories for forensic analysis, to link such horns to crime scenes and implicated suspects, and to promote successful prosecution;

g) use the *Form for collection and sharing of data on rhinoceros horn seizures and on samples for forensic analysis* provided in the Annex to this Resolution, as a standard format to collect and share information about seizures of rhinoceros specimens, and for the collection of

relevant data to accompany samples collected from seized rhinoceros specimens for forensic analyses, in support of the implementation of paragraphs e) i) and ii) and f) above;

h) prior to issuing permits or certificates, including pre-Convention certificates, authorizing the movement of specimens of rhinoceroses, consult with the country of destination, so that the trade may be confirmed and monitored; and

i) consider introducing stricter domestic measures to regulate the re-export of rhinoceros horn specimens from any source;

2. URGES

a) all Parties that have stocks of rhinoceros horn to identify, mark, register and secure such stocks, and declare these to the Secretariat each year before 28 February, in a format to be defined by the Secretariat;

b) the Secretariat and other appropriate bodies, where possible, to assist those Parties with inadequate legislation, enforcement, or control of stocks, by providing them technical advice and relevant information;

c) range States to be vigilant in their law enforcement efforts, including the prevention of illegal hunting, the early detection of potential offenders and the application of appropriate penalties to act as effective deterrents;

d) that law enforcement cooperation between and among range and implicated States be increased through the existing international, regional and national law enforcement mechanisms and, where necessary, for example, through the establishment of treaties on extradition and Mutual Legal Assistance in criminal matters, in order to curtail rhinoceros poaching and illegal trade in rhinoceros horn; and

e) the Parties that are affected by illegal killing of rhinoceroses and the trafficking of rhinoceros horns, either as range or implicated States, to:

i) as a matter of priority work with all user groups and industries to develop and implement well targeted strategies for reducing the use and consumption of rhinoceros parts and derivatives, with the aim of achieving measurable change in consumer behaviour;

ii) develop and implement strategies or programmes to enhance community awareness of the economic, social and environmental impacts of illegal wildlife trade, and to encourage the general public to report activities related to the illegal killing of rhinoceroses and the trafficking of rhinoceros horns to appropriate authorities for further investigation; and

iii) provide information on the effectiveness of strategies or programmes referred to in subparagraphs e) i) and ii) above, to the IUCN/SSC African and Asian Rhino Specialist Groups and TRAFFIC, to assist in identifying best practices and challenges experienced, and for inclusion into the joint IUCN/TRAFFIC report;

3. DIRECTS the Standing Committee to continue to pursue actions aimed at ending rhinoceros poaching and illegal trade in rhinoceros parts and derivatives, ensuring that:

a) all such actions are accompanied by evaluations of their effectiveness and appropriate recommendations; and

b) the policies that guide interventions are responsive and adaptive to the outcome of the evaluations;

4. RECOMMENDS that those range States without a budgeted conservation and management plan for rhinoceroses should develop and implement one as expeditiously as possible, utilizing all available relevant expertise and resources;

5. RECOMMENDS further that those range States with an existing, budgeted plan for rhinoceroses should endeavour to implement the plan as expeditiously as possible, and should undertake a review of the effectiveness of enforcement and trade control measures therein;

6. RECOMMENDS that ,where appropriate, national level measures are in place for the management of imported rhinoceros horn trophies, including addressing the issue of alteration and transfer of such trophies, to ensure that rhinoceros horns acquired as legal hunting trophies remain in lawful possession;

7. DIRECTS the Secretariat, prior to each meeting of the Conference of the Parties, and pending external funding, to commission the IUCN/SSC African and Asian Rhino Specialist Groups and TRAFFIC to submit a report to the Secretariaton:

   a) the national and continental conservation status of African and Asian rhinoceros species,

   b) trade in specimens of rhinoceros,

   c) stocks of specimens of rhinoceros and stock management,

   d) incidents of illegal killing of rhinoceroses,

   e) enforcement issues,

   f) conservation actions and management strategies with an evaluation of their effectiveness; and

   g) measures implemented by implicated States to end the illegal use and consumption of rhinoceros parts and derivatives;

8. REQUESTS the IUCN/SSC African and Asian Rhino Specialist Groups and TRAFFIC to engage with range and implicated States as appropriate, as well as with the UNEP World Conservation Monitoring Centre, when producing the report, and to reflect the outcomes of these consultations in their reporting pursuant to this Resolution;

9. DIRECTS the Secretariat to:
   a) make an aggregated summary of the rhinoceros horn stock declarations of Parties available to the IUCN/SSC African and Asian Rhino Specialist Groups and TRAFFIC for analysis and inclusion in their reporting to the Secretariat pursuant to the Resolution;
   b) make the report of the IUCN/SSC African and Asian Rhino Specialist Groups and TRAFFIC available at each meeting of the Conference of the Parties; and
   c) on the basis of the report, formulate draft decisions for consideration by the Conference of the Parties as appropriate;

10. ENCOURAGES the Parties to support the Secretariat financially, to enable it to commission a report from the IUCN African and Asian Rhino Specialist Groups and TRAFFIC for each meeting of the Conference of the Parties;

11. URGES range States of African and Asian rhinoceroses, implicated States, other Parties and other stakeholders to cooperate with the IUCN/SSC African and Asian Rhino Specialist Groups and TRAFFIC in collecting information and producing the report called for in this Resolution;

12. CALLS upon all governments and intergovernmental organizations, international aid agencies and non-governmental organizations to provide funds to implement rhinoceros conservation activities and the present Resolution to prevent the illegal killing of rhinoceroses and the illegal trade in rhinoceros horn;

13. CALLS for constructive engagement amongst all Parties to the Convention and synergy between the Convention and the IUCN/SSC Rhino Specialist Groups to achieve the aims of this Resolution; and

14. REPEALS the Resolutions listed hereunder:

    a) Resolution Conf. 3.11 (New Delhi, 1981) – *Trade in Rhinoceros Horn*; and

    b) Resolution Conf. 6.10 (Ottawa, 1987) – *Trade in Rhinoceros Products*.

Annex

Form for collection and sharing of data on rhinoceros horn seizures and on samples for forensic analysis

This form consists of six pages and is divided into Parts A, B and C. Please complete all three parts.

It has been developed to assist authorities to immediately bring every seizure of rhinoceros specimens that illegally entered their territories to the attention of authorities in countries of origin, transit or destination of such specimens, to where appropriate, enable follow-up investigations to take place in these countries. For this purpose, Parts A, B and C.1 of this form should be completed when a seizure of illegally traded rhinoceros specimens is made. Parts A and B of this form should be used for law enforcement purposes only, and be used to, where appropriate, share information between agencies responsible for law enforcement, such as police and customs. If the country of origin, transit or destination cannot be determined, the completed form can, if deemed appropriate, be sent to the CITES Secretariat.

Parts C.1 and C.2 of this form should also be completed if samples are collected from seized rhinoceros specimens for forensic analysis. In this case, parts C.1 and C.2 should be completed and sent to the laboratory where the analysis will be conducted, together with the collected samples.

Part A

1. **Record (case, file) number**: _____

2. **Date of seizure**: _____
3. **Country of seizure**: _____
4. **Place of seizure (e.g. airport name, residential address, etc.)**: _____

5. **Reporting agency** (name and address): _____

6. **Contact officer** (name, telephone number, email, address): _____

7. **Reason for seizure** (*please tick*): Illegal: Export ☐ Re-export ☐
Import ☐ Transit ☐ Possession ☐ (Offer for) Sale ☐
Other (*specify*) ☐

_____

_____

8. **Country of origin**[1]**:** _____

9. **Country(ies) of transit**[1]: _____

_____

_____

10. **Country of final destination**[1]: _____

_____

_____

11. **Means of transport** (*please tick*): Air ☐ Land ☐ Post/Courier ☐
Sea ☐ Other ☐ *If your answer is "other", please specify*:

_____

_____

_____

12. **Accompanying documentation** (*please tick*)**:** None ☐ Falsified ☐
Other ☐ *If your answer is "other", please specify:*

_____

_____

_____

13. **Species of rhinoceros** *(if known)*: _____

_____

_____

_____

[1] If the country(ies) of origin, transit or destination is not known, please state **Unknown**, otherwise please state whether the country(ies) mentioned is the **Known** or **Suspected** country(ies) of origin, transit or destination.

14. Type of rhinoceros specimen[1] and quantity:

	Number of horns	Weight (kg/g)
Whole raw horn		
	Number of pieces	**Weight (kg/g)**
Worked horn[2]		
Pieces of horn		
Skin		
		Weight (kg/g)
Powdered horn		
		Weight (kg/g)
Other		

[1] For "Worked horn", " Powdered horn" and "Other", please provide detailed information about what was seized in Part B under Additional information.

[2] Worked horn should be interpreted to mean rhinoceros horn that has been carved, shaped or processed into a product, for example into a libation cup, jewellery, etc.

Part B

15. **Record (case, file) number (*as provided in Part A*):** _____

Particulars of arrested offender included below

☐ Particulars of suspected offender included below ☐ No information about offenders available ☐ Other ☐

16. *If your answer is "other", please specify:* _____

_____

_____

_____

_____

Identity of person(s) involved:[1]

a) Family name / Surname _____

b) First name (s) _____

c) Alias(es) _____

d) Sex _____

e) Nationality _____

f) Passport or ID number _____

g) Date of birth _____

h) Permanent address _____

_____

_____

i) Profession _____

j) Other information (telephone number, vehicle, etc.) _____

_____

[1] Please complete a separate copy of this page for each person.

k) Subject's role in the offence, e.g. unknown, courier, dealer, etc.

Method of discovery:

Circumstances under which the seizure was made and method of discovery, e.g. a random check, a long term investigation, X-ray, house search, road check etc.

Modus operandi

Technique of concealment, type of packaging, etc.

Additional information

Please provide any additional information concerning the seizure deemed to be relevant, for example if there is a connection to other cases, for worked horn, what types of items were seized, e.g. libation cup, jewellery, etc.

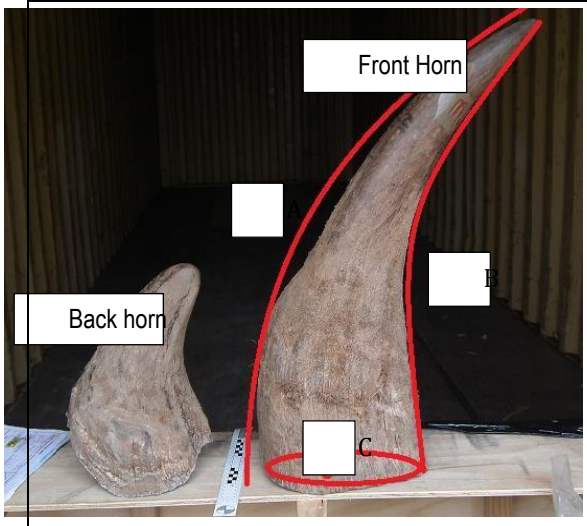
Part C

Record (case, file) number (*as provided in Part A*)	

Note:

- Please complete a separate copy of this page for each whole raw rhinoceros horn seized.
- For worked horn, pieces of horn, skin, powdered horn or other specimens, please include as an Annex to Part C, detailed information about what was seized and, as applicable, information on the weight, length, breadth and height of each seized item.
- Please provide information about any marks, microchip number(s), or any other relevant information about the seized specimens, where available.
- Include a photograph of each seized rhinoceros specimen.

Part C.1

Whole Raw Horn[1]		
	**Front horn or back horn?**	
	A - Outer length (indicate measurement unit)	
	B - Inner length (indicate measurement unit)	
	C - Circumference base (indicate measurement unit)	
	Weight (indicate weight unit)	
	Microchip number(s) *	
	Images taken (Y/N)	

***** *If possible, check whether a microchip is present in the horn by using an appropriate microchip reader.*

[1] Please refer to the image for guidance on the measurement of the front and back horn for outer length, inner length and circumference.

Inspect the rhinoceros horn for any numbering that might be punched or written on it, and for any other relevant markings. Record these in detail.		
Have samples been or will they be collected from any of the seized rhinoceros specimens for forensic analysis?	Yes	No
Note: If your answer is "Yes", please complete Part C.2 below. After completion, please make a copy of Parts C.1 and C.2 of this form. These copies should be sent together with the collected samples, to the laboratory where the analysis will beconducted.		

Part C.2

Record (case, file) number (*as provided in Part A*)	

Please provide the following:

a) Name of the laboratory to which the samples will be sent:	
b) Date of sampling	
c) Details of the officer investigating the case	
Name	
Department and designation	
Telephone number	
Email address	
d) Details of the person who collected the samples:	
Name	
Department and designation	
Telephone number	
Email address	
e) DNA sample reference number:	
f) Evidence bag number:	
g) Signature of the person that collected the samples:	

Conf. 9.19 (Rev. CoP 15)*

以出口为目的附录Ⅰ植物人工培植标本的苗圃注册

认识到 公约第七条第4款规定，因商业目的而人工培植的附录Ⅰ物种的标本，应被视为附录Ⅱ物种的标本；

认识到 植物的人工培植和动物的人工繁育截然不同，尤其在生产标本的数量，及在多数情况下，生产下一代所需的时间方面，因此，需要采取不同的处理方式；

认识到 各缔约方具有管辖本国自然遗传资源的权利；

认识到 对附录Ⅰ物种标本进行的人工培植，能成为原产国传统农业的一种替代性经济形式，也能提高自然分布区对保护的兴趣；

认识到 附录Ⅰ物种的人工培植标本，使得标本容易获得，从而缓解对野生种群的采集压力，进而对保护现状有着积极的作用；

注意到 第五次缔约方大会 (布宜诺斯艾利斯，1985)通过的Conf. 5.15号决议[1]为植物苗圃的注册问题提出了一项动议，但至今没有一个缔约方通知公约秘书处它已进行此类注册；

忆及 为了推动对附录Ⅱ物种和附录Ⅰ物种杂交种人工培植标本的贸易，缔约方大会已经通过了多项决议；

察觉 为确保能继续开展或启动这些附录Ⅰ物种的人工培植，这些推动措施也可能是必要的；

认识到 未经注册的苗圃，可能仍然按照标准程序审办出口许可证，而继续出口附录Ⅰ物种的人工培植标本；

公约缔约方大会

1. 决定：

a) 由各缔约方的管理机构，经与本国科学机构商议，负责对因出口目的而人工培植附录Ⅰ植物种标本的苗圃进行注册；

b) 任何希望对本国因出口目的而人工培植附录Ⅰ物种标本的商业性苗圃进行注册并将注册保留在秘书处的注册名录中的管理机构，应当向秘书处提供为获得并保持这种注册所需的各种适当的信息；

c) 已注册的苗圃出产的人工培植的附录Ⅰ物种的标本，只有在下列情况下才能出口：

i) 此类标本的包装和标签应当与同一批货物中人工培植或野外采集的附录Ⅱ和(或)附录Ⅲ植物能明显区分开来；

ii) 在公约出口许可证上，清楚地注明秘书处颁发的注册号码，如果出口者不是最初提供标本的经注册的苗圃，还应注明该苗圃的名称；

d) 尽管从秘书处的注册名录中取消其管辖范围内某个苗圃是每一个缔约方的权利，

*经第十三次缔约方大会修订，由秘书处在第十四次缔约方大会后修正。经第十五次缔约方大会修订，并由秘书处在第十六次缔约方大会后修正，。

[1]秘书处提请注意：由Conf. 9.18号决议取代，此后又在第十次缔约方大会上被Conf. 9.18 (Rev.)，之后在第十八次缔约方大会上被Conf. 11.11 (Rev. CoP18)取代。

但是任何缔约方如果得知并能证明某个已注册的苗圃未能满足注册的要求，可以向秘书处提议将该苗圃从名录中删除，但秘书处只有在通过与苗圃所在国的管理机构商议后，才能执行此删除；

2. 指示 秘书处对任何注册申请进行审查，并根据缔约方提供的信息，编制和更新一份因出口目的而人工培植附录Ⅰ物种标本的商业苗圃名录，并转发给各缔约方。

附件 1 商业苗圃的作用

公约缔约方大会

1. **决定** 任何希望被列入秘书处注册名录的商业苗圃的所有者或经营者，应该向其所在国管理机构提供下述资料：

   a) 苗圃所有者和经营者的姓名和地址；

   b) 苗圃成立的日期；

   c) 苗圃设施和培植技术的说明；

   d) 苗圃历史背景的描述，尤其要说明过去已培植了哪些物种或植物类群的资料；

   e) 目前正在培植的分类单元 (仅指列入附录Ⅰ的植物)；

   f) 对于来自野外的附录Ⅰ物种亲本基群的情况，包括其数量和合法获得的证据；除非该苗圃符合 Conf. 11.11 (Rev. CoP18)[1]中有关“人工培植”的定义中所界定的条件，是从本国种群野外采集的种子或孢子来培植标本；

   g) 近期预计出口的标本数量。

附件 2 管理机构的作用

公约缔约方大会

1. 决定 每一个管理机构应发挥下列作用：

   a) 通知秘书处对某一人工培植并出口附录Ⅰ物种标本的苗圃进行注册的请求，并提供以下信息：

      i) 相关分类单元的学名 (和同物异名)；

      ii) 关于苗圃设施和培植技术的说明，参照苗圃按附件 1 提供的信息；

      iii) 除下一项所指的情况外，应说明管理机构用以确认亲本基群及其合法来源的程序；

      iv) 如果苗圃使用从该物种本国野生种群采集来的种子或孢子，还应证明 Conf. 11.11 (Rev. CoP15)号决议 4a)和 b)段中设定的条件都得到满足；及

      v) 目前苗圃中所有来自野外的附录Ⅰ物种的任何其他标本的合法来源证据，并能充分保证这些标本是按其国内现有立法得到管制；

   b) 确保在某一注册苗圃中被指定为亲本基群的物种的野外来源标本数量，除自然因素外，不致因人为抛弃而减少，除非管理机构已应注册苗圃的要求，同意将亲本

[1] 由秘书处在第十八次缔约方大会后修正。

基群 (或其部分)转移到另一个已注册的出口苗圃；

c) 确保管理机构或科学机构，或者由管理机构指定的其他有资格的单位，定期派一名专家检查已注册的出口苗圃，以便核查野外来源亲本基群的规模，并将检查结果通知秘书处；及

d) 根据公约第七条第 4 款和 Conf. 12.3 (Rev. CoP18)[2]号决议的规定，制定一套简单的程序，为每一已注册的苗圃发放出口许可证。按照这一程序，公约出口许可证可提前发放，但须注明：

i) 在第 12b 栏，苗圃的注册号码；及

ii) 在第 5 栏，至少包括下面的内容：

本许可证仅对CITES Conf. 11.11 (Rev. CoP18)号决议所定义的人工培植植物有效。

仅对以下分类单元有效。

附件 3 秘书处作用

公约缔约方大会

1. 决定 秘书处应发挥下列作用：

a) 接收并审查管理机构提交的有关因出口目的而人工培植附录 I 物种的苗圃的注册申请；

b) 如认为某一苗圃符合所有要求，在收到申请报告后的 30 天内，在名录中公布苗圃的名称、注册号码和其他有关内容；

c) 如认为某一苗圃尚未符合所有要求，向有关管理机构做出全面的解释，并指出必须满足的具体条件；

d) 接收和审查缔约方提交的有关已注册苗圃的报告，并将审查结论提交植物委员会；

e) 根据主管管理机构的书面要求，将某一苗圃的名称从注册名录中删除；

f) 接收和审查从缔约方或者其他方面针对某一注册苗圃未能满足注册要求而提交的资料，在与苗圃所在国的管理机构商议后，如果适当的话，将苗圃从名录中删除。

[2] 由秘书处在第十六、十七和十八次缔约方大会后修正：原指Conf. 12.3 (Rev. CoP15)号决议。

Conf. 9.19 (Rev. CoP15)*

Registration of nurseries that artificially propagate specimens of Appendix-I plant species for export purposes

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

RECOGNIZING that the artificial propagation of plants is essentially different from captive breeding of animals, in particular with regard to the number of specimens produced, as well as, in most cases, with regard to the time span between generations, and therefore requires a different approach;

RECOGNIZING the rights that each Party holds over its own natural phytogenetic resources;

RECOGNIZING that the artificial propagation of specimens of species included in Appendix I could form an economic alternative to traditional agriculture in countries of origin, and could also increase conservation interest in the areas of natural distribution;

RECOGNIZING that, by making specimens readily available, the artificial propagation of specimens of species included in Appendix I reduces the collecting pressure on wild populations and, thus, has a positive effect on their conservation status;

NOTING that Resolution Conf. 5.15[1], adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985), provided an initiative for plant-nursery registration but that no Party has ever informed the CITES Secretariat that it has implemented such registration;

RECALLING that a number of Resolutions have been adopted to facilitate the trade in artificially propagated specimens of species included in Appendix II and in hybrids of species included in Appendix I;

OBSERVING that such facilitation may also be necessary to ensure that the artificial propagation of species included in Appendix I will continue or be initiated;

RECOGNIZING that nurseries that are not registered may still continue exporting artificially propagated specimens of Appendix-I species using the standard procedures for obtaining export permits;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RESOLVES that:

   a) the responsibility for the registration of nurseries that artificially propagate specimens of Appendix-I plant species for export purposes shall rest with the Management Authority of each Party, in consultation with the Scientific Authority of that Party;

   b) any Management Authority that wishes to register any commercial nursery artificially propagating specimens of species included in Appendix I for export purposes shall provide to the Secretariat, for inclusion in its Register, all appropriate information to obtain and maintain the registration of each such nursery;

   c) artificially propagated specimens of Appendix-I species produced in registered nurseries may only be exported when:

** Amended at the 13th meeting of the Conference of the Parties and corrected by the Secretariat following the 14th meeting. Further amended at the 15th meeting of the Conference of the Parties, then corrected by the Secretariat following the 16th meeting.*

[1] Note from the Secretariat: replaced by Resolution Conf. 9.18, itself replaced by Resolution Conf. 9.18 (Rev.) at the 10th meeting, then by Resolution Conf. 11.11 (Rev. CoP18) at the 18th meeting.

i) they are packed and labelled in such a way that they are clearly separated from artificially propagated or wild-collected Appendix-II and/or Appendix-III plants in the same consignment; and

ii) the CITES export permit clearly states the registration number attributed by the Secretariat and the name of the nursery of origin if it is not the exporter; and

d) notwithstanding the right of each Party to remove a nursery within its jurisdiction from the Register, any Party that becomes aware of, and can demonstrate, a failure of a registered exporting nursery to comply with the requirements for registration may propose to the Secretariat that this nursery be deleted from the Register, but the Secretariat will only make the deletion after consultation with the Management Authority of the Party in which the nursery is located; and

2. DIRECTS the Secretariat to review any application for registration, and to compile and update a Register of commercial nurseries that artificially propagate specimens of Appendix-I plant species for export purposes, on the basis of information received from the Parties, and to communicate this Register to the Parties.

Annex 1 Role of the commercial nursery

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RESOLVES that the owner or manager of any commercial nursery seeking inclusion in the Secretariat's Register shall be responsible for providing the following information to the Management Authority of the country in which it is located:

a) name and address of the owner and manager of the nursery;

b) date of establishment;

c) description of the facilities and the propagation techniques;

d) description of the historical background of the nursery, in particular information on which species or plant groups have been propagated in the past;

e) taxa currently in propagation (Appendix I only);

f) description of the Appendix-I parental stock of wild origin, including quantities and evidence of legal acquisition, unless the nursery is propagating specimens from wild-collected seeds or spores from the national population of the species, in accordance with the conditions specified in Resolution Conf. 11.11 (Rev. CoP18)[2], regarding the definition of 'artificially propagated'; and

g) quantities of specimens expected to be exported in the near future.

Annex 2 Role of the Management Authority

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RESOLVES that each Management Authority shall perform the following functions:

a) communicate to the Secretariat requests to register a nursery artificially propagating and exporting specimens of Appendix-I species and provide the following:

[2] *Corrected by the Secretariat following the 18th meeting of the Conference of the Parties.*

i) information about the scientific names (and full synonymy) of the taxa concerned;

ii) a description of the facilities and propagation techniques of the nursery, as provided by the nursery in accordance with Annex 1;

iii) except in the case referred to in subparagraph iv) below, a description of the inspection procedures used by the Management Authority to confirm the identity and the legal origin of the parental stock;

iv) if the nursery uses wild-collected seeds or spores from the national population of the species, certification that the conditions specified in in paragraphs 4 a) and b) of Resolution Conf. 11.11 (Rev. CoP18) have been met; and

v) evidence of the legal origin of any other specimens of Appendix-I species of wild origin present in the nursery concerned, or adequate assurance that such specimens are controlled under existing national legislation;

b) ensure that the number of specimens of wild origin in a registered nursery designated as parental stock of species in Appendix I is not depleted by the disposal of specimens other than through natural causes, unless the Management Authority consents, on the request of the registered nursery, to the transfer of the parental stock (or of part thereof) to another registered exporting nursery;

c) ensure that the registered exporting nurseries are reviewed on a regular basis by a specialist from the Management or Scientific Authority or other qualified entity appointed by the Management Authority, to certify the size of the parental stock of wild origin, and communicate the results of these reviews to the Secretariat; and

d) design a simple procedure for the issuance of export permits to each registered nursery, in accordance with Article VII, paragraph 4, of the Convention, and with Resolution Conf. 12.3 (Rev. CoP18)[3]. Such a procedure could involve the pre-issuance of CITES export permits on which:

i) in box 12b, the registration number of the nursery is included; and

ii) in box 5, at least the following information is included:

PERMIT VALID ONLY FOR ARTIFICIALLY PROPAGATED PLANTS AS DEFINED BY CITES RESOLUTION CONF. 11.11 (REV. COP18)

VALID ONLY FOR THE FOLLOWING TAXA.

Annex 3 Role of the Secretariat

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RESOLVES that the Secretariat shall perform the following functions:

a) receive from Management Authorities and review applications for registration of nurseries that artificially propagate specimens of Appendix-I plant species for export purposes;

b) when satisfied that a nursery meets all requirements, publish the name, the registration number and other particulars in its Register within 30 days after receipt of the report;

c) when not satisfied that a nursery meets all the requirements, provide the relevant Management Authority with a full explanation and indicate the specific conditions that must be met;

[3] *Corrected by the Secretariat following the 16th, 17th and 18th meetings of the Conference of the Parties: originally referred to Resolution Conf. 12.3 (Rev. CoP15).*

d) receive and review reports on registered nurseries, provided by the Parties, and present summary conclusions to the Plants Committee;

e) delete the name of a nursery from its Register when requested to do so, in writing, by the responsible Management Authority; and

f) receive and review information from Parties or other sources regarding failure of a registered nursery to comply with the requirements for registration and, after consultation with the Management Authority of the Party in which the nursery is located, delete the operation from the Register if appropriate.

Conf. 9.20 (Rev.) *

对遵照Conf. 11.16 (Rev. CoP15)号决议[1]提交的海龟捕养提案进行评估的指南

认识到 作为一条普遍规则，海龟利用至今未以可持续的方式得到开展，并已经导致海龟种群减少；

同时**认识到** 其他因素，如栖息地丧失、污染及附带性的捕捞活动给海龟种群造成了严重影响；

忆及 由第十一次缔约方大会 (吉吉里，2000)通过，并经第十四和十五次缔约方大会 (海牙，2007；多哈，2010)修订的Conf. 11.16 (Rev. CoP15)号决议[1]建议，对于一项因捕养目的而将某物种从附录Ⅰ降至附录Ⅱ的提案，相关的捕养活动“必须主要对当地种群的保护有益”；

注意到 由于其独特的生物学特性，使得海龟的可持续利用非常困难，并给其开发利用带来一些特别的限制，这要求对其使用严厉的控制措施；

认识到 一些国家对海龟产品的需求刺激了海龟非法国际和国内贸易的发生；

注意到 分布国之间开展的合作极大地加强了海龟种群的保护；

理解 由于海龟总是回到一些特定的海滨筑巢产卵，使得分布国在繁殖季节对海龟筑巢生境及产卵雌性个体的保护负有特殊的责任；

认识到 可持续利用对海龟及其生境保护具有潜在的益处；

公约缔约方大会

1. 建议：

a) 任何谋求允许开展海龟捕养产品国际贸易的缔约方需符合公约及 Conf. 11.16 (Rev. CoP15)号决议[2]的要求；

b) 任何谋求按 Conf. 11.16 (Rev. CoP15)号决议 [1] 想将某一海龟种群从附录Ⅰ降至附录Ⅱ的缔约方，需按本决议附件的指南要求提供相关信息；及

c) 任何其海龟种群按本决议和 Conf. 11.16 (Rev. CoP15)号决议 [1] 被降至附录Ⅱ的缔约方需确保具备并执行有关向秘书处进行定期充分报告的程序。对于没有满足这一要求，或不能证明其对种群保护的益处，或不能符合 Conf. 11.16 (Rev. CoP15)号决议 [1] 中其他要求的情况，可以采用该决议第 5 段 d)[3]条款。

附件 对遵照 Conf. 11.16 (Rev. CoP15)号决议 [1] 提交的海龟捕养提案进行评估的指南

1. 资源管理

* 经第十次缔约方大会修订，并由秘书处在第十四和十五次缔约方大会后修正，秘书处根据14.19号决定，及第61次常委会通过的决定进一步修订。

[1] 由秘书处在第十一、十四和十五次缔约方大会后修正，原指Conf. 10.18号决议，后修正为Conf. 11.16号决议，之后为Conf. 11.16 (Rev. CoP14)号决议。

[2] 由秘书处在第十一、十四和十五次缔约方大会后修正，原指Conf. 5.16 (Rev.)号决议，后修正为Conf. 11.16号决议，之后为Conf. 11.16 (Rev. CoP14)号决议。

[3] 由秘书处在第十四次缔约方大会后修正，原指“段c”。

A. 生物学信息

提案应提供其所涉及的整个分布区内每一个种群的生物学、管理、地理范围等信息。地理范围应通过可靠的科学技术得以描述。分布范围是指所有有其种群分布的分布国和水域。

提案应详细说明被作为捕养对象的海龟种群的以下特征：

a) 种群分布 描述种群现有的 (可能的话还包括历史上的)筑巢场所、产卵区及迁徙范围。应详细描述采集龟卵或幼龟的筑巢区。

b) 种群现状和趋势 采用丰富度指数对不同生活周期的种群及其趋势进行描述，尤其要注意种群的年龄/大小结构。

c) 繁殖 对年繁殖率或年繁殖规模 (如产卵数和/或孵化的幼龟数)进行估计或计算。

d) 种群死亡率 对种群的幼龟成活率及人为造成的死亡率予以估计。

B. 国家管理

批准项目提案的前提条件是，有效实施一份国家海龟管理计划。管理计划应包括：

a) 监测。对监测种群趋势及死亡率的年度计划的说明。

b) 栖息地保护。所有重要的筑巢海滨、取食场所及其他重要栖息地应受到保护，避免受到开发、城市化和污染。

c) 捕捞控制。因捕养需要的捕捞对象一般仅限于卵和/或幼龟。应注明每年计划转移到捕养场卵和/或幼龟的数量 (及百分比)。计划捕捞率应以占被捕捞用于捕养的种群自然繁殖数量的百分比表示。

d) 种群保护。人为造成的海龟死亡率，如不受控制的捕捞、渔业生产中的附带捕捞和栖息地污染应得到确定，并应有控制这种死亡率的机制。

e) 阻止捕捞的规定。应提出预知的种群趋势、现状和死亡率或栖息地变化的极限值，超过这一极限将自动停止捕捞，并启动额外的保护措施。

C. 地区性管理

鉴于海龟的迁徙行为，不能将任何国家境内的种群孤立起来考虑。应吸引某种群的主要分布国参与对该种群的任何管理。

提交捕养提案的缔约方应牵头制定并实施一份旨在加强种群保护的地区性管理议定书。

a) 提案应说明，提案国为在相关种群的主要分布国之间发展合作将开展哪些活动。地区性管理应包括以下机制：

   i) 对整个种群分布区及确定的主要捕养区 (如繁殖和筑巢场所)的保护现状予以评估；

   ii) 种群趋势的定期监测，包括对年死亡率源头的评估及对捕养活动影响的评估；

   iii) 对重要筑巢海滨及其他重要栖息地 (如捕食区)的有效保护；

   iv) 必要时对海龟标本捕捞和国内销售活动的管制；及

   v) 足以阻止刺激来源于野生种群的非法贸易发生的有效控制措施。

b) 旨在加强野生海龟保护的地区性管理议定书也应阐述分布国当前采取的保护立法

和贸易控制措施，并提供一个可以发展出更有效的或补充性的贸易控制措施、执法活动及其他保护措施的论坛。

2. 贸易控制

提案国必须采取一切合理的措施，以保证有关来源于或批准的捕养活动中的海龟产品贸易不会刺激来源于其他途径的海龟贸易，并由此对危害到该种群、其他种群或其他海龟物种的生存，并保证其开展的捕养标本贸易不会成为引发上述贸易的原因。因此，提案国应确保在国际贸易获得批准之前，包括其自身及所有捕养海龟产品的目的国都具备充分的监测和报告法律框架及行政措施，以及充分的地方和国家执法能力。特别地，每一个提案国必须：

a) 同意：对其提案所包括的海龟种群，国际贸易仅限于来自在这些种群中捕养的海龟标本，并且有具体的贸易量 (即可以设立限额)，贸易量应能被捕养经营活动得到满足。进口国应提供本国关于控制海龟及其部分和衍生物进口、再出口、占有、出售、购买和运输的国内立法文本，及用来控制现有的这些标本库存的措施。

b) 阐明其用来管制野生海龟捕捞、海龟及其部分和衍生物占有、出售、购买、运输、进口、出口的国内法律和执法机制 (包括那些存在于其任何领土范围和和海外政治领地的国内立法和执法机制)。

c) 对其境内现存的所有海龟及其部分和衍生物库存进行登记，并鼓动建立标记和控制系统，以确保这些物品能被轻易地和来源于获得批准的捕养场的类似物品区分开来。

d) 说明对所有来源于已获批准的捕养场的部分和衍生物的标记和跟踪程序，这些程序使得对捕养产品能进行明确的鉴定，包括产品及包装的标记方法、包装类型、运输方法、运货路线、产品文件、产品安全储量、直至离境港口的货运单控制、产品最大的年出口量 (限额)的说明。

3. 捕养场

为满足Conf. 11.16 (Rev. CoP15)号决议[4]段落2 de) 款ii)项[5]的建议，提案国应提供以下信息：

a) 财务运行。捕养场所有者的身份、一份包括市场需求和生产目标的业务和财务计划。

b) 物质条件。按照技术和专业标准，说明以下内容：

   i) 捕养场所，包括地理位置、设计和布置、规模大小和技术规格；

   ii) 用来维持捕养动物、食物储存、检疫、宰杀加工、冷藏和冷冻的设施；

   iii) 海水来源，包括循环、过滤、废物处理、和质量控制系统；及

   iv) 职员，包括技术和管理人员数量及资格，还有支持性员工的数量。

c) 操作程序，包括：

   i) 种源采集，包括种源采集场所、采集和转移标本的方法、标本 (如卵和幼龟)

[4] 由秘书处在第十一、十四和十五次缔约方大会后修正，原指Conf. 10.18号决议，修正为Conf. 11.16号决议，之后为Conf. 11.16 (Rev. CoP14)号决议。

[5] 由秘书处在第十一、十四和十五次缔约方大会后修正，原指Conf. 10.18号决议，后修正为Conf. 11.16号决议，之后为Conf. 11.16 (Rev. CoP14)号决议。

的年龄和大小等级、采集季节、每年采集的标本数量、所采集的标本量占每年繁殖量的百分比、处理及向捕养场运输的方法、采集和运输过程中的受伤及死亡水平；

ii) 种源比率，包括每公升海水和每平方米海洋表面内的海龟数量或重量；

iii) 生产进度表，包括以年龄和大小等级表示的生产轮廓、生长速度、用来鉴定捕养种源的方法、不包括采集在内的筛选方法、未采集个体死亡的报告、未采集的死亡个体的尸体处理方法、以年龄和大小等级表示的每年可收获的标本数量；

iv) 喂食，包括食物来源、通常的营养组成、添加剂和污染物评估、及喂食法 (数量、频率和分配方法)；

v) 卫生保健，包括卫生监测方法、兽医护理及治疗程序；及

vi) 宰杀程序，包括标本选择、收集标本并将其转运到加工地点的方法、人道的宰杀技术、加工技术、废物处理。

d) 记录保持，对捕养场所持记录进行监督和监测的程序。

e) 效益，包括当地人如何从捕养获得收益。

4. 种群受益情况的简要总结

提案国应对那些能阻止因恢复合法贸易而产生的有害影响的立法和执法机制进行简要总结，并对因捕养而待捕获的种群实施的管理行动，包括地区性管理议定书所产生或将会产生的效益进行简要说明。

5. 报告

遵照本决议而获准将本国海龟种群从附录 I 降至附录 II 的提案国应在其年度报告中包括下列更新的内容：

a) 种群状况和趋势；

b) 提供筑巢生境的海滨地的任何变化；

c) 执法工作中发生的任何变化；及

d) 用来保护和管理海龟资源的合作协议的修订情况。

报告也应详细说明在发展和执行有效地区管理议定书过程中的真实情况和所取得的进展

Conf. 9.20(Rev)* Guidelines for evaluating marine turtle ranching proposals submitted pursuant to Resolution Conf. 11.16 (Rev. CoP15)[1]

RECOGNIZING that, as a general rule, use of sea turtles has not been conducted in a sustainable manner and has led to the decline of sea turtle populations;

RECOGNIZING also that other factors such as habitat loss, pollution and incidental catch are seriously impacting sea turtle populations;

RECALLING that Resolution Conf. 11.16 (Rev. CoP15)[1] adopted by the Conference of the Parties at its 11th meeting (Gigiri, 2000) and amended at its 14th and 15th meetings (The Hague, 2007; Doha, 2010), recommends that, for a proposal to transfer a species from Appendix I to Appendix II for the purpose of ranching, the operation "must be primarily beneficial to the conservation of the local population";

NOTING that the unique biology of sea turtles makes their sustainable use difficult and imposes special restraints on their exploitation, which require the application of rigorous controls;

RECOGNIZING that the demand for marine turtle products in some States stimulates illegal trade both nationally and internationally;

NOTING that the cooperation of range States greatly enhances the conservation of marine turtle populations;

UNDERSTANDING that, because of the behaviour of marine turtles of returning to specific beaches to nest, range States have a special responsibility to protect marine-turtle nesting habitat and nesting females during the breeding season;

RECOGNIZING that sustainable use may have potential benefits for the conservation of marine turtles and their habitats;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that:

   a) any Party seeking to allow international trade in products of sea turtle ranches satisfy all the requirements of the Convention and Resolution Conf. 11.16 (Rev. CoP15)[2];

   b) any Party seeking to transfer a marine turtle population from Appendix I to Appendix II pursuant to Resolution Conf. 11.16 (Rev. CoP15)[1] provide information in accordance with the guidelines contained in the Annex to the present Resolution; and

   c) any Party whose population of marine turtles is transferred to Appendix II pursuant to the present Resolution and Resolution Conf. 11.16 (Rev. CoP15)[1] ensure that procedures for regular adequate reporting to the Secretariat exist and are implemented. Failure to satisfy this requirement and to demonstrate conservation benefit to the population or compliance with other requirements of Resolution Conf. 11.16 (Rev. CoP15)[1] may result in the application of paragraph 5 d)[3] of that Resolution.

** Amended at the 10th meeting of the Conference of the Parties, corrected by the Secretariat following the 14th and 15th meetings, and further amended by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 61st meeting of the Standing Committee.*

[1] Corrected by the Secretariat following the 11th, 14th and 15th meetings of the Conference of the Parties: originally referred to Resolution Conf. 10.18, later corrected to Resolution Conf. 11.16, then to Resolution Conf. 11.16 (Rev. CoP14).

[2] Corrected by the Secretariat following the 11th, 14th and 15th meetings of the Conference of the Parties: originally referred to Resolution Conf. 5.16 (Rev.), later corrected to Resolution Conf. 11.16, then to Resolution Conf. 11.16 (Rev. CoP14).

[3] Corrected by the Secretariat following the 14th meeting of the Conference of the Parties: originally referred to "paragraph c)".

Annex Guidelines for evaluating marine turtle ranching proposals submitted pursuant to Resolution Conf. 11.16 (Rev. CoP15)[1]

1. Resource management

A. Biological information

The proposal should provide information on the biology, management and geographic extent of each population that will be affected throughout its range. Geographic extent should be described using sound scientific techniques. Range is defined as all the range States and waters in which the population occurs.

The following characteristics of the population of marine turtles that is the subject of the ranching proposal should be detailed:

a) Population distribution. Describe the current (and, if possible, the historical) nesting grounds, feeding areas and migratory range of the population. Nesting areas from which eggs and/or hatchlings are to be taken should be described in detail.

b) Population status and trend. Describe the population and its trend using indices of abundance for the different life stages with particular attention to the age/size structure of the population.

c) Reproduction. Provide an estimate or calculation of the annual reproductive rate or size of the annual production (e.g. numbers of eggs and/or hatchlings).

d) Population mortality. Provide an estimate of hatching success and estimates of human-induced mortalities of the population.

B. National management

A prerequisite for approval of a ranching proposal will be the effective implementation of a national management plan for marine turtles. The plan should include:

a) Monitoring. A description of the annual programme to monitor population trends and mortality rates.

b) Habitat protection. All important nesting beaches, feeding grounds and other significant habitats should be protected from disruption including development, urbanization and pollution.

c) Harvest regulation. Harvesting for ranches should normally be restricted to eggs and/or hatchlings. The annual numbers (and percentage) of eggs and/or hatchlings proposed for removal to the ranch must be specified. The proposed harvest rate should also be presented as a proportion of the natural production of the population being harvested for ranches.

d) Protection of the population. Human-induced mortality of marine turtles, such as uncontrolled harvests, incidental catch in fisheries and pollution of habitat should be identified and mechanisms be in place to control such mortalities.

e) Rules for stopping harvests. Predetermined threshold values of population trends and changes in status, mortality or habitat should be proposed, the passing of which would automatically trigger the suspension of harvests, and the initiation of additional conservation measures.

[1] *Corrected by the Secretariat following the 11th, 14th and 15th meetings of the Conference of the Parties: originally referred to Resolution Conf. 10.18, later corrected to Resolution Conf. 11.16, then to Resolution Conf. 11.16 (Rev. CoP14).*

C. Regional management

Because of the migratory behaviour of marine turtles, that segment of the population occurring within the jurisdiction of any one State can not be considered in isolation. Any management of the population should involve the range States sharing the majority of the population.

A Party submitting a ranching proposal shall take the lead in the development and effective implementation of a regional management protocol designed to enhance the conservation of the population.

a) Activities undertaken by the proponent to develop cooperative regional management among the range States sharing the majority of the population should be described. Regional management should entail cooperative mechanisms for:

   i) assessment of the conservation status of the population throughout its range and identification of key recruitment areas (e.g. breeding and nesting sites);

   ii) regular monitoring of population trends, with an assessment of sources of annual mortality, including the impact of the ranching operation;

   iii) effective protection of important nesting beaches and other essential habitats (e.g. feeding areas);

   iv) regulating, where necessary, harvests and domestic sale of marine turtle specimens; and

   v) effective controls, sufficient to prevent the stimulation of illegal trade in products from wild populations.

b) The regional management protocol designed to enhance conservation of the marine turtles in the wild should also document existing conservation legislation and trade controls by range States and provide a forum through which more effective or complementary trade controls, enforcement activities and other conservation measures may be developed.

2. Trade controls

Proponents must take every reasonable measure to ensure that the trade in products from approved ranches does not stimulate an increase in trade from other sources in a manner detrimental to the survival of the population, other populations or other species of marine turtle, or serve as a cause for such trade. Therefore, before international trade is authorized, the proponent Party should ensure that both it and any country to which the products of the ranching operation are destined have adequate legal frameworks and administrative measures for monitoring and reporting, and adequate local and national enforcement capabilities. In particular each proponent Party must:

a) Agree that exports of marine turtle products derived from the population covered by its proposal will be restricted to those from the ranching operation, in specified amounts (i.e. a quota may be set) that can be met by proposed ranch production. Importing States shall undertake to provide documentation of their domestic laws to regulate the import, re-export, possession, sale, purchase and transport of marine turtles and their parts and derivatives, and the measures taken to control existing stockpiles of such specimens.

b) Document its domestic laws and enforcement mechanisms (including those in any territories and overseas political units) that regulate the taking of marine turtles from the wild and the possession, sale, purchase, transport, import and export of marine turtles, and their parts and derivatives.

c) Undertake registration of any existing stockpiles of marine turtle parts and derivatives held within its territorial jurisdiction, and instigate marking and control systems to ensure that such items are readily distinguishable from similar items deriving from approved ranches.

d) Describe marking and tracking procedures for all parts and derivatives from approved ranches that will allow the unambiguous identification of ranch products, including methods for marking products and packages, packaging types, transport methods, shipping routes, product documentation, secure storage of products, inventory control up to the point of export and specification of the maximum quantities of products (quotas) to be exported annually.

3. The ranching operation

To satisfy recommendation in paragraph 2 d) ii)[1] of Resolution Conf. 11.16 (Rev. CoP15)[2], the proponent should provide information on:

a) Financial operation. Identity of the owners and a business and financial plan taking account of market demand and production goals and objectives.

b) Physical plant. In accordance with technical and professional standards, descriptions of:

   i) site, including geographical location, lay-out, size and technical specifications;

   ii) facilities for maintaining stock, food storage, quarantine, slaughter and processing, refrigeration and freezing;

   iii) sea-water source, including circulation, filtration, waste disposal and quality control systems; and

   iv) staff, including numbers and qualifications of technical and management personnel and numbers of support staff.

c) Operating procedures, taking account of:

   i) stock collection, including location of source sites, methods used in collection and removal of specimens, age- and size-classes of specimens (e.g. eggs, hatchlings), collecting seasons, number of specimens to be collected each year and the proportion of natural annual production that the harvest represents, methods of handling and transport to the ranching operation, and injury levels and mortality during collection and transport;

   ii) stocking rates, including the number or weight of turtles per 1,000 litres of sea-water and square metres of surface area;

   iii) production schedules, including production profiles by age- and size-class, growth rates, methods used to identify ranch stocks, culling procedures exclusive of harvesting, reports of non-harvest mortality, methods of disposal of carcasses from non-harvest mortality and number of specimens by age- and size-class that will be harvested each year;

   iv) feeding, including sources of feed, general nutritional composition, evaluation of additives and contaminants, and feeding regimen (amount, frequency and method of distribution);

   v) health care, including monitoring methods, veterinary care and treatment procedures; and

   vi) slaughter procedures, including specimen selection, methods used to collect and transport specimens to the processing site, humane slaughter technique, processing techniques and waste disposal.

d) Record keeping, indicating procedures followed in inspecting and monitoring records maintained by the ranching operation.

e) Benefits, indicating how local people would benefit from the operation.

4. Summary statement describing benefit to the population

Proponents should summarize the legal and enforcement mechanisms that will prevent detrimental impact of the renewal of legal trade and summarize the benefits resulting or expected to result from the management actions implemented for the population to be harvested for ranches, including regional management protocols.

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[1] *Corrected by the Secretariat following the 11th meeting of the Conference of the Parties: originally referred to "paragraph e) ii)".*

[2] *Corrected by the Secretariat following the 11th, 14th and 15th meetings of the Conference of the Parties: originally referred to Resolution Conf. 10.18, later corrected to Resolution Conf. 11.16, then to Resolution Conf. 11.16 (Rev. CoP14).*

5. Reporting

Proponents that achieve a transfer of their national population of marine turtles from Appendix I to Appendix II subject to this Resolution should include in their annual reports updated information on:

a) population status and trends;

b) any change in the area of beaches that provide suitable nesting habitat;

c) any change in enforcement effort; and

d) amendments to cooperative agreements to preserve and manage the marine turtle resource.

Reports should also detail the nature of and progress in developing and implementing effective regional management protocols.

Conf. 9.21 (Rev. CoP18)*

附录Ⅰ物种限额的解释和应用

忆及 第六次缔约方大会 (渥太华，1987)通过的Conf. 6.7号决议，呼吁缔约方在遵照公约第十四条而采取更为严格的国内措施 (此类措施可能会影响到野生动植物的贸易)之前，与分布国进行商议；以及第八次缔约方大会 (京都，1992)通过，并经第十六次缔约方大会(曼谷，2013)修订的Conf. 8.21 (Rev. CoP16)号决议†要求限额提案国和分布国彼此进行商议；

忆及 第八次缔约方大会 (京都，1992)通过并经第十三次缔约方大会 (曼谷，2004)修订的Conf. 8.3 (Rev. CoP13)号决议，承认利用野生动植物的益处，第十六次缔约方大会(曼谷，2013)通过并经第十七次缔约方大会(约翰内斯堡，2016)修订的Conf. 16.7 (Rev. CoP17)关于非致危性判定的决议，及第十七次缔约方大会(约翰内斯堡，2016)通过的Conf. 17.9关于列入附录I或附录II的物种的狩猎纪念物贸易的决议；

忆及 第十次缔约方大会通过并经第十四次缔约方大会(海牙，2007)修订的Conf. 10.15 (Rev. CoP14)关于建立捻角山羊狩猎纪念物限额的决议，第十三次缔约方大会通过并经第十四和十八次缔约方大会(海牙，2007；日内瓦，2019)修订的Conf. 13.5 (Rev. CoP18)关于黑犀狩猎纪念物出口限额的建立的决议，及第十次缔约方大会采纳并经第十六次大会(曼谷，2013)修订的Conf. 10.14 (Rev. CoP16)关于个人用豹类狩猎纪念物和皮张的限额的决议[1]；

特别忆及 公约的前言声明，各国人民和国家是而且应该是本国野生动植物最好的保护者；

忆及 第四次缔约方大会 (哈博罗内 1983)通过，并经第十、十二、十三、十五、十六和十八次缔约方大会 (哈拉雷，1997；圣地亚哥，2002；曼谷，2004；多哈，2010；曼谷，2013；日内瓦，2019)修订的Conf. 4.6 (Rev. CoP18)号决议‡建议，提交缔约方大会审议的任何文件，至少应在会前150天通知秘书处；

认识到 1992年里约热内卢召开的联合国环境与发展大会呼吁，并体现在《生物多样性公约》中的合作和共同行动的至高无上的重要性；

意识到 缔约方已经为诸如猎豹(*Acinonyx jubatus*)、捻角山羊(*Capra falconeri*)、黑犀(*Diceros bicornis*)和豹(*Panthera pardus*)等附录I所列物种的标本设定了出口限额；

意识到 多数缔约方都理解，且实际的确如此，只要出口是在限额规定的范围之内，缔约方制定的限额能满足这样的要求，即某一标本的出口将不致危害有关物种的生存，同时该标本的进口意图将不致危害有关物种的生存；

也**意识到** 某些缔约方未能遵循这一大多数缔约方的理解，这给分布国的物种保护带来消极影响；及

考虑到 动物委员会在确定附录I所列物种的限额限额设定是否不致危害其生存方面可发挥重要的咨询作用；

公约缔约方大会

1. **同意：**

   a) 希望为列入附录I的物种建立限额或是修订已有限额的任何缔约方，应在召开缔约

* 经第十三次缔约方大会修订，由秘书处在第十五次缔约方大会后修正，并根据14.19号决定，及第61次常委会会议的决定进一步修正，又由秘书处在第十六次缔约方大会后修正，并经第十八次缔约方大会修订。

† 由秘书处在第十六次缔约方大会后修正，原指Conf. 8.21号决议。

‡ 由秘书处在第十五、十六、十七和十八次缔约方大会后修正，原指Conf. 4.6 (Rev. CoP13)号决议。

方大会至少150天前，向秘书处提交提案，并提供支持性文件，包括拟议限额的科学基础详情；及

b) 一旦缔约方大会为某一特定附录I物种制定一个出口限额，只要不超出限额，且没有新的科学和管理数据，表明该物种的种群数量无法维持商定的限额，缔约方的这一行动就满足了公约文本第三条，有关科学机构判定出口不危害物种生存，及进口的目的不危害物种生存的要求；及

2. **指示** 常委会和动物委员会定期(如有必要，每九年或更短)回顾缔约方大会所指定的附录I所列物种限额。如果出现了新的科学或管理数据，表明有关分布国的物种种群无法再维持商定的限额，与分布国商议，以便找到所提出的任何关切问题的解决办法，适当时，提出修订限额的建议。

Conf. 9.21 (Rev. CoP18)*

Interpretation and application of quotas for speciesincluded in Appendix I

RECALLING Resolution Conf. 6.7, adopted at the sixth meeting of the Conference of the Parties (Ottawa, 1987), calling on Parties to consult with range States prior to taking stricter domestic measures pursuant to Article XIV which may interfere with trade in wild animals and plants, and Resolution Conf. 8.21 (Rev. CoP16)[1], adopted at the eighth meeting of the Conference of the Parties (Kyoto, 1992) and revised at its 16th meeting (Bangkok, 2013), requiring consultation between proposing States and range States;

RECALLING Resolution Conf. 8.3 (Rev. CoP13), adopted at the eighth meeting of the Conference of the Parties and amended at the 13th meeting (Bangkok, 2004), recognizing the benefits of the use of wildlife, Resolution Conf. 16.7 (Rev. CoP17) on *Non-detriment findings*, adopted at the 16th meeting of the Conference of the Parties (Bangkok, 2013) and amended at its 17th meeting (Johannesburg, 2016), and Resolution Conf. 17.9 on *Trade in hunting trophies of species listed in Appendix I or II*, adopted at the 17th meeting of the Conference of the Parties (Johannesburg, 2016);

RECALLING Resolution Conf. 10.15 (Rev. CoP14) on *Establishment of quotas for markhor hunting trophies* adopted at the tenth meeting of the Conference of the Parties and amended at the 14th meeting (The Hague, 2007), Resolution Conf. 13.5 (Rev. CoP18) on *Establishment of export quotas for black rhinoceros hunting trophies*, adopted at the thirteenth meeting of the Conference of the Parties and amended at the 14th and 18th meetings (The Hague, 2007; Geneva, 2019), and Resolution 10.14 (Rev. CoP16)[1] on *Quotas for leopard hunting trophies and skins for personal use,* adopted at the tenth meeting the Conference of the Parties and amended at the 16th meeting (Bangkok, 2013);

RECALLING in particular the Preamble to the Convention which states that peoples and States are and should be the best protectors of their own wild fauna and flora;

RECALLING Resolution Conf. 4.6 (Rev. CoP18)[2], adopted at the fourth meeting of the Conference of the Parties (Gaborone, 1983) and amended at the 10th, 12th, 13th, 15th, 16th and 18th meetings (Harare, 1997; Santiago, 2002; Bangkok, 2004; Doha, 2010; Bangkok, 2013; Geneva, 2019), which recommends that the text of any document submitted for consideration at a meeting of the Conference of the Parties be communicated to the Secretariat at least 150 days before the meeting;

RECOGNIZING the supreme importance of cooperative and mutual action as called for at the United Nations Conference on Environment and Development in 1992 at Rio de Janeiro and as embodied in the Convention on Biological Diversity;

AWARE that the Parties have set quotas for the export of specimens of species included in Appendix I, such as cheetah (*Acinonyx jubatus*), markhor (*Capra falconeri*), black rhinoceros (*Diceros bicornis*) and leopard (*Panthera pardus*);

AWARE that it is the understanding and practice of the majority of Parties that the establishment of quotas by the Parties satisfies the required findings that the export of a specimen will not be detrimental

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* *Amended at the 13th meeting of the Conference of the Parties, corrected by the Secretariat following the 15th meeting, further amended by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 61st meeting of the Standing Committee, corrected again by the Secretariat following the 16th meeting, and amended at the 18th meeting of the Conference of the Parties.*

[1] *Corrected by the Secretariat following the 16th meeting of the Conference of the Parties: originally referred to Resolution Conf. 8.21.*

[2] *Corrected by the Secretariat following the 15th, 16th, 17th and 18th meetings of the Conference of the Parties: originally referred to Resolution Conf. 4.6 (Rev. CoP13).*

to the survival of the species and that the import of that specimen will not be for purposes detrimental to the survival of the species, provided that the export is within the limits set in the quota;

AWARE however that the failure of some Parties to adhere to this majority understanding has had negative consequences on the conservation of species by range States; and

CONSIDERING that the Animals Committee can play an important advisory role in the determination of whether a quota set for a species included in Appendix I is non-detrimental to its survival;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. AGREES that:

   a) a Party wishing the Conference of the Parties to establish a quota for a species included in Appendix I, or to amend an existing quota, should submit its proposal to the Secretariat, with supporting information including details of the scientific basis for the proposed quota, at least 150 days before a meeting of the Conference of the Parties; and

   b) whenever the Conference of the Parties has set an export quota for a particular species included in Appendix I, this action by the Parties satisfies the requirements of Article III regarding the findings by the appropriate Scientific Authorities that the export will not be detrimental to the survival of the species and that the purposes of the import will not be detrimental to the survival of the species, provided that the quota is not exceeded and no new scientific or management data have emerged to indicate that the population of the species in the range State concerned can no longer sustain the agreed quota; and

2. INSTRUCTS the Standing Committee and the Animals Committee to keep under regular review (every nine years or sooner if determined necessary) quotas for species included in Appendix I established by the Conference of the Parties. If new scientific or management data have emerged to indicate that the population of the species in the range State concerned can no longer sustain the agreed quota, consult with the range State in order to find a solution to any concerns raised including, if appropriate, making recommendations to amend the quota.

Conf. 9.24 (Rev. CoP17)*

附录Ⅰ和附录Ⅱ修订标准

忆及 第九次缔约方大会 (劳德代尔堡，1994)通过的 Conf. 9.24(Rev. CoP 17)号决议建议在第十二次缔约方大会之前对该决议的文本及附件进行全面审查，审查的主要内容是其中标准、定义、注释和指南的科学有效性及其对不同有机体类群的适用性；

忆及 第十二次缔约方大会 (圣地亚哥，2002)在其 12.97 号决定[1]中批准了开展此项审查的程序；

考虑到 公约第二条第 1 款和第 2 款中的基本原则对列入附录Ⅰ和附录Ⅱ的物种做出了规定；

认识到 某一物种如要被列入附录Ⅰ，必须满足生物学和贸易方面的标准；

忆及 公约第二条第 2 款 (a)项规定，那些可能会濒危的物种应被列入附录Ⅱ，以避免发生与其生存不协调的开发利用；

认识到 为正确执行上述条款，有必要通过一份既考虑生物学因素、又考虑贸易状况的标准；

忆及 公约第二条第 2 款 (b)项仅规定，为使依照公约第二条第 2 款 (a)项被列入附录Ⅱ的某些特定物种的贸易能够被置于有效控制之下，其他那些因此目的而必须得到管制的物种也应被列入附录Ⅱ；

考虑到 为使附录Ⅰ物种标本的贸易得到有效控制，上述条款应同样适用；

认识到 遵照缔约方大会通过的相关决议，提案国应自行或由秘书处代为咨询提案物种的分布国，并且按照公约第十五条第 1 款 (a)项规定，秘书处还应咨询所有缔约方；

进一步**认识到** 同样按照这一条的规定，涉及到海洋物种，秘书处还应咨询那些相关职责的政府间组织；

考虑到 秘书处还应向附录修订提案所涉任何物种相关的政府间组织咨询；

忆及 所有野生动植物的国际贸易均受限于本公约；

强调 公约第三次缔约方大会 (新德里，1981)通过的关于需要向发展中国家提供有关公约事务，特别是附录Ⅰ和附录Ⅱ修订标准方面的技术性支持的 Conf. 3.4 号关于技术合作决议之重要性；

注意到 公约确保修订附录的决定是在健全有效和相关科学资料的基础上做出的，考虑到了社会经济因素，且符合得到各方认可的修订提案的生物学和贸易标准；及

认识到 在某些不确定因素的情况下采用里约热内卢环发大会提倡的第 15 条原则，即预防性原则的重要性；

公约缔约方大会

1. **采纳** 下列附件作为本决议不可分割的组成部分：

   附件 1：附录Ⅰ的生物学标准；

*经第十二、十三、十四和十五次缔约方大会修订，秘书处应14.19号决定和第61次常务委员会通过的决定要求再次修订；第十六和十七次缔约方大会进一步修订。

[1]在第十三次缔约方大会上删除。

附件 2a：依照公约第二条第 2 款 (a)项将物种列入附录 II 的标准；

附件 2b：依照公约第二条第 2 款 (b)项将物种列入附录 II 的标准；

附件 3 ：特殊情况；

附件 4 ：预防性措施；

附件 5 ：定义、注解和指南；及

附件 6 ：附录修订提案的格式；

2. **决定** 缔约方在考虑任何附录 I 或附录 II 的修订提案时，应本着预防性措施的态度，并在某一物种的现状或贸易对其保护的影响出现不确定情况时，以最有利于相关物种保护的方式行事，并采用同该物种所面临风险相适应的措施；

3. **决定** 在考虑修订附录 I 和附录 II 提案时，应：

   a) 依据公约第二条第 1 款，如果某一物种确实或可能受到贸易的影响，且至少符合附件 1 所列各项生物学标准中的一项，则该物种应被列入附录 I ；

   b) 任何符合附件 2a 所列标准的物种，按照公约第二条第 2 款 (a)项规定，应被列入附录 II ；

   c) 任何符合附件 2b 所列标准的物种，按照公约第二条第 2 款 (b)项规定，应被列入附录 II ；

   d) 不将单个物种同时列入一个以上的附录；

   e) 不过，可以根据附件 3 所列的相关标准将亚种、种群或其他某物种的次级分类单元同时列入不同附录；

   f) 更高级的分类单元，只有符合附件 3 的相关标准时，才能将其列入附录；

   g) 杂交种只有在野外形成了可区别的稳定种群时，才可被特别列入附录；

   h) 对所有贸易标本均来自人工繁育或人工培植且其野生来源标本的贸易几乎不可能发生的物种，不应将其列入附录；

   i) 对于任何有充分数据证明其不符合附件 1 所列标准的附录 I 物种，只有在合乎附件 4 所列的相关预防性原则时，才能被从附录 I 转到附录 II ；

   j) 对于任何依照公约第二条第 2 款 (a)项规定被列入附录 II 但又不符合附件 2a 所列标准的物种，只有在合乎附件 4 所列的相关预防性原则时，才能被从附录 II 中删除；对于依照公约第二条第 2 款 (b)项规定被列入附录 II 的物种，由于其貌似其他被从附录中删除的物种或因其他相关原因，也应该在合乎相关预防性原则时，才能被从附录中删除；及

   k) 对于任何具有同所涉物种管理相关权限和能力的政府间组织所持之观点，都应该予以考虑；

4. **决定** 附录 I 和附录 II 修订提案应以可获得的最佳资料为基础，并按附件 6 所提供的格式提交；

5. **敦促** 拟提交附录修订提案的缔约方，当存有标准命名方面的任何疑问时，应在报送提案前尽早咨询动物委员会或植物委员会的命名专家；

6. **鼓励** 对于大宗贸易回顾的物种来说，提案国在提交旨在将物种转移到附录Ⅰ或为物种设立零出口限额的提案时，应考虑到大宗贸易回顾的可用结果；

7. **决定** 修订附录Ⅰ或附录Ⅱ的提案的注释应符合缔约方大会的相关决议，准确地指出哪些部分和衍生物，包括那些第一次从分布国出口而出现在国际贸易的标本类型，及主要贸易标本和野外来源的需求，并应尽可能与现有注释相协调；

8. **鼓励** 各缔约方在具备充分的生物学数据时，在附录修订提案的支持性声明中引入定量评估；

9. **决定** 取决于资金情况，为对公约所提供的保护成效进行监测，分布国和提案国应和动物委员会或植物委员会合作，对被列入附录Ⅰ和附录Ⅱ的物种的状况进行定期回顾；

10. **敦促** 各缔约方及与之开展合作的组织，如被要求，在编写附录修订提案、制定管理计划、审查物种被列入附录的成效等方面提供经费和技术支持。在更广阔的生物多样性框架下，为达到这些目的，各缔约方应坦诚利用一切其他可能的国际性机制和手段；及

11. **废除** Conf. 1.3 号决议 (伯尔尼，1976)的部分内容——在某些情况下将物种从附录Ⅱ或Ⅲ删除——第 a)段。

附件 1 附录Ⅰ的生物学标准

下列标准必须同附件 5 中的定义、注解和指南 (包括针对被商业性利用的水生物种使用定义“衰减”所作的脚注)连起来阅读。

某一物种如果符合或可能符合下列标准中之<u>至少一项</u>，则被视作濒临灭绝。

A. 野生种群小，且具有下列特征中之<u>至少一项</u>：

i) 据观察、推断或预测，个体数量或栖息地面积及质量有衰减；

ii) 每一个亚种群都很小；

iii)多数个体会在一个或多个生活史周期内在特定区域集中；

iv)种群规模出现大的短期波动；或

v) 内在因素或外在因素上存在很大的脆弱性。

B. 野生种群分布区域有限并具有下列特征之<u>至少一项</u>：

i) 破碎化或仅在极少数地点有分布；

ii) 分布区域或亚种群的数量具有大的波动性；

iii) 内在因素或外在因素上存在很大的脆弱性；或

iv) 据观察、推断或预测，下列之中任何一项出现下降：

— 分布区面积；

— 栖息地面积；

— 亚种群数量；

— 个体数量；

— 栖息地质量；或

— 补充性种源。

C. 野外种群规模出现明显下降，**属下列两种情况之一即可**：

i) 据观测，下降现象正在发生，或过去曾经发生 (但有重新发生的可能)；或

ii) 以下列中之任何一项为依据，可推断或预测出种群规模的下降：

— 栖息地面积下降；

— 栖息地质量下降；

— 对其开发利用的水平或方式；

— 内在因素或外在因素上存在大的脆弱性；或

— 正在减少的补充性种源。

附件 2a依照公约第二条第 2 款 (a)项将物种列入附录Ⅱ的标准

下列标准必须同附件 5 中的定义、注解和指南 (包括针对被商业性利用的水生物种使用定义“衰减”所作的脚注)连起来阅读。

如果已有的贸易数据及其野生种群现状或趋势方面的信息能显示某物种满足下列两条标准之**至少一项**，则该物种应被列入附录Ⅱ：

A. 据知、据推断或预测，如果不管制该物种的贸易，该物种近期将达到列入附录Ⅰ的标准；或

B. 据知、据推断或预测，为确保从野外获取某物种标本不会导致该物种因持续获取或其他影响而下降到可能威胁其生存的水平，需要对其贸易加以管制。

附件 2b依照公约第二条第 2 款 (b)项将物种列入附录Ⅱ的标准

按照公约第二条第 2 款 b 项规定，某物种如符合下列标准之一，则应被列入附录Ⅱ：

A. 其被贸易的标本形式同附录Ⅰ中某物种的标本、或按公约第二条第 2 款 (a)项规定被列入附录Ⅱ的某物种的标本极为相似，以至于遇到这些物种的执法官员很难将它们区分开；或

B. 除上述标准 A 提到的理由之外，还有其他令人信服的理由能说明需将该物种列入附录，以确保对已列入物种的贸易实行有效控制。

附件 3 特殊情况

分列

考虑到执法方面引发的问题，一般应避免将一个物种列入一个以上的附录 (译者注：此种现象被称作“分列”)。

当分列确已发生，一般也应以国家或区域种群而非亚种作为分列的基本单元。通常，不应允许将某一物种的某些种群列入附录而将其他种群置于附录之外。

对不属于任何国家管辖范围内的物种，如将其列入附录，如果相关国际协定已经有了界定，应使用所用的术语来对其种群加以定义。如果不存在此类国际协定，则附录应使用地区或地理坐标对该物种的种群进行定义。

在附录中不应使用种以下的分类学名称，除非所涉及的分类单元具有很高的独特性且这个名称的使用不会在执法方面引发问题。

更高级的分类单元

如果某一更高级分类单元中所有物种均被列入附录 I 或附录 II，则应以更高级分类单元的名义将这些种列入附录。如果某一更高级分类单元中的某些种被列入附录 I 或附录 II，其他物种被列入另一附录，则后者应以相应更高分类单元的名义被列入附录，并依照相关决议附录注释的使用规定，为后者附加一个适当注释。

在准备将某一更高分类单元列入附录的提案时，鼓励缔约方注明在高级分类单元中任何已灭绝的物种，并明确提议的列入是否包括这些物种。

缔约方拟准备提案，将目前被列在附录 II 的某更高级分类单元中的某一植物物种单独分列到附录 I 时，应考虑：

i) 该植物人工培植的难易程度；

ii) 当前可从人工培植标本对其进行种植的程度；及

iii) 对该物种，尤其是其在贸易中的形态进行鉴别可能存在的任何实际问题。

灭绝物种

灭绝物种通常不应再提议列入附录。已列入附录的灭绝物种如果满足附件 4.D 预防性原则的任意一条，都应保留在附录中。

附件 4 预防性措施

缔约方在考虑任何附录 I 或附录 II 的修订提案时，应本着预防性措施的态度，在物种的现状或贸易对其保护存在不确定影响时，应以最有利于相关物种保护的方式行事，并采用同该物种所面临风险相适应的措施。

A. 1. 任何被列入附录 I 的物种都不能直接被从附录中删除，除非此前已将其从附录 I 转移到了附录 II，并对贸易对该物种造成的影响进行了为期不短于缔约方大会两个休会期的监测，在满足 D 款的相关规定后，灭绝物种可以直接从附录 I 删除，而不需转移至附录 II。

2. 对于附录 I 所列物种，仅在满足以下条件时，才能从附录 I 转移到附录 II：

a) 不符合附件 1 所列相关标准，且满足下列预防性安全措施之一：

i) 物种并非国际贸易的目标，且将其转移到附录 II 不会刺激相关贸易，也不会给其他附录 I 物种的执法带来问题；或

ii) 物种可能是国际贸易的目标，但其管理状况已令缔约方大会对下列问题感到满意：

A) 分布国对公约，特别是第四条所提要求的执行情况；及

B) 适当的执法控制措施及公约的遵守情况；或

iii) 附录修订提案以提案支持性声明部分所述管理措施为依据，必须包括由缔约方大会批准的出口限额或其他特别措施，并具备有效的执法控制措施；或

b) 已经根据相关决议的要求，提供了捕养提案，并获得缔约方大会批准。

3. 如果某一缔约方对附录Ⅰ的某物种提出了保留，由其提出的将此物种从附录Ⅰ转移到附录Ⅱ的提案不应予以考虑。除非该缔约方同意在附录修订被通过后的 90 天之内撤销其保留。

4. 如果某物种被从附录Ⅱ中删除，可能会导致其在不久的将来仍能符合被列入附录的标准，则不应将其从附录Ⅱ中删除。

5. 如果某物种在此前缔约方大会的两个休会期间，被建议列入大宗贸易回顾，以改进其保护状况，则不应将其从附录Ⅱ中删除。

B. 当按照上述 A. 2.ⅲ)段规定将某一物种转移到附录Ⅱ时，应适用下列审查程序：

1. 当植物委员会、动物委员会或某一缔约方发现另一个缔约方在遵守管理措施和出口限额方面存在问题时，应通知秘书处。秘书处如果不能满意地解决这些问题，应将情况通报常委会。常委会在同所涉及的缔约方协商后，可以建议所有缔约方暂停同该缔约方开展公约附录物种的贸易，并/或请保存国政府提出一份将相关种群重新列入附录Ⅰ的提案。

2. 如果动物委员会或植物委员会在审查某个限额及其配套管理措施的过程中发现相应限额及配套措施的执行存在问题或对相关物种具有潜在的危害，相应的委员会应请保存国政府提出一份适当补救措施的提案。

C. 对于依照上述 A. 2.ⅲ)段规定制定的限额：

1. 如果某缔约方希望更新、修改或删除限额，应在下一次缔约方大会提交一份适当的提案供考虑；

2. 如果某一限额的设定是有时限的，限额将在到期后自动变为零限额，直到建立一个新的限额为止。

D. 在下列情况下不能从附录Ⅰ中删除被认为可能灭绝的物种：

1. 再发现时，其可能受到贸易影响；或

2. 其与现存列入附录的物种相似；或

3. 删除其可能导致公约执行上的困难；或

4. 删除这些物种可能使附录的解读更为复杂。

附件 5 定义、注解和指南

注：本附件中提到的数字，仅用作举例，因为分类单元之间存在的生物学差异，不可能给出适用于所有分类单元的数值。

种

在公约第一条，术语“种”被定义为“任何种、亚种，或地理隔离种群”。

“种”和“亚种”系指物种的生物学概念，不需进一步定义。

上述两个术语也涵盖变种。

“地理隔离种群”系指特定地理边界内的某一个物种或亚种。它也可以指种群或是亚种群，或者在特定情况下为方便起见，指渔业管理中所理解的术语“鱼群” (Stock)。

至今为止，缔约方大会一直将“地理隔离种群”解释为被政治地理边界所分隔开的种群，而极少使用其他地理边界。

受贸易影响

下列情况中，物种“是或可能受贸易影响”：

i) 已知存在贸易 (使用公约第一条对“贸易”所作的定义)，并且这种贸易已经或可能会对该物种的现状带来有害影响；或

ii) 被怀疑存在贸易，或存在明显的潜在国际需求，并且这些贸易或国际需求可能对该物种的野外生存造成危害。

分布区域

某物种的“分布区域”是指某一最短且连续的虚构边界内的区域，其边界线的划定可涵盖所有已知、推断或预计有该物种出现的场所，但偶有物种个体游荡或在天然分布区外实施物种引进的地点除外——(尽管对推断和预计的物种个体出现的区域应按预防性方式谨慎处理)。虚构边界内所包含的区域不应包括那些实际上没有该物种出现的重要区域，因此，在确定分布区域时应考虑到物种空间分布的不连续性和间断性。分布区域涵盖物种的出现区域。对迁徙物种而言，分布区域是指该物种在任何生活阶段生存所必需的最小区域 (例如迁徙物种所占的筑巢场所、摄食场所等)。确定某物种是否分布受限在不同分类单元是不同的，应考虑栖息地的特异性、种群密度和特有性等多个因素。

衰减

衰减系指某一物种的丰度、分布面积或栖息地面积的减少。当由于物种自身原因，计算个体数量存在困难时，以栖息地面积作为指标来对衰减进行评估可能更为适当。

衰减有两种表现形式： (i)长期总衰减程度；或 (ii)近期衰减速度。长期总衰减程度是指，以丰度或分布区域的某一基准值为对照，总的估计或推断的递减百分比。近期衰减速度是指，在最近一段时间内，丰度或分布区域的变化百分比。用以估计或推断衰减程度基准值的数据从时间上应尽可能往回推。

判断衰减是否显著在不同分类单元间是有差异的，并且可以通过一系列因素得到验证，例如相关分类单元的种群动力学。显著的历史衰减的一般指南，是衰减程度达到基准值的 5%-30%，取决于不同物种的生物学和生产力。生产力是指种群的最大增长速度，是繁殖生物学、生育力、个体生长速度、自然死亡率、性成熟年龄和寿命等因素的综合作用结果。生产力越高的物种趋向于具有更高的生育力、更快的个体生长速度和更短的世代周期。

5%和 30%的衰减极端值仅适用于相对很少物种，某些物种甚至都达不到或超过这一极端值。总之，这里引用的数字仅仅作为例子，因为不同分类单元的生物学特性不同 ([1] 参见针对被商业性利用的水生物种使用定义“衰减”的脚注)，不可能给出适用于所有分类单元的数值。

近期显著衰减的一个通用指南是，在过去 10 年或三个世代内 (取决于哪个更长)衰减 50%或更多。如果种群较小，则在过去 5 年或两个时代内 (取决于哪个更长)衰减 20%或更多可能更恰当。但是，这里引用的这些数字仅仅作为例子，因为不同分类单元的生物学特性不同，不可能给出适用于所有分类单元的数值。

历史衰减程度和近期衰减速度应结合起来考虑。一般来说，物种的历史衰减程度越大、生产力越低，近期衰减速度就越重要。

在估算或推断历史衰减程度或近期衰减速度时，应考虑所有相关数据。衰减并非必须是仍在进行当中。如果仅有短期数据，但这些数据所反映出来的衰减程度或速度受到关注，上述指南(可推断为必要或相关的)应当依然适用。但是自然波动通常不应被看作是衰减的一部分，除非确有证据，观测到的衰减不应作为自然波动的一部分。在科学数据支撑下的合法捕获项目，能将种群数量降到既定的水平，且没有对该物种造成危害，则该项目或计划所造成的种群减小不属“衰减”这一术语之列。

灭绝

当最后一个个体已经确信死亡，或者对其历史分布区已知的和/或预测的栖息地开展了适当次数 (每日、季度或年度的) 的彻底调查都未能记录到任何个体，该物种就被认为“灭绝”。这些调查的时间应适用于该物种的“生命周期和生命形式”。

[1]针对被商业性利用的水生物种使用定义“衰减”
在海洋和大型淡水水体中，5%-20%区间适用于大多数情况，对于生产力高的物种来说，可使用5%-10%这一区间值；对于生产力中等的物种来说，可使用10%-15%这一区间值；对于生产力低的物种来说，则可以使用15%-20%这一区间值。但部分物种仍会在这一区间值之外。低生产力与低死亡率相关，而高生产力则同高死亡率相关。一个可能用于反映生产力的指标是自然死亡率，每年0.2-0.5的自然死亡率代表着中等生产力。
一般来说，历史衰减程度应作为是否列入附录I的首要标准。但是，当用以估算衰减程度的信息有限时，近段时间内的衰减速度也可以在某种程度上反映出衰减程度。
对于附录Ⅱ物种的列入，应把历史衰减程度同近期衰减速度结合起来考虑。一个物种的历史衰减程度越高，且生产力越低，则该物种的近期衰减速度就越重要。
一个显著的近期衰减速度的通用指标是，衰减速度将会在大约10年的时间内使得当前的种群水平下降到历史衰减程度(如以5%-20%作为捕捞鱼类物种的基准值)。对于历史衰减程度低于50%的种群来说，很少需要对其感到担忧，除非其近期衰减速度已经达到极高的水平。
即便某一种群没有明显衰减，当其衰减程度接近上述附录I建议的衰减程度指南时，可以考虑将其列入附录Ⅱ。考虑到物种的生产力，高于相关衰减程度5%－10%即可被视为“接近”。
近期衰减速度只有当衰减仍在发生或有可能再次发生，并且预计会导致该物种在大约10年内达到附录I的衰减程度指标值时，才具有重要意义。否则，总体衰减程度更重要。如果数据充分，应计算出大约10年期的近期衰减速度。如果只有极少数据，则可以使用更短期间内的年度衰减速度。如果有迹象显示趋势发生变化，应更为重视近期的一贯趋势。
在大多数情况下，只有在预计衰减会继续发生时，才考虑列入附录。
在考虑上面指出的百分比时，需要考虑分类单元间的差异，不同分类单元的生物学，及其他可能影响灭绝风险的因子。根据分类单元的生物学特性、利用方式和分布区域，脆弱性因子(如本附件所列)可能会增加这种灭绝的风险，而部分因子(如绝对数量大或庇护所)则能减轻这种灭绝的风险。

波动

如果种群规模或分布区域的变化范围很大、很快或很频繁，则可以认为种群规模或分布区域的波动幅度很大。判断个体数量存在较大的短期波动应当具有分类单元特异性。例如，它应当取决于分类单元的世代长度。

破碎化

破碎化系指某一分类单元中的大多数个体都是数量较少且相对隔离的亚种群，增加了这些小型亚种群灭绝的可能，并且其获得重建的机会很有限。

世代长度

世代长度是指当前群体 (即种群内新出生的个体)的亲本的平均寿命。因此世代长度反映了种群内繁殖个体的迭代速度。世代长度大于首次繁殖的个体年龄，小于繁殖个体的最大年龄，当然那些整个生命周期中仅繁殖一次的分类单元除外。当世代长度受到威胁而发生变化时，应使用更自然的 (干扰前的)世代长度。

推断或预计的

指利用间接或直接的方法所做的估算。推断既可在直接度量的基础上做出，也可在间接证据的基础上做出。预计包括用推断法来推断将来可能的数值。

近期

这是指可预计或推断某一物种将满足列入附录Ⅰ (除非其已列入附录Ⅱ)的一项或多项标准的一个时期。对不同的分类单元和不同情况，近期时长不同，但应在 5 至 10 年间。

种群问题

种群

种群是指某一物种 (如公约第一条和本附件所定义)的个体总数。

野生种群

野生种群是指某一物种在其分布区域 (如本附件所定义)内自由生活的个体总数。

亚种群

亚种群是指种群中在地理上或其他方面截然不同的群体，相互之间的遗传交换有限。

种群大小

在提出有关某一种群或亚种群大小方面的详细情况时，应清楚地指明所提供的信息是同个体总数的估算值、有效种群大小 (即具有繁殖能力的个体，不包括因环境或行为学或其他原因而在野外的繁殖能力受到抑制的个体)，还是该种群的其他适宜措施、指数或组成有关。

对于在其整个或部分生命周期中在生物学上依赖于其他物种的物种，还应当选用其寄主或相互依赖物种的一些适当的生物学数值。

小型野生种群

判断一个野生种群是否属小型野生种群在不同分类单元中是不同的，并且能够通过一系列因素 (如相关分类单元的种群)得以验证。现已发现，对一些生产力较低但具备评估所需数据的物种，可以将5000作为小型野生种群的恰当指标(但不是阈值)，但对于生产力更高的物种而言，这一数字还可以更高一些。但是，由于不可能给出一个适用于所有分类阶元的数值，上述数值在此也仅作为一个实例。对很多情况，这一数值指标都不适用。

极小型野生种群

判断一个野生种群是否属于极小型野生种群，在不同分类单元中是不同的。现已发现，对一些具备评估所需数据的物种，可以将 500 作为构成一个极小型野生种群的恰当指标 (但不是阈值)。但是，由于不可能给出一个适用于所有分类单元的数值，上述数值在此也仅作为一个实例。对很多情况，这一数值指标都不适用。

补充性种源

补充性种源是指通过有性或无性繁殖添加到一个种群的任何特定的统计类群中的个体总数。

面临灭绝威胁

对面临灭绝威胁的定义如附件 1 所述。面临灭绝威胁的物种的脆弱性取决于其种群的统计学、生物学特征 (如体型大小、营养水平、生活周期、成功繁殖时繁殖结构或社会结构方面的要求)，及由集群习性、种群大小的自然波动和/或居留和迁徙方式等所带来的脆弱性。因此，在这一方面，无法就种群大小或分布区面积而给出适用于所有分类单元的数值标准。

脆弱性

可以将脆弱性定义为：对增加灭绝风险 (尽管考虑了能减轻风险的因素)的内在或外在影响的易感性。在特定的衰减百分比、小种群数量或受限分布的情况下，灭绝风险受到分类单元、具体事件或很多其他因素的影响。这些，可以但不仅限于以下方面：

内在因素

— 生活史 (如低生育力、慢的个体生长速度、高的性成熟年龄、长的世代周期)

— 较低的绝对个体数或生物量，或有限的分布区域

— 种群结构 (年龄/体型大小结构、性比)

— 行为学因素 (如社会结构、迁徙、集群行为)

— 密度 (对固生或半固生的物种而言)

— 特别的生态位要求 (如饮食、生境)

— 物种关系，如共生和其他互为依存的方式

— 遗传多样性减少

— 退化 (即便没有开发利用也倾向于继续衰减)

— 特有性

— 种子散播机制

— 特殊的授粉方式

外在因素

— 被选择移除 (用于补充性种源)

— 来自外来入侵种的威胁 (杂交、疾病传播、捕食等)

— 栖息地退化 (污染、土壤侵蚀、外来入侵种造成的变化等)

— 栖息地丧失/破坏

— 栖息地破碎化

— 苛刻的环境条件

— 疾病威胁

— 迅速的环境变化 (如气候机制转变)

— 随机事件。

附件 6 附录修订提案的格式

以下是提交附录修订提案及其支持性声明材料的指导性说明。为向缔约方大会提供高质量且详细的充分资料，从而使其能够按照同所建议的行动相对应的标准对提案做出决定，应该对提案国进行指导。这意味着相关已发表或尚未发表的资料应得到使用，尽管对一些物种而言，相关的科学资料很有限，而且这意味着基本不可能涵盖提案格式的每个方面。可以利用相关的在生物学上具有相似性的物种来指导评判工作。如果开展了特定研究，获得了提案所需的信息，则应提供这些详细的信息资料，以便各缔约方进行评估。

需要提醒各缔约方的是，提案通常应限制在 12 页篇幅之内 (文献引用除外)。如果提案篇幅长度超过 12 页，提案国则应为提案提供公约工作语言的译文。

A. 提案

提案国应指明对附录的具体修订，及任何相关的注释或标准。提案国应阐明所涉物种满足相关标准的依据。

— 列入附录 I 或从附录 II 转移到附录 I 。阐明满足本决议附件 1 所列的哪些标准。

— 列入附录 II

  — 依据公约第二条第 2 款 (a)项。阐明满足本决议附件 2a 所列的哪些标准。

  — 依据公约第二条第 2 款 (b)项

    — 因外表相似问题的原因 (本决议附件 2b 中的标准 A)。在这种情况下，应在提案的 “补充说明”部分 (C11)指出已被列入附录的相似物种的名称)。

    — 因其他原因 (例如本决议附件 2b 的标准 B 和/或附件 3 中提及的原因)。

— 依据本决议附件 4 述及的预防性措施，从附录 I 转移到 II 。阐明满足本决议附件 2 中的哪些标准；阐明为何不再满足本决议附件 1 所列的标准；阐明本决议附件 4 中所述的哪些措施得到满足或实施。

— 从附录 II 中删除。阐明为何不满足本决议附件 2 中所列的标准。

— 其他行动 (提供说明。例如，对限额的修订)。

注释

如果提议对所列附录加上特定注释，提案国应：

— 确保所建议的注释符合所适用的决议；

— 指明注释的实际意图；

— 针对所涉及的部分和衍生物要具体且准确；

— 为注释中出现的可能不容易被执法人员和使用群体所理解的任何术语提供简洁明了的定义(注意这些定义应该是专门针对公约的，并且根据注释实用性的目的，尽可能在科学上和技术上精准)；

— 确保注释覆盖在贸易和需求中占主导的野生来源的部分和衍生物；

— 使新的注释同现有的注释协调一致；及

— 适当的话，为公约鉴别手册提供辨识表格，阐明注释指定的部分和衍生物。

B. 提案国

依照公约第十五条，只有公约的缔约方才可作为提案国。

C. 支持性声明

1. 分类

提案国应提供足够的信息，以使缔约方大会能清楚地辨别提案对象所属的分类单元。

1.1 纲

1.2 目

1.3 科

1.4 属、种或亚种，包括定名人和定名年代

如果提案所涉及的物种已被列入经缔约方大会批准的某标准名录或命名参考书中，则提案应采用这些名录或命名参考书中所用的名称。如果提案所涉及的物种未被列入经缔约方大会批准的标准文献，提案国则应提供提案中所用名称的出处。

1.5 科学同物异名

如果提案所涉及的物种目前还有其他已被知道的学名或同物异名，提案国还应提供此类信息，特别是在这些名称已被用在相关物种的贸易中时。

1.6 俗名 (适当的话，包括其贸易名称)

1.7 编码

如果提案所涉及的物种已经被列入附录，提案国应引用该物种在 CITES 鉴别手册中的编码。

2. 摘要

指出提案的主要内容。缔约方应引用支持性声明中的主要章节。

3. 物种特征

本部分所要求的信息为有关调查、文献查询及其他相关研究等方面的总结。提案所用的参考文献应列在提案的 12 章节部分。尽管可以理解的是，可用信息和资料的质量可能参差不齐，但这些指导性说明指出了所需信息的类型。如果提案是同某一地理隔离种群或亚种有关，还应考虑，相关的话，生物学上的整个物种，以确定其适当的含义。

3.1 分布

描述该物种当前已知的分布区。如可能，还应提供有关该物种的分布是否连续方面的信息；如果分布不连续，则还应指出其破碎化的程度。

3.2 栖息地

描述该物种所占据的栖息地类型，相关的时候，还应描述栖息地特殊性的程度及该物种整个分布区内每一类型栖息地的范围。

3.3 生物学特征

概要性地说明物种的一般生物学和生命史方面的特征 (如，繁殖情况、补充性种源、存活率、迁徙、性比、再生或繁殖策略等)。

3.4 形态学特征

对物种的形态学鉴别特征予以概要性地描述，包括颜色，并给出能将该物种同紧密相关的其他分类单元区别开的信息。

3.5 物种在生态系统中的作用

如果具备，还应提供有关该物种在其生态系统中作用的信息、其他相关的生态学信息，及提案对物种在生态系统中这种作用的潜在影响。

4. 现状和趋势

本章节包括质量和数字方面的信息，以允许使用过去和当前的趋势对照相关标准来开展评估。在提案的第 12 章节应提及所使用的参考资料。可以理解的是，可用信息资料的质量将各有不同。下列指导性说明指出了如可能应当提供的信息资料类型。如果提案涉及某一地理隔离种群或亚种，则在相关的前提下应考虑生物学上的整个物种，以确定其适当的含义。如果能够，提案还应包括相关的定量分析和种群评估等内容。提案应注明其结论是否以观察、推断或预计为基础得出的。

4.1 栖息地趋势

给出栖息地变化 (如，丧失、退化或调整)的性质、速度和程度，并尽可能注明栖息地破碎化程度及在质量方面发生的可辨别的变化。适当的话，还应描述栖息地变化趋势同种群趋势之间的关系。

4.2 种群规模

可能的话，以最近可用的数据为基础，对当前整个种群或个体总数按不同的年龄段进行估算，或对其他种群丰度的指标进行估算。给出所用数据来源方面的信息。适当的话，还应给出亚种群的数目及其估计的规模。种群规模可通过种群密度、栖息地类型及其他方法因素等参数得到估算。

4.3 种群结构

给出当前种群结构的基本信息，及该结构过去和现在随着时间变化发生的任何变化 (如，社会结构、种群统计学、成体所占百分比和性比等)。

4.4 种群趋势

如果有的话，针对物种丰度过去和当前的发展趋势，应给出基本的、定量的和定性的资料 (并指出资料来源)。并应指出对这些趋势进行估算所对应的时期。如果物种的种群规模在自然情况下会遭受显著波动，应提供资料证明这种波动趋势超出了自然的波动范围。如果在估算这种趋势时使用了世代时间，则还应陈述时如何估算世代时间的。

4.5 地理趋势

如果有的话，应给出在物种分布上当前和过去趋势方面的信息，并指出估算出的这些趋势所对应的时期。如果相关的话，还应提供分布区域波动程度和周期方面的数据。

5. 威胁

说明人为造成的威胁 (如，栖息地丧失和/或退化，过度开发，引进物种、杂交种、毒素和污染物带来的竞争/掠夺/疾病等影响，等等)的性质和强度，如果可能的话，还有这些威胁的相对重要程度。

6. 利用和贸易

6.1 国内利用

给出关于该物种的所有已知开发利用类型和程度方面的资料，如可能，还包括开发利用的趋势。详细说明收获的方法。指出对人工繁育、人工培植和野外标本的开发利用程度。

提供关于任何已知存在的库存的详细信息，及可用来处置这些库存的措施。

6.2 合法贸易

对国际贸易水平进行量化，并明确所用统计资料的来源 (例如海关统计报表、CITES 年度报告数据、联合国粮农组织的数据、行业报告等)。提供对贸易水平所做的推测的依据。给出贸易性质 (例如，以商业目的为主、以活体标本为主、以部分和衍生物为主、以人工繁育或人工培植标本为主等)及所提议的附录修订预计会对贸易性质产生怎样的影响等方面的信息。

6.3 贸易中的部分衍生物

尽可能将部分和衍生物列出，包括贸易中的产品类型，及专门与这些部分和衍生物所对应的海关税码，及开展这些部分和衍生物贸易的主要进口国和出口国。

6.4 非法贸易

尽可能地对非法贸易 (包括国内贸易和国际贸易)的水平进行量化，指出这些贸易的性质。评估此类贸易相对于因国内利用或合法国际贸易而进行的合法采集/猎捕的相对重要性。说明所提的附录修订预计将怎样影响这些贸易的性质。

6.5 实际或潜在的贸易影响

讨论当前和/或将来国际贸易相对于总体开发利用 (也包括国内的)，在作为对所涉物种的威胁方面的重要性。

7. 法律文书

7.1 国内的

提供有关提案所涉物种及其栖息地保护方面的详细立法情况，包括专项立法 (例如濒危物种立法)的或一般立法 (例如野生动植物立法及配套法规)。指出法律保护的性质 (例如，物种是否受到全面保护，或对物种的猎捕和采集是否受到管理或控制)。对该立法在确保物种保护和/或管理方面的成效予以评估。

提供有关调控物种贸易管理的类似立法信息。对该立法在控制物种非法贸易方面的成效予以评估。

7.2 国际的

提供同相关物种保护有关的国际性机制和措施方面的详细信息，包括此类机制和措施所能提供的保护状况。对此类国际性保护机制和措施在确保物种保护和/或合理利用管理方面的成效进行评估。

提供同相关物种贸易管理有关的国际性机制和措施的详细信息。并对这些机制和措施在控制物种非法贸易方面的成效予以评估。

8. 物种管理

8.1 管理措施

提供有关分布国现有的用来管理所涉物种种群的项目的详细信息 (如，受控制的野外采集或猎捕、人工繁育或人工培植情况、重引入、捕养、限额体系，等等)。适当的话，还应包括诸如规划的采集或猎捕速度、为限额制定和实施而规划的种群规模、确保野生动植物管理意见得到考虑的机制等详细情况。

如果适用，还应提供任何用来确保将物种利用收益返还到保护和/或管理项目中去的机制方面的详细情况 (如，定价机制、社区所有权计划、出口税，等等)。

8.2 种群监测

提供现有用来对野生种群状况及野生标本捕获 (采集)量可持续性进行监测的项目详情。

8.3 控制措施

8.3.1 国际的

提供除CITES之外现有用以控制物种标本跨国界转运的措施详情。包括任何已有的关于标记方面的信息。

8.3.2 国内的

提供分布国现有的旨在确保所涉物种野生标本得到可持续采集/猎捕的控制措施详情。如适当，应包括有关教育、遵约和执法活动等方面的信息，并对这些项目的成效进行评估。

8.4 人工繁育和人工培植

如果适用，提供有关商业性人工繁育或人工培植单位的详细信息，包括相关物种在所涉国家境内的种植情况，还包括繁殖基群的规模和生产力，及这些单位在促进保护项目或填补否则要靠野生标本来满足的需求空缺方面所发挥作用的程度。

并对人工繁育或人工培植项目所涉及的任何管理问题进行讨论。还要尽可能提供有关人工繁育或人工培植在所涉国或原产国之外的发展规模。

8.5 栖息地保护

如果有的话，提供同所涉物种栖息地相关的受保护地的数量、大小和类型方面的信息，及受保护地之外的栖息地保护项目的信息。

8.6 安全措施

对于拟将物种从附录Ⅰ转移到附录Ⅱ或从附录Ⅱ删除的提案，或者是关系到实质性注释的提案，应提供任何相关的安全措施。

如果所建议的附录修订很可能会造成针对所涉物种的贸易增加，解释这一后果为何不会导致其他类似物种的非可持续贸易发生。

9. 相似种的资料

给出在贸易中其标本同提案所涉物种标本极相似的物种名称，并说明如何加以区别，尤其要包括贸易中最常见的商品、部分和衍生物的详细特征，并解释能否合理地指望一个见多识广的非专业人员做出可靠的鉴别。详细说明如何解决在区分提案所涉物种同相似种标本 (尤其时贸易中最常见的标本)过程中存在的潜在困难。

10. 协商

详细说明直接或通过 CITES 秘书处同分布国的协商情况及所征得的每一个缔约方对提案的意见。如果提案国已征求分布国意见，但在收到意见时已没有充足的时间将其加入提案的支持性声明部分，提案国则应予以注明并给出征求意见的日期。

对于拟将大宗贸易回顾所审查的物种从附录Ⅱ转移到附录Ⅰ的提案，提案国应同提案可能影响到的分布国进行协商，还有动物委员会或植物委员会。提案国应陈述做出提案的理由。对于通过秘书处开展的同其他缔约方的协商，应将分布国和非分布国的意见分开。

如果还有其他国际协定或政府间机构对提案所涉物种进行管理，应详细说明为从这些组织或机构获得意见而同其开展的协商情况，并指出支持性声明部分是如何陈述这些意见的。如果提案国已征求意见，但在收到意见时已没有充足的时间将其加入提案的支持性声明部分，提案国则应予以注明并给出征求意见的日期。

11. 补充说明

12. 参考文献

Conf. 9.24 (Rev. CoP17)*

Criteria for amendment of Appendices I and II

RECALLING that Resolution Conf. 9.24 (Rev. CoP17), adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994), recommended that the text and the Annexes of that Resolution be fully reviewed before the 12th meeting of the Conference of the Parties with regard to the scientific validity of the criteria, definitions, notes and guidelines, and to their applicability to different groups of organisms;

RECALLING that, at its 12th meeting (Santiago, 2002), the Conference of the Parties approved procedures for this review, laid down in Decision 12.97[1];

CONSIDERING the fundamental principles in paragraphs 1 and 2 of Article II of the Convention, which specify the species to be included in Appendices I and II;

RECOGNIZING that, to qualify for inclusion in Appendix I, a species must meet biological and trade criteria;

RECALLING that Article II, paragraph 2 (a), provides for the inclusion of species that may become threatened with extinction in Appendix II, in order to avoid utilization incompatible with their survival;

RECOGNIZING that, for the proper implementation of this provision, it is necessary to adopt appropriate criteria, considering both biological and trade factors;

RECALLING that Article II, paragraph 2 (b), provides only for the inclusion in Appendix II of species that must be subject to regulation in order that trade in specimens of certain species included in Appendix II in accordance with Article II, paragraph 2 (a), may be brought under effective control;

CONSIDERING, however, that this provision should also apply where there is a need to bring trade in specimens of species included in Appendix I under effective control;

RECOGNIZING that the range States of a species subject to an amendment proposal should be consulted by the proponent, or on its behalf by the Secretariat, in accordance with the relevant Resolutions of the Conference of the Parties, and that all Parties shall be consulted by the Secretariat in accordance with Article XV, paragraph 1 (a), of the Convention;

RECOGNIZING further that, in accordance with the same Article, the Secretariat shall consult intergovernmental bodies having a function in relation to marine species;

CONSIDERING that the Secretariat should also consult other intergovernmental bodies having a function in relation to any species subject to a proposal for amendment;

RECALLING that the international trade in all wild fauna and flora is under the purview of the Convention;

EMPHASIZING the importance of Resolution Conf. 3.4 on *Technical cooperation*, adopted by the Conference of the Parties at its third meeting (New Delhi, 1981), regarding the need to provide technical assistance to developing countries in matters relating to the Convention, and specifically in the application of the criteria for amendment of Appendices I and II;

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* *Amended at the 12th, 13th, 14th and 15th meetings of the Conference of the Parties; amended by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 61st meeting of the Standing Committee; and further amended at the 16th and 17th meetings of the Conference of the Parties.*

[1] *Deleted at the 13th meeting of the Conference of the Parties.*

NOTING the objective to ensure that decisions to amend the Convention's Appendices are founded on sound and relevant scientific information, take into account socio-economic factors, and meet agreed biological and trade criteria for such amendments; and

RECOGNIZING the importance of the application of Rio Principle 15, the Precautionary Approach, in cases of uncertainty;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. ADOPTS the following Annexes as an integral part of this Resolution: Annex 1: Biological criteria for Appendix I;

Annex 2 a: Criteria for the inclusion of species in Appendix II in accordance with Article II, paragraph 2 (a), of the Convention;

Annex 2 b: Criteria for the inclusion of species in Appendix II in accordance with Article II, paragraph 2 (b), of the Convention;

Annex 3: Special cases;

Annex 4: Precautionary measures;

Annex 5: Definitions, explanations and guidelines; and Annex 6: Format for proposals to amend the Appendices;

2. RESOLVES that, by virtue of the precautionary approach and in case of uncertainty regarding the status of a species or the impact of trade on the conservation of a species, the Parties shall act in the best interest of the conservation of the species concerned and, when considering proposals to amend Appendix I or II, adopt measures that are proportionate to the anticipated risks to the species;

3. RESOLVES that, when considering proposals to amend Appendices I and II, the following applies:

a) species that are or may be affected by trade should be included in Appendix I in accordance with Article II, paragraph 1, if they meet at least one of the biological criteria listed in Annex 1;
b) species should be included in Appendix II under the provisions of Article II, paragraph 2 (a), if they satisfy the criteria listed in Annex 2 a;
c) species should be included in Appendix II under the provisions of Article II, paragraph 2 (b), if they satisfy the criteria listed in Annex 2 b;
d) no single species may be included in more than one Appendix at the same time;
e) however subspecies, populations or other subcategories of a species may be included in different Appendices at the same time in accordance with the relevant criteria in Annex 3;
f) higher taxa should be included in the Appendices only if they satisfy the relevant criteria in Annex 3;
g) hybrids may be specifically included in the Appendices but only if they form distinct and stable populations in the wild;
h) species of which all specimens in trade have been bred in captivity or artificially propagated should not be included in the Appendices if there is a negligible probability of trade taking place in specimens of wild origin;
i) species included in Appendix I for which sufficient data are available to demonstrate that they do not meet the criteria listed in Annex 1 should be transferred to Appendix II only in accordance with the relevant precautionary measures listed in Annex 4;

j) species included in Appendix II in accordance with Article II, paragraph 2 (a), that do not meet the criteria listed in Annex 2 a, should be deleted only in accordance with the relevant precautionary measures listed in Annex 4; and species included in accordance with Article II, paragraph 2 (b), because they look like the species subject to the deletion, or for a related reason, should also be deleted only in accordance with the relevant precautionary measures; and

k) the views, if any, of intergovernmental bodies with competence for the management of the species concerned should be taken into account;

4. RESOLVES that proposals to amend Appendices I and II should be based on the best information available and, when appropriate, presented in the format in Annex 6;

5. URGES Parties that are considering the submission of a proposal to amend the Appendices, in cases where there is any doubt regarding the nomenclature to follow, to consult the nomenclature specialist of the Animals Committee or the Plants Committee as early as possible in advance of submitting the proposal;

6. ENCOURAGES proponents that submit proposals to transfer species to Appendix I, or to establish zero export quotas for species under review in accordance with the provisions of the Review of Significant Trade, to take account of the applicable findings of that review;

7. RESOLVES that annotations to proposals to amend Appendix I or Appendix II should be made in accordance with the applicable Resolutions of the Conference of the Parties, be specific and accurate as to which parts and derivatives are covered by the Convention, include those specimens that first appear in international trade as export from range States and that dominate the trade and the demand from the wild resource, and should, to the extent possible, be harmonized with existing annotations;

8. ENCOURAGES Parties, when sufficient relevant biological data are available, to include a quantitative evaluation in the supporting statement of the amendment proposal;

9. RESOLVES that, to monitor the effectiveness of protection offered by the Convention, the status of species included in Appendices I and II should be regularly reviewed by the range States and proponents, in collaboration with the Animals Committee or the Plants Committee, subject to the availability of funds;

10. URGES Parties and cooperating organizations to provide financial and technical assistance, when requested, in the preparation of proposals to amend the Appendices, the development of management programmes, and the review of the effectiveness of the inclusion of species in the Appendices. Parties should be open to using other available international mechanisms and instruments for these purposes in the broader context of biodiversity; and

11. REPEALS part of Resolution Conf. 1.3 (Bern, 1976) – *Deletion of species from Appendix II or III in certain circumstances* – paragraph a).

Annex 1 Biological criteria for Appendix I

The following criteria must be read in conjunction with the definitions, explanations and guidelines listed in Annex 5, including the footnote with respect to application of the definition of 'decline' for commercially exploited aquatic species.

A species is considered to be threatened with extinction if it meets, or is likely to meet, **at least one** of the following criteria.

A. The wild population is small, and is characterized by **at least one** of the following:

i) an observed, inferred or projected decline in the number of individuals or the area and quality of habitat;

ii) each subpopulation being very small;

iii) a majority of individuals being concentrated geographically during one or more life-history phases;

iv) large short-term fluctuations in population size; or

v) a high vulnerability to either intrinsic or extrinsic factors.

B. The wild population has a restricted area of distribution and is characterized by **at least one** of the following:

i) fragmentation or occurrence at very few locations;

ii) large fluctuations in the area of distribution or the number of subpopulations;

iii) a high vulnerability to either intrinsic or extrinsic factors; or

iv) an observed, inferred or projected decrease in any one of the following:

– the area of distribution;
– the area of habitat;
– the number of subpopulations;
– the number of individuals;
– the quality of habitat; or
– the recruitment.

C. A marked decline in the population size in the wild, which has been **either**:

i) observed as ongoing or as having occurred in the past (but with a potential to resume); **or**

ii) inferred or projected on the basis of any one of the following:

– a decrease in area of habitat;
– a decrease in quality of habitat;
– levels or patterns of exploitation;
– a high vulnerability to either intrinsic or extrinsic factors; or
– a decreasing recruitment.

Annex 2 a — Criteria for the inclusion of species in Appendix II in accordance with Article II, paragraph 2 (a), of the Convention

The following criteria must be read in conjunction with the definitions, explanations and guidelines listed in Annex 5, including the footnote with respect to application of the definition of 'decline' for commercially exploited aquatic species.

A species should be included in Appendix II when, on the basis of available trade data and information on the status and trends of the wild population(s), **at least one** of the following criteria is met:

A. It is known, or can be inferred or projected, that the regulation of trade in the species is necessary to avoid it becoming eligible for inclusion in Appendix I in the near future; or

B. It is known, or can be inferred or projected, that regulation of trade in the species is required to ensure that the harvest of specimens from the wild is not reducing the wild population to a level at which its survival might be threatened by continued harvesting or other influences.

Annex 2 b — Criteria for the inclusion of species in Appendix II in accordance with Article II, paragraph 2 (b), of the Convention

Species may be included in Appendix II in accordance with Article II, paragraph 2 (b), if **either one** of the following criteria is met:

A. The specimens of the species in the form in which they are traded resemble specimens of a species included in Appendix II under the provisions of Article II, paragraph 2 (a), or in Appendix I, so that enforcement officers who encounter specimens of CITES-listed species are unlikely to be able to distinguish between them; or

B. There are compelling reasons other than those given in criterion A above to ensure that effective control of trade in currently listed species is achieved.

Annex 3 — Special cases

Split-listing

Listing of a species in more than one Appendix should be avoided in general in view of the enforcement problems it creates.

When split-listing does occur, this should generally be on the basis of national or regional populations, rather than subspecies. Split-listings that place some populations of a species in the Appendices, and the rest outside the Appendices, should normally not be permitted.

For species outside the jurisdiction of any State, listing in the Appendices should use the terms used in other relevant international agreements, if any, to define the population. If no such international agreement exists, then the Appendices should define the population by region or by geographic coordinates.

Taxonomic names below the species level should not be used in the Appendices unless the taxon in question is highly distinctive and the use of the name would not give rise to enforcement problems.

Higher taxa

If all species of a higher taxon are included in Appendix I or II, they should be included under the name of the higher taxon. If some species in a higher taxon are included in Appendix I or II and all the rest in the other Appendix, the latter species should be included under the name of the higher taxon, with an appropriate annotation made in accordance with the provisions of the relevant Resolutions on the use of annotations in the Appendices.

When preparing a proposal to include a higher taxon in the Appendices, Parties are encouraged to note any extinct species in the higher taxon and to clarify whether these are included or excluded from the proposed listing.

Parties contemplating preparing a proposal to transfer an individual plant species from a higher-taxon listing in Appendix II to a separate listing in Appendix I should consider:

i) the ease with which it can be propagated artificially;

ii) the extent to which it is currently available in cultivation from artificially propagated specimens; and

iii) any practical problems in identifying the species, particularly in the form in which it may be traded.

Extinct species

Extinct species should not normally be proposed for inclusion in the Appendices. Extinct species already included in the Appendices should be retained in the Appendices if they meet one of the precautionary criteria included in Annex 4.D.

Annex 4 Precautionary measures

When considering proposals to amend Appendix I or II, the Parties shall, by virtue of the precautionary approach and in case of uncertainty either as regards the status of a species or the impact of trade on the conservation of a species, act in the best interest of the conservation of the species concerned and adopt measures that are proportionate to the anticipated risks to the species.

A. 1. No species listed in Appendix I shall be removed from the Appendices unless it has been first transferred to Appendix II, with monitoring of any impact of trade on the species for at least two intervals between meetings of the Conference of the Parties with the exception that extinct species may be deleted from Appendix I without first being transferred to Appendix II subject to the provisions of paragraph D.

2. Species included in Appendix I should only be transferred to Appendix II:

a) If they do not satisfy the relevant criteria in Annex 1 and when one of the following precautionary safeguards is met:

i) the species is not in demand for international trade, nor is its transfer to Appendix II likely to stimulate trade in, or cause enforcement problems for, any other species included in Appendix I; or

ii) the species is likely to be in demand for trade, but its management is such that the Conference of the Parties is satisfied with:

A) implementation by the range States of the requirements of the Convention, in particular Article IV; and

B) appropriate enforcement controls and compliance with the requirements of the Convention; or

iii) an integral part of the amendment proposal is an export quota or other special measure approved by the Conference of the Parties, based on management measures described in the supporting statement of the amendment proposal, provided that effective enforcement controls are in place; or

b) when a ranching proposal is submitted in accordance with an applicable Resolution and is adopted by the Conference of the Parties.

3. No proposal for transfer of a species from Appendix I to Appendix II shall be considered from a Party that has entered a reservation for the species in question, unless that Party agrees to remove the reservation within 90 days of the adoption of the amendment.

4. No species should be deleted from Appendix II if such deletion would be likely to result in it qualifying for inclusion in the Appendices in the near future.

5. No species should be deleted from Appendix II if, within the last two intervals between meetings of the Conference of the Parties, it has been subject to a recommendation under the provisions of the Review of Significant Trade to improve its conservation status.

B. The following review procedures shall apply when a species is transferred to Appendix II pursuant to paragraph A. 2. iii) above:

1. Where the Plants Committee, the Animals Committee or a Party becomes aware of problems in compliance with the management measures and export quotas of another Party, the Secretariat shall be informed and, if the Secretariat fails to resolve the matter satisfactorily, it shall inform the Standing Committee which may, after consultation with the Party concerned, recommend to all Parties that they suspend trade with that Party in specimens of CITES-listed species, and/or request the Depositary Government to prepare a proposal to transfer the population back to Appendix I.

2. If, on review of a quota and its supporting management measures, the Animals or Plants Committee encounters any problems with compliance or potential detriment to a species, the relevant Committee shall request the Depositary Government to prepare a proposal for appropriate remedial action.

C. With regard to quotas established pursuant to paragraph A. 2. iii) above:

1. If a Party wishes to renew, amend or delete such a quota, it shall submit an appropriate proposal for consideration at the next meeting of the Conference of the Parties.

2. When a quota has been established for a limited period of time, after that period the quota will become zero until a new quota has been established.

D. Species that are regarded as possibly extinct should not be deleted from the Appendices if:

1. they may be affected by trade in the event of their rediscovery; or

2. they resemble extant species included in the Appendices; or

3. their deletion would cause difficulties implementing the Convention; or

4. their removal would complicate the interpretation of the Appendices.

Annex 5 Definitions, explanations and guidelines

NOTE: Where numerical guidelines are cited in this Annex, they are presented only as examples, since it is impossible to give numerical values that are applicable to all taxa because of differences in their biology.

Species

In Article I of the Convention, the term 'species' is defined as "any species, subspecies or geographically separate population thereof".

'Species' and 'subspecies' refer to the biological concept of a species, and do not require any further definition.

The two terms also cover varieties.

'Geographically separate population' refers to parts of a species or a subspecies within particular geographical boundaries. This can also refer to populations or subpopulations, or, for the sake of convenience in certain cases, to 'stocks' as the term is understood in fisheries management.

Until now, the Conference of the Parties has interpreted 'geographically separate populations' as populations delimited by geopolitical boundaries, whereas they have rarely used the other option of geographical boundaries.

Affected by trade

A species "is or may be affected by trade" if:

i) it is known to be in trade (using the definition of 'trade' in Article I of the Convention), and that trade has or may have a detrimental impact on the status of the species; or

ii) it is suspected to be in trade, or there is demonstrable potential international demand for the species, that may be detrimental to its survival in the wild.

Area of distribution

The 'area of distribution' of a species is defined as the area contained within the shortest continuous imaginary boundary which can be drawn to encompass all the known, inferred or projected sites of occurrence, excluding cases of vagrancy and introductions outside its natural range (though inferring and projecting area of occurrence should be undertaken carefully, and in a precautionary manner). The area within the imaginary boundary should, however, exclude significant areas where the species does not occur, and so, in defining an area of distribution, account should be taken of discontinuities or disjunctions in the spatial distribution of species. This encompasses the concept of area of occupancy. For migratory species, the area of distribution is the smallest area essential at any stage for the survival of that species (e.g. colonial nesting sites, feeding sites for migratory taxa, etc.). The determination that a species has a restricted area of distribution is taxon-specific and should take into account considerations such as habitat specificity, population density and endemism.

Decline

A 'decline' is a reduction in the abundance, or area of distribution, or area of habitat of a species. The assessment of decline by reference to area of habitat may be more appropriate where there are intrinsic difficulties in measuring the number of individuals.

Decline can be expressed in two different ways: (i) the overall long-term extent of decline; or (ii) the recent rate of decline. The long-term extent of decline is the total estimated or inferred percentage reduction from a baseline level of abundance or area of distribution. The recent rate of decline is the percentage change in abundance or area of distribution over a recent time period. The data used to estimate or infer a baseline for extent of decline should extend as far back into the past as possible.

The judgement that a decline is marked is taxon-specific and can be justified by a number of considerations, for example the population dynamics of a related taxonomic group. A general guideline for a marked historical extent of decline is a percentage decline to 5%-30% of the baseline, depending on the biology and productivity of the species. Productivity is the maximum percentage growth rate of a population. It is a complex function of reproductive biology, fecundity, individual growth rates, natural mortality, age at maturity and longevity. More-productive species tend to have high fecundity, rapid individual growth rates and high turnover of generations.

The extremes of 5% and 30% will be applicable to only a relatively small number of species, but some species may even fall outside of these extremes. However, both these figures are presented only as examples, since it is impossible to give numerical values that are applicable to all taxa because of differences in their biology ([2]see footnote with respect to application of decline to commercially exploited aquatic species).

A general guideline for a marked recent rate of decline is a percentage decline of 50% or more in the last 10 years or three generations, whichever is the longer. If the population is small, a percentage decline of 20% or more in the last 5 years or 2 generations (whichever is the longer) may be more appropriate. However, these figures are presented only as examples, since it is impossible to give numerical values that are applicable to all taxa because of differences in their biology.

The historical extent of decline and the recent rate of decline should be considered in conjunction with one another. In general, the higher the historical extent of decline, and the lower the productivity of the species, the more important a given recent rate of decline is.

In estimating or inferring the historical extent of decline or the recent rate of decline, all relevant data should be taken into account. A decline need not necessarily be ongoing. If data are available only for a short period and the extent or rate of decline based on these data are cause for concern, the guidelines above (extrapolated as necessary or relevant) should still apply. However, natural fluctuations should not normally count as part of a decline, but an observed decline should not necessarily be considered part of a natural fluctuation unless there is evidence for this. A decline that is the result of legal activities carried out pursuant to a scientifically-based harvesting programme that reduces the population to a planned level, not detrimental to the survival of the species, would not normally be covered by the term 'decline'.

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[2] ***Application of decline for commercially exploited aquatic species***

In marine and large freshwater bodies, a narrower range of 5-20 % is deemed to be more appropriate in most cases, with a range of 5-10 % being applicable for species with high productivity, 10-15 % for species with medium productivity and 15- 20 % for species with low productivity. Nevertheless some species may fall outside this range. Low productivity is correlated with low mortality rate and high productivity with high mortality. One possible guideline for indexing productivity is the natural mortality rate, with the range 0.2-0.5 per year indicating medium productivity.

In general, the historical extent of decline should be the primary criterion for consideration of listing in Appendix I. However, in circumstances where information to estimate the extent of decline is limited, the rate of decline over a recent period could itself still provide some information on the extent of decline.

For listing in Appendix II, the historical extent of decline and the recent rate of decline should be considered in conjunction with one another. The higher the historical extent of decline, and the lower the productivity of the species, the more important a given recent rate of decline is. A general guideline for a marked recent rate of decline is the rate of decline that would drive a population down within approximately a 10-year period from the current population level to the historical extent of decline guideline (i.e. 5-20 % of baseline for exploited fish species). There should rarely be a need for concern for populations that have exhibited an historical extent of decline of less than 50 %, unless the recent rate of decline has been extremely high.

Even if a population is not declining appreciably, it could be considered for listing in Appendix II if it is near the extent-of- decline guidelines recommended above for consideration for Appendix-I listing. A range of between 5 % and 10 % above the relevant extent of decline might be considered as a definition of 'near', taking due account of the productivity of the species.

A recent rate of decline is important only if it is still occurring, or may resume, and is projected to lead to the species reaching the applicable point for that species in the Appendix-I extent-of-decline guidelines within approximately a 10-year period. Otherwise the overall extent of decline is what is important. When sufficient data are available, the recent rate of decline should be calculated over approximately a 10-year period. If fewer data are available, annual rates over a shorter period could be used. If there is evidence of a change in the trend, greater weight should be given to the more recent consistent trend. In most cases, listing would only be considered if the decline were projected to continue.

In considering the percentages indicated above, account needs to be taken of taxon- and case-specific biological and other factors that are likely to affect extinction risk. Depending on the biology, patterns of exploitation and area of distribution of the taxon, vulnerability factors (as listed in this Annex) may increase this risk, whereas mitigating factors (e.g. large absolute numbers or refugia) may reduce it.

Extinct

A species is considered to be 'extinct' when there is no reasonable doubt that the last individual has died or when exhaustive surveys in known and/or expected habitat, at appropriate times (diurnal, seasonal, annual), throughout its historic range have failed to record an individual. Surveys should be over a time frame appropriate to the species' life cycle and life form.

Fluctuations

Fluctuations in population size or area of distribution are considered large when the population size or area in question varies widely, rapidly or frequently. The judgement that there are large short-term fluctuations in the number of individuals is taxon-specific. For instance, it depends on the generation length of the taxon.

Fragmentation

'Fragmentation' refers to the case where most individuals within a taxon are found in small and relatively isolated subpopulations, which increases the probability that these small subpopulations will become extinct and the opportunities for re-establishment are limited.

Generation length

'Generation length' is the average age of parents of the current cohort (i.e. newborn individuals in the population). Generation length therefore reflects the turnover rate of breeding individuals in a population. Generation length is greater than the age at first breeding and less than the age of the oldest breeding individual, except in taxa that breed only once. Where generation length varies under threat, the more natural (i.e. pre-disturbance) generation length should be used.

Inferred or projected

This refers to estimations using indirect or direct methods. Inferences may be made on the basis either of direct measurements or from indirect evidence. Projection involves extrapolation to infer likely future values.

Near future

This refers to a time period in which it can be projected or inferred that a species would satisfy one (or more) of the criteria in Annex 1 to the present Resolution unless it is included in Appendix II. This will be taxon- and case-specific but should be greater than 5 years and less than 10 years.

Population issues Population

'Population' refers to the total number of individuals of the species (as 'species' is defined in Article I of the Convention and in this Annex).

Wild population

'Wild population' refers to the total number of free-living individuals of the species within its area of distribution, as defined in this Annex.

Subpopulation

'Subpopulations' are defined as geographically or otherwise distinct groups in the population between which there is limited genetic exchange.

Population size

When providing details on the size of a population or subpopulation, it should be made clear whether the information presented relates to an estimate of the total number of individuals or to the effective population size (i.e. individuals capable of reproduction, excluding individuals that are

environmentally, behaviourally or otherwise reproductively suppressed in the wild) or to another appropriate measure, index or component of the population.

In the case of species biologically dependent on other species for all or part of their life cycles, biologically appropriate values for the host or co-dependent species should be chosen.

Small wild population

The judgement that a wild population is small is taxon-specific and can be justified by a number of considerations, for example the population of a related taxonomic group. For some low-productivity species where data exist to make an estimate, a figure of less than 5,000 individuals has been found to be an appropriate guideline (not a threshold) of what constitutes a small wild population, but the number could be higher for higher productivity species. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.

Very small wild subpopulation

The judgement that a wild subpopulation is very small is taxon-specific. For some species where data exist to make an estimate, a figure of less than 500 individuals has been found to be an appropriate guideline (not a threshold) of what constitutes a very small wild subpopulation. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.

Recruitment

'Recruitment' is the total number of individuals added to any particular demographic class of a population by either sexual or asexual reproduction.

Threatened with extinction

'Threatened with extinction' is defined in Annex 1. The vulnerability of a species to threats of extinction depends on its population demographics, biological characteristics (such as body size, trophic level, life cycle, breeding structure or social structure requirements for successful reproduction), and vulnerability due to aggregating habits, natural fluctuations in population size, or residency/migratory patterns. This makes it impossible to give numerical threshold values for population size or area of distribution that are applicable to all taxa.

Vulnerability

'Vulnerability' can be defined as the susceptibility to intrinsic or external effects that increase the risk of extinction, even when mitigating factors are taken into account. There are a number of taxon- or case-specific biological and other factors that may affect the extinction risk associated with a given percentage decline, small population size or restricted area of distribution. These can be, but are not limited to, aspects of any of the following:

Intrinsic factors

- Life history (e.g. low fecundity, slow growth rate of the individual, high age at first maturity, long generation time)
- Low absolute numbers or biomass or restricted area of distribution
- Population structure (age/size structure, sex ratio)
- Behavioural factors (e.g. social structure, migration, aggregating behaviour)
- Density (for sessile or semi-sessile species)
- Specialized niche requirements (e.g. diet, habitat)
- Species associations such as symbiosis and other forms of co-dependency
- Reduced genetic diversity
- Depensation (prone to continuing decline even in the absence of exploitation)
- Endemism
- Seed dispersal mechanism
- Specialized pollinators

Extrinsic factors

- Selectivity of removals (that may compromise recruitment)
- Threats from alien invasive species (hybridization, disease transmission, predation, etc.)
- Habitat degradation (contamination, soil erosion, alteration by alien invasive species, etc.)
- Habitat loss/destruction
- Habitat fragmentation
- Harsh environmental conditions
- Threats from disease
- Rapid environmental change (e.g. climate regime shifts)
- Stochastic events.

Annex 6 Format for proposals to amend the Appendices

The following provides information and instructions for the submission of a proposal to amend the Appendices and the appropriate supporting statement. Proponents should be guided by the need to provide to the Conference of the Parties sufficient information, of sufficient quality and in sufficient detail, to allow it to judge the proposal against the criteria established for the proposed action. This means that the relevant published and unpublished sources of information should be used, although for some species the amount of scientific information will be limited. Furthermore, this means that it may not be possible to address all elements of the proposal format. Analogy with related taxonomic groups or species that are ecologically similar may be used to guide judgements. Where research has been undertaken specifically to obtain information for the proposal, it should be presented in sufficient detail to be assessed by the Parties.

Parties are reminded that proposals should normally be limited to 12 pages (exclusive of references cited). If the proposal is longer than 12 pages, the proponent should provide translations into the working languages of the Convention.

A. Proposal

The proponent should indicate the specific amendment to the Appendices and any relevant annotations or qualifications. The proponent should justify the basis on which the species meets the relevant criteria.

- Inclusion in Appendix I or transfer from Appendix II to Appendix I. Specify which of the criteria in Annex 1 of the Resolution are satisfied.

- Inclusion in Appendix II

- in accordance with Article II 2 (a). Specify which of the criteria in Annex 2 a of the Resolution are satisfied.

- in accordance with Article II 2 (b)

- for reasons of look-alike problems (criterion A of Annex 2 b). In this case, the names of the similar species already included in the Appendices should be given in section C11, 'Additional remarks'.

- for other reasons (such as those referred to in Annex 2 b, criterion B or Annex 3 to this Resolution).

- Transfer from Appendix I to Appendix II in accordance with a precautionary measure specified in Annex 4 to this Resolution. Specify which of the criteria in Annex 2 of this Resolution are satisfied; specify why the criteria in Annex 1 of this Resolution are no longer satisfied; specify which of the measures in Annex 4 of this Resolution are satisfied or implemented.

– Deletion from Appendix II. Specify why the criteria in Annex 2 of this Resolution are not satisfied.

– Other action (provide explanation, e.g. amendment of a quota).

Annotations

If a specific annotation to the listing in the Appendices is proposed, the proponent should:

– ensure that the proposed annotation is in compliance with the applicable Resolutions;

– indicate the practical intent of the annotation;

– be specific and accurate as to the parts and derivatives to be covered by the annotation;

– provide clear and simple definitions of any terms in the annotation that may not be easily understood by enforcement personnel and user groups (noting that definitions should be specific to CITES and scientifically and technically precise to the extent practicable for purposes of the annotation);

– ensure that the annotation includes those specimens that first appear in international trade as exports from range States and that dominate the trade and the demand from the wild resource;

– harmonize, to the extent practicable, new annotations with existing annotations; and

– where applicable, provide identification sheets to be included in the CITES Identification Manual that illustrate the parts and derivatives covered under the annotation.

B. Proponent

The proponent may only be a Party to the Convention, in accordance with Article XV of the Convention.

C. Supporting statement

1. Taxonomy

The proponent should provide sufficient information to allow the Conference of the Parties to identify clearly the taxon that is the subject of the proposal.

1.1 Class

1.2 Order

1.3 Family

1.4 Genus, species or subspecies, including author and year

If the species concerned is included in one of the standard lists of names or taxonomic references adopted by the Conference of the Parties, the name provided by that reference should be entered here. If the species concerned is not included in one of the adopted standard references, the proponent should provide references as to the source of the name used.

1.5 Scientific synonyms

The proponent should provide information on other scientific names or synonyms under which the species concerned may be known currently, especially if these names are used in the trade in the species.

1.6 Common names (including, where appropriate, trade names)

1.7 Code numbers

If the species concerned is already included in the Appendices, refer to the code numbers in the CITES Identification Manual.

2. Overview

Provide a brief overview of key elements of the proposal. Parties should cite key sections of the supporting statement.

3. Species characteristics

The information required in this section is a summary of surveys, literature searches, and relevant studies. The references used must be listed in section 12 of the proposal. It is understood that the quality of the information available will vary a lot, but these instructions indicate the type of information that is required. If the proposal relates to a geographically separate population or subspecies, it should consider, where relevant, the biological species in its entirety to provide the appropriate context.

3.1 Distribution

Specify the currently known range of the species. If possible, provide information to indicate whether or not the distribution of the species is continuous and, if it is not, indicate to what degree it is fragmented.

3.2 Habitat

Specify the types of habitats occupied by the species and, when relevant, the degree of habitat specificity and the extent of each habitat type over the range of the species.

3.3 Biological characteristics

Provide a summary of general biological and life history characteristics of the species (e.g. reproduction, recruitment, survival rate, migration, sex ratio, regeneration or reproductive strategies).

3.4 Morphological characteristics

Provide a general description of the morphological diagnostic characteristics of the species, including colour, and information on morphological features by which the species can be differentiated from taxonomically closely related species.

3.5 Role of the species in its ecosystem

If available, provide information about the role of this species in its ecosystem, and other relevant ecological information, as well as about the potential impact of this proposal on that role.

4. Status and trends

This section includes qualitative and quantitative information that allows past and present trends to be evaluated pursuant to the criteria. The sources used must be referenced in section 12 of the proposal. It is understood that the quality of the information available will vary. The instructions below indicate the type of information that should be provided if possible. If the proposal relates to a geographically separate population or subspecies, it should consider, when relevant, the biological species in its entirety to provide the appropriate context. If available, the proposal should include any relevant quantitative analyses, stock assessments, etc. The proposal should note whether conclusions are based on observations, inferences or projections.

4.1 Habitat trends

Give information on the nature, rate and extent of habitat change (e.g. loss, degradation or modification), noting when applicable the degree of fragmentation and discernible changes in the quality of habitat. Where appropriate, the relationship between habitat and population trends should be described.

4.2 Population size

Give an estimate of the current total population or number of individuals differentiated by relevant age classes where possible, or other indices of population abundance, based on the most recently available data. Provide information on the source of the data used. Where appropriate, provide the number of subpopulations, and their estimated sizes. Population size may be estimated by reference to population density, having due regard to habitat type and other methodological considerations.

4.3 Population structure

Provide basic information on the current structure of the population and any past or current changes over time in that structure (e.g. social structure, population demographics, proportion of mature individuals or sex ratio).

4.4 Population trends

Basic, quantitative and qualitative information, when available, should be provided on current and past trends in the species' abundance (provide sources). The period over which these trends, if any, have been measured should be indicated. If the species naturally undergoes marked fluctuations in population size, information should be provided to demonstrate that the trend transcends natural fluctuations. If generation-time has been used in estimating the trend, state how the generation-time has been estimated.

4.5 Geographic trends

Provide information, when available on current and past trends in the species' distribution, indicating the period over which these trends, if any, have been measured. If relevant, give data on the degree and periodicity of fluctuations in the area of distribution.

5. Threats

Specify the nature, intensity and, if possible, relative importance of human-induced threats (e.g. habitat loss or degradation; over-exploitation; effects of competition, predation or disease by introduced species; hybridization; toxins and pollutants; etc.).

6. Utilization and trade

6.1 National utilization

Specify the types and extent of all known uses of the species, indicating trends if possible. Provide details of harvest methods. Indicate the extent to which utilization is from captive- bred, artificially propagated, or wild specimens.

Provide details of any stockpiles known to exist, and the measures that might be taken to dispose of them.

6.2 Legal trade

Quantify the level of international trade, identifying the source of statistics used (e.g. Customs statistics, CITES annual report data, FAO data, industry reports, etc.). Provide justification for inferences made about trade levels. Provide information about the nature of the trade (e.g. primarily for commercial purposes, primarily live specimens, primarily parts and derivatives, primarily of captive-bred or artificially propagated specimens, etc.) and about how the proposed amendment is expected to affect the nature of the trade.

6.3 Parts and derivatives in trade

To the extent possible, list parts and derivatives, including types of products in trade, Customs tariff codes specific to those parts and derivatives, and major importing and exporting countries that trade in those parts and derivatives.

6.4 Illegal trade

To the extent possible, quantify the level of illegal trade, nationally and internationally, and describe its nature. Assess the relative importance of this trade in relation to legal offtake for national use or legal international trade. Provide information on how the proposed amendment is expected to affect the nature of the trade.

6.5 Actual or potential trade impacts

Discuss the importance of current and future exploitation for international trade relative to overall use (domestic included) as a threat to the species in question.

7. Legal instruments

7.1 National

Provide details of legislation relating to the conservation of the species, including its habitat, either specifically (such as endangered-species legislation) or generally (such as legislation on wildlife and accompanying regulations). Indicate the nature of legal protection (i.e. is the species totally protected, or is harvesting regulated or controlled). Provide an assessment of the effectiveness of this legislation in ensuring the conservation and/or management of the species.

Provide similar information relating to legislation governing the management of trade in the species in question. Provide an assessment of the effectiveness of this legislation in controlling illegal trade in the species.

7.2 International

Provide details of international instruments relating to the species in question, including the nature of the protection afforded by such instruments. Provide an assessment of the effectiveness of these instruments in ensuring the conservation and/or management of the species.

Provide similar information on international instruments relating to the management of trade in the species in question. Provide an assessment of the effectiveness of these instruments in controlling illegal trade in the species.

8. Species management

8.1 Management measures

Provide details of programmes in place in the range States to manage populations of the species in question (e.g. controlled harvest from the wild, captive breeding or artificial propagation, reintroduction, ranching, quota systems, etc.). Include, where appropriate, details such as planned harvest rates, planned population sizes, procedures for the establishment and implementation of quotas, and mechanisms for ensuring that wildlife management advice is taken into account.

Where applicable, provide details of any mechanisms used to ensure a return from utilization of the species in question to conservation and/or management programmes (e.g. pricing schemes, community ownership plans, export tariffs, etc.).

8.2 Population monitoring

Provide details of programmes in place to monitor the status of wild populations and the sustainability of offtake from the wild.

8.3 Control measures

8.3.1 International

Provide information on measures in place, in addition to CITES, to control the movement of specimens of the species in question across international borders. Include information about marking schemes in place, if any.

8.3.2 Domestic

Provide information on controls in the range States aimed at ensuring a sustainable harvest from the wild of the species in question. Include information on education, compliance and enforcement activities as appropriate, and an assessment of the effectiveness of the programmes.

8.4 Captive breeding and artificial propagation

Where applicable, provide details of commercial captive-breeding or artificial propagation operations, including plantations, for the species in question within the country in question, including the size of captive stocks and the production, and the extent to which these operations are either contributing to a conservation programme or meeting a demand that would otherwise be met by specimens from the wild. Discuss any management implications of captive-breeding or artificial propagation programmes. Also provide information on the extent of captive-breeding or artificial propagation outside the country or countries of origin to the extent possible.

8.5 Habitat conservation

Provide information, where available, regarding the number, size and type of protected areas relevant to the habitat of the species, and on habitat conservation programmes outside protected areas.

8.6 Safeguards

In the case of proposals to transfer species from Appendix I to Appendix II or to delete species from Appendix II, or proposals involving substantive annotations, provide information on any relevant safeguards.

If the proposed amendment is likely to lead to an increase in trade in the species concerned, explain why this would not result in unsustainable trade in similar species.

9. Information on similar species

Give the names of species of which specimens in trade look very similar. Provide details on how they may be distinguished, including, in particular, details on those commodities or parts and derivatives most common in trade, and explain whether or not it is reasonable to expect an informed non-expert to be able to make a firm identification. Provide details on how to resolve potential difficulties in distinguishing specimens of the species proposed for listing from those of similar species, in particular those specimens most common in trade.

10. Consultations

Provide details of the consultation undertaken to secure comments on the proposal from the range States of the species, either through direct contact or via the CITES Secretariat. Comments received from each country should be provided. Where comments were sought but not received in sufficient time to enable their inclusion in the supporting statement, this should be noted, as well as the date of the request.

In cases of proposals to transfer Appendix-II species that are subject to the Review of Significant Trade to Appendix I, the proponent should consult the affected range State(s) and, as appropriate, the Animals Committee or Plants Committee. The proponent should state the reasons to justify why the amendment proposal was made. In cases of consultation with Parties via the CITES Secretariat, information from range States and non-range States should be separated.

In the case of species that are also managed through other international agreements or intergovernmental bodies, provide details of the consultations undertaken to obtain the comments of those organizations or bodies, and indicate how those comments have been addressed in the supporting statement. Where comments were sought but not received in sufficient time to enable their inclusion in the supporting statement, this should be noted, as well as the date of the request.

11. Additional remarks

12. References

Conf. 9.25 (Rev. CoP18)*

附录III物种的履约

认识到 公约第十六条第1款规定缔约方有权将物种列入附录III；

忆及 公约第二条第三款提及，任一缔约方可将其认为属其管辖范围内，应进行管理以防止或限制开发利用而需要其他缔约国合作控制贸易的物种列入附录III；

进一步**忆及** 第十六条第二款规定，秘书处应将收到的缔约方提交的任何附录III列入尽快通知各缔约方，该列入应自该通报之日起90天生效；

注意到 第八条要求各缔约方采取适当措施，以执行公约，并禁止违反该规定的标本的贸易；

忆及 公约第五条所述的，附录III标本的贸易需要CITES文件；

进一步**认识到** 将某一物种列入附录III及随后的对此类物种贸易的管制将有助于缔约方执行保护该物种的国家法律，并就附录I或II的列入提供相关信息；

还**注意到** 如果缺乏提案支持将其列入附录I或II，或者分布国对该物种的关注不同，附录III物种可被归类为生物学或贸易信息不确定的物种；

进一步**认识到**，对于那些不满足附录I或附录II列入标准的物种来说，将其列入附录III，将在改善分布国监测手段和控制贸易方面起到一定的督促作用，分布国可能会考虑这些物种的保护或贸易水平；

意识到 部分附录III物种极少或根本不出现在国际贸易中，公约很难对其发挥效果；

注意到 许多缔约方在附录III物种的履约方面没有有效执行公约的相关规定；及

考虑到 为有效执行公约有关附录III物种的规定，有必要建立一套明确的附录III物种的列入和列入后如何履约的指南；

公约缔约方大会

附录III的列入

1. **建议** 在考虑将某物种列入附录III时，缔约方：
   a) 确保：
      i) 该物种在本国有分布；
      ii) 本国有足够的法规确保该物种的保护，包括禁止或限制对该物种的掠取，控制贸易，并对非法获取、贸易或拥有，有惩罚或没收措施；及
      iii) 其国内执法措施足以执行这些条款；
   b) 确定尽管已具备上述法规和措施，仍有迹象表明，需要缔约方之间合作来监测和控制其贸易；
   c) 通知其他分布国和已知的该物种的主要进口国的管理机构、秘书处、动物委员会或植物委员会，其正考虑将某物种列入附录III并就列入可能带来的影响征求这些

*在第十、十四和十五次缔约方大会上修订，秘书处遵照14.19号决定及常委会第61次会议上通过的决定再次修订，第十六、十七和十八次缔约方大会上进一步修订。

机构的意见；

d) 酌情考虑如附件1所列的那些其他贸易和生物因素；

e) 经过适当商议，并确信该物种的生物学和贸易状况符合列入要求，根据上述1 a)和1 b)的要求，并且符合公约第十六条第1款的规定，向秘书处提交以下信息：

i) 提交列入附录III的物种学名；及

ii) 准备列入的任何可辨认部分和衍生物，除非计划将其全部可辨认部分和衍生物列入附录；

f) 作为将某一物种列入附录III的一部分，确保任何被提议的注释，涵盖了首次从本国出口、在国际贸易中呈现的标本类型，国际贸易中的主要标本类型，及野生来源标本的主要需求类型，且在可行的情况下，与现有的注释相协调；

g) 考虑到将列入范围限制在特定国家种群可能带来的履约挑战，注意到应普遍避免这种情况；并

h) 与秘书处和常委会商议，并酌情与动物委员会或植物委员会商议，以确保任何被提议的，作为将某一物种列入附录III的一部分要求的注释，(还应酌情包括注释中术语的定义)是清晰和明确无歧义的，且容易被执法人员和用户群体理解；

2. **指示** 秘书处：

a) 按照公约第十六条第2款的规定，在接到缔约方列入申请后，尽快将附录III列入通知各缔约方；

b) 在每一次缔约方大会后，或在具备其他正当理由的情况下，将修改后的附录I、II和III一并出版；及

c) 在向各缔约方通知有关物种列入附录III事宜之前，确保已根据公约第十六条第4款的规定，从相关缔约方收到了所有的相关国家法律法规的副本；

3. 进一步**建议** 除非情况紧急，缔约方如果希望将某物种列入附录III或从附录III删除，至少应在缔约方大会召开的3个月前通知秘书处，以便秘书处能及时将附录III修订情况通知其他缔约方，进而保证附录III修订能与缔约方大会上通过的附录I和II修订同时生效；

4. **建议** 如果某一缔约方已经对某物种被列入附录I或附录II提出了保留，该国就不能再将该物种列入附录III；

5. **要求** 视外部资源，动物委员会或植物委员会在缔约方要求下，协助缔约方对附录III物种的状况进行回顾；

6. **敦促** 将某些物种列入附录III的缔约方，根据本决议第5款的要求，定期对物种状况进行回顾，有必要的话，请求动物委员会或植物委员会帮助，并参考这些指南以及动物委员会和植物委员会的任何建议，考虑将这些物种留在附录III的必要性；

7. **建议** 当某一物种在提案国管辖范围内已经不再受到禁止或限制开采的规定，或已经不再需要其他缔约方合作控制贸易，或者已经不在国际贸易中出现时，建议提案国将该物种从附录III删除；

8. **决定** 如果附录III中某物种随后被列入附录I或附录II时，该物种应从附录III中删除；

附录III列入的履行

9. **敦促** 缔约方在附录III所列物种履约时，应遵照附件2的决定表格和本决议附件3的指导；及

10. **废除** 下列决议或其部分内容：

    a) Conf. 1.3号决议 (伯尔尼，1976)——特定情况下将物种从附录II或附录III中删除－b段；

    b) Conf. 1.5号决议 (伯尔尼，1976)——关于解释和执行公约特定条款的建议－第3、4和5段；

    c) Conf. 1.5号决议 (Rev. CoP12) (1976年伯尔尼，1994年和2002年修订于劳德代尔堡和圣地亚哥)——公约某些规定的解释和执行；

    d) Conf. 5.22 号决议 (布宜诺斯艾利斯，1985)——附录III物种列入的标准－“建议”部分的a)和b)段，及“要求”部分的段落；

    e) Conf. 7.15号决议 (洛桑，1989)——附录III的修订；及

    f) Conf. 8.23号决议 (京都，1992)——附录III的回顾。

附件 1 附录III列入的其他注意事项

有意将某一物种列入附录II的缔约方不妨酌情考虑这些额外的贸易和生物学因素，但要注意的是，这并非公约强制要求。

1. 贸易状况：

    a) 被记录到可疑的、可能是新的或迅速增长的目前未列入CITES附录的物种出口；

    b) 国际市场上的供应量增加；

    c) 已知或涉嫌非法贸易的物种；

    d) 国际贸易量不确定，并有兴趣监测贸易水平；及

    e) 难以在人工繁育或人工培植条件下繁殖和保存的物种贸易或需求增加；

2. 生物学方面和特点：

    a) 在现有评估中该物种的保护状况，及这些评估可能涉及的由于国际贸易引起的保护问题；

    b) 由于内在生物学特性而特别容易受到采集、贸易、栖息地丧失或气候变化影响的物种，包括但不限于：

        i) 在至少一个生命阶段需要专有栖息地或食物的物种；

        ii) 易于发现或收集的物种，或两者兼有(如无法自由移动或定居的物种);及

        iii) 性成熟晚、繁殖量低、自然死亡率高或丰度低的物种；

    c) 与物种的生物学和生活史特征有关的收获和贸易效应，包括但不限于：

        i) 物种分布范围；

        ii) 种群结构、状况和趋势；及

iii) 特定年龄或性别的采集；

d) 特有性需要与建议考虑的其他特征相结合，需要注意的是，特有性本身在考虑物种是否应该列入附录III时一般不建议。

附件 2 附录Ⅲ物种列入许可要求决定表

附录III物种列入的类型	出口或再出口国	许可要求	公约规定
1. 附录III物种列入	1.1.从将物种列入附录III的国家出口	事先批准和提交出口国管理机构签发的CITES出口许可证。	第五条第2款
	1.2.从将物种列入附录III国家以外的任何国家出口	出口国管理机构签发的CITES原产地证书。	第五条第3款
	1.3.从任何国家再出口含附录III物种的标本	再出口国的管理机构签发的CITES再出口证明书。	第五条第4款
2.只某一国家种群列入附录III	2.1.从任何将种群列入附录III的缔约方出口	事先批准和提交出口国管理机构签发的CITES出口许可证。	第五条第2款
	2.2.源自列入附录III种群的标本再出口	再出口国的管理机构签发的CITES再出口证明书。	第五条第4款
	2.3.源自未列入附录III种群的标本出口或再出口	不需要CITES文件。	不适用

附件 3 理解附录Ⅲ列入范围的指导

1. 当某一物种被列入附录III。

案 例1：

附录III的内容如下：“**物种x**(A国)”

表明物种x已在国家A的要求下被列入附录III中。国家A是物种x的分布国。

案 例2：

附录III的内容如下：“**物种y**(B国，C国)”

表明国家B和C共同提出将物种y列入附录III，国家B和C是物种y的分布国。

案 例3：

附录III的内容如下："**物种z**#w(D国，E国。另外，以下国家将其国家种群列入：F国，G国和H国"

表明对于物种z：

- D国和E国都将其列入了附录III；及
- F，G和H国家已将其国家种群列入附录III，注释#w指明哪些部分和衍生物被列入附录。

2. 当仅有列入国的国家种群被列入附录III时。

案 例4：

附录III的内容如下："**物种v**(J国种群)"

表明对于物种v，应国家J的要求，仅国家J种群被列入附录III。

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

RECOGNIZING that Article XVI, paragraph 1, provides Parties with the right to list species in Appendix III;

RECALLING that Article II, paragraph 3, provides for the inclusion of a species in Appendix III which any Party identifies as being subject to regulation within its jurisdiction for the purpose of preventing or restricting exploitation and as needing the cooperation of other Parties in the control of trade;

RECALLING further that Article XVI, paragraph 2, provides that the Secretariat shall communicate to the Parties any Appendix-III listing submitted by a Party as soon as possible after receiving it and the listing shall take effect 90 days after the date of such communication;

NOTING that Article VIII requires Parties to take appropriate measures to enforce the provisions of the Convention and to prohibit trade in specimens in violation thereof;

RECALLING that trade in Appendix III specimens requires CITES documents as described in Article V;

RECOGNIZING further that the inclusion of a species in Appendix III and subsequent implementation of controls on trade in such species will help Parties enforce national laws for protection of the species and may provide information relevant to their consideration for inclusion in Appendix I or II;

NOTING also that Appendix III can be considered for species for which biological or trade information are uncertain, in cases of lack of support for an Appendix I or II proposal, or variable concern for the species among range States;

NOTING further that inclusion in Appendix III could serve a role of allowing a range State improved monitoring and control of trade for species that do not qualify for listing on Appendix I or II, for which there may be some concern regarding the conservation of the species or trade levels;

AWARE that Appendix III includes some species that occur rarely or not at all in international trade and for which the Convention is therefore not effective;

OBSERVING that many Parties are not effectively implementing the provisions of the Convention with regard to Appendix III; and

CONSIDERING that, for the effective implementation of the Convention with regard to Appendix III, it is desirable to give clear guidelines for including species in Appendix III and for implementation of Appendix-III listings;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

Inclusion of species in Appendix III

1. RECOMMENDS that, when considering the inclusion of a species in Appendix III, a Party:
   a) ensure that:
      i) the species is native to its country;
      ii) its national regulations for the conservation of the species are adequate to prevent or restrict exploitation and to control trade, and include penalties for illegal taking, trade or possession and provisions for confiscation; and

* *Amended at the 10th, 14th and 15th meetings of the Conference of the Parties; amended by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 61st meeting of the Standing Committee; and further amended at the 16th, 17th and 18th meetings of the Conference of the Parties.*

iii) its national enforcement measures are adequate to implement these regulations;

b) determine that, notwithstanding these regulations and measures, there are indications that the cooperation of the Parties is needed to monitor and control trade;

c) inform the Management Authorities of other range States, the known major importing countries, the Secretariat and the Animals Committee or the Plants Committee that it is considering the inclusion of the species in Appendix III and seek their opinion on the potential effects of such inclusion;

d) consider taking into account additional trade and biological considerations, such as those outlined in Annex 1, as appropriate;

e) after due consultation, and having satisfied itself that the biological and trade status of the species justify the action, submit to the Secretariat its considerations under paragraph 1 a) to
d) above, specifying the following, in accordance with paragraph 1 of Article XVI of the Convention:

i) the scientific name of the species it is submitting for inclusion in Appendix III; and,

ii) any readily recognizable parts and derivatives to be included, unless it intends to include all readily recognizable parts and derivatives;

f) ensure that any proposed annotation that is part of a request to include a species in Appendix III includes those specimens that first appear in international trade as exports from its territory and that dominate the trade and the demand for the wild resource and is, to the extent practicable, harmonized with relevant existing annotations;

g) take into consideration the implementation challenges that would be caused by restricting the listing to specific national populations, noting that this should be generally avoided; and

h) consult with the Secretariat, the Standing Committee and, as appropriate, the Animals Committee or Plants Committee, to ensure that any proposed annotation that is part of a request to include a species in Appendix III (and any definitions developed that define terms in the annotation, as appropriate) is clear and unambiguous, and likely to be understood by enforcement personnel and user groups;

2. DIRECTS the Secretariat:

a) to communicate to the Parties any Appendix-III listing submitted by a Party as soon as possible after receiving it, in accordance with paragraph 2 of Article XVI;

b) to publish the changed Appendices I, II and III together after each meeting of the Conference of the Parties, or at other times when warranted; and

c) before communicating to Parties the inclusion of a species in Appendix III, to ensure that copies of all relevant national laws and regulations have been received from the Party concerned in accordance with paragraph 4 of Article XVI;

3. RECOMMENDS further that, unless there is an urgent need for inclusion, a Party intending to include a species in, or delete a species from, Appendix III inform the Secretariat of its intention at least three months before a meeting of the Conference of the Parties, in order that the Parties are informed of the amendment in time to ensure that it enters into force on the same date as amendments to Appendices I and II adopted at the meeting;

4. RECOMMENDS that, if a Party has made a reservation with regard to any species included in Appendix I or II, it not request that this species be included in Appendix III;

5. REQUESTS that, upon request by a Party, the Animals or Plants Committee assist Parties in reviewing the status of species in Appendix III, subject to available resources;

6. URGES Parties having included species in Appendix III to review periodically the status of these species, seek assistance of the Animals or Plants Committee in undertaking the review mentioned in paragraph 5 of this Resolution, if necessary, and taking into account these guidelines and any recommendations of the Animals and Plants Committees, to consider the necessity to maintain the species in Appendix III;

7. RECOMMENDS that a Party having listed a species in Appendix III remove that species from Appendix III if the species is no longer subject to regulation within its jurisdiction for the purpose of preventing or restricting exploitation, if it no longer requires the cooperation of other Parties in controlling the trade, or if it no longer occurs in international trade;

8. RESOLVES that, when any species already included in Appendix III is subsequently included in Appendix I or II, it shall be deleted from Appendix III;

Implementation of Appendix-III listings

9. URGES Parties, when implementing the Convention for species included in Appendix III, to follow the decision table included in Annex 2, and the guidance included in Annex 3 to the present Resolution; and

10. REPEALS the Resolutions, or parts thereof, listed hereunder:

    a) Resolution Conf. 1.3 (Bern, 1976) – *Deletion of species from Appendix II or III in certain circumstances* – paragraph b);

    b) Resolution Conf. 1.5 (Bern, 1976) – *Recommendations Concerning the Interpretation and Implementation of Certain Provisions of the Convention* – paragraphs 3, 4 and 5;

    c) Resolution Conf. 1.5 (Rev. CoP12) (Bern, 1976, as amended at Fort Lauderdale, 1994, and Santiago, 2002) – *Interpretation and implementation of certain provisions of the Convention*;

    d) Resolution Conf. 5.22 (Buenos Aires, 1985) – *Criteria for the Inclusion of Species in Appendix III* – paragraphs a) and b) under RECOMMENDS and the paragraph under REQUESTS;

    e) Resolution Conf. 7.15 (Lausanne, 1989) – *Amendments to Appendix III*; and

    f) Resolution Conf. 8.23 (Kyoto, 1992) – *Review of Appendix III*.

ANNEX 1

Additional considerations for Appendix-III listings

Parties that intend to list a species in Appendix III may wish to consider these additional trade and biological considerations, as appropriate, noting however, that this is not required under the Convention.

1. Trade status:

    a) documented, suspected, possibly new or rapidly increasing exports of a species not currently regulated under CITES;

    b) increased availability of the species in international markets;

    c) species known or suspected to be in illegal trade;

    d) uncertainty regarding the volume of international trade and an interest to monitor levels of such trade; and

    e) increasing trade in, or demand for a species which is demonstrably difficult to breed and maintain in captivity, or to artificially propagate;

2. Biological aspects and characteristics:

    a) the conservation status of the species under available assessments, and any conservation concerns due to international trade that these assessments may indicate;

    b) species with intrinsic biological characteristics that make them especially vulnerable to harvest, trade, habitat loss or climate change, including, but not limited to:

        i) species with habitat or food specializations in at least one life stage;

        ii) species that are easy to detect or collect, or both (e.g. sessile or sedentary species); and

        iii) species with high age of maturity, low reproductive output, high natural mortality rate, or occurrence in low abundances;

    c) harvest and trade effects in relation to the species' biology and life history characteristics, including but not limited to:

        i) species range;

        ii) population structure, status and trends; and

        iii) age- or sex-specific offtake;

    d) endemism in combination with other characteristics recommended for consideration, noting that endemism by itself is generally not recommended as useful for considering whether a species belongs in Appendix III.

ANNEX 2

Decision table on permitting requirements for Appendix-III listings

Type of Appendix-III listing	Exporting or re-exporting State	Permitting requirements	Provision of the Convention
1. A species is included in Appendix III wherever it occurs	1.1. Export from any State which has included the species in Appendix III	Prior grant and presentation of a CITES export permit issued by the Management Authority of the State of export.	Article V, paragraph 2
	1.2. Export from any State other than the State which has included the species in Appendix III	CITES certificate of origin issued by the Management Authority of the State of export.	Article V, paragraph 3
	1.3. Re-export from any State of specimens of species included in Appendix III	CITES re-export certificate issued by the Management Authority of the State of re-export.	Article V, paragraph 4
2. Only a national population of a species is included in Appendix III	2.1. Export from any State which has included its population in Appendix III	Prior grant and presentation of a CITES export permit issued by the Management Authority of the State of export.	Article V, paragraph 2
	2.2. Re-export of specimens that originated in a population that is included in Appendix III	CITES re-export certificate issued by the Management Authority of the State of re-export.	Article V, paragraph 4
	2.3. Export or re-export of specimens that originated from a population that is **not** included in Appendix III	No CITES document is required.	N/A

ANNEX 3

Guidance for understanding the scope of Appendix-III listings

1. When a species is included in Appendix III wherever it occurs.

Example 1:

Appendix III reads: "***Species x*** (Country A)"

Indicating that *Species x* has been included in Appendix III wherever it occurs at the request of Country A. Country A is a range State of species x.

Example 2:

Appendix III reads: "***Species y*** (Country B, Country C)"

Indicating that *Species y* has been included in Appendix III wherever it occurs at the request of both Country B and C. Country B and C are range States of species y.

Example 3:

Appendix III reads: "***Species z*** $^{\#w}$ (Country D, Country E. In addition, the following countries have listed their national populations: Country F, Country G, and Country H)"

Indicating that for *Species z*:

- Countries D and E have both included the species in Appendix III wherever it occurs; and

- Countries F, G and H have included their national populations in

Appendix III Annotation #w specifies the parts and derivatives covered

bythe listing.

2. When only the listing Party's national population of the species is included in Appendix III.

Example 4:

Appendix III reads: "***Species v*** (population of Country J)"

Indicating that for *Species v*, only the population of Country J is included in Appendix III, at the request of Country J.

Conf. 10.3*

科学机构的指定和作用

忆及 第八次缔约方大会 (东京，1992)通过和第九次大会 (劳德代尔堡，1994)修正的Conf. 8.6 (Rev.)号决议；

承认 按照公约第九条的要求，各缔约方必须指定一个或多个科学机构；

认识到 在公约第三条第2款 (a) 项、第3款 (a)项和 (b)项、第5款 (a)项及第四条第2款 (a)项、第3款、第6款 (a)项中对科学机构的责任进行了表述，而其他条款所述责任并未安排给特定机构，但要求从科学角度予以考虑；

进一步**认识到** 这些责任详细表述在：在第八次缔约方大会通过并于第十六次缔约方大会 (曼谷，2013) 修订的Conf. 8.21(Rev. CoP16)[1] 号决议，和第十七次缔约方大会 (约翰内斯堡，2016) [2]通过的Conf. 17.8号决议；在第二次缔约方大会 (圣何塞，1979)通过并经第九次缔约方大会 (劳德代尔堡，1994)修订的Conf. 2.11 (Rev.)号决议；在第十一次大会(吉吉里，2000)通过并分别经第十五和十三次缔约方大会修订的Conf. 9.19 (Rev.CoP15)号决议和Conf. 9.21(Rev. CoP18)号决议；在第十一次大会(吉吉里，2000)通过并经第十三、十四、十五次、十七次和十八次缔约方大会修订的Conf. 11.11(Rev. CoP18)号决议；第十一次大会通过并经第十二次和第十八次缔约方大会(圣地亚哥，2002，日内瓦，2019)修订的Conf. 11.15 (Rev. CoP12)号决议；第十二次大会通过并经十三、十四、十五次、十六次、十七次和十八次缔约方大会修订的Conf. 12.10 (Rev. CoP15) 和 Conf. 12.11 (Rev. CoP18)号决议[3]；

注意到 在向动物委员会第十三次会议 (普鲁洪尼斯，1996)报告的有关秘书处询问科学机构作用的调查问卷的答复结果中缔约方所关心的内容；

忆及 第八次缔约方大会 (东京，1992)通过、经第十四次和十五次缔约方大会修订的Conf. 8.4 (Rev. CoP15)[4]号决议指示秘书处确定哪些缔约方的国内措施未给它们提供指定至少一个科学机构的权力；

注意到 秘书处的违约报告中已经确定了还没有指定科学机构的一些缔约方；

注意到 管理机构在没有适当的科学机构的调查结果的情况下签发证明书，不符合公约的条款，而且会严重危害物种的保护；

忆及 第九次缔约方大会 (劳得代尔堡，1994)上通过、经第十三次、十四次、十五次和十六缔约方大会修订的Conf. 9.5 (Rev. CoP16)号决议[5]，建议只有非公约缔约方的授权机构和科研机构的详细情况收录在秘书处最新名录之中，或者与秘书处商议之后，各缔约方才能接受这些非公约缔约方的文件；

认识到 对秘书处、动植物委员会的成员及科学机构来说，同每个缔约方的相关科学机构

* 由秘书处在第十三、十四、十五、十六次缔约方大会后修正。

1 秘书处在第十六次缔约方大会后修正，原指Conf. 8.21号决议。

2 秘书处在第十七次缔约方大会后修正，原指Conf. 10.7 (Rev. CoP15)号决议，而9.10 (Rev. CoP15)号决议被Conf. 17.8号决议替代。

3 秘书处在第十三、十四、十五、十六次和十八次缔约方大会后修正：本段原指Resolutions Conf. 1.4、Conf. 2.11 (Rev.)、Conf. 2.14、Conf. 8.15、Conf. 8.21、Conf. 9.10 (Rev.)、Conf. 9.18 (Rev.)、Conf. 9.19、Conf. 9.21、Conf. 10.7 和 Conf. 10.22.

4 由秘书处在第十四和十五次缔约方大会后修正：原指Conf. 8.4号决议，后改为Conf. 8.4 (Rev. 14)号决议。

5 由秘书处在第十三、十四、十五次和十六次缔约方大会后修正，原指Conf. 9.5，后修正为Conf. 9.5 (Rev. CoP13) 、Conf. 9.5 (Rev. CoP14) ，后为Conf. 9.5 (Rev. CoP15)号决议。

保持联系是必要的；

鉴于 公约第十四条第1款，允许缔约方采取更严格的国内措施；

公约缔约方大会

1. 指示 秘书处：

a) 继续为每个缔约方确定科学机构而努力；

b) 继续在违约报告中确定那些还没有通知秘书处其科学机构的缔约方；并

c) 继续提供给所有缔约方关于科学机构或非公约缔约方的类似机构的信息；

2. 建议：

a) 所有缔约方指定不受管理机构约束的科学机构；

b) 缔约方不接受在两次缔约方大会例会期间还没有将其科学机构通知秘书处的缔约方的出口证明书；

c) 各管理机构在未事先得到有关科学机构的调查结果或建议的情况下，不为附录所列物种签发任何出口或进口证明书，或从海上引进证明书；

d) 缔约方酌情参与协助其他缔约方的科学机构；

e) 相邻的缔约方通过支持普通的科学研究机构，根据公约的要求提供科学研究发现来分享资源；

f) 缔约方在担心科学所作调查结果是否恰时同秘书处商议；

g) 相关的科学机构应就附录Ⅰ或Ⅱ物种出口许可证或从海上引进证明书的签发做出建议，说明此贸易是否会危害所述物种的生存，并且每份出口许可证或从海上引进证明书均征求过科学机构的意见；

h) 出口国科学机构所做的调查结果和建议，应基于对有关种群状况、分布、种群趋势、采集情况及其他生物学和生态学因素的现有资料的科学回顾，还应酌情考虑与相关物种有关的贸易信息；

i) 进口国相关的科学机构应就附录Ⅰ物种标本的进口许可证的签发给出建议，说明该项进口是否将不危害这些物种的生存；

j) 相关的科学机构监测本国附录Ⅱ物种的状况和出口数据，若有必要，提出适宜的补救措施限制标本的出口，使每一物种在其分布区域内保持在与其生态作用相当的水平上，并完全超出该物种可能被列入附录Ⅰ的水平之上；

k) 相关的科学机构须就进口或从海上引进附录Ⅰ物种活体标本的安置和照管的适宜性需求给出调查结果，或者在管理机构做出这类调查结果和签发相应许可证或证明书之前，向管理机构提出建议；

l) 相关的科学机构向其管理机构提供建议，说明那些为签发科研交换标签而谋求注册的科研机构，是否符合 Conf. 11.15 (Rev. CoP18)[6]号决议所规定的标准及其他标准，或任何更严格的国家要求；

[6]秘书处在第十一、十二次和十八次缔约方大会后修正，原指Conf. 2.14，之后为Conf. 11.15废除和取代。

m) 相关的科学机构审查所有根据公约第七条第 4 款或第 5 款提交的申请，并就其有关设施是否符合公约及有关决议中对人工繁育或人工培植所获标本的认定的规定，向其管理机构提出建议；

n) 相关的科学机构收集和分析受贸易影响物种的生物学信息，协助起草附录修订所需提案；及

o) 相关的科学机构审查由其他缔约方所提交的附录修订提案，并就其本国代表团如何处理每个提案提出建议；

3. **鼓励** 缔约方、秘书处和有兴趣的非政府组织承办和支持由科学机构筹划的专门用于改进公约执行状况的研讨会或培训班；及

4. **废除** Conf. 8.6 (Rev.)号决议 (东京，1992，修订于劳德代尔堡，1994)——科学机构的作用。

Conf. 10.3*

Designation and role of the Scientific Authorities

RECALLING Resolution Conf. 8.6 (Rev.), adopted by the Conference of the Parties at its eighth meeting (Kyoto, 1992) and amended at its ninth meeting (Fort Lauderdale, 1994);

ACKNOWLEDGING that each Party is required, in accordance with Article IX of the Convention, to designate one or more Scientific Authorities;

RECOGNIZING that the responsibilities of the Scientific Authority are described 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 that responsibilities described in other Articles are not assigned to a specific office but require scientific considerations;

RECOGNIZING further that these responsibilities are elaborated upon in Resolution Conf. 8.21 (Rev. CoP16)[1], adopted by the Conference of the Parties at its eighth meeting and revised at its 16th meeting (Bangkok, 2013), and Resolution Conf. 17.8 adopted by the Conference of the Parties at its 17th meeting (Johannesburg, 2016)[2]; in Resolution Conf. 2.11 (Rev.), adopted at its second meeting (San José, 1979) and amended at its ninth meeting; in Resolutions Conf. 9.19 (Rev. CoP15) and Conf. 9.21 (Rev. CoP18), adopted at its ninth meeting and amended at its 15th and 13th meetings respectively; in Resolution Conf. 11.11 (Rev. CoP18), adopted at its 11th meeting (Gigiri, 2000) and amended at its 13th, 14th, 15th, 17th and 18th meetings; in Resolution Conf. 11.15 (Rev. CoP18), adopted at its 11th meeting and amended at its 12th and 18th meetings (Santiago, 2002; Geneva, 2019); and in Resolutions Conf. 12.10 (Rev. CoP15) and Conf. 12.11 (Rev. CoP18), adopted at its 12th meeting and amended at its 13th, 14th, 15th and, for the latter, 16th, 17th and 18th meetings[3];

NOTING the concerns of the Parties indicated in the responses to the Secretariat's questionnaire on the functioning of Scientific Authorities, as reported to the Animals Committee at its 13th meeting (Pruhonice, 1996);

RECALLING that Resolution Conf. 8.4 (Rev. CoP15)[4], adopted by the Conference of the Parties at its eighth meeting and amended at its 14th and 15th meetings, directs the Secretariat to identify those Parties whose domestic measures do not provide them with the authority to designate at least one Scientific Authority;

NOTING that the Secretariat's reports on alleged infractions have identified several Parties that have not designated Scientific Authorities;

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;

RECALLING that Resolution Conf. 9.5 (Rev. CoP16)[5], adopted by the Conference of the Parties at its ninth meeting and amended at its 13th 14th, 15th and 16th meetings, recommends that Parties accept documentation from States not party to the Convention only if details of the competent authorities and

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* *Corrected by the Secretariat following the 13th, 14th, 15th and 16th meetings of the Conference of the Parties.*

[1] *Corrected by the Secretariat following the 16th meeting of the Conference of the Parties: originally referred to Resolution Conf. 8.21.*

[2] *Corrected by the Secretariat following the 17th meeting of the Conference of the Parties: originally referred to Resolution Conf. 10.7 (Rev. CoP15) and 9.10 (Rev. CoP15) replaced by Resolution Conf. 17.8.*

[3] *Corrected by the Secretariat following the 13th, 14th, 15th, 16th and 18th meetings of the Conference of the Parties: this paragraph originally referred to Resolutions Conf. 1.4, Conf. 2.11 (Rev.), Conf. 2.14, Conf. 8.15, Conf. 8.21, Conf. 9.10 (Rev.), Conf. 9.18 (Rev.), Conf. 9.19, Conf. 9.21, Conf. 10.7 and Conf. 10.22.*

[4] *Corrected by the Secretariat following the 14th and 15th meetings of the Conference of the Parties: originally referred to Resolution Conf. 8.4, then to Resolution Conf. 8.4 (Rev. CoP14).*

[5] *Corrected by the Secretariat following the 13th, 14th, 15th and 16th meetings of the Conference of the Parties: originally referred to Resolution Conf. 9.5, later corrected to Resolution Conf. 9.5 (Rev. CoP13), Conf. 9.5 (Rev. CoP14), then Conf. 9.5 (Rev. CoP15).*

scientific institutions of such States are included in the most recent updated list of the Secretariat or after consultation with the Secretariat;

ACKNOWLEDGING the necessity for the Secretariat, members of the Animals and Plants Committees, and Scientific Authorities to be in contact with the appropriate Scientific Authorities of each Party;

WHEREAS Article XIV, paragraph 1, permits any Party to adopt stricter domestic measures; THE

CONFERENCE OF THE PARTIES TO THE CONVENTION

1. DIRECTS the Secretariat:

   a) to continue its efforts to identify the Scientific Authorities in each country;

   b) to continue to identify in its reports on alleged infractions those countries that have not informed the Secretariat of their Scientific Authorities; and

   c) to continue to provide to all Parties information on the Scientific Authorities or comparable entities of States not party;

2. RECOMMENDS that:

   a) all Parties designate Scientific Authorities independent from Management Authorities;

   b) Parties not accept export permits from countries that have not informed the Secretariat of their Scientific Authorities for more than one interval between regular meetings of the Conference of the Parties;

   c) 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;

   d) Parties enlist the assistance of Scientific Authorities of other Parties, as appropriate;

   e) neighbouring Parties consider sharing their resources by supporting common scientific institutions to provide the scientific findings required under the Convention;

   f) the Parties consult with the Secretariat when there is reason for concern as to whether the proper Scientific Authority findings are being made;

   g) the appropriate Scientific Authority advise on the issuance of export permits or of certificates for introduction from the sea for Appendix-I or -II species, stating whether or not the proposed trade would be detrimental to the survival of the species in question, and that every export permit or certificate of introduction from the sea be covered by Scientific Authority advice;

   h) 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;

   i) the appropriate Scientific Authority of the importing country advise on the issuance of permits for the import of specimens of Appendix-I species, stating whether the import will be for purposes not detrimental to the survival of the species;

   j) the appropriate Scientific Authority monitor the status of native Appendix-II species and export data, and recommend, if necessary, suitable remedial measures to limit the export of specimens in order 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;

   k) 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;

   l) 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. 11.15 (Rev. CoP18)[6], and other standards or any stricter national requirements;

m) 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;

n) the appropriate Scientific Authority gather and analyse information on the biological status of species affected by trade to assist in the preparation of proposals necessary to amend the Appendices; and

o) 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;

3. ENCOURAGES the Parties, the Secretariat and interested non-governmental organizations to develop and support workshops/seminars designed specifically to improve the implementation of CITES by Scientific Authorities; and

4. REPEALS Resolution Conf. 8.6 (Rev.) (Kyoto, 1992, as amended at Fort Lauderdale, 1994) – *Role of the Scientific Authority*.

[6] *Corrected by the Secretariat following the 11th, 12th and 18th meetings of the Conference of the Parties: originally referred to Resolution Conf. 2.14, later corrected to Resolution Conf. 11.15, which repealed and replaced it.*

Conf. 10.4 (Rev. CoP14)*

与《生物多样性公约》的合作及协作

欢迎 《生物多样性公约》缔约方大会第III/21号决定，它批准了CITES秘书处和《生物多样性公约》秘书处签署的谅解备忘录；

表达 对两个秘书处间建立的合作及诚信关系的赞赏；

意识到 《生物多样性公约》缔约方大会第III/21号决定邀请“与生物多样性相关的公约的管理机关去考虑这些公约为实施《生物多样性公约》的目标可能做出的贡献，并与缔约方大会分享经验，特别是在成功的管理实践上”；

忆及 《生物多样性公约》缔约方大会已经邀请“与生物多样性相关的公约的缔约方，通过全球环境基金为一些国家而设置的有关项目去寻求获取资助的机会，这完全符合由《生物多样性公约》缔约方大会向全球环境基金提供的合格的标准和指导”；

还忆及 《二十一世纪议程》第38章，并欢迎联合国环境规划署 (UNEP)执行理事会的19/9c号决定，即“认识到该署在促进和支持环境协议及其秘书处间的合作和协调方面的重要性”和“要求有关公约的缔约方大会鼓励各自的公约秘书处继续积极开展和参与此类协调工作”；

注意到 有关探讨恢复“生态系统保护小组”的建议，此建议适宜作为UNEP有关环境公约秘书处协调问题会议的范围；

认识到 UNEP应与缔约方大会全面合作来承担此类任务；

公约缔约方大会

1. **号召** CITES秘书处和《生物多样性公约》秘书处尤其要通过UNEP协调会议来协调其项目行动；
2. **建议** 缔约方酌情在符合本国国情的情况下，采取措施以协调合作和协作，并避免各公约的国家履约机构做重复工作；
3. **号召** 缔约方通过全球环境基金为有关项目寻求资助的机会，包括多边项目，这种资助完全符合由《生物多样性公约》缔约方大会向全球环境基金提供的合格的标准和指导；
4. **建议** 秘书处调查CITES在执行《生物多样性公约》相应规定中能成为伙伴的机会；并
5. **指示** 常务委员会主席把在第十次缔约方大会通过的本决议和其他有关决议和决定，以及未来所有会议上通过的相关决议决定发给《生物多样性公约》缔约方大会。

*经第十四次缔约方大会修订。

Conf. 10.4 (Rev. CoP14)*

Cooperation and synergy with the Convention on Biological Diversity

WELCOMING decision III/21 of the Conference of the Parties to the Convention on Biological Diversity, which endorsed the Memorandum of Understanding between the CITES Secretariat and the Secretariat of the Convention on Biological Diversity;

EXPRESSING appreciation for the cooperation and cordial relationship that has been developed between the two Secretariats;

AWARE that decision III/21 of the Conference of the Parties to the Convention on Biological Diversity invites "the governing bodies of biological-diversity-related conventions to consider the possible contributions of those conventions to the implementation of the objectives of the Convention on Biological Diversity, and to share experience with the Conference of the Parties on, inter alia, successful management practices";

RECALLING that the Conference of the Parties to the Convention on Biological Diversity has invited "contracting Parties to relevant biological-diversity-related conventions to explore opportunities for accessing funding through the Global Environment Facility for relevant projects involving a number of countries, which fulfil the eligibility criteria and guidance provided by the Conference of the Parties to the Convention on Biological Diversity to the Global Environment Facility";

RECALLING also Chapter 38 of Agenda 21 and welcoming decision 19/9c of the Governing Council of UNEP which "recognizes the importance of the Programme's role in promoting and supporting cooperation and coordination with and amongst environmental agreements and their secretariats" and "requests the Conference of the Parties of the relevant conventions to encourage their respective convention secretariats to engage and continue to participate actively in the coordination process";

NOTING the proposal to explore the revival of the Ecosystem Conservation Group, which would meet within the context of UNEP's meetings on coordination of Secretariats of environmental conventions;

RECOGNIZING that UNEP should undertake such tasks in full cooperation with the Conference of the Parties;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. CALLS upon the CITES Secretariat and the Secretariat of the Convention on Biological Diversity to coordinate their programme activities particularly through the UNEP coordination meetings;
2. SUGGESTS that Parties, as appropriate to their national circumstances and to encourage synergy, take measures to achieve coordination and reduce duplication of activities between their national authorities for each Convention;
3. CALLS upon Parties to explore opportunities for obtaining funding through the Global Environment Facility for relevant projects, including multilateral projects, which fulfil the eligibility criteria and guidance provided by the Conference of the Parties to the Convention on Biological Diversity to the Global Environment Facility;
4. RECOMMENDS that the Secretariat investigate opportunities whereby CITES can become a partner in the implementation of appropriate provisions of the Convention on Biological Diversity; and
5. DIRECTS the Chairman of the Standing Committee to transmit to the Conference of the Parties to the Convention on Biological Diversity this and other relevant Resolutions and Decisions adopted at the 10th and all future meetings of the Conference of the Parties.

Amended at the 14th meeting of the Conference of the Parties.

Conf. 10.8 (Rev. CoP14)*

熊类的保护和贸易

意识到 熊类物种的所有种群均被列入了公约附录Ⅰ或附录Ⅱ；

意识到 熊类原产于亚洲、欧洲、北美洲和南美洲，因此，熊类的保护是一项全球性的问题；

注意到 持续发生的熊类物种的部分和衍生物的非法贸易削弱了公约的效力，而且如果CITES的缔约方和非缔约方不采取行动来消除此类贸易，偷猎可能会使野生熊类数量下降，进而导致熊类的某些种群甚至物种灭绝；

意识到 熊类保护的长远解决办法就是采取实质性的和可衡量的行动；

公约缔约方大会

1. **敦促** 所有缔约方，特别是熊类分布国和消费国，继续采取下列行动，减少对熊类部分和衍生物的非法贸易：

a) 强化、制定或改善国家立法，以控制熊类部分和衍生物的进出口，确保对非法活动的处罚足以阻止非法贸易；

b) 通过向国家和国际范围内的野生动植物贸易控制工作提供额外的资源来改善CITES 的执法状况；

c) 强化对非法进出口熊类部分和衍生物活动的控制措施；

d) 在主要的生产国和消费国，发起或鼓励采取新的国家行动，以发现、打击和消除非法市场；

e) 举办国际性的野生动植物动植物执法培训班，专门就熊类的部分和衍生物问题培训一线人员，交流实战技术和情报；

f) 为保护和执法工作制定双边的和区域性的协定；及

g) 共享法庭技术，以帮助那些能力不足以对熊的部分和衍生物进行鉴定及对标记上指明含有这些部分和衍生物的产品进行查验的缔约方。

2. **建议** 所有缔约方在必要时，审查并强化有关措施，以执行公约关于附录Ⅰ和Ⅱ物种标本中涉及到熊部分和衍生物贸易的有关规定；

3. 进一步**建议** 各缔约方和非缔约方，作为一件紧急事务，通过以下方式处理熊类部分和衍生物的非法贸易问题：

a) 加强政府部门、行业、消费群体和保护组织之间的对话，以保证附录Ⅰ熊类的部分和衍生物的非法贸易无法借助合法贸易的渠道进行，并提高公众对公约贸易控制措施的认识；

b) 鼓励尚未加入公约的熊类分布国和消费国，作为一件紧急事务，尽早加入本公约；

c) 提供资金，对濒危熊类，特别是分布于亚洲的熊类物种的状况进行研究；

d) 和传统医药团体共同开展工作，减少对熊类部分和衍生物的需求，包括积极推动

*经第十二和十四次缔约方大会修订。

研究和使用不危害其他野生物种备选品和替代品；及

e) 与传统医药团体和保护组织开展合作项目，提高公众和相关行业对与熊类标本贸易相关的保护担忧及采取更强有力的国内贸易控制和保护措施的必要性的认识；并

4. **呼吁** 所有政府和政府间组织、国际援助机构和非政府组织，作为一件紧急事务，提供资金和其他帮助，以停止熊类部分和衍生物的非法贸易，确保所有熊类物种的生存。

Conf. 10.8 (Rev. CoP14)*

Conservation of and trade in bears

AWARE that all populations of bear species are included either in Appendix I or Appendix II of the Convention;

RECOGNIZING that bears are native to Asia, Europe, North America and South America and, therefore, the issue of bear conservation is a global one;

NOTING that the continued illegal trade in parts and derivatives of bear species undermines the effectiveness of the Convention and that if CITES Parties and States not-party do not take action to eliminate such trade, poaching may cause declines of wild bears that could lead to the extirpation of certain populations or even species;

RECOGNIZING that long-term solutions for the protection and conservation of bears require the adoption of substantive and measurable actions;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. URGES all Parties, particularly bear range and consuming countries, to continue to take action to reduce the illegal trade in bear parts and derivatives by:
   a) confirming, adopting or improving their national legislation to control the import and export of bear parts and derivatives, ensuring that the penalties for violations are sufficient to deter illegal trade;
   b) increasing CITES enforcement by providing additional resources, nationally and internationally, for wildlife trade controls;
   c) strengthening measures to control illegal export as well as import of bear parts and derivatives;
   d) initiating or encouraging new national efforts in key producer and consumer countries to identify, target and eliminate illegal markets;
   e) developing international training programmes on enforcement of wildlife laws for field personnel, with a specific focus on bear parts and derivatives, and exchanging field techniques and intelligence;
   f) developing bilateral and regional agreements for conservation and law enforcement efforts; and
   g) sharing forensic technology to assist Parties lacking sufficient capabilities for the identification of bear parts and derivatives, and for examination of products labelled as containing parts and derivatives of bears;
2. RECOMMENDS that all Parties review and strengthen measures, where necessary, to enforce the provisions of the Convention relating to specimens of species included in Appendices I and II, where bear parts and derivatives are concerned;
3. RECOMMENDS further that Parties and States not-party, as a matter of urgency, address the issue of illegal trade in bear parts and derivatives by:
   a) strengthening dialogue between government agencies, industry, consumer groups and conservation organizations to ensure that legal trade does not provide a conduit for illegal trade in parts and derivatives of Appendix-I bears and to increase public awareness of CITES trade controls;
   b) encouraging bear range and consumer countries that are not party to CITES to accede to the Convention as a matter of urgency;

* *Amended at the 12th and 14th meetings of the Conference of the Parties.*

c) providing funds for research on the status of endangered bears, especially Asian species;

d) working with traditional-medicine communities to reduce demand for bear parts and derivatives, including the active promotion of research on and use of alternatives and substitutes that do not endanger other wild species; and

e) developing programmes in cooperation with traditional-medicine communities and conservation organizations to increase public awareness and industry knowledge about the conservation concerns associated with the trade in bear specimens and the need for stronger domestic trade controls and conservation measures; and

4. CALLS upon all governments and intergovernmental organizations, international aid agencies and non-governmental organizations to provide, as a matter of urgency, funds and other assistance to stop the illegal trade in bear parts and derivatives and to ensure the survival of all bear species.

Conf. 10.10 (Rev. CoP18)[1]

象标本贸易

注意到 亚洲象(*Elephas maximus*)自1973年起就被列入附录I；

也注意到 在第七次缔约方大会 (洛桑，1989年)上，非洲象(*Loxodonta africana*)被从附录II转到了附录I，但部分种群又在第十次大会(哈拉雷，1997年)和第十一次大会(吉吉里，2000年)上被有条件地转回到附录II；

认识到 象分布国是其象的最佳保护者，但大多数分布国需要加强其合规性监测、执法和管理能力，以确保其象种群的安全；

认识到 象标本的非法贸易是一个国际问题，需要所有象分布国、中转国和消费国采取紧急而一致的努力与之作斗争；

意识到 监测体系应包括象分布国的能力建设，应提供信息以促进象管理，应帮助确定优先次序并指导执法行动和保护工作；

考虑到 象在其分布区的许多地方面临的严重威胁，包括通过非法杀害和非法贸易象牙、人-象冲突、栖息地丧失和破碎及种群局部过剩；

认识到 有必要增强象分布国的机构和执法能力，以长期管理和保护象；

也认识到 象牙盗窃，包括从安全性不足的政府库存盗窃，进一步加剧了非法贸易和野生动植物犯罪；

认识到 非洲象分布国2010年通过了《非洲象行动计划》(其目标是，认识非洲象在提供生态、社会、文化和经济效益方面的潜力，确保并在可能的情况下在非洲整个非洲象的历史、现存和潜在分布区恢复可持续的象种群)，2011年成立了“非洲象基金”以支持实施《非洲象行动计划》；

考虑到 为达到本决议有关象标本非法贸易的规定要求而实施更多国家措施所需要的资源；

确信 象分布国之间、象分布国与象标本贸易涉及到的国家之间的合作、数据共享和互相帮助，将促进非洲和亚洲象的安全保障工作；

赞扬 一些象分布国、中转国和消费国为解决非法杀害象和非法贸易象标本问题所采取的积极行动；

关注到 偷猎象和贩运象牙的规模日益扩大，威胁到许多象种群的生存；破坏了非洲森林和稀树草原生态系统的完整性；被国际犯罪网络和集团推动；与腐败相互推动；破坏了法治和安全；损害了当地社区的可持续经济发展；对负责保护象和其他野生动植物物种的人们的生命和家庭构成了严重威胁，并且在某些情况下为破坏政府稳定的团体提供了资金；

考虑到 合法的国内象牙市场可能增加象种群和当地社区的风险，因为它给以合法为幌子的非法象牙洗白创造了机会；

欢迎 联合国大会于2015年7月30日一致通过其关于野生动植物贩运的首项决议(A/RES/69/314，《打击野生动植物非法贩运》)；

进一步欢迎 针对2015年后发展议程，联合国可持续发展峰会于2015年9月25日通过新的

[1] 经第十一、十二、十四、十五、十六、十七和十八次缔约方大会修订。

《2030年可持续发展议程》及其《可持续发展目标(SDGs)》，其通过目标15的具体目标15.7，特别谈到非法野生动植物贸易，指出："采取紧急行动终止偷猎和贩运受保护的动植物物种，并解决非法野生动植物产品的需求和供应问题"；

注意到 美国总统巴拉克·奥巴马和中国国家主席习近平于2015年9月共同承诺打击野生动植物贩运和"颁布几乎完全禁止象牙进出口的禁令，包括对狩猎纪念物象牙进口的重大而及时的限制，并采取重大而及时的步骤停止国内商业性象牙贸易"；

进一步注意到 博茨瓦纳、加蓬、乍得和坦桑尼亚总统及埃塞俄比亚外交部长于2014年2月14日发起的《象保护倡议》，作为一项由非洲主导的不断壮大的倡议(有14个成员国)，该倡议呼吁尤其要关闭国内象牙市场并支持执行《非洲象行动计划》；

进一步注意到 2015年11月4日发布的《非洲象联盟科托努宣言》，在该《宣言》中，25个非洲象分布国的代表同意"支持国际和国家层面的所有提案和行动，以关闭全球的国内象牙市场"；

进一步注意到 "监测非法杀害象计划"已记录到偷猎水平与当地人们生活质量之间存在很强的相关性；国家的治理质量；助长偷猎的全球象牙需求，这些都需要紧急干预；

承认 许多象分布国在多个论坛上都呼吁中转国和消费国通过关闭其合法的国内象牙市场来协助保护象种群的努力；

进一步承认 许多分布国和消费国已经宣布，它们已采取、正在采取或打算采取立法和监管措施来关闭其合法的国内象牙市场；及

注意到 世界自然保护联盟(IUCN)世界保护大会于2016年9月10日通过的议案，该议案呼吁各国政府关闭其国内生象牙和已加工象牙的商业贸易市场；

公约缔约方大会

关于定义

1. 同意：

a) "生象牙"一词应包括所有抛光的或未抛光的和以任何形式存在的整根象牙，及所有抛光的或未抛光的和以任何方式改变其原始形态的象牙切块，但"已加工象牙"除外；及

b) "已加工象牙"一词应解释为已经全部或部分地雕刻、定型或加工的象牙，但不应包括任何形式的整根象牙，除非整根表面已被雕刻；

关于标记

2. 建议 使用冲床-磨具、字迹无法消除的墨水或其他形式的永久性标记，来标记任何大小的整根象牙和长度在20厘米或以上且重量在1千克或以上的象牙切块，标记格式如下：原产国的双字母ISO代码，年份的后两位数字/年份的序列号/以千克为单位的重量(例如KE 00/127/14)。大家知道，不同的缔约方具有不同的标记系统，并且可能会采用不同的方式来规定序列号和年份(例如，可能是注册或复得的年份)，但是所有的系统对每一块标记的象牙都必须生成唯一的编号。如果是整根象牙，该编号应放在"唇印"上，并以闪光的颜色突出显示；

关于象牙标本贸易

3. **建议** 在管辖范围内有助长偷猎或非法贸易的合法国内象牙市场的所有缔约方和非缔约方，作为当务之急，采取一切必要的立法、监管和执法措施关闭其国内生象牙和已加工象牙的商业贸易市场；

4. **认识到** 对某些市场的关闭可能需要做出小范围豁免；但任何豁免都不应助长偷猎或非法贸易；

5. **敦促** 在管辖范围内有助长偷猎或非法贸易的合法国内象牙市场并且没有关闭其商业性象牙贸易的国内象牙市场的缔约方，作为当务之急，实施上述建议；

6. **敦促** 关闭其国内市场的缔约方，加强边境管控和与没有采取类似措施的邻国之间的合作；敦促此类邻国密切关注趋势，以确保采取措施立即有效地应对象牙非法贸易；

7. **进一步敦促** 那些在其管辖范围内有象牙雕刻业、合法的象牙国内贸易、无管制的象牙市场或非法象牙贸易，或者存在象牙库存的缔约方，及被指定为象牙进口国的缔约方，确保其已制定了全面的国内立法、监管、执法和其他措施，以：

a) 监管生象牙和已加工象牙的国内贸易；

b) 注册或许可所有经营生象牙或已加工象牙的进口商、出口商、制造商、批发商和零售商；

c) 引入记录和检查程序，以使管理机构和其他适当的政府机构能够监测象牙在本国的流通情况，特别是通过以下方式：

i) 对生象牙的强制性贸易管制；及

ii) 对已加工象牙的全面且显然有效的库存调查、报告和执法体系；

d) 开展公众意识运动，包括减少供需；提请注意有关象牙买卖的现行法规或新法规；提供有关象保护挑战的信息，包括非法杀害和非法贸易对象种群的影响；及，尤其是在零售商店中，告知游客和其他非本国公民，象牙出口需要许可证，将象牙进口到其居住国可能需要许可证并且可能不被许可；及

e) 保有一份政府持有的象牙库存清单，及可能的情况下，保有一份其领域内重要的私人象牙库存清单，并在每年2月28日之前通知秘书处这些库存情况，尤其是可供监测非法杀害象(MIKE)计划和象贸易信息系统(ETIS)开展数据分析。清单要载明每种类型象牙(生象牙或已加工象牙)的件数和重量；对相关的作品，如被标记，其按照本决议的规定进行标记的情况；象牙来源；与上一年相比库存出现重大变化的原因；

8. **鼓励** 象分布国和涉及象标本贸易的国家寻求其他政府、政府间和非政府组织的帮助，以支持除象牙非法贸易和助长非法贸易的国内象牙市场的工作；

9. **要求** 各缔约方向秘书处通报其国内象牙市场的合法性状况，及为执行本决议规定所做出的努力，包括为关闭那些助长偷猎或非法贸易的市场所做出的努力；

10. **进一步指示** 秘书处参考ETIS、MIKE的调查结果及其关于国内象牙市场状况的调查结果，并在可用资源范围内：

a) 查明那些有无管制的国内象牙市场、发现象牙被非法交易、象牙库存没有得到充分安保或象牙非法贸易水平很高的缔约方；

b) 从每个缔约方寻求有关其执行本决议有关象牙贸易规定的信息，酌情并与该缔约方协商，开展实地核查工作；及

c) 向常委会报告其调查结果和建议，常委会可审议支持本决议执行的建议，包括要求已确定的缔约方制定和执行《国家象牙行动计划》，并根据附件3 的指南及Conf. 14.3(Rev. CoP18)号决议《*CITES遵约程序*》规定的其他适当措施，监测这些行动计划的执行进展；

11. 指示 秘书处，视可用资源情况，向缔约方提供技术援助：

a) 改进有关象牙贸易的立法、监管和执法措施，并制定切实可行的措施以执行本决议；

b) 根据要求，支持政府持有的象牙库存的安全和注册工作，并为管理这些库存提供实用指导；并

c) 辨识象牙标本、其他类型的动物牙齿及类似象牙的材料；

12. 指示 秘书处，取决于必要的外部资金：

a) 在缔约方大会的每次会议上，及在有足够的新的MIKE或ETIS数据的情况下，在常委会相关会议上，报告MIKE和ETIS提供的信息和分析结果；并酌情与TRAFFIC合作，按照缔约方大会、常委会、MIKE和ETIS技术顾问组(TAG)或缔约方的要求，提供有关MIKE和ETIS的其他报告、更新或信息；

b) 在常委会相关会议召开之前，请联合国环境规划署世界保护监测中心(UNEP-WCMC)根据CITES数据库的记录，提供一份象标本贸易的概述；请IUCN物种存续委员会(IUCN/SSC)的非洲象和亚洲象专家组提交有关象保护状况、相关保护行动和管理策略的任何新的和相关的信息；请非洲象分布国提供《非洲象行动计划》执行进展的信息；及

c) 根据上述a)和b)项规定的信息，提出行动建议，供缔约方大会或常委会审议；

13. 建议 缔约方加强执法和边境管控，以执行有关象标本贸易的立法；

14. 建议 所有象分布国都采取立法、法规、执法或其他措施来防止活象的非法贸易；

15.建议 除非已按照本决议进行了标记并且遵守了公约的其他规定，否则不允许生象牙，包括作为狩猎纪念物或狩猎纪念物一部分的生象牙的出口、再出口或进口；

16. 建议 缔约方制定措施并评估现有措施，以确保它们足以应对象标本电子商务带来的挑战，这在Conf. 11.3(Rev. CoP18)号决议《*遵约和执法*》[1]中已有概述；

17. 指示 常委会：

a) 审查各缔约方为执行本决议规定而采取的行动，特别是-但不限于-有关象标本贸易的规定；

b) 根据附件3中的《指南》，酌情提出有针对性的建议，其中可能包括要求确定的缔约方制定和执行《国家象牙行动计划》；及

c) 在缔约方大会每次会议上报告结果；

18. 敦促 确定的缔约方使用本决议附件3中的《国家象牙行动计划进程指南》；

[1] 由秘书处在第十八次缔约方大会后修正。

19. 指示 秘书处在常委会每次例会上报告本决议执行或象标本贸易管制或可追溯方面存在的任何明显问题，并协助常委会向缔约方大会报告；

关于商业目的生象牙的贸易

20. 建议 源自非附录I象种群的生象牙贸易只有在符合缔约方大会同意的规定情况下方可允许；

关于作为狩猎纪念物一部分的生象牙贸易限额

21. 建议：

a) 每个希望允许出口作为象狩猎纪念物[见Conf. 12.3(Rev. CoP 18)号决议[1]《*许可证和证明书*》中的定义]一部分的生象牙的象分布国，作为其种群管理的一部分，建立以最大牙数量表示的年度出口限额，并执行Conf. 14.7(Rev. CoP15)号决议《*国家建立的出口限额的管理*》中的规定和指南；

b) 下一个公历年(1月1日至12月31日)的每个出口限额均应于12月31日前以书面形式通知公约秘书处；

c) CITES秘书处协助实施限额制度，方式包括：通过审查就每个限额提交的信息及收到的有关所涉种群状况的任何信息；与相关的象分布国讨论任何关切；及，如果限额是在截止日期之前收到的，并且没有关切的理由，则在每年的1月1日之前在网站上发布限额；

d) 在截止日期之前没有提交作为象狩猎纪念物一部分的生象牙出口限额的每个象分布国，限额将为零，直到其以书面形式将其限额通知秘书处，然后秘书处再发布该限额；

e) 缔约方准许进口作为狩猎纪念物一部分的生象牙，如果：

i) 根据本决议中的标记要求对象牙进行了标记；

ii) 标记格式中包含的年份反映了象为出口而被猎获的年份；

iii) 根据本决议，CITES秘书处针对该特定年份发布了有关象分布国的限额；及

f) 象仅当秘书处收到和发布了该国的限额、并且该国满足本决议和公约第十条的所有其他条件(见缔约方大会决议中所做的解释)，缔约方才准许从一个非公约缔约方的象分布国进口作为狩猎纪念物一部分的生象牙；

关于贸易象标本的可追溯性

22. 建议 各缔约方在技术开发方面开展合作以增强贸易中象标本的可追溯性，例如，通过支持确定象牙和其他象标本年龄和来源的研究，通过提供法证研究的样品，及与相关法证研究机构合作等方式；

23. 敦促 缔约方最好在缉获之日起90天内或者一旦得到司法程序允许，从其领域内缉获的大规模象牙(即，缉获500公斤或更多)中采集样本，并将这些样本提供给能够可靠地确定象牙样本来源或年龄的法庭或其他研究机构，以支持调查和起诉活动；

24. 建议 缔约方与秘书处和来源国分享样本法证分析中产生的有关缉获象牙标本来源或年龄的信息，以促进调查和起诉，并供MIKE和ETIS在向常委会和缔约方大会报告时

进行分析；

25．建议 作为来源国、中转国或目的地国而受到非法象牙贸易影响的缔约方制定战略，以促进从大规模象牙缉获物和政府持有的没收象牙库存中采集样本供法证分析；及

26．指示 秘书处，在有可用资源的情况下，支持可提高贸易象标本可追溯性的活动，方式包括：向缔约方通报和评估有关的法证实验室和研究机构；审查有关的发展和研究活动，并相应地向各缔约方和常委会提供建议；鼓励使用CITES网站上发布的《象牙采样和实验室分析方法与程序指南》；鼓励共享法庭样本和数据，包括通过现有的DNA数据库进行共享；促进与MIKE、ETIS及国家和国际执法活动的联系；

关于监测非法杀害象和贸易象标本

27．同意：

a) 根据本决议建立并由常委会监督的被称为MIKE和ETIS的机制，应按照以下目标继续运行并加以扩展：

i) 测量和记录象分布国、象牙消费国、象牙中转国中非法杀害象和贸易象牙及其他象标本的水平和趋势，及水平和趋势上的变化；

ii) 评估观察到的趋势是否并在多大程度上与在CITES主导下采取的关于象和象标本贸易的措施有关；评估CITES附录中象种群清单的变化情况；或评估象牙合法国际贸易的开展情况；

iii)建立一个信息库，以支持对适当的管理、保护和执法需求做出决策；及

iv) 在象分布国和，若适用，象标本贸易涉及的国家，开展能力建设，以在管理象和强化执法工作中实施与利用MIKE和ETIS；

b) 这些监测机制应与附件1《监测象牙和其他象标本的非法贸易》和附件2《监测象分布国中的非法杀害》中给出的框架相一致；并且

c) 也应考虑来自国家、区域和国际执法组织与网络及专业资源管理和科学机构(例如IUCN/SSC非洲象和亚洲象专家组，UNEP世界保护监测中心)的有关象种群、非法杀害象和贸易象部分及其衍生物的信息；

d) 在通过常委会设立的独立技术顾问组提供给MIKE和ETIS的技术监督下，这些来源的数据和信息应加以合并和整合；

e) 象分布国应通过将收集非法杀害象数据纳入其常规生物多样性监测，以帮助确保监测机制的可持续性，所有缔约方应通过将收集象牙非法贸易数据纳入其常规执法行动来达到同样的目的；

f) 来自MIKE和ETIS的数据和分析结果也应纳入与象标本贸易有关的CITES决策过程中；

g) 提供给MIKE和ETIS的数据摘要和汇总及对这些数据的分析结果，一旦在CITES网站上发布或以其他方式公开分发，将被视为不受版权限制的信息；提交给MIKE或ETIS的有关查获个案、象死亡和执法的详细数据，其所有权归各自的数据提供者所有，多数情况下是CITES缔约方；与某个CITES缔约方有关的任何此类数据都可以被该缔约方及MIKE和ETIS技术顾问组的成员访问，以供参考和审查，但未经该缔约方同意，不得提供给任何第三方；根据适当的保密协议，数据

也可以提供给合同方(比如统计员)或其他研究人员(比如MIKE-ETIS小组同意的研究合作者)；及

h) 有关象种群的数据将保存在IUCN/SSC非洲象和亚洲象专家组建立的数据库中，MIKE有直接访问这些数据库的权限；第三方访问和提供给第三方将受到IUCN相关数据访问和发布政策的约束；

关于改善分布国的象保护管理工作

28. 敦促 所有缔约方帮助象分布国提高他们管理和保护本国象种群的能力，包括通过基于社区的行动、改进的执法、调查、栖息地保护和野生种群监测，并考虑到《非洲象行动计划》及亚洲象分布国同意的相关措施；

29. 敦促 所有非洲象分布国通过继续执行《非洲象行动计划》，强化其对保护非洲象的共同承诺，并敦促各缔约方和其他捐助者大幅增加对为实施《非洲象行动计划》所设的"非洲象基金"的投入；

30. 敦促 非洲象和亚洲象分布国通过对话、交流信息和最佳实践、联合保护活动和与有关执法组织和网络合作的多边执法行动，协调其保护管理象及其栖息地及打击非法杀害象和非法贸易象牙的努力；

关于执行本决议所需的资源

31. 敦促 所有政府、捐助机构、政府间组织、非政府组织、私人和私营部门提供即时和长期资助，以确保象在非洲大陆的未来，包括通过充分及时地实施《非洲象行动计划》；

32. 呼吁 所有政府、政府间和非政府组织及其他适当的捐助者，为秘书处、象分布国和缔约方所需的资源(包括技术专门知识)提供资金，以确保本决议中的建议能够得到有效执行；并且

33. 废止 Conf. 9.16号决议(劳德代尔堡，1994)——《*非洲象牙贸易*》。

附件 1 监测象牙和其他象标本的非法贸易

1. 引言

为了在全球范围内监测和记录象牙和其他象标本的非法贸易水平，需要有一个系统用于收集和汇编关于缉获和没收的执法数据。在第10次会议上，缔约方大会认可了TRAFFIC为此目的在1992年建立的"问题象牙数据库系统"(BIDS)。

经过进一步的发展和完善，BIDS演变为象贸易信息系统(ETIS)，自1998年以来，该系统已用于监测象牙和其他象标本非法贸易的模式和规模。

2. 范围

ETIS是一个全面的、全球性的信息系统，其主要特征是一个数据库，用于保存自1989年以来据报发生的查获或没收象牙和其他象标本执法记录的详细信息。ETIS还维护以下方面的一系列辅助信息：执法工作和效率、报告率、合法和非法象制品市场、治理问题、背景经济数据和其他因素。

3. 方法

TRAFFIC将与CITES秘书处合作收集有关象牙和其他象标本非法贸易的数据和信息。在这方面，已经开发了一种标准化的方法来收集数据，包括，特别是和在已知的范围内：

- 信息来源
- 查获日期
- 负责查获的机构
- 交易类型
- 查获国家
- 原产国
- 出口国
- 目的地/进口国
- 象牙的类型和数量
- 运输方式
- 作案手法
- 嫌疑人的国籍

标准化的数据是通过多种机制和格式收集的，包括直接在线数据提交到ETIS网站，使用ETIS数据收集表处理缉获个案，或使用ETIS数据收集电子表单供一次报告多个缉获案件。使用其他格式报告象制品的缉获或没收情况也是可以接受的。

4. 数据收集与整理

MIKE和ETIS技术顾问组(TAG)将支持ETIS的开发和实施。ETIS将由TRAFFIC管理和协调，后者会与TAG协商并与CITES秘书处合作。

所有缔约方应在与适当的执法机构联络后，通过其CITES管理机构，在查获和没收行为发生后的90天内，按照规定的格式，将查获和没收象牙或其他象标本的信息提供给秘书处或直接提供给TRAFFIC。此外，非公约缔约国的执法机构也应提供类似信息。

TRAFFIC将协助各缔约方收集数据，确保数据质量和一致性，并酌情向世界各地的指定官员提供数据收集、数据利用和信息管理方面的工具和培训。

5. 信息、数据分析和解释

ETIS生成的信息在此定义为ETIS数据分析的结果和产出，包括不同形式的摘要和汇总、趋势和其他分析性陈述，及构成潜在贸易动态的关系和因素。

数据在此定义为通过ETIS程序收集的关于缉获个案的事实，包括使用CITES的“象牙和象产品数据收集表”或其他用于获取象产品缉获数据的机制收集的事实。它还包括ETIS内属于附属数据库一部分的数据，及主要在ETIS主导下为促进ETIS分析而收集的任何其他数据。

TRAFFIC将对数据的分析和解释进行协调，它会与CITES秘书处和MIKE合作(见附件2)，并与有关缔约方和TAG协商。

6. 会间的补救行动

如果需要采取紧急的会间行动，TRAFFIC将酌情通过秘书处向常委会报告。

7. 筹资

将建立一个筹资机制，以确保ETIS全面运行。

附件 2 监测象分布国中的非法杀害

1. 引言

为解决许多象分布国的关切，已经建立了一个系统，以监测非法杀害象的趋势，并阐明与这种趋势有关的因素。该系统(MIKE)依赖于一个供国家和国际报告非法杀害象事件的简单的、标准化的协议，从中可以确定水平和趋势及与这些趋势相关的因素，并可以发现这些水平、趋势和因素的变化。

这种测量包括两个要素。第一个要素是监测与该问题有关的参数，比如非法杀害象的模式和规模、非法贸易象牙的模式和规模、用于侦查和/或预防此类情况的努力和资源，及非法贸易象牙的货币价值。

第二个要素是在上述确定的相关参数与缔约方大会有关象的决定之间建立相关性。站点、国家和全球层面的其他因素，例如社会经济数据、内乱、非法武器和弹药的流动、栖息地的丧失和干旱，也将被检视。

MIKE的总体目标是为象分布国和CITES缔约方提供制定适当的管理和执法决策所需的信息，并通过提高对象种群监测、发现非法杀害水平的变化、利用这些信息提供更有效的执法和加强支持此类执法所需的任何监管措施的能力，来建立分布国对其象种群进行长期管理的机构能力。

2. 范围和方法

MIKE是基于一套由指定机构进行报告并在特定地点或地区进行监测的标准化方法。

MIKE由非洲象和亚洲象分布国与秘书处和执行伙伴协调与合作实施。参加MIKE的象分布国将任命国家和站点联络员，并通过MIKE计划或相关管理机构向秘书处通报他们的姓名和联系方式，如果联络员信息发生变化，也应及时通报。参加MIKE的每个象分布国还要提名一个次区域指导委员会的成员，该委员会负责监督该次区域的MIKE实施，并通过秘书处与常委会保持联系。

CITES秘书处和执行伙伴经商象分布国及MIKE和ETIS技术顾问组(TAG)，已经建立了相关数据库和标准报告协议。

3. 角色和责任

象分布国主要负责按照MIKE提供的标准格式，收集和定期提交一线数据，这也是其常规生物多样性监测活动的一部分。数据收集包括以下内容：

- 象种群数据/趋势；
- 非法杀害的发生率和方式；及
- 侦查和预防非法杀害所做的努力和投入的资源。

通过与实施MIKE和ETIS(见附件1)的分布国的积极沟通，来收集象非法猎杀和象牙非法贸易的信息与数据。

CITES秘书处主要负责全球数据的汇编、分析和报告，但可以在TAG的建议下，要求或者聘请适当的专家或组织提供技术支持，以协调以下活动：

a) 获得和汇编上述数据与信息，包括通过与分布国的积极交流；

b) 选定监测站点，并酌情最大程度地增加监测站点数量；

c) 开发和完善用于数据收集和分析的标准化方法；

d) 促进对有选定监测站点的国家中的指定官员和象分布国的CITES管理机构提供培训；

e) 建立适当的数据库并与包含相关分析用数据的现有数据库建立联系；及

f) 核对和处理所有已确定来源的所有数据和信息。

CITES秘书处或执行伙伴可以与分布国就MIKE实施达成特定协议。

4. 资金和运营支持

部署和实施MIKE需要大量资金。预计大部分数据采集功能将被象分布国整合到常规的国家级生物多样性监测和执法活动中，但需要长期的支持以确保下列事务：国家水平上的连续性和可持续性；区域和全球层面的协调；提供培训和能力建设；及全球数据的汇编、分析和报告。在这方面，CITES秘书处将维持现有的伙伴关系，并酌情建立新的伙伴关系，例如与IUCN在支持一线活动及提供和汇编象种群数据方面保持的现有合作。

附件 3 国家象牙行动计划进程指南

步骤1：确定参与“国家象牙行动计划进程”的缔约方

a) 确定参与“国家象牙行动计划(NIAP)进程”的缔约方的依据是根据本决议向缔约方大会(CoP)每次会议提交的ETIS报告。

b) 如上述步骤1，a)所述，对于通过ETIS向缔约方大会报告确定为需要注意的缔约方，CITES秘书处将与有关缔约方合作和磋商，确定就是否应将该缔约方纳入进程事宜，在向常委会提出建议时是否需要考虑更多的信息。如果需要，秘书处可以请其他专家参与并进行国别访问来协助这一进程。

c) 秘书处要在ETIS报告提交给缔约方大会后的90天内，与有关缔约方协商，利用其他相关信息并考虑NIAP进程的目的和预期结果，就是否应将某个缔约方列入进程向常委会提出建议。

- 推定被归为A类缔约方[1]的缔约方会被建议参与NIAP进程。
- 对B类缔约方[2]不作任何推定。
- 通常不建议C类缔约方[3]参与NIAP进程。

d) 如果常委会认为该建议适当，它将建议某个缔约方参与NIAP，并要求该缔约方制定NIAP，包括通过邮政程序。

[1] A类缔约方由受象牙非法贸易影响最大的缔约方组成.
[2] B类缔约方由受象牙非法贸易严重影响的缔约方组成
[3] C类缔约方由受象牙非法贸易影响的缔约方组成

e) 如果常委会认为该建议不适当，它将建议某个缔约方不参与NIAP进程，并记录和传达该决定。

步骤2：制定NIAP

a) 应常委会的要求，有关缔约方将制定一个“充足的”NIAP，该NIAP指：

1．解决步骤1中确定的特定问题(或差距)。

2．按要求，从以下五个方面进行组织：

i) 法律与法规；

ii) 国家层面的执法行动和机构间合作；

iii)国际和区域执法合作；

iv) 宣传、公众意识和教育；及

v) 报告。

3．有以下特点：

i) 明确说明要实施的行动；

ii) 有时限，明确说明每个行动的实施时间表；

iii)在代表国家承诺的级别上获得批准；

iv) 通过协商和参与的过程制定，要包括一国的所有相关行为者(取决于特定事项，并由每个缔约方根据其国情决定)；

iv) 列出费用和资金需求，及适当的资金来源；及

vi) 包含与所需行动直接相关的绩效指标和目标，这些指标和目标能够衡量行动在NIAP中的影响；例如，通过有关象偷猎水平的数据；象牙查获量；成功的起诉案例；本决议第6段d)项的进展；立法变化情况；及来自国际打击野生动植物犯罪联盟(ICCWC)《打击野生动植物和森林犯罪指标框架》的任何相关指标。

4．使用开发NIAP的模板1[1]进行开发，可在CITES网站的NIAP网页上找到。

5．包含与要解决的问题相称的措施。

b) 有关缔约方应在常委会要求其制定NIAP之日起的120天内，向秘书处提交NIAP。

c) 请各缔约方在制定和实施其NIAPs时，酌情参考《缔约方制定和实施NIAPs指南》[2]，该《指南》可从CITES秘书处NIAP网页上获得。

步骤3：评估NIAP的充足性

a) 在某个缔约方制定了NIAP之后，秘书处将视需要与专家协商，评估该NIAP的充足性；

b) 如果需要对该NIAP进行修改，则有关缔约方应在秘书处要求其修改NIAP之日起的60天内提交这些修改。

c) 秘书处将认可该《计划》，该缔约方将批准其计划。

[1] https://cites.org/eng/prog/niaps/Guidelines_templates
[2] https://cites.org/sites/default/files/common/prog/niaps/Maputo%20recommended%20actions.pdf

d) 如果某个缔约方希望修订和更新其以前认为是充足的NIAP，以加进应对任何新出现的象偷猎或象牙贩运趋势或相关事项所需的新行动，则该缔约方应向秘书处提交拟议修订和更新的NIAP，及修订和更新其NIAP的说明。如果以前认为是充足的NIAP中的行动属于尚未“完成”或“基本完成”，但被从经过修订和更新的NIAP中删除了，则该缔约方应为删除这些行动提供正当理由。

e) 秘书处应按照上述步骤3的 a)-c)项规定，评估从缔约方收到的任何经过修订和更新的NIAP的充足性。

f) 秘书处应在NIAP网页上公开提供被认可为“充足的”新的、修订的或更新的NIAP。

步骤4：监测执行情况

a) 缔约方应在每次常委会例会之前90天，使用CITES网站NIAP网页上提供的NIAP实施进展报告模板[1]，向秘书处提交进展报告；

b) 缔约方应根据步骤2 a)第3项 vi)所述的每个NIAP行动的指标，使用模板并为每个NIAP行动确定以下相关评级之一，报告实施进度：

1. *完成* - 事项或行动已完成。
2. *基本完成* - 实施方面取得了重大进展，指定的里程碑和时间表已完全或基本实现。
3. *推进中* - 实施进展良好，指定的里程碑和时间表好像是正在推进之中或基本上处于实现目标的进程上。
4. *部分进展* - 实施进展有限，实现指定的里程碑和时间表似乎不太可能。当使用这一评级时，提交报告的缔约方应就执行既定行动方面缺乏进展的原因或遇到的挑战给出解释。
5. *等待另一项行动完成* - 除非NIAP中的另一项行动取得进展或完成，否则某项行动的实施就无法开始或设定的里程碑和时间表就无法实现。当使用这一评级时，提交报告的缔约方要提供应当完成或取得进展的行动的说明，及该行动与既定行动之间的关系。
6. *未开始* - 根据NIAP中设定的时间表，该行动尚未开始。如果某个缔约方由于能力有限而只取得了部分或有限的进展，它应将此情况通报给秘书处。

c) 秘书处将基于自我评估(如需要，则与专家合作)，评价这些报告，将报告提交常委会每次例会，酌情向常委会提出建议，并在NIAP网页上公开发布报告。

d) 秘书处将确定在哪些方面没有足够的信息来支撑根据既定的里程碑或目标对进度或行动进行评估。

e) 在秘书处对某个缔约方的进展报告进行总体评价之后，常委会应审议以下评级：

1. *完成* - 至少有80％的NIAP行动被评估为“基本实现”，其余的行动都被自我评估为“推进中”。缔约方提交的进展报告提供了足以证明所确定的进展评级合理性的活动细节；
2. *部分进展* - 至少有50％的NIAP行动被评估为“推进中”；其余的行动都被评估为“等待另一项行动完成”和/或“部分进展”。缔约方提交的进展报告提供了足

[1] https://cites.org/eng/prog/niaps/Guidelines_templates

以证明所确定的进展评级合理性的活动细节；

3. *有限进展* - 以上两个评级均不适用，因而NIAP行动实施仅取得了有限进展。

f) 如果某个缔约方被要求制定和实施NIAP，但在指定的时限内未提交合乎要求的NIAP，在指定的日期之前未提交进展报告，在指定的时限内实现了NIAP中确定的目标，或未能遵循本指南步骤1-3中包含的过程和程序，秘书处和常委会应根据Conf. 14.3(Rev. CoP18)号决议《*CITES遵约程序*》，酌情考虑采取适当的措施，以确保遵守NIAP进程。

步骤5：完成NIAP并退出NIAP进程

a) 当缔约方将其80％的NIAP行动评估为“基本完成”，将其余的NIAP行动评估为“推进中”时，其应通知秘书处。

b) 秘书处将评估有关缔约方报告的进展，并审议在为NIAP中每个行动所采取的措施和活动方面，是否提供了足够详细的资料，以证明确定的自我评估评级是合理的。鼓励秘书处聘请有关专家或进行国别访问，以协助这一进程，并提出建议供常委会审议是否：

i) 该缔约方有必要修订和更新其NIAP并继续执行；

ii) 需要采取其他措施；或

iii)缔约方已经“完成”其NIAP，可退出NIAP进程。

c) 秘书处在根据以上步骤5, b)段拟定供委员会审议的建议时，应适当考虑以下因素：

i) Conf. 10.10(Rev. CoP18)号决议的规定；

ii) ETIS分析结果是否继续确定该缔约方需要关注；

iii)缔约方为酌情解决象偷猎和非法象牙贸易而采取的任何重大措施或政策；及

iv) 任何可能获得的其他信息，例如，象偷猎和象牙非法贸易的显着减少，因为它影响到该缔约方或可能引起关注的任何持续的、新的或新兴的趋势。

Conf. 10.10 (Rev. CoP18)

Trade in elephant specimens

NOTING that the Asian elephant, *Elephas maximus*, has been included in Appendix I since 1973;

NOTING also that the African elephant, *Loxodonta africana*, was transferred from Appendix II to Appendix I at the seventh meeting of the Conference of the Parties (Lausanne, 1989) but some populations were transferred back to Appendix II, under a set of conditions, at the 10th meeting (Harare, 1997) and at the 11th meeting (Gigiri, 2000);

RECOGNIZING that elephant range States are the best protectors of their elephants but that the majority of them need to enhance their compliance monitoring, enforcement, and management capacity to ensure the security of their elephant populations;

RECOGNIZING that the illegal trade in elephant specimens is an international problem which requires all elephant range States and transit and consumer States to take urgent and concerted efforts to combat it;

AWARE that monitoring systems should encompass capacity building in elephant range States, provide information to facilitate elephant management, and help to prioritize and guide enforcement initiatives and protection efforts;

CONSIDERING the serious threats facing elephants in many parts of their range, including through illegal killing and illegal trade in ivory, human-elephant conflict, habitat loss and fragmentation, and local overabundance;

RECOGNIZING the need to enhance the institutional and enforcement capacities in elephant range States to manage and conserve elephants in the long term;

RECOGNIZING also that the theft of ivory, including from inadequately secured government stocks, further adds to illegal trade and wildlife crime;

RECOGNIZING that African elephant range States adopted in 2010 an African Elephant Action Plan with the goal of securing and, where possible, restoring sustainable elephant populations throughout their historic, present and potential range in Africa in recognition of their potential to provide ecological, social, cultural and economic benefits, and that an African Elephant Fund was established in 2011 to serve the implementation of the African Elephant Action Plan;

CONSIDERING the resources required for the implementation of additional national measures to meet the provisions of this Resolution with regard to illegal trade in elephant specimens;

CONVINCED that the enhancement of elephant security in Africa and Asia would be facilitated by cooperation, data-sharing and mutual assistance between and among the elephant range States, and countries involved in trade in elephant specimens;

COMMENDING the positive actions taken by some elephant range States, and transit and consumer States, to address the illegal killing of elephants and illegal trade in elephant specimens;

CONCERNED that the increasing scale of poaching of elephants and trafficking in ivory threatens the survival of many elephant populations; undermines the ecological integrity of African forest and savannah ecosystems; is facilitated by international criminal networks and syndicates; fuels and is fuelled by corruption; undermines the rule of law and security; harms the sustainable economic development of local communities; is a serious risk to the lives and families of those charged with protecting elephants and other wildlife species, and in some cases provides funding to groups that destabilize governments;

CONSIDERING that legal domestic markets for ivory may increase the risk to elephant populations and local communities, due to the opportunity it creates for the laundering of illegal ivory under the guise of legality;

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* *Amended at the 11th, 12th, 14th, 15th, 16th, 17th and 18th meetings of the Conference of the Parties.*

WELCOMING the adoption by the United Nations General Assembly on 30 July 2015, by consensus, of its first-ever resolution on wildlife trafficking (A/RES/69/314, *Tackling illicit trafficking in wildlife*);

FURTHER WELCOMING the adoption of the new 2030 Agenda for Sustainable Development and its Sustainable Development Goals (SDGs), on 25 September 2015, by the UN Sustainable Development Summit for the post-2015 development agenda, which specifically address illegal wildlife trade through target 15.7 of Goal 15, which states: "Take urgent action to end poaching and trafficking of protected species of flora and fauna and address both demand and supply of illegal wildlife products";

NOTING the joint commitments announced in September 2015 of President Barack Obama of the United States of America and President Xi Jinping of China to combat wildlife trafficking and "enact nearly complete bans on ivory import and export, including significant and timely restrictions on the import of ivory as hunting trophies, and to take significant and timely steps to halt the domestic commercial trade of ivory";

FURTHER NOTING the Elephant Protection Initiative launched on 14 February 2014 by the Presidents of Botswana, Gabon, Chad and the United Republic of Tanzania and the Ethiopian Minister of Foreign Affairs, as a growing African-led initiative (with 14 member countries) which calls for, *inter alia,* the closure of domestic ivory markets and support for the implementation of the African Elephant Action Plan;

FURTHER NOTING the Cotonou Declaration of the African Elephant Coalition of 4 November 2015, in which representatives of 25 African elephant range States agreed to "support all proposals and actions at international and national levels to close domestic ivory markets worldwide";

FURTHER NOTING that the Monitoring the Illegal Killing of Elephants Programme has documented strong correlations between poaching levels and the quality of human livelihoods at the site level; the quality of governance at the country level; and demand for ivory at the global level as contributing to poaching and these require urgent interventions;

ACKNOWLEDGING that many elephant range States have, in multiple fora, called upon transit and consumer States to assist efforts to protect elephant populations, by closing their legal domestic ivory markets;

FURTHER ACKNOWLEDGING that many range and consumer States have already announced that they have taken, are taking, or intend to take legislative and regulatory steps to close their legal domestic ivory markets; and

NOTING the motion adopted by the International Union for Conservation of Nature (IUCN) World Conservation Congress on 10 September 2016 calling on governments to close their domestic markets for commercial trade in raw or worked elephant ivory;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

Regarding definitions

1. AGREES that:

   a) the term 'raw ivory' shall include all whole elephant tusks, polished or unpolished and in any form whatsoever, and all elephant ivory in cut pieces, polished or unpolished and howsoever changed from its original form, except for 'worked ivory'; and

   b) the term 'worked ivory' shall be interpreted to mean ivory that has been carved, shaped or processed, either fully or partially, but shall not include whole tusks in any form, except where the whole surface has been carved;

Regarding marking

2. RECOMMENDS that whole tusks of any size, and cut pieces of ivory that are both 20 cm or more in length and one kilogram or more in weight, be marked by means of punch-dies, indelible ink, or other form of permanent marking, using the following formula: country-of-origin two-letter ISO code, the last two digits of the year / the serial number for the year / and the weight in kilograms (e.g. KE 00/127/14). It is recognized that different Parties have different systems for marking and may apply different practices for specifying the serial number and the year (which may be the year of registration or recovery, for example), but that all systems must result in a unique number for each piece of marked ivory. This number should be placed at the 'lip mark', in the case of whole tusks, and highlighted with a flash of colour;

Regarding trade in elephant specimens

3. RECOMMENDS that all Parties and non-Parties in whose jurisdiction there is a legal domestic market for ivory that is contributing to poaching or illegal trade, take all necessary legislative, regulatory and enforcement measures to close their domestic markets for commercial trade in raw and worked ivory as a matter of urgency;

4. RECOGNIZES that narrow exemptions to this closure for some items may be warranted; any exemptions should not contribute to poaching or illegal trade;

5. URGES those Parties in whose jurisdiction there is a legal domestic market for ivory that is contributing to poaching or illegal trade and that have not closed their domestic ivory markets for commercial trade in ivory to implement the above recommendation as a matter of urgency;

6. URGES Parties that close their domestic markets to enhance their border controls and collaboration with neighbouring countries that have not taken similar measures; and such neighbouring countries to closely review trends to ensure that measures are taken to immediately and effectively address illegal trade in ivory.

7. FURTHER URGES those Parties in whose jurisdiction there is an ivory carving industry, a legal domestic trade in ivory, an unregulated market for or illegal trade in ivory, or where ivory stockpiles exist, and Parties designated as ivory importing countries, to ensure that they have put in place comprehensive internal legislative, regulatory, enforcement and other measures to:

   a) regulate the domestic trade in raw and worked ivory;

   b) register or license all importers, exporters, manufacturers, wholesalers and retailers dealing in raw or worked ivory;

   c) introduce recording and inspection procedures to enable the Management Authority and other appropriate government agencies to monitor the movement of ivory within the State, particularly by means of:

      i) compulsory trade controls over raw ivory; and

      ii) comprehensive and demonstrably effective stock inventory, reporting, and enforcement systems for worked ivory;

   d) engage in public awareness campaigns, including supply and demand reduction; drawing attention to existing or new regulations concerning the sale and purchase of ivory; providing information on elephant conservation challenges, including the impact of illegal killing and illegal trade on elephant populations; and, particularly in retail outlets, informing tourists and other non-nationals that the export of ivory requires a permit and that the import of ivory into their state of residence may require a permit and might not be permitted; and

   e) maintain an inventory of government-held stockpiles of ivory and, where possible, of significant privately held stockpiles of ivory within their territory, and inform the Secretariat of the level of this stock each year before 28 February, *inter alia* to be made available to the programme Monitoring the Illegal Killing of Elephants (MIKE) and the Elephant Trade Information System (ETIS) for their analyses, indicating the number of pieces and their weight per type of ivory (raw or worked); for relevant pieces, and if marked, their markings in accordance with the provisions of this Resolution; the source of the ivory; and the reasons for any significant changes in the stockpile compared to the preceding year;

8. ENCOURAGES elephant range States and countries involved in trade in elephant specimens to seek the assistance of other governments and intergovernmental and non-governmental organizations in supporting the work to eliminate the illegal trade in ivory and the domestic ivory markets that contribute to illegal trade;

9. REQUESTS Parties to inform the Secretariat of the status of the legality of their domestic ivory markets and efforts to implement the provisions of this Resolution, including efforts to close those markets that contribute to poaching or illegal trade;

10. FURTHER DIRECTS the Secretariat, with reference to the findings of ETIS, MIKE and its findings on the status of domestic ivory markets, and within available resources:

a) to identify those Parties that have unregulated internal markets for ivory, where ivory is found to be illegally traded, where ivory stockpiles are not well secured, or that have significant levels of illegal trade in ivory;

b) to seek from each Party so identified information concerning its implementation of the provisions of this Resolution relating to ivory trade and, where appropriate and in consultation with the Party, undertake *in situ* verification missions; and

c) to report its findings and recommendations to the Standing Committee, which may consider recommendations to support the implementation of the present Resolution, including requests to identified Parties to develop and implement National Ivory Action Plans, and monitor progress in executing these Action Plans, in accordance with the *Guidelines* contained in Annex 3, as well as other appropriate measures in accordance with Resolution Conf. 14.3 (Rev. CoP18) on *CITES compliance procedures;*

11. DIRECTS the Secretariat, subject to available resources, to provide technical assistance to Parties to:

a) improve legislative, regulatory and enforcement measures concerning trade in ivory and in developing practical measures to implement this Resolution;

b) support, where requested, the security and registration of government-held ivory stockpiles, and provide practical guidance for the management of these stockpiles; and

c) identify specimens of elephant ivory, other types of ivory and ivory look-alike materials;

12. DIRECTS the Secretariat, pending the necessary external funding, to:

a) report on information and analyses provided by MIKE and ETIS at each meeting of the Conference of the Parties and, subject to the availability of adequate new MIKE or ETIS data, at relevant meetings of the Standing Committee; and, in collaboration with TRAFFIC as appropriate, provide other reports, updates or information on MIKE and ETIS as required by the Conference of the Parties, the Standing Committee, the MIKE and ETIS Technical Advisory Group (TAG) or Parties;

b) prior to relevant meetings of the Standing Committee, invite the United Nations Environment Programme World Conservation Monitoring Centre (UNEP-WCMC) to provide an overview of trade in elephant specimens as recorded in the CITES database; the IUCN Species Survival Commission (IUCN/SSC) African and Asian Elephant Specialist Groups to submit any new and relevant information on the conservation status of elephants, pertinent conservation actions and management strategies; and African elephant range States to provide information on progress made in the implementation of the African Elephant Action Plan; and

c) on the basis of the information specified in paragraphs a) and b) above, recommend actions for consideration by the Conference of the Parties or the Standing Committee;

13. RECOMMENDS that Parties strengthen law enforcement and border controls to enforce legislation concerning the trade in elephant specimens;

14. RECOMMENDS that all elephant range States have in place legislative, regulatory, enforcement, or other measures to prevent illegal trade in live elephants;

15. RECOMMENDS that no export, re-export or import of raw ivory, including ivory that is, or is part of, a hunting trophy, be authorized unless it is marked in accordance with this Resolution and other provisions under the Convention are complied with;

16. RECOMMENDS that Parties develop measures and evaluate existing ones to ensure that they are sufficient to address the challenges posed by e-commerce of elephant specimens, as outlined in Resolution Conf. 11.3 (Rev. CoP18)[1] on *Compliance and enforcement*;

17. DIRECTS the Standing Committee to:

a) review actions taken by the Parties to implement the provisions of this Resolution, particularly – but not limited to – the provisions concerning trade in elephant specimens;

[1] *Corrected by the Secretariat following the 18th meeting of the Conference of the Parties.*

b) make targeted recommendations as appropriate, in accordance with the Guidelines contained in Annex 3, which may include requesting identified Parties to develop and implement National Ivory Action Plans; and

c) report the results at each meeting of the Conference of the Parties;

18. URGES the identified Parties to use the *Guidelines to the National Ivory Action Plans Process* ('*Guidelines to the NIAP Process*') attached in Annex 3 to this Resolution; and

19. DIRECTS the Secretariat to report at each regular meeting of the Standing Committee on any apparent problems in the implementation of this Resolution or in the control or traceability of trade in elephant specimens, and to assist the Standing Committee in its reporting to the Conference of the Parties;

Regarding trade in raw ivory for commercial purposes

20. RECOMMENDS that trade in raw ivory for commercial purposes from elephant populations not included in Appendix I be authorized only in accordance with provisions agreed by the Conference of the Parties;

Regarding quotas for trade in raw ivory as part of elephant hunting trophies

21. RECOMMENDS that:

a) each elephant range State that wishes to authorize export of raw ivory as part of elephant hunting trophies, as defined in Resolution Conf. 12.3 (Rev. CoP18)[1] on *Permits and certificates*, establish, as part of its management of the population, an annual export quota expressed as a maximum number of tusks, and implement the provisions and guidelines in Resolution Conf. 14.7 (Rev. CoP15) on *Management of nationally established export quotas*;

b) each export quota be communicated to the CITES Secretariat in writing by 1 December for the following calendar year (1 January to 31 December);

c) the CITES Secretariat assist in the implementation of the quota system by reviewing information submitted on each quota, together with any information received about the status of the population in question; discussing any concern with the relevant elephant range State; and, if the quota was received by the deadline and if there is no cause for concern, posting the quota on its website not later than 1 January of each year;

d) each elephant range State that does not submit its export quota for raw ivory as part of elephant hunting trophies by the deadline will have a zero quota until such time as it communicates its quota in writing to the Secretariat, and the Secretariat in turn publishes the quota; and

e) Parties authorize import of raw ivory as part of a hunting trophy if:

i) the ivory is marked in accordance with the marking requirements as contained in this Resolution;

ii) the year included in the formula for marking reflects the year the elephant was harvested for export; and

iii) a quota for the elephant range State in question was published by the CITES Secretariat for that specific year, in accordance with this Resolution; and

f) Parties authorize import of raw ivory as part of elephant hunting trophies from an elephant range State that is not party to the Convention only if a quota for that State has been reviewed and published by the Secretariat, and if the State meets all the other conditions in this Resolution and Article X of the Convention (as interpreted in Resolutions of the Conference of the Parties);

Regarding the traceability of elephant specimens in trade

22. RECOMMENDS that Parties cooperate in the development of techniques to enhance the traceability of elephant specimens in trade, for instance by supporting research to determine the

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[1] *Corrected by the Secretariat following the 18th meeting of the Conference of the Parties.*

age and origin of ivory and other elephant specimens, by supplying samples for forensic research, and collaborating with relevant forensic research institutions;

23. URGES Parties to collect samples from large-scale ivory seizures (i.e. a seizure of 500 kg or more) that take place in their territories, preferably within 90 days of the seizure or as soon as allowed under judicial processes, and provide these to forensic and other research institutions capable of reliably determining the origin or age of the ivory samples in support of investigations and prosecutions;

24. RECOMMENDS that Parties share with the Secretariat and source countries information on the origin or age of seized ivory specimens arising from forensic analysis of samples to facilitate investigations and prosecutions, and for analysis by MIKE and ETIS in their reporting to the Standing Committee and the Conference of the Parties;

25. RECOMMENDS that Parties affected by illegal trade in ivory as a source, transit or destination country develop strategies to promote the collection of samples from large-scale ivory seizures and government-held stockpiles of confiscated ivory for forensic analysis; and

26. DIRECTS the Secretariat, subject to available resources, to support activities that will enhance the traceability of elephant specimens in trade by informing Parties about and evaluating relevant forensic facilities and research institutions; reviewing relevant developments and research activities, and advising the Parties and the Standing Committee accordingly; encouraging the use of the *Guidelines on Methods and Procedures for Ivory Sampling and Laboratory Analysis*, available from the CITES website; encouraging the sharing of forensic samples and data, including through existing DNA databases; and facilitating linkages with MIKE, ETIS and national and international enforcement activities;

Regarding monitoring the illegal killing of elephants and trade in elephant specimens

27. AGREES that:

    a) the systems known as Monitoring the Illegal Killing of Elephants (MIKE) and the Elephant Trade Information System (ETIS), established under this Resolution and supervised by the Standing Committee, shall continue and be expanded with the following objectives:

        i) measuring and recording levels and trends, and changes in levels and trends, of illegal elephant killing and trade in ivory and other elephant specimens in elephant range States, ivory consumer States and ivory transit States;

        ii) assessing whether and to what extent observed trends are related to measures concerning elephants and trade in elephant specimens taken under the auspices of CITES; changes in the listing of elephant populations in the CITES Appendices; or the conduct of legal international trade in ivory;

        iii) establishing an information base to support the making of decisions on appropriate management, protection and enforcement needs; and

        iv) building capacity in elephant range States and, as applicable, countries involved in trade in elephant specimens, to implement and make use of MIKE and ETIS in managing elephants and enhancing enforcement;

    b) these monitoring systems shall be in accordance with the framework outlined in Annex 1 for *Monitoring illegal trade in ivory and other elephant specimens* and in Annex 2 for *Monitoring the illegal killing in elephant range States*;

    c) information on elephant populations, illegal killing of elephants and trade in their parts and derivatives from national, regional and international enforcement organizations and networks, and professional resource management and scientific bodies (such as the International Union for Conservation of Nature (IUCN)/SSC African and Asian Elephant Specialist Groups and the UNEP World Conservation Monitoring Centre), should also be taken into consideration;

    d) data and information from these sources should be consolidated and integrated, with technical oversight provided to MIKE and ETIS through an independent technical advisory group established by the Standing Committee;

e) elephant range States should help to ensure the sustainability of the monitoring systems by integrating the collection of data on the illegal killing of elephants into their routine biodiversity monitoring, and all Parties by integrating the collection of data on the illegal trade in ivory into their routine law enforcement operations;

f) the data and analysis from MIKE and ETIS should also be integrated into CITES decision- making processes relating to trade in elephant specimens;

g) summaries and aggregates of data provided to MIKE and ETIS, and the analyses of such data, constitute information that will be considered to be in the public domain once they are published on the CITES website, or otherwise publicly distributed; the detailed data on individual seizure cases, elephant mortalities and law enforcement submitted to MIKE or ETIS are owned by the respective data providers, which in most case are the CITES Parties; any such data relating to a CITES Party will be accessible to that Party and the members of the MIKE and ETIS Technical Advisory Group for information and review purposes, but will not be released to any third party without the consent of the Party concerned; data may also be released to contractors (e.g. statisticians) or other researchers (e.g. MIKE ETIS Subgroup- approved research collaborations) under appropriate nondisclosure agreements; and

h) data on elephant populations will be maintained in databases established by the IUCN/SSC African and Asian Elephant Specialist Groups, to which MIKE will have direct access; access by, and release to third parties will be subject to the relevant data access and release policies of IUCN;

Regarding improving elephant conservation and management in range States

28. URGES all Parties to assist elephant range States to improve their capacity to manage and conserve their elephant populations, including through community-based actions, improved law enforcement, surveys, habitat protection and monitoring of wild populations, and taking account of the African Elephant Action Plan and relevant measures agreed by Asian elephant range States;

29. URGES all African elephant range States to strengthen their shared commitment to the conservation of African elephants through the continued implementation of the African Elephant Action Plan, and Parties and other donors to contribute significantly to the African Elephant Fund for the implementation of the African Elephant Action Plan; and

30. URGES African and Asian elephant range States to coordinate their efforts to conserve and manage elephants and their habitats, and combat the illegal killing of elephants and illegal trade in ivory through dialogue, exchange of information and best practices, joint conservation activities and multilateral enforcement operations in cooperation with relevant law enforcement organizations and networks;

Regarding resources required for implementing this Resolution

31. URGES all governments, donor agencies, intergovernmental organizations, non-governmental organizations, private citizens and the private sector to provide both immediate and longer-term funding to secure the future of elephants on the African continent, including through full and timely implementation of the *African Elephant Action Plan*;

32. APPEALS to all governments, intergovernmental and non-governmental organizations, and other appropriate donors to provide funding for the resources required in the Secretariat, the elephant range States and the Parties, including technical expertise, to ensure that the recommendations in this Resolution can be effectively implemented; and

33. REPEALS Resolution Conf. 9.16 (Fort Lauderdale, 1994) – *Trade in African Elephant Ivory*.

Annex 1

Monitoring illegal trade in ivory and other elephant specimens

1. Introduction

In order to monitor and record levels of illegal trade in ivory and other elephant specimens on a global basis, there is a need for a system to collect and compile law enforcement data on seizures

and confiscations. At its 10th meeting, the Conference of the Parties recognized the Bad Ivory Database System (BIDS) established by TRAFFIC for this purpose in 1992.

Through further development and refinement, BIDS evolved into the Elephant Trade Information System (ETIS), which has been used to monitor the pattern and scale of illegal trade in ivory and other elephant specimens since 1998.

2. Scope

ETIS is a comprehensive and global information system whose central feature is a database holding the details of law enforcement records for seizures or confiscations of elephant ivory and other elephant specimens which have been reported to occur since 1989. ETIS also maintains a series of subsidiary information on law enforcement effort and efficiency, rates of reporting, legal and illegal elephant product markets, governance issues, background economic data and other factors.

3. Methods

Data and information on illegal trade in elephant ivory and other elephant specimens will be collected by TRAFFIC in collaboration with the CITES Secretariat. In this regard, a standardized methodology has been developed for the collection of data, including, *inter alia* and to the extent known:

- source of information
- date of seizure
- agency responsible for seizure
- type of transaction
- country of seizure
- country of origin
- country of export
- country of destination/import
- type of ivory and quantity
- mode of transport
- *modus operandi*
- nationality of suspects

Standardized data are collected through a number of mechanisms and formats, including direct online data submission to the ETIS website, using the ETIS Data Collection Form for individual seizure cases or the ETIS Data Collection Spreadsheet for reporting multiple seizure cases at one time. Reporting on elephant product seizures or confiscations using other formats is also acceptable.

4. Data collection and compilation

The MIKE and ETIS Technical Advisory Group (TAG) will support the development and implementation of ETIS. ETIS will be managed and coordinated by TRAFFIC in consultation with the TAG and in collaboration with the CITES Secretariat.

All Parties, through their CITES Management Authorities, following liaison with appropriate law enforcement agencies, should provide information on seizures and confiscations of ivory or other elephant specimens in the prescribed formats either to the Secretariat or directly to TRAFFIC within 90 days of their occurrence. In addition, law enforcement agencies in States not-party to the Convention are requested to provide similar information.

TRAFFIC will assist the Parties in collecting data, ensuring data quality and consistency, and providing tools and training in data collection, data utilization and information management to designated officials around the world as appropriate.

5. Information, data analysis and interpretation

Information generated by ETIS is hereby defined as the outcomes and outputs of ETIS data analysis, including summaries and aggregates in different forms, trends and other analytical presentations, and the relationships and factors which comprise underlying trade dynamics.

Data is hereby defined as the facts gathered through ETIS processes on individual seizures, including those collected using the CITES 'Ivory and elephant product data collection form' or other mechanisms used for obtaining elephant product seizure data. It also includes data that is part of the subsidiary databases within ETIS, and any other data that have been primarily collected under ETIS auspices to facilitate ETIS analyses.

The analysis and interpretation of data will be coordinated by TRAFFIC in association with the CITES Secretariat and MIKE (see Annex 2), and in consultation with the relevant Parties and the TAG.

6. Intersessional remedial action

In the event that there is a need for urgent intersessional action, TRAFFIC will report as appropriate to the Standing Committee via the Secretariat.

7. Funding

A funding mechanism will be established to ensure that ETIS is fully operational.

Annex 2

Monitoring the illegal killing in elephant range States

1. Introduction

In order to address the concerns of many elephant range States, a system has been established to monitor trends in levels of illegal killing of elephants and to elucidate factors associated with such trends. The system, Monitoring the Illegal Killing of Elephants (MIKE), relies on a simple, standardized protocol for national and international reporting of incidents of illegal killing of elephants, from which levels and trends, and factors associated with these trends can be established, and changes in these levels, trends and factors can be detected.

Such measurement consists of two elements. The first of these is the monitoring of parameters relevant to the issue, such as the pattern and scale of illegal killing of elephants, the pattern and scale of illegal trade in ivory, as well as the effort and resources being applied to detection and/or prevention of such instances, and the monetary value of illegally traded ivory.

The second element is the establishment of correlations between relevant parameters, identified above, and decisions of the Conference of the Parties with regard to elephants. Other factors at the site, country and global levels, such as socio-economic data, civil strife, the flow of illegal arms and ammunition, loss of habitat, and drought will also be examined.

The overall aim of MIKE is to provide information needed for elephant range States and the Parties to CITES to make appropriate management and enforcement decisions, and to build institutional capacity within the range States for the long-term management of their elephant populations by improving their ability to monitor elephant populations, detect changes in levels of illegal killing, use this information to provide more effective law enforcement and strengthen any regulatory measures required to support such enforcement.

2. Scope and methodology

MIKE is based on a standardized methodology for the reporting by designated authorities and for monitoring in specific sites or areas.

MIKE is implemented by African and Asian elephant range States in coordination and collaboration with the Secretariat and implementing partners. Elephant range States participating in MIKE will appoint national and site focal points, and inform the Secretariat through the MIKE programme or the relevant Management Authorities of their names and contact details, as well as of any changes in such focal points when they occur. Each elephant range State participating in MIKE will also nominate a member in the Subregional Steering Committee that oversees the implementation of MIKE in its subregion and, through the Secretariat, liaises with the Standing Committee.

Relevant databases and standard reporting protocols have been established by the CITES Secretariat and implementing partners in consultation with elephant range States and the MIKE and ETIS Technical Advisory Group (TAG).

3. Roles and responsibilities

Elephant range States are primarily responsible for the collection and regular submission of field data as part of their routine biodiversity monitoring activities following the standard formats provided by MIKE. Data collection includes the following topics:

- elephant population data/trends;
- incidence and patterns of illegal killing; and
- measures of the effort and resources employed in detection and prevention of illegal killing.

Data and information on illegal hunting and illegal trade in ivory will be collected through active communication with range States through the implementation of MIKE and ETIS (see Annex 1).

The CITES Secretariat is primarily responsible for the global data compilation, analysis and reporting, but may request or sub-contract technical support from appropriate experts or organizations, with the advice of the TAG, for the coordination of the following activities:

a) obtaining and compiling the data and information indicated above, including through active communication with range States;

b) selecting sites for monitoring and, as appropriate, expanding the number of sites to the maximum extent;

c) developing and refining a standardized methodology for data collection and analysis;

d) facilitating the provision of training to designated officials in countries with selected sites and to CITES Management Authorities of elephant range States;

e) establishing appropriate databases and developing linkages with existing databases containing relevant data for analysis; and

f) collating and processing all data and information from all sources identified.

The CITES Secretariat or implementing partners may enter into specific agreements with range States regarding the implementation of MIKE.

4. Funding and operational support

Substantial funding is required for deploying and implementing MIKE. It is expected that most of the data collection functions will be absorbed by elephant range States into routine national-level biodiversity monitoring and law enforcement activities, but long-term support will be required to ensure: the continuity and sustainability of national; regional and global coordination; the provision of training and capacity building; and global data compilation, analysis and reporting. In this regard, the CITES Secretariat will maintain existing partnerships and establish new ones as appropriate, such as the existing collaboration with IUCN in support of activities in the field and the provision and compilation of elephant population data.

Annex 3 Guidelines to the National Ivory Action Plans Process

Step 1: Identification of Parties to participate in the National Ivory Action Plan Process

a) The foundation for identifying Parties to participate in the National Ivory Action Plan (NIAP) Process, is the ETIS report submitted to each meeting of the Conference of the Parties (CoP) under this Resolution.

b) For Parties identified through the ETIS report to CoP as requiring attention, as described in Step 1, paragraph a), above, the CITES Secretariat will, in cooperation and consultation with the Party

concerned, determine whether there is additional information to be considered in developing its recommendation to the Standing Committee, on whether the Party should be included in the process or not. The Secretariat may, if needed, engage with other experts and conduct country missions to assist in this process.

c) The Secretariat will prepare within 90 days from the submission of the ETIS report to CoP, in consultation with the Party concerned, using other relevant information and taking into account the purpose and intended outcome of the NIAP process, a recommendation to the Standing Committee as to whether a Party should be included in the process or not.

- There is a presumption that Parties categorised as Category A Parties[1] are to be recommended for participation in the NIAP Process.
- No presumption will be made for Category B Parties[2].
- Category C Parties[3] are generally not recommended for participation in the NIAP Process.

d) Where the Standing Committee has determined that it is appropriate, it will recommend that a Party participate in the NIAP Process and request the Party to develop a NIAP, including by postal procedure.

e) Where the Standing Committee has determined that it is not appropriate, it will recommend that a Party not participate in the NIAP process and document and communicate this decision.

Step 2: Development of a NIAP

a) Upon the request by the Standing Committee, the Party concerned will develop an 'adequate' NIAP, which is a NIAP that:

1. Addresses the specific issues (or gaps) identified in Step 1.
2. Is structured along the following five pillars, as required:
   i) Legislation and regulations;
   ii) National level enforcement action and inter-agency collaboration;
   iii) International and regional enforcement collaboration;
   iv) Outreach, public awareness and education; and
   v) Reporting.
3. Has the following characteristics:
   i) Clearly outlines the actions to be implemented;
   ii) Is time-bound and clearly outlines the timeframe for implementation of each action;
   iii) Is approved at a level that represents national commitment;
   iv) Is developed through a consultative and participatory process and involves all relevant actors in a country (depending on the specific matter and as determined by each Party according to its national circumstances);
   v) Indicates the costs and funding needs, as well as availability of such funds, as appropriate; and
   vi) Includes performance indicators and targets directly related to the actions required and which measure the impacts of the actions in the NIAPs; such as through data on elephant poaching levels; number of ivory seizures; successful prosecutions; progress on paragraph 6. d) of this Resolution; changes to legislation; and any relevant indicators from the ICCWC Indicator Framework for Combating Wildlife and Forest Crime.

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[1] *Category A Parties consist of Parties most affected by illegal trade in ivory*

[2] *Category B Parties consist of Parties markedly affected by illegal trade in ivory*

[3] *Category C Parties consist of Parties affected by illegal trade in ivory*

4. Is developed using the template for the development of a NIAP,[1] available on the NIAP webpage on the CITES Website.

5. Includes measures which are proportional to the problems they are intended to solve.

b) Parties should submit a NIAP, to the Secretariat within a period of 120 days from the time the Standing Committee requested the concerned Party to develop a NIAP.

c) Parties are invited to, as appropriate, draw upon the *Guidance to Parties developing and implementing National Ivory Action Plans,*[2] available on the CITES Secretariat NIAP webpage, when developing and implementing their NIAPs.

Step 3: Assessment of the adequacy of a NIAP

a) Upon the development of a NIAP by a Party, the Secretariat will, in consultation with experts, if needed, assess the adequacy of the NIAP.

b) If revisions to a NIAP are required, a Party should submit these within a period of 60 days from the time the Secretariat requested the concerned Party to revise its NIAP.

c) The Secretariat will accept the Plan and the Party will approve its plan.

d) If a Party wishes to revise and update its NIAP previously found to be adequate, to incorporate new actions needed to respond to any emerging elephant poaching or ivory trafficking trends or related matters, the Party shall submit the proposed revised and updated NIAP to the Secretariat, together with an explanation for revising and updating its NIAP. Where any actions in the NIAP previously found to be adequate were not yet 'Achieved' or 'Substantially achieved' but removed from the revised and updated NIAP, the Party should provide justification for the removal of these actions.

e) The Secretariat shall assess the adequacy of any revised and updated NIAP received from a Party, in accordance with Step 3, paragraphs a)-c), above.

f) The Secretariat shall make any new, revised or updated NIAP accepted as 'adequate' publicly available on the NIAP webpage.

Step 4: Monitoring of implementation

a) Parties should submit progress reports to the Secretariat 90 days in advance of each regular Standing Committee meeting, using the template for progress reports on NIAP implementation,[3] available on the NIAP webpage on the CITES Website;

b) Parties should report on progress with the implementation, based on indicators that are mentioned in Step 2 a) subparagraph 3, vi) for each NIAP action using the template and allocating to each NIAP action one of the following ratings, as relevant:

1. *Achieved* – item or action is completed.

2. *Substantially achieved* - there has been significant progress with implementation and the specified milestones and timeframes have been totally or substantially achieved.

3. *On track* – there has been good progress with implementation and the specified milestones and timeframes appear to be on track or largely on track for achievement.

4. *Partial progress* – there has been limited progress with implementation, and achievement of the specified milestones and timeframes appears unlikely. When this category is used, the reporting Party should provide an explanation on any reasons for the lack of progress or any challenges experienced in the implementation of the rated action.

5. *Pending completion of another action* - the implementation of an action cannot start or the set milestones and timeframes for an action cannot be achieved unless another action in the NIAP is progressed or completed. When this category is used, the reporting Party should

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[1] https://cites.org/eng/prog/niaps/Guidelines_templates

[2] https://cites.org/sites/default/files/common/prog/niaps/Maputo%20recommended%20actions.pdf

[3] https://cites.org/eng/prog/niaps/Guidelines_templates

provide an explanation of the action that should be completed or progressed, and how it relates to the rated action.

6. *Not commenced* – the action has, in accordance with the timeframe set for it in the NIAP, not been commenced. Where a Party achieves partial or limited progress due to limited capacity, it should communicate this to the Secretariat.

c) The Secretariat will evaluate the reports, based on the self-assessments and in cooperation with experts, if needed, submit the reports to the Standing Committee at each of its regular meetings, make recommendations to the Standing Committee, as appropriate, and also make the reports publicly available on the NIAP webpage.

d) The Secretariat will determine where insufficient information was available to conduct an evaluation of progress or actions against set milestones or objectives.

e) Upon the overall assessment by the Secretariat of a Party's progress report, the Standing Committee should consider the following ratings:

1. *Achieved* – a minimum of 80% of NIAP actions have been assessed as 'substantially achieved', and any remaining actions have been self-assessed as 'on track' for achievement. The progress report submitted by the Party provides sufficient detail of the activities delivered to justify the allocated progress ratings.

2. *Partial progress* – a minimum of 50% of NIAP actions have been assessed as 'on track'; any remaining actions have been assessed as 'pending completion of another action' and/or 'partial progress'. The progress report submitted by the Party provides sufficient detail of the activities delivered to justify the allocated progress ratings.

3. *Limited progress* – neither of the above ratings applies and thus limited progress has been made with the implementation of NIAP actions.

f) If a Party has been requested to develop and implement a NIAP and has not submitted an adequate NIAP within the specified time frame, submitted a progress report by the specified date, achieved the goals identified in the NIAP within the specified time frame, or has otherwise failed to follow the process and procedures contained in Step 1-3 of these guidelines, the Secretariat and Standing Committee, as relevant, should consider appropriate measures, in accordance with Resolution Conf. 14.3 (Rev. CoP18) on *CITES Compliance Procedures* to ensure compliance with the NIAP Process.

Step 5: Completion of a NIAP and exit from NIAP Process

a) Parties should inform the Secretariat when they have assessed 80% of their NIAP actions as 'substantially achieved' and all remaining NIAP actions as 'on track'.

b) The Secretariat will evaluate the progress reported by the Party concerned, and consider if sufficient detail is provided on the measures and activities implemented for each action in the NIAP to justify the allocated self-assessment progress ratings. The Secretariat is encouraged to engage relevant experts or conduct a country mission, to assist in this process, and formulate recommendations for consideration by the Standing Committee on whether:

i) there is a need for the Party to revise and update the NIAP and continue implementation;

ii) any other measures need to be taken; or

iii) the Party has 'Achieved' its NIAP and exits the NIAP Process.

c) In formulating recommendations for consideration by the Committee in accordance with Step 5, paragraph b) above, the Secretariat should take into consideration the following elements, when relevant and appropriate:

i) the provisions of Resolution Conf. 10.10 (Rev. CoP18);

ii) if the ETIS analysis continues to identify the Party as requiring attention;

iii) any significant measures implemented or policy developments effected by the Party to address, as applicable, elephant poaching and illegal trade in ivory; and

iv) any other information that may be available, for example a marked reduction in, as applicable, elephant poaching and illegal trade in ivory as it affects the Party, or any continued, new or emerging trends that may be of concern.

Conf. 10.13 (Rev. CoP18) *

树木物种的履约

认识到 修订提案中应最大程度地包括所涉及的分类单元的生物学和贸易信息；

意识到 此类信息经常可以从专门从事木材贸易和森林管理的国际组织那里得到；

认识到 对“附录I、II和III说明”中所提到的“部分和衍生物”应予明确界定；

强调 各缔约方应充分地向秘书处报告本国木材的年度贸易情况并在报告中使用已经认可的度量单位；

意识到 根据木材的自然特性进行准确的鉴定可能是一个复杂的过程，需要专门的技术；

认识到 开发木材鉴定资料对有效执行公约非常必要，而制作成本将相当可观；

注意到 一些国家的管理机构所采取的方式似乎是有效的：他们借此与木材贸易组织和执法官员接触，并就对树木物种的一些地方名称和科学名称使用统一标准命名的问题达成一致；

进一步**注意到** 公约的宗旨是通过防止某些树木物种因国际贸易而被过度开发利用，从而为当代及后代的保护好野生动植物；

也**注意到** 公约可在加强包括树木物种在内的动植物保护方面发挥积极作用，主要是通过依据其第三、第四和第五条的要求而开展贸易，并为评价生物学状况和有效执法情况而加强贸易监管；

认识到 在不危害有关物种生存的水平开展商业贸易，可能有助于保护物种和生态系统；

也**认识到** 各缔约方有权对任何列于公约附录的物种采取更严格的国内措施；

意识到 这些措施可能产生与保护所列物种无关的影响，并可能被用来达到与所涉及物种列入CITES附录的目的无直接关系的目的；

也**注意到** 存在一种误解，即将物种列入附录II和附录III就意味着要禁止这些物种的贸易；

认识到 这种误解将会产生一些负面的影响，包括禁止或限制建筑师、工程师、商人和其他人使用CITES所列树木物种，并减少消费者对这些产品的使用；

承认 教育是有效执行公约的一个重要手段；

注意到 许多进入国际贸易的树木物种，包括北部的、温带的和热带的树木物种，可以通过应用适当的造林技术实现可持续经营，但对其他一些树木物种，这些知识相当缺乏；

注意到 有些树木物种可能正在由于过度的利用和国际贸易而受到威胁；

公约缔约方大会

1. 建议

关于国际组织

a) 任何一件欲提交修改树木物种的提案 (不管其他既定的程序)的缔约方必须事先与下表中所列的国际组织中的四个进行商讨[其中每两个分别属于两种不同类型 (B

* 经第十三、十四、十五和十八次缔约方大会修订，并由秘书处在十六次缔约方大会后修正。

和T)]，来验证并要求具备生物学和贸易数据，并应在送到秘书处以供分发给各缔约方之前包含所有相关信息；

首字母缩写	国际组织	数据 *B = 生物数据* *T = 贸易数据*	
ATTO	亚太木材贸易组织		T
CIFOR	国际林业研究中心	B	
FAO*	联合国粮食及农业组织；林业部	B	T
IBFRA	国际北方森林研究协会	B	
ITTO*	国际热带木材组织	B	T
IUFRO	国际林业研究组织联盟	B	
IUCN*	世界自然保护联盟	B	
IWPA	国际木制品协会		T
SPT-TCA	亚马孙合作条约组织临时专职秘书处	B	
TRAFFIC	国际野生物贸易研究组织	B	T
UCBD	欧洲阔叶材联合会(欧洲阔叶材联合会)		T
UNEP-WCMC	联合国环境规划署世界保护监测中心	B	
WWF	世界自然基金会	B	

* 对于涉及树木物种修订CITES附录的提案，CITES秘书处应酌情征询意见的国际组织。

b) 当接收到任何一个涉及树木物种的修订CITES附录的提案时，包括执行缔约方大会Conf. 9.24 (Rev. CoP17)号决议[1]中3 h)段，秘书处应征求FAO、ITTO和IUCN的意见,并将意见酌情提交缔约方大会；

关于部分和衍生物

关于部分和衍生物

c) 以下定义应适用于公约附录的注释：

[1] 秘书处在第十六次和十七次缔约方大会后修正，原指Conf. 9.24 (Rev.CoP15)。

i) 原木

所有粗加工的木材，不论是否去皮、去边材或显然是为制成板材、纸浆材或饰面用单板而粗加工成方形 (HS编号44.032[1])；

ii) 锯材

只经过纵向锯解或成型削片制材的木材。锯材厚度一般在6mm以上 (HS编号44.06[1]，HS编号44.07[1])；

iii) 单板

具有统一厚度的薄木板或薄木片，通常在6mm或更薄，一般由刨切或旋切加工而成，用于生产胶合板或饰面家具、容器等。 (HS编号44.08[2])；及

iv) 胶合板

由三层或更多层单板组成，相互胶合和加压而成，通常排列成使各连续层间的木材纹理方向形成一定角度 (HS编号44.12.13[2]，HS编号44.12.14[2] 和HS编号44.12.22[2])；及

d) 对于附录中与木材同样进行贸易的部分和衍生物的注释，所使用的定义应尽可能依据世界海关组织协调制度中的关税分类；

关于树木物种修订提案

e) 将树木物种列入附录II和附录III中的提案应明确说明需管理哪些部分和衍生物；

关于“人工培植”的定义

f) 来自单一树木物种人工林的树木的木材或其他部分或衍生物应被视为Conf. 11.11 (Rev. CoP18)[2]号决议所界定的人工培植产品；

[1] HS是指世界海关组织对贸易中的货物进行描述和编码的协调制度。本文件涉及的木材编码如下：
44.03 粗加工的木材，不论是否去皮、去边材或粗加工成方形。
44.06 铁路或电车轨道的枕木。
44.07 经过纵向锯解或削片，刨切或旋切，厚度超过6mm的木材，不管是否经过刨光、砂光或指接。
[2]44.08 饰面用单板或用于胶合板的单板(不论是否拼接)和其他木材，经纵向锯解、刨切或旋切等处理，厚度不超过6mm的，不管是否经刨光、砂光或指接。
44.12.13完全由木质单板组成的胶合板，每层厚度不超过6mm，并至少有一层由以下副注释1所定义的热带木材的表板；
44.12.14完全由木质单板组成的胶合板，每层厚度不超过6mm，并至少有一层非针叶材的表板；
44.12.22—其他(指一层或多层，厚度超过6 mm)，至少有一层非针叶材的表板，并至少有一层由以下副注释1所定义的热带木材的单层；
副注释1：仅指注释44.03.41至44.03.49，44.07.24至44.07.29，44.08.31至44.08.39及44.12.13至44.12.99。“热带木材”指以下木材类别之一：
Abura, Acajou d'Afrique, Afrormosia, Ako, Alan, Andiroba, Aningré, Avodiré, Azobé, Balau, Balsa, Bossé clair, Bossé foncé, Cativo, Cedro, Dabema, Dark Red Meranti, Dibétou, Doussié, Framiré, Freijo, Fromager, Fuma, Geronggang, Ilomba, Imbuia, Ipé, Iroko, Jaboty, Jelutong, Jequitiba, Jongkong, Kapur, Kempas, Keruing, Kosipo, Kotibé, Koto, Light Red Meranti, Limba, Louro, Maçaranduba, Mahogany, Makoré, Mandioqueira, Mansonia, Mengkulang, Meranti Bakau, Merawan, Merbau, Merpauh, Mersawa, Moabi, Niangon, Nyatoh, Obeche, Okoumé, Onzabili, Orey, Ovengkol, Ozigo, Padauk, Paldao, Palissandre de Guatemala, Palissandre de Para, Palissandre de Rio, Palissandre de Rose, Pau Amarelo, Pau Marfim, Pulai, Punah, Quaruba, Ramin, Sapelli, Saqui-Saqui, Sepetir, Sipo, Sucupira, Suren, Teak, Tauari, Tiama, Tola, Virola, White Lauan, White Meranti, White Seraya, Yellow Meranti.
[2] 由秘书处在第十八次缔约方大会后修正。

关于所关注的树木物种

g) 各树木物种分布国应特别注意那些在其领土内，因其生物学地位、种群密度和结构，及缺乏适当造林技术而被特殊关注树木物种的国际贸易；

关于树木物种出口限额的建立

h) 在充分尊重公约第四条第2款 (a)和第3款要求的同时，各缔约方在出口附录II所列物种的木材标本时，应考虑对这些出口建立自愿年度国家出口限额；及

i) 鼓励缔约方在进行非致危性判定(NDFs)并建立自愿年度国家出口限额时采用适当的转换系数，特别是旨在将贸易商品数量转换为原木数量；

关于树木物种的鉴定和司法取证

j) 缔约方应意识到树木物种鉴定的重要性，并继续开发先进的木材鉴定技术和使用工具，以便有效执行针对木材树木物种的CITES公约；

k) 鼓励各缔约方与利益相关方合作，以创建和维持木材样品的收集，促进木材样品和数据库信息的交换，包括木材样品收集的指导准则，并将其用于木材鉴定，发展适用于CITES管制树木物种及其相似树木物种鉴定的分析方法和鉴定规程；及

l) 鼓励各缔约方与利益相关方合作，为木材鉴定确定优先重点，包括优先树木物种的选择和鉴定技术的发展，比如DNA分析，化学分析和图像，近红外光谱(NIRS)，实时质谱直接分析(DART)，及木材和纤维样品的宏观和微观鉴定；

关于增强公众对公约在树木物种保护中作用的理解

m) 各缔约方在对附录II和附录III物种的木材标本采用比公约更严格的国内管理规定时，应注意考虑这些规定对物种的保护和贸易的任何有害影响；及

n) 管理机构应与政府部门 (包括地方政府)、非政府组织、工业界和一般公众一起收集和提供关于公约的目的、规定和执行情况的信息，用以纠正认为将物种列入附录就意味着禁止对这些物种的标本进行贸易的误解，并广泛宣传对附录II和附录III中树木物种的国际贸易和利用一般是被允许的，并且对相关树木物种、保护和生计有益。

Conf. 10.13 (Rev. CoP18)*

Implementation of the Convention for tree species

RECOGNIZING that amendment proposals should contain the maximum amount of biological and trade information on the taxon concerned;

AWARE that such information is frequently available from international organizations that have expertise related to timber trade or forest management;

RECOGNIZING that parts and derivatives mentioned in the Interpretation of Appendices I, II and III should be clearly defined;

EMPHASIZING the need for Parties to report adequately on their annual trade in timber and to use agreed units of measurement;

AWARE that unambiguous identification of timber, by its nature, can be a complex procedure, requiring particular expertise;

RECOGNIZING that the development of timber identification materials is essential for the effective implementation of the Convention and that the cost of production will be considerable;

NOTING that the approach that authorities of some countries have taken, whereby they meet with timber trade groups and enforcement officers and agree to use standard nomenclature for vernacular and corresponding scientific names of tree species, appears to be a useful one;

NOTING further that the objective of the Convention is to ensure the conservation of wild fauna and flora for this and future generations through the protection of certain tree species against over- exploitation through international trade;

NOTING also that the Convention can play a positive role in promoting the conservation of animals and plants, including tree species, through trade in accordance with the requirements of Articles III, IV and V of the Convention and through improving trade monitoring for evaluation of biological status and effective enforcement;

RECOGNIZING that commercial trade may be beneficial to the conservation of species and ecosystems when carried out at levels that are not detrimental to the survival of the species in question;

RECOGNIZING also that Parties have the right to take stricter domestic measures concerning any species included in the Appendices;

AWARE that such measures can have effects unrelated to the conservation of listed species and could be taken for purposes not directly related to the purpose for which the species concerned were included in the CITES Appendices;

NOTING also that there are misconceptions that inclusion of a species in Appendix II or III represents a ban on trade in that species;

RECOGNIZING that such misconceptions can have negative impacts including the prohibition of or restriction on the use of CITES-listed tree species by architects, engineers, commercial businesses and others, and reduced use of such items by consumers;

ACKNOWLEDGING that education is an important tool in the effective implementation of the Convention;

NOTING that many internationally traded tree species, boreal, temperate and tropical, can be managed on a sustainable basis through the application of appropriate sylvicultural techniques, but that for other tree species such knowledge is currently lacking;

NOTING that some tree species may be under threat because of detrimental levels of use and international trade;

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* *Amended at the 13th, 14th, 15th and 18th meetings of the Conference of the Parties, and corrected by the Secretariat following the 16th meeting.*

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that:

Regarding international organizations

a) any Party that intends to present an amendment proposal for a tree species (irrespective of other agreed procedures) should consult with at least four different organizations listed in the table below [two from each of the two types (B and T)], to verify or request biological and trade data, and should include any relevant information in the amendment proposal before this is sent to the Secretariat for distribution to the Parties; and

Acronym	**International organization**	**Data** *B = Biological data T = Trade data*	
ATTO	Asian-Pacific Timber Trade Organization		T
CIFOR	Center for International Forestry Research	B	
FAO*	Food and Agricultural Organization of the United Nations; Forestry Department	B	T
IBFRA	International Boreal Forest Research Association	B	
ITTO*	International Tropical Timber Organization	B	T
IUFRO	International Union for Forest Research Organizations	B	
IUCN*	International Union for Conservation of Nature	B	
IWPA	The International Wood Products Association		T
SPT-TCA	Pro-tempore Secretariat of the Treaty for Amazonian Cooperation	B	
TRAFFIC	Trade Records Analysis of Flora and Fauna In Commerce	B	T
UCBD	Union pour le Commerce des Bois Durs dans l'U.E. (European Hardwood Federation)		T
UNEP-WCMC	UNEP World Conservation Monitoring Centre	B	
WWF	World Wide Fund for Nature	B	

* *International organizations from which the CITES Secretariat should seek views on proposals to amend the CITES Appendices for tree species, as appropriate.*

b) when any proposal is submitted to amend the CITES Appendices for tree species, including for the implementation of paragraph 3 h) of Resolution Conf. 9.24 (Rev. CoP17)[1], the Secretariat should seek the views of FAO, ITTO and IUCN and present these to the Conference of the Parties, as appropriate;

Regarding parts and derivatives

c) the following definitions be applied with respect to annotations in the CITES Appendices:

i) Logs

All wood in the rough, whether or not stripped of bark or sapwood, or roughly squared, for processing, notably into sawn wood, pulpwood or veneer sheets (HS code 44.032[2]);

[1] *Corrected by the Secretariat following the 16th and 17th meetings of the Conference of the Parties: originally referred to Resolution Conf. 9.24 (Rev. CoP15).*

[2] *HS refers to the Harmonized System of the World Customs Organization describing and coding goods in trade. The codes referred to in this document for timber include the following:*

44.03 Wood in the rough, whether or not stripped of bark or sapwood, or roughly squared

44.06 Railway or tramway sleepers of wood

44.07 Wood sawn or chipped lengthwise, sliced or peeled, whether or not planed, sanded or finger-jointed, of a thickness exceeding 6 mm

ii) Sawn wood

Wood simply sawn lengthwise or produced by a profile-chipping process. Sawn wood normally exceeds 6 mm in thickness (HS code 44.06[2], HS code 44.07[2]);

iii) Veneer sheets

Thin layers or sheets of wood of uniform thickness, usually 6 mm or less, usually peeled or sliced, for use in making plywood, for veneering furniture, veneer containers, etc. (HS code 44.08[2]); and

iv) Plywood

Consisting of three or more sheets of wood glued and pressed one on the other and generally disposed so that the grains of successive layers are at an angle (HS code 44.12.13[2], HS code 44.12.14[2], and HS code 44.12.22[2]); and

d) for the purpose of annotations in the Appendices for parts and derivatives of species traded as timber, definitions to be used should, to the extent possible, be based on the tariff classifications of the Harmonized System of the World Customs Organization;

Regarding amendment proposals for tree species

e) proposals for the inclusion of tree species in Appendix II or III indicate clearly which parts and derivatives should be regulated;

Regarding the definition of 'artificially propagated'

f) timber or other parts or derivatives of trees grown in monospecific plantations be considered as being artificially propagated in accordance with the definition contained in Resolution Conf. 11.11 (Rev. CoP18)[1];

Regarding tree species of concern

g) the range States pay particular attention to internationally traded tree species within their territories for which the knowledge of the biology, population density and structure, and the lack of appropriate sylvicultural techniques gives cause for concern;

Regarding the establishment of export quotas for tree species

h) whilst fully respecting the requirements of paragraphs 2 (a) and 3 of Article IV of the Convention, Parties exporting timber specimens from species listed in Appendix II consider establishing voluntary annual national export quotas for such exports; and

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44.08 Veneer sheets and sheets for plywood (whether or not spliced) and other wood sawn lengthwise, sliced or peeled, whether or not planed, sanded or finger-jointed, of a thickness not exceeding 6 mm

44.12.13 Plywood consisting solely of sheets of wood, each ply not exceeding 6 mm in thickness, and with at least one outer ply of tropical wood specified in Subheading Note 1 below†

44.12.14 Plywood consisting solely of sheets of wood, each ply not exceeding 6 mm in thickness, and with at least one outer ply of non-coniferous wood

44.12.22 Other (meaning one ply, or more, that is greater than 6 mm in thickness), with at least one outer ply of non- coniferous wood, and with at least one ply of tropical wood specified in Subheading Note 1 below†

† Subheading Note 1: For the purposes of subheadings 44.03.41 to 44.03.49, 44.07.24 to 44.07.29, 44.08.31 to 44.08.39, and 44.12.13 to 44.12.99, the expression 'tropical wood' means one of the following types of wood:

Abura, Acajou d'Afrique, Afrormosia, Ako, Alan, Andiroba, Aningré, Avodiré, Azobé, Balau, Balsa, Bossé clair, Bossé foncé, Cativo, Cedro, Dabema, Dark Red Meranti, Dibétou, Doussié, Framiré, Freijo, Fromager, Fuma, Geronggang, Ilomba, Imbuia, Ipé, Iroko, Jaboty, Jelutong, Jequitiba, Jongkong, Kapur, Kempas, Keruing, Kosipo, Kotibé, Koto, Light Red Meranti, Limba, Louro, Maçaranduba, Mahogany, Makoré, Mandioqueira, Mansonia, Mengkulang, Meranti Bakau, Merawan, Merbau, Merpauh, Mersawa, Moabi, Niangon, Nyatoh, Obeche, Okoumé, Onzabili, Orey, Ovengkol, Ozigo, Padauk, Paldao, Palissandre de Guatemala, Palissandre de Para, Palissandre de Rio, Palissandre de Rose, Pau Amarelo, Pau Marfim, Pulai, Punah, Quaruba, Ramin, Sapelli, Saqui-Saqui, Sepetir, Sipo, Sucupira, Suren, Teak, Tauari, Tiama, Tola, Virola, White Lauan, White Meranti, White Seraya, Yellow Meranti.

[1] *Corrected by the Secretariat following the 18th meeting of the Conference of the Parties.*

i) Parties are encouraged to make use of adequate conversion factors when making non-detriment findings (NDFs) and establishing voluntary annual national export quotas, aiming in particular at converting volumes of traded commodities into volumes of round wood;

Regarding identification and forensics for tree species

j) Parties acknowledge the fundamental importance of timber identification and continued development of advanced analytical wood identification techniques and operational tools to the successful implementation of CITES for timber species;

k) Parties are encouraged to collaborate with relevant stakeholders to create and maintain wood sample collections and facilitate exchange of wood samples and associated database information, including guidelines for the collection of wood samples, and make these available to support timber identification and development of analytical methodologies and identification protocols for CITES-listed and look-alike tree species; and

l) Parties are encouraged to collaborate with relevant stakeholders to develop shared priorities for timber identification, including priority species, and on developing identification techniques, such as DNA analysis, chemical analysis and imaging, Near Infrared Spectrometry (NIRS), Directed Analysis in Real Time mass spectrometry (DART), and macro- and microscopic identification of wood and fibre samples;

Regarding improvement of public understanding of the role of the Convention in the conservation of tree species

m) Parties consider any possible deleterious conservation and trade impacts before they impose stricter domestic measures on trade in timber specimens of species included in Appendix II or III; and

n) Management Authorities work with governmental agencies (including local governments), non-governmental organizations, industry and the general public to develop and provide information on the objectives, provisions and implementation of the Convention to counter the misconception that the inclusion of species in the Appendices represents a ban on the trade in specimens of these species, and to disseminate the message that international trade and utilization of tree species included in Appendices II and III are generally permitted and can be beneficial to tree species, conservation and livelihoods.

Conf. 10.14 (Rev. CoP16)*

个人用豹狩猎纪念物和皮张的限额

忆及 第八次缔约方大会 (京都，1992)通过的，并经第九次缔约方大会 (劳德代尔堡，1994)修订的Conf. 8.10 (Rev.)号决议；

忆及 除少数根据公约第七条可以获得豁免的贸易外，公约附录Ⅰ物种的商业性贸易均被禁止；

忆及 豹 (*Panthera pardus*)被列入附录Ⅰ；

认识到 在一些撒哈拉以南非洲国家，豹的种群并没有濒危；

也**认识到** 在有些出口国，可能允许为保护生命和财产和改善豹的生存而杀豹；

进一步**认识到** 根据在第二次缔约方大会 (圣约瑟，1979)上通过的并经第九次缔约方大会(劳德代尔堡，1994)修订的Conf. 2.11 (Rev.)号决议，这些出口国可以允许这些死标本的贸易，并根据公约第三条第2款签发出口许可证；

忆及 公约第三条第3款 (c)项指出，进口国管理机构只有在确认该标本不是从根本上用于商业性目的，才能签发进出许可证；公约第三条第2款 (a)项指出，只有在出口国科学机构确认该标本的出口不会对该物种的生存构成威胁时，才可签发出口许可证；

认识到 对根据本决议所确定的限额的使用情况进行监督是非常重要的；

关注到 各缔约方并没有按照Conf. 8.10 (Rev.)号决议的第e)项建议和关于此事的更早的决议的类似建议，每年提交关于每年皮张的出口数量的专门报告，以使秘书处能及时地为缔约方大会准备报告；

认识到 缔约方要求不重开豹皮张的商业性市场的愿望；

公约缔约方大会

1. **建议：**

   a) 在根据公约第三条第3款 (a)项审核进口整张或近整张豹的皮张 (包括狩猎纪念物)的许可证申请时，进口国的科学机构应在确认这些皮张来自下列国家之一，且不超过每公历年内 (1月1日 至12月31日)从这些国家获取的的限额数时，方可签发进口许可证(例如，例如，2010年豹皮限额为250只的国家可授权2010年出口50只豹皮，2010年获得的150只豹皮可在2011年出口，2010年获得的50只豹皮可在2012年出口。)：

国 家	限 额
博茨瓦纳	130
中部非洲共和国	40
埃塞俄比亚	500
肯尼亚[1]	80
马拉维[1]	50
莫桑比克	120
纳米比亚	250

*经第十二次、十三、十四次和十六次缔约方大会修订。

[1] 秘书处认为，第十八次缔约方大会的意图是将肯尼亚和马拉维从本决议中删除，但会议没有正式商定这一点。

国 家	限 额
南非	150
乌干达	28
坦桑尼亚联合共和国	500
赞 比 亚	300
津巴布韦	500

b) 在根据公约第三条第3款 (c)项审核进口整张或近整张的豹皮张的申请时，进口国管理机构应确信这些皮张不是主要用于商业目的的，如果：

i) 这些皮张是所有者在出口国得到，并作为个人财产进口，并不得在进口国出售；且

ii) 每一公历年内，每个所有者不得进口两张以上皮张，并且这些皮张的出口不违反原产国的法律；

c) 进口国的管理机构只有根据本决议的以下规定，方可出具豹皮进口许可证：

i) 每张皮张上至少附有一个自锁一次性标签，表明原产国、标本在年度限额中的编号和本公历年内在野外捕获此物种的数量──例如，ZW6/500 2010表示津巴布韦是原产国，这是在2010年500个限额以内在津巴布韦野外捕获第6个获得标签的标本；

ii) 确认进口文件拥有与标签上同样的信息，填写于标准CITES许可证样式第5和第9栏(11a栏无需信息)；且

iii) 标签至少具有以下几个特点：防篡改，有自锁机制，耐热，耐化学和机械加工，及字母数字信息，可能包括采用永久冲压的条形码；

d) 各缔约方应尽一切努力，以确保豹皮再出口时，原有标签完好；

e) 如原有标签丢失、损坏，或加工过程中被移除，再出口国除非已无法获知原产国及获得年份，应于再出口前，为该豹皮添加符合上述c)段所有要求的“再出口标签”，同时进一步在再出口证书上给出原有标记和替代标记及豹皮原出口许可证的详细信息；

f) 各缔约方仅接受有恰当符合c)段和e)段要求信息的CITES文档，且豹皮已具有符合现有决议规定的标签；

g) 各缔约方，根据秘书处的适当建议，形成一个贸易中使用标签的管理和跟踪系统；且

h) 管理机构确保皮张不附带应于特定年份销毁的标签；

i) 在根据本决议的条款进行整张或近整张豹皮的贸易的情况下，公约第三条第2款(d)项的 “已经同意”一词被认为是已经确认拥有进口国管理机构同意为此进口签发进口许可证的书面保证；及

j) 本决议所采纳的系统将继续下去，任何一个限额的增加或任何一个新限额 (例如，对于一个以前没有 限额的国家)都必须根据在第九次缔约方大会上通过、在第十三和第十八次次缔约方大会 (曼谷，2004；日内瓦，2019)上修订的 Conf. 9.21 (Rev. CoP18)号决议的规定，得到公约缔约方大会的同意；

2. **指示** 秘书处在适当情况下，向常委会和有关缔约方，报告系统的缺陷或重要的特定实例问题；并

3. **废除** Conf. 8.10 (Rev.)号决议 (东京，1992，并经1994年劳德代尔堡会议修订)──个人用豹类狩猎纪念物和 皮张的限额。

Conf. 10.14 (Rev. CoP16)* Quotas for leopard hunting trophies and skins for personal use

RECALLING Resolution Conf. 8.10 (Rev.), adopted by the Conference of the Parties at its eighth meeting (Kyoto, 1992) and amended at its ninth meeting (Fort Lauderdale, 1994);

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 authorize trade in such dead specimens in accordance with Resolution Conf. 2.11 (Rev.), adopted by the Conference of the Parties at its second meeting (San José, 1979) and amended at its ninth meeting, and may grant export permits in accordance with paragraph 2 of Article III of the Convention;

RECALLING that paragraph 3 (c) of Article III 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 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 importance of monitoring the utilization of quotas granted by this Resolution;

CONCERNED that Parties have not always submitted special reports on numbers of skins exported annually, in accordance with recommendation e) of Resolution Conf. 8.10 (Rev.) and similar recommendations of former Resolutions on the same subject, in time for the Secretariat to prepare reports for the Conference of the Parties;

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

1. RECOMMENDS that:

   a) in reviewing applications for permits to import whole skins or nearly whole skins of leopard (including hunting trophies), in accordance with paragraph 3 (a) of Article III, 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 should not authorize the harvest for export of more of the said skins during any one calendar year (1 January to 31 December) than the number shown under 'Quota' opposite the name of the State, understanding that the skins may be exported in the year of harvest or in a subsequent year (for example, a country with a quota of 250 leopard skins for 2010 may authorize export of 50 leopard skins taken in 2010 during 2010, 150 of the leopard skins taken in 2010 may be exported during 2011, and 50 of the leopard skins taken in 2010 may be exported in 2012):

State	Quota
Botswana	130
Central African Republic	40
Ethiopia	500

* *Amended at the 12th, 13th, 14th and 16th meetings of the Conference of the Parties.*

State	Quota
Kenya**	80
Malawi**	50
Mozambique	120
Namibia	250
South Africa	150
Uganda	28
United Republic of Tanzania	500
Zambia	300
Zimbabwe	500

b) in reviewing applications for permits to import whole skins or nearly whole skins of leopard, in accordance with paragraph 3 (c) of Article III, 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 and their export is authorized by the legislation of the country of origin;

c) the Management Authority of the State of import permit the import of leopard skins in accordance with this Resolution only if:

   i) each skin has a self-locking, non-reusable tag attached which indicates, at a minimum, the State of origin, the number of the specimen in relation to the annual quota and the calendar year in which the animal was taken in the wild – for example ZW 6/500 2010 indicating that Zimbabwe is the State of origin and that the specimen was taken in the wild in Zimbabwe in 2010 and received tag number 6 out of Zimbabwe's quota of 500 for 2010:

   ii if the same information as is on the tag is recorded on the export document in block 9 or block 5 of the standard CITES permit form (and no information is required in block 11a); and

   iii) the tag has, as a minimum, the following characteristics: a tamper-resistant, self-locking mechanism, heat resistance, inertia to chemical and mechanical processing, and alphanumeric information, which may include bar-coding, applied by permanent stamping;

d) Parties make every effort to ensure that skins are re-exported with the original tags intact;

e) if the original tags are lost, damaged, or removed from skins during processing, the country of re-export should tag such skins prior to re-export, with a 're-export tag' meeting all the requirements of paragraph c) above, except that the country of origin and year of harvest will not be required; and further, that the same information as is on both the original tag and the replacement tag should be given on the re-export certificate, together with details of the original permit under which the skin was imported;

f) Parties accept CITES documents for trade in leopard skins only if they contain the information referred to in paragraph c) or e), as appropriate, and if the skins are tagged in accordance with the provisions of the present Resolution;

g) Parties, with the advice of the Secretariat if appropriate, implement a management and tracking system for tags used in trade; and

** *The Secretariat believes that it was the intent of the Parties at the 18th meeting of the Conference of the Parties to remove Kenya and Malawi from this Resolution, but this was not formally agreed at the meeting.*

h) Management Authorities ensure that tags not affixed to skins in the year specified on the tag are destroyed;

i) 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 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; and

j) 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, in accordance with Resolution Conf. 9.21 (Rev. CoP18), adopted by the Conference of the Parties at its ninth meeting and amended at its 13th and 18th meetings (Bangkok, 2004; Geneva, 2019);

2. DIRECTS the Secretariat to report deficiencies of the system or specific instances of concern to the Standing Committee and the relevant Parties, as appropriate; and

3. REPEALS Resolution Conf. 8.10 (Rev.) (Kyoto, 1992, as amended at Fort Lauderdale, 1994) –

Quotas for Leopard Hunting Trophies and Skins for Personal Use.

Conf. 10.15 (Rev. CoP14)*

建立捻角山羊狩猎纪念物限额

忆及 除少数根据公约第七条可以获得豁免的贸易外，公约附录Ⅰ物种的商业性贸易均被禁止；

忆及 捻角山羊 (*Capra falconeri*)是在1973年华盛顿特区举行的全权代表大会上被列入附录Ⅱ的，随后又在第八次缔约方大会 (京都，1992)上转入附录Ⅰ；

也认识到 捻角山羊受到了非法狩猎、生境破碎和丧失及家畜竞争的威胁；

进一步**认识到** 这一物种的保护将依赖于分布国对利用的控制能力，并依赖于当地人享有充分的激励机制以鼓励他们能优先保护这一物种而不是其家畜；

认识到 巴基斯坦积极促进把基于社区的野生资源管理作为一种保护措施，并已批准了野生捻角山羊管理计划，该管理计划确保由限定数量标本的纪念物狩猎所产生的经济获益直接返还到管理社区，并能确保社区能公平地利用其应获得的经济收益份额来维护该物种的管理计划；

忆及 出口国可以根据由第二次缔约方大会 (圣何塞 1979)通过并经第九次缔约方大会 (劳德代尔堡 1994)修订的Conf. 2.11 (Rev.)号决议批准上述死标本的贸易，并可根据公约第三条第2款签发出口许可证；

忆及 公约第三条第3款 (c)项规定只有在进口国管理机构认为标本不是最终用于商业目的时才能签发进口许可证，第三条第2款 (a)项规定只有在出口国科学机构认为这一出口不危害该物种的生存时才能签发出口许可证；

认识到 由于对本决议所批准的限额利用情况进行监测的重要性，巴基斯坦应实施一项严格的措施程序，以对其基于社区的管理计划进行监测，其中包括开展野生种群的年度调查；

公约缔约方大会

1. **批准** 巴基斯坦在每一公历年度 (1月1日至12月31日)有12只捻角山羊狩猎纪念物的出口限额；

2. **建议**：

   a) 在审核捻角山羊狩猎纪念物进口许可证申请时，进口国科学机构根据公约第三条第3款 (a)项规定，如果能认定该纪念物确实来自巴基斯坦并符合本决议的规定，此类进口方可获得批准；

   b) 在审核捻角山羊狩猎纪念物进口许可证申请时，进口国管理机构根据第三条第3款 (c)项规定，如果能认定该纪念物不是最终用于商业目的且符合下列情况时，此类进口方可获得批准：

      i) 该纪念物是由其所有者在出口国捕获，且以个人财产的形式进口并且不会在进口国出售；及

      ii) 每一狩猎纪念物的所有者在每一公历年度的进口不超过一件纪念物，且该出口已获原产国的立法授权；

*经第十一、十二和十四次缔约方大会修订。

c) 进口国的管理机构只有根据本决议的规定，确认每一纪念物上带有自锁标签，且标签上表明了出口国、与年度限额相关的标本编号及该限额适用的年份，并且与标签上相同的信息在出口许可证上得到反映时，才能批准该狩猎纪念物的进口；

d) 在处理本决议所规定的狩猎纪念物贸易时，第三条第2款 (d)项中“已经同意”一词被认为是已经拥有进口国管理机构同意为此签发许可证的书面保证；及

e) 本决议所采纳的系统将继续下去，任何一个限额的增加或任何一个新限额 (例如，对于一个以前没有限额的国家)都必须根据在第九次缔约方大会 (劳德代尔堡，1994)上通过、在第十三和第十八次缔约方大会 (曼谷，2004；日内瓦，2019)上修订的 Conf. 9.21 (Rev. CoP18)的规定，得到公约缔约方大会的同意。

Conf. 10.15 (Rev. CoP14)*

Establishment of quotas for markhor hunting trophies

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 markhor *Capra falconeri* was included in Appendix II at the plenipotentiary conference held in Washington D.C. (1973) and transferred to Appendix I at the eighth meeting of the Conference of the Parties (Kyoto, 1992);

RECOGNIZING also that the markhor is threatened by illegal hunting, fragmentation and loss of its habitat and competition with domestic livestock;

RECOGNIZING further that conservation of the species will depend on the capacity of the State to regulate use and on local people having sufficient incentives to maintain the species in preference to their domestic livestock;

RECOGNIZING that Pakistan is actively promoting community-based management of wild resources as a conservation tool and has approved management plans for ibex that ensure the financial benefits derived from trophy hunting of a limited number of specimens go direct to the managing communities and that the communities use an equitable share of such financial benefits to sustain the management programme for the species;

RECALLING that countries of export may authorize trade in such dead specimens in accordance with Resolution Conf. 2.11 (Rev.), adopted by the Conference of the Parties at its second meeting (San José, 1979) and amended at its ninth meeting (Fort Lauderdale, 1994), and may grant export permits in accordance with paragraph 2 of Article III of the Convention;

RECALLING that paragraph 3 (c) of Article III 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 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 that, because of the importance of monitoring the utilization of quotas granted under this Resolution, Pakistan will implement a rigorous programme to monitor community-based management plans, including annual surveys of the wild population;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. APPROVES an export quota of 12 hunting trophies of markhor *Capra falconeri* from Pakistan per calendar year (1 January to 31 December);
2. RECOMMENDS that:
   a) in reviewing applications for permits to import markhor hunting trophies, in accordance with paragraph 3 (a) of Article III, the Scientific Authority of the State of import approve permits if it is satisfied that the trophies being considered are from Pakistan and will be traded in accordance with the provisions of this Resolution;
   b) in reviewing applications for permits to import markhor hunting trophies, in accordance with paragraph 3 (c) of Article III, the Management Authority of the State of import be satisfied that the said trophies are not to be used for primarily commercial purposes if:
      i) the trophies are acquired by the owners in the country of export and are being imported as personal items that will not be sold in the country of import; and
      ii) each owner imports no more than one trophy in any calendar year and export is authorized by the legislation of the country of origin;

* *Amended at the 11th, 12th and 14th meetings of the Conference of the Parties.*

c) the Management Authority of the State of import permit the import of markhor hunting trophies in accordance with this Resolution only if each trophy 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, and if the same information as is on the tag is given on the export document;

d) in the case of trophies traded according to the terms of this Resolution, the words “has been granted” in paragraph 2 (d) of Article III 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; and

e) the system adopted in this Resolution be continued, with any increase in the quota or any new quota (i.e. for another State not previously having one) requiring the consent of the Conference of the Parties, in accordance with Resolution Conf. 9.21 (Rev. CoP18) adopted at the ninth meeting of the Conference of the Parties (Fort Lauderdale, 1994) and amended at its 13th and 18th meetings (Bangkok, 2004; Geneva, 2019).

Conf. 10.16 (Rev.)*

人工繁育动物物种的标本

忆及 第二次缔约方大会 (圣何塞，1979)批准并经第九次缔约方大会 (劳德代尔堡，1994)修订的Conf. 2.12 (Rev.)号决议；

考虑到 公约在其第七条第4款和第5款对人工繁育动物标本的处理给出了特别规定；

注意到 根据公约第七条第4款规定，人工繁育所获的附录Ⅰ物种的标本在被用于商业性贸易时应被当作附录Ⅱ物种的标本看待，因此对其贸易也按公约第四条有关规定处理；

注意到 根据公约第七条第5款规定，对于因非商业目的而通过人工繁育所获的附录Ⅰ物种的标本，如果具有管理机构出具的人工繁育证明，则该标本的进口不需进口许可证，有关该标本的贸易不论其属商业性或非商业性，均可得到批准；

认识到 需要各缔约方认同一项有关公约第七条第4款和第5款的标准解释；

关注到 尽管历次缔约方大会已经采纳了一些决议，很多有关被公布为人工繁育标本的贸易仍然不符合公约规定，并且可能对这些物种的野生种群的生存造成危害；

公约缔约方大会

关于语义

1. **采用** 下列在决议中被用到的术语定义：
   a) “子一代 (F1)”系指在控制环境下出生的标本，且其亲本中至少有一个是被从野外捕获或被认为是从野外捕获的；
   b) “子二代 (F2)或后续子代 (F3，F4，等)”系指在控制环境下出生的标本，且其亲本也是在控制环境下出生；
   c) 某一繁殖计划的“繁殖基群”系指在该计划中用作繁殖的所有动物；及
   d) “控制环境”系指为繁殖某一物种的动物而受到人为操作的环境，它设有一个阻止动物及其卵或配子进入或离开该环境的边界，并且可能包括但不仅限于以下一些普遍特点：人工房舍、废物清理、卫生护理、免受捕食者捕捉、人工提供食物；

关于术语“人工繁育”

2. **决定**：
   a) 下列定义应适用于附录Ⅰ、Ⅱ、Ⅲ物种的人工繁育标本，不论其繁殖是否出于商业目的；及
   b) 术语“人工繁育”应解释为仅指如公约第一条 b)款所定义的，出生或以其他方式出生于某一控制环境的标本，并仅适用于以下情况：
      i) 如系有性繁殖，亲本交配于或配子以其他方式被转移到某一控制环境下；如系无性繁殖，在后代开始生长发育时亲本处于某一控制环境下；及
      ii) 繁殖基群符合出口国政府主管部门的下列要求：

*经第十一次缔约方国大会修订，由秘书处在第十五次缔约方大会后修正。

A. 是按照CITES和相关国家法律规定建立起来并且不会对该物种野生种群的生存造成危害；

B. 在维持的过程中不从野外捕获标本，除非根据科学机构提出的如下建议，符合CITES公约的规定和相关国家法律规定，并采取某种不会对该物种野生种群生存造成危害的方式，偶然地从野外补充一些动物或其卵或配子：

   1. 为防止有害的近亲繁殖，需要补充新的遗传材料而确定额外补充的量；

   2. 根据Conf. 17.8号决议[1]规定处理没收标本时；或

   3. 特殊情况下，用于繁殖基群本身所需；及

C. 1. 已经在控制环境下繁殖出子二代 (F2)或后续子代 (F3、F4等)的后代；或

   2. 其管理方式已被证明能在控制环境下可靠地产生子二代；及

关于人工繁育所获的附录Ⅰ物种标本的贸易

3. **建议** 在处理有关人工繁育所获标本的贸易时，只有当相关标本已按缔约方大会通过的有关标记的决议规定而得到标记时，并且在批准贸易的文件中给出了标记的类型和号码，才能允许开展贸易；及

4. **废除** 由第二次缔约方大会 (圣何塞，1979)采纳并经第九次缔约方大会 (劳德代尔堡，1994)修订的Conf. 2.12 (Rev.)号决议——人工繁育或人工培植标本。

[1]由秘书处在第十五和十七次缔约方大会后修正，原为Conf.10.7号决议，后被Conf. 17.8号决议取代。

Conf. 10.16 (Rev.)*

Specimens of animal species bred in captivity

RECALLING Resolution Conf. 2.12 (Rev.), adopted by the Conference of the Parties at its second meeting (San José, 1979) and amended at its ninth meeting (Fort Lauderdale, 1994);

CONSIDERING that the Convention provides, in Article VII, paragraphs 4 and 5, for special treatment of animal specimens that are bred in captivity;

NOTING that, in accordance with Article VII, paragraph 4, specimens of Appendix-I species bred in captivity for commercial purposes shall be deemed to be specimens of species included in Appendix II and that therefore they shall be traded in accordance with the provisions of Article IV;

NOTING that, in accordance with Article VII, paragraph 5, the import of specimens of Appendix-I species bred in captivity not for commercial purposes that are covered by a certificate of captive breeding does not require the issuance of an import permit and may therefore be authorized whether or not the purpose is commercial;

RECOGNIZING the need for the Parties to agree on a standard interpretation of the provisions of Article VII, paragraphs 4 and 5;

CONCERNED however that, in spite of the adoption of several Resolutions at various meetings of the Conference of the Parties, much trade in specimens declared as bred in captivity remains contrary to the Convention and to Resolutions of the Conference of the Parties, and may be detrimental to the survival of wild populations of the species concerned;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

Regarding terminology

1. ADOPTS the following definitions of terms used in this Resolution:

   a) "first-generation offspring (F1)" are specimens produced in a controlled environment from parents at least one of which was conceived in or taken from the wild;

   b) "offspring of second generation (F2) or subsequent generation (F3, F4, etc.)" are specimens produced in a controlled environment from parents that were also produced in a controlled environment;

   c) the "breeding stock" of an operation means the ensemble of the animals in the operation that are used for reproduction; and

   d) "a controlled environment" is an environment that is manipulated for the purpose of producing animals of a particular species, that has boundaries designed to prevent animals, eggs or gametes of the species from entering or leaving the controlled environment, and the general characteristics of which may include but are not limited to: artificial housing; waste removal; health care; protection from predators; and artificially supplied food;

Regarding the term 'bred in captivity'

2. DECIDES that:

   a) the definition provided below shall apply to the specimens bred in captivity of species included in Appendix I, II or III, whether or not they were bred for commercial purposes; and

   b) the term 'bred in captivity' shall be interpreted to refer only to specimens, as defined in Article I, paragraph (b), of the Convention, born or otherwise produced in a controlled environment, and shall apply only if:

* *Amended at the 11th meeting of the Conference of the Parties and corrected by the Secretariat following the 15th meeting.*

i) the parents mated or gametes were otherwise transferred in a controlled environment, if reproduction is sexual, or the parents were in a controlled environment when development of the offspring began, if reproduction is asexual; and

ii) the breeding stock, to the satisfaction of the competent government authorities of the exporting country:

A. was established in accordance with the provisions of CITES and relevant national laws and in a manner not detrimental to the survival of the species in the wild;

B. is maintained without the introduction of specimens from the wild, except for the occasional addition of animals, eggs or gametes, in accordance with the provisions of CITES and relevant national laws and in a manner not detrimental to the survival of the species in the wild as advised by the Scientific Authority:

1. to prevent or alleviate deleterious inbreeding, with the magnitude of such addition determined by the need for new genetic material; or

2. to dispose of confiscated animals in accordance with Resolution Conf. 17.8[1]; or

3. exceptionally, for use as breeding stock; and

C. 1. has produced offspring of second generation (F2) or subsequent generation (F3, F4, etc.) in a controlled environment; or

2. is managed in a manner that has been demonstrated to be capable of reliably producing second-generation offspring in a controlled environment; and

Regarding the trade in specimens of Appendix-I species bred in captivity

3. RECOMMENDS that the trade in a specimen bred in captivity be permitted only if it is marked in accordance with the provisions on marking in the Resolutions adopted by the Conference of the Parties and if the type and number of the mark are indicated on the document authorizing the trade; and

4. REPEALS Resolution Conf. 2.12 (Rev.) (San José, 1979, as amended at Fort Lauderdale, 1994) – *Specimens Bred in Captivity or Artificially Propagated*.

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[1] *Corrected by the Secretariat following the 15th and 17th meetings of the Conference of the Parties: originally referred to Resolution Conf. 10.7, replaced by Resolution Conf. 17.8.*

Conf. 10.17 (Rev. CoP14)*

杂交动物

忆及 缔约方大会 (圣何塞，1979)通过的有关杂交种问题的Conf. 2.13号决议；

关注到 为支持对附录Ⅰ、Ⅱ物种贸易进行的控制，有关附录所列物种杂交标本的贸易也应受到控制；

公约缔约方大会

1. **决定：**

   a) 即便杂交动物并未被专门列入附录，如果杂交动物直系血亲中有一个或多个物种标本被列在附录Ⅰ或附录Ⅱ，该杂交动物也应被视作完整的物种，受到公约条款的管制；

   b) 如果杂交动物直系血亲中至少有一个是公约附录Ⅰ物种，则该杂交动物应被当作附录Ⅰ物种的标本对待 (并在适用时也可以享受公约第七条有关豁免的规定)；

   c) 如果杂交动物直系血亲中至少有一个是公约附录Ⅱ的物种，且其直系血亲均没有附录Ⅰ物种，则该杂交动物应被看作附录Ⅱ物种的标本对待；及

   d) 作为一条指导原则，本决议所用的“直系血亲”这一词通常应系指世系的前四代；

2. **建议** 缔约方在根据公约第三条第2款 (a)项、或四条第2款 (a)项规定为受制于公约条款的杂交动物标本作非致危性判定时，考虑任何可能对被列入附录的物种造成的潜在危害；并

3. **废除** Conf. 2.13号决议 (圣何塞，1979)——杂交问题。

*经第十一和十四次缔约方大会修订。

Conf. 10.17 (Rev.CoP14)*

Animal hybrids

RECALLING Resolution Conf. 2.13 on the problem of hybrids, adopted by the Conference of the Parties at its second meeting (San José, 1979);

CONCERNED that trade in hybrids of species included in the Appendices should be controlled in order to support the controls on trade in the species included in Appendices I and II;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. DECIDES that:
   a) hybrid animals that have in their recent lineage one or more specimens of species included in Appendix I or II shall be subject to the provisions of the Convention just as if they were full species, even if the hybrid concerned is not specifically included in the Appendices;
   b) if at least one of the animals in the recent lineage is of a species included in Appendix I, the hybrids shall be treated as specimens of species included in Appendix I (and shall be eligible for the exemptions of Article VII when applicable);
   c) if at least one of the animals in the recent lineage is of a species included in Appendix II, and there are no specimens of an Appendix-I species in such lineage, the hybrids shall be treated as specimens of species included in Appendix II; and
   d) as a guideline, the words "recent lineage", as used in this Resolution, shall generally be interpreted to refer to the previous four generations of the lineage;
2. RECOMMENDS that, when Parties are considering the making of non-detriment findings, in accordance with Article III, paragraph 2 (a), or Article IV, paragraph 2 (a), for specimens of hybrids that are subject to the provisions of the Convention, they take into account any potential detriment to the survival of the listed species; and
3. REPEALS Resolution Conf. 2.13 (San José, 1979) – *Problem of Hybrids*.

* *Amended at the 11th and 14th meetings of the Conference of the Parties.*

Conf. 10.19 (Rev. CoP14) *

传统医药

认识到 野生动植物被用于各种形式的传统医药中，而且在传统医药中许多濒危物种的持续和不加控制的利用，对这些物种的长期生存和传统医药的可持续发展造成潜在的威胁，成为分布国和消费国一直关注的问题；

认识到 在东亚，多数传统医药体系源于传统中医药，传统中医药是经过上千年的大量的医学观察和实验而形成的合理的思想和实践体系；

意识到 世界卫生组织已承认了传统医药对世界医药安全的重要性，而且亿万大众的基本健康仍有赖于这些药品；

确信 在讨论某种野生物种遭到过度开发问题时，也应强化对传统医药在世界医疗体系中的重要性的理解；

承认 许多种传统医药依赖于对野生物种的可持续开发；

忆及 第九次缔约方大会 (劳德代尔堡，1994)通过并经第十三次缔约方大会 (曼谷，2004)和十五次大会(多哈，2010)修订的Conf. 9.19 (Rev. CoP15)号决议*，认为人工繁育和人工培植可以缓解对野生种群的压力；

认识到 开展使用濒危物种标本代用品研究的重要性；

坚信 应该采取适当措施保护那些存在过度开发危险的野生物种，以免像犀和虎那样，在其受到威胁后不得不采取更加严厉的措施；

注意到 适用公约第七条第3款作为个人财产来贸易的传统医药的总量，也许对某些特定物种的保护产生负面影响；

确信 全面的国内立法及其有效的实施对所有缔约方执行公约的重要性；

忆及 第九次缔约方大会通过并经第十四次缔约方大会 (海牙，2007) 和十五次大会修订的Conf. 9.14 (Rev. CoP17)号决议†、第十次缔约方大会 (哈拉雷，1997)通过并经第十二次 (圣地亚哥，2002)、第十四次缔约方大会修订的Conf. 10.8 (Rev. CoP14)号决议、第十一次缔约方大会 (吉吉里，2000)通过的Conf. 11.7号决议，及第十二次缔约方大会通过并经第十五、十六、十七和十八次大会(多哈, 2010; 曼谷,2013; 约翰内斯堡, 2016; 日内瓦, 2019)修订的Conf. 12.5 (Rev. CoP18)号决议‡，针对传统医药中常见成份所涉及的特定分类单元的保护与贸易，规定了需要采取的各类保护措施；

公约缔约方大会

1. **建议** 各缔约方：

   a) 与传统医药从业者和消费者密切合作，开展旨在减少和最终杜绝非法使用濒危物种的公共教育和宣传活动，提高对避免过度开发其他野生物种必要性的认识；

   b) 促进技术开发，包括鉴别传统药所含部分及其衍生物的法庭技术的应用；

*经第十二和十四次缔约方大会修订，由秘书处在第十五、十六、十七和十八次缔约方大会后修正。
*由秘书处在第十五次缔约方大会后修正，原指Conf. 9.19 (Rev. CoP13)号决议。
†由秘书处在第十五和十七次缔约方大会后修正，原指Conf. 9.14 (Rev. CoP14)号决议。
‡由秘书处在第十五、十六、十七和十八次缔约方大会后修正，原指Conf. 12.5号决议，现为Conf. 12.5 (Rev. CoP18)号决议。

c) 促进、鼓励和研究进一步使用诸如合成物和较少受威胁物种衍生物等药用濒危野生物种标本的代用品，确保此类利用不会危害其他物种；及

d) 在适当并提供安全保障的情况下，可考虑通过人工培植的方法，或者在特定情况下考虑通过人工繁育的方式，来满足传统医药的需求，但此类利用应有助于缓解对野生种群的压力并符合国内法律的规定；

2. **敦促** 各缔约方对国内利用的传统医药明确做出仅限国内利用的标识，切实制止出口；

3. **敦促** 各缔约方在管理传统医药贸易时，确保公约第七条第3款规定得以全面持续地贯彻执行，确保外国游客和来访者在未取得适当文件的情况下不会出口含有附录Ⅰ成分的传统医药；

4. **承认** 为有效保护常见药用附录物种，各缔约方有必要在管理个人和家庭财产的贸易时采取更加严厉的国内措施；并且

5. **敦促** 潜在的捐助者为执行本决议各项措施提供资金支持。

Conf. 10.19 Traditional medicines

(Rev. CoP14)*

RECOGNIZING that wild fauna and flora are used in many forms of traditional medicine and that continued and uncontrolled use of several endangered species in traditional medicine has been the subject of concern among range States and consumer countries in view of the potential threat to the long-term survival of these species and the development of traditional medicines on a sustainable basis;

RECOGNIZING that most traditional-medicine systems in East Asia were derived from traditional Chinese medicine which is a rational system of thought and practice developed over several millennia and involving extensive clinical observation and testing;

AWARE that the World Health Organization has acknowledged the importance of traditional medicines to the world's medicinal security and that millions of people depend on these medicines for primary health care;

CONVINCED of the need to improve understanding about the significance of traditional medicines in the world's health care systems whilst addressing the problems of over-exploitation of certain wild species;

ACKNOWLEDGING that many forms of traditional medicine depend on the sustainable harvesting of wild species;

RECALLING Resolution Conf. 9.19 (Rev. CoP15)[1], adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994) and amended at its 13th (Bangkok, 2004) and 15th (Doha, 2010) meetings, which acknowledges that pressure on wild populations may be relieved by captive breeding and artificial propagation;

RECOGNIZING the importance of research into the use of substitutes for specimens of endangered species;

BELIEVING that adequate measures should be taken to conserve wild species at risk of over-exploitation to avoid their becoming threatened to the point where more severe measures may be necessary as in the case of the rhinoceroses and the tiger;

NOTING that the total volume of traditional medicines traded as personal effects under Article VII, paragraph 3, of the Convention may have a negative impact on the conservation of certain species;

CONVINCED of the importance of comprehensive national legislation and its effective enforcement for the implementation of the Convention in all party States;

RECALLING that Resolutions Conf. 9.14 (Rev. CoP17)[2], adopted by the Conference of the Parties at its ninth meeting and amended at its 14th (The Hague, 2007) and 15th meetings, Conf. 10.8 (Rev. CoP14), adopted at its 10th meeting (Harare, 1997) and amended at its 12th (Santiago, 2002) and 14th meetings, Conf. 11.7, adopted at its 11th meeting (Gigiri, 2000) and Conf. 12.5 (Rev. CoP18)[3], adopted at its 12th meeting and amended at its 15th, 16th, 17th and 18th meetings (Doha, 2010; Bangkok, 2013; Johannesburg, 2016; Geneva, 2019), refer to various measures to be taken in relation to the conservation of and trade in specific taxa commonly encountered as ingredients in traditional medicines;

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* *Amended at the 12th and 14th meetings of the Conference of the Parties, and corrected by the Secretariat following the 15th, 16th, 17th and 18th meetings.*

1 *Corrected by the Secretariat following the 15th meeting of the Conference of the Parties: originally referred to Resolution Conf. 9.19 (Rev. CoP13).*

2 *Corrected by the Secretariat following the 15th and 17th meetings of the Conference of the Parties: originally referred to Resolution Conf. 9.14 (Rev. CoP14).*

3 *Corrected by the Secretariat following the 15th, 16th, 17th and 18th meetings of the Conference of the Parties: originally referred to Resolution Conf. 12.5, then to Resolution Conf. 12.5 (Rev. CoP18).*

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that the Parties:

   a) work closely with groups of traditional-medicine practitioners and consumers in developing public education and awareness programmes towards the elimination of illegal use of endangered species, and developing awareness of the need to avoid over-exploitation of other wild species;

   b) promote the development of techniques, including the application of forensic science, for identifying parts and derivatives used in traditional medicines;

   c) facilitate, encourage and investigate the further use in traditional medicines of alternative ingredients to specimens of threatened wild species, such as synthetic compounds and derivatives of less threatened species, ensuring that this does not lead to other species becoming threatened; and

   d) consider, where appropriate and with sufficient safeguards, the application of artificial propagation and, in certain circumstances, captive breeding, to meet the needs of traditional medicines where this would relieve pressure on wild populations of species and is in accordance with their national legislation;

2. URGES Parties to ensure that traditional medicines intended for domestic use are clearly marked as such and effectively prevented from being exported;

3. URGES Parties to ensure that Article VII, paragraph 3, of the Convention is implemented fully and consistently in relation to traditional medicines, to ensure that traditional medicines containing Appendix-I ingredients are not exported by tourists and visitors unless accompanied by appropriate documentation;

4. ACKNOWLEDGES that in order to effectively protect listed species that are commonly encountered as ingredients in traditional medicines, it may be necessary for Parties to apply stricter domestic measures in relation to personal and household effects; and

5. URGES potential donors to assist with funding actions to implement the measures in this Resolution.

Conf. 10.20*

个人所有的活体动物的频繁跨境转移

忆及 公约第七条第3款规定，除非在特定情况下，第三条、第四条、第五条的规定不适用于作为个人或家庭财产的标本；

认识到 公约没有在第七条第3款对“个人或家庭财产”这一术语进行定义，该术语可能被缔约方做出不一致的解释；

注意到 在第八次缔约方大会 (京都，1992)上通过并经第十一次缔约方大会 (吉吉里，2000)和十七次缔约方大会（约翰内斯堡，2016）修订的Conf. 8.13 (Rev. 17)号决议*，已意识到使用的编码微型植物切片对贸易中附录Ⅰ标本活动物进行标记，但不排除其他适宜的标记方法；

意识到 公约附录中所列标本的活动物，包括但并不仅限于伴生动物或竞争性动物，及作为家庭财产的动物或猎鹰，常因各种合法目的需通过边境；

注意到 按照公约第三条、第四条、第五条、第七条关于经常进出境活动物的规定，重复签发的许可证和证明书会产生技术上和管理上的问题，并且需对其严密监测，以防止非法活动；

希望 公约规定的豁免条款不被用来逃避为控制附录活动物国际贸易所进行的必要管理；

意识到 公约第十四条第1款 (a)项已表明公约的豁免条款不影响缔约方对附录Ⅰ、附录Ⅱ、附录Ⅲ所列物种标本的贸易、获得、占有和转运在国内采取更为严格的措施或完全禁止；

公约缔约方大会

1. **建议：**

   a) 为适用本决议之目的，在第七条第 3 款中“个人或家庭财产”一词包括个人所拥有的动物，这些动物在其主人常住国居住并经注册；

   b) 只有有关缔约方同意，而且如果物主的经常居住地在这些缔约方内，动物是在该缔约方的管理机构注册的，各缔约方才能为携带作为“个人或家庭财产”的动物出国、并且动物是合法获得的人员签发所有权证明书；

   c) 除非证实动物是申请人合法获得的，且动物的获得不违背公约的条款，管理机构才能为作为个人或家庭财产的附录所列物种的活动物签发所有权证明书；

   d) 管理机构要要求申请人为财产证明书提供活动物名称、地址及相关资料，包括种名、性别、标志号或其他识别标记的号码；

   e) 如果证明书的签发未使用公约 Conf. 12.3 (Rev. CoP18)号决议†所提供的标准格式，则要依据方框 5 中所含的条款 b) 或其他方框签发，即“本证明书所述的允许多次过境的标本，仅用于个人非商业性运送，不能进行商业性运送。如果本证明持有人不再是活动物的所有者，必须立即将该证明书交还有关管理机构；

   f) 当依据本决议签发的所有权证明书中所涉及的动物已不再归所有人拥有时 (逃逸、

*由秘书处在第十一、十三、十四、十五、十六和十七次缔约方大会后修正。
*由秘书处修正，原指Conf. 8.13号决议。
†由秘书处在第十三、十四、十五、十六、十七和十八次缔约方大会后修正：原指Conf. 10.2号决议，之后为Conf. 12.3 (Rev. CoP18)号决议。

死亡、出售、被盗等)，原所有权证明书应立即交还有关管理机构；

g) 为作为个人或家庭财产的活动物所签发的所有权证明书的最长有效期为 3 年，允许该动物多次进口、出口、再出口；

h) 当证明书原件呈送到合适的边境控制办公室时，有关缔约方应将财产证明书看作允许由其主人陪同的活动物通过其边境的通行证；边境控制办公室要：

   i) 要查原件并加盖印章、签名和填写日期，以表明标本从一国到另一国的事实；及

   ii) 在边境上不收回原件，允许原件随标本保存；

i) 有关缔约方应检查活动物以确保该动物在运输和照管中可能少地遭受损伤、损害健康、遭受虐待的危险；

j) 有关缔约方要使作为个人或家庭财产的活动物安全标记或用其他恰当的方法标明，而且这种标记应记录在财产证明书上，以便使活动物进入的国家当局核实证明书与有关动物相对应；

k) 当带有财产证明书的活动物在运送途中，在其他国家停留时生产出后裔时，证明书持有人要按照公约第三条、第四条、第五条的要求将这些后裔从生产国出口，向证明书持有人常住国进口；带有财产证明书的活动物在运送途中产生的后裔被运送到其父母的主人经常住地后，应为其签发财产证明书；

l) 当活动物的财产证明书在其他国家停留时丢失、被盗或偶遭损坏时，只有签发该证书的管理机构可签发证明书副本，可能的话，该证明书副本应带有与原件相同的编码、有效期限及新的签发日期，并载有以下内容：“本证明书是原件的真实复印件”；

m) 依据以上条款 e)，物主在其常人或家庭财产的活动物出售或转让；及

n) 缔约方要保留依据此决议所签发的财产证明书的编码，可能的话，要在其年度报告中载明许可证的编码及所涉及到的标本的学名。

Conf. 10.20*

Frequent cross-border movements of personally owned live animals

RECALLING that Article VII, paragraph 3, of the Convention provides that, other than in certain circumstances, the provisions of Articles III, IV and V shall not apply to specimens that are personal or household effects;

RECOGNIZING that, because the Convention does not define the term 'personal or household effects', in Article VII, paragraph 3, this term may be interpreted by the Parties in different ways;

NOTING that Resolution Conf. 8.13 (Rev. CoP17)[1], adopted at the eighth meeting of the Conference of the Parties (Kyoto, 1992) and revised at the 11th and 17th meetings (Gigiri, 2000; Johannesburg. 2016), recognizes the use of coded microchip implants for marking live animals of Appendix-I species in trade, without excluding the use of other appropriate methods;

AWARE that live animals of species listed in the Appendices to the Convention are often involved in frequent movement across international borders for a variety of legitimate purposes, including but not limited to companion or competition animals, and animals moved as household effects or for falconry;

NOTING that the repeated granting of permits and certificates under Article III, IV, V or VII of the Convention for live animals that undergo frequent movement across international borders poses problems of a technical and administrative nature, and that such movement needs to be monitored closely to prevent illegal activities;

DESIRING that exemptions provided by the Convention not be used to avoid the necessary measures for the control of international trade in live animals of species listed in the Appendices;

RECOGNIZING that Article XIV, paragraph 1 (a), of the Convention states that the provisions of the Convention shall in no way affect the right of Parties to adopt stricter domestic measures regarding the conditions of trade, taking, possession or transport of specimens of species included in Appendix I, II or III, or the complete prohibition thereof;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that:
   a) the term 'personal or household effects' in Article VII, paragraph 3, for the purpose of the application of this Resolution, include personally owned live animals that are based and registered in the owner's State of usual residence;
   b) although any Party may issue a certificate of ownership to the personal owner of a legally acquired live animal who wishes to travel to other States with the animal as a personal or household effect, it should do so only after agreement between the Parties concerned and if the usual residence of the owner is in the territory of such Party and the animal is registered with the Management Authority of that Party;
   c) a Management Authority not issue a certificate of ownership for a live animal of a species listed in the Appendices that is a personal or household effect unless it is satisfied that the live animal is legally possessed by the applicant and that the animal has not been acquired in contravention of the provisions of the Convention;
   d) the Management Authority require the applicant for a certificate of ownership to provide his name and address and pertinent data regarding the live animal, including the species, sex and mark number or other means of identification;
   e) the certificate issued in accordance with paragraph b) above include in box 5, or in another box if the standard form referred to in Resolution Conf. 12.3 (Rev. CoP18)[2] is not used, the

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* *Corrected by the Secretariat following the 11th, 13th, 14th, 15th, 16th and 17th meetings of the Conference of the Parties.*

[1] *Corrected by the Secretariat: originally referred to Resolution Conf. 8.13.*

[2] *Corrected by the Secretariat following the 13th, 14th, 15th, 16th, 17th and 18th meetings of the Conference of the Parties: originally referred to Resolution Conf. 10.2, later corrected to Resolution Conf. 12.3 (Rev. CoP18).*

following language: “The specimen covered by this certificate, which permits multiple cross-border movements, is owned for personal non-commercial use and may not be transported for commercial purposes. If the certificate holder is no longer in the possession of the live animal, the certificate must be immediately returned to the issuing Management Authority”;

f) when a live animal that is the subject of a certificate of ownership issued pursuant to this Resolution is no longer in the possession of the owner (escape, death, sale, theft, etc.), the original certificate of ownership be immediately returned to the issuing Management Authority;

g) a certificate of ownership issued for a live animal as a personal or household effect be valid for a maximum period of three years to allow multiple imports, exports and re-exports of the animal;

h) the Parties concerned treat each certificate of ownership as a type of passport that allows the movement of a live animal accompanied by its owner across their borders upon presentation of the original certificate to the appropriate border control officer who:

   i) inspects the original and validates it with an ink stamp, signature and date to show the history of movement from State to State; and

   ii) does not collect the original at the border, but allows it to remain with the specimen;

i) the Parties concerned inspect such a live animal to ensure that it is transported and cared for in a manner that minimizes the risk of injury, damage to health or cruel treatment;

j) the Parties concerned require that any live animal that is a personal or household effect be securely marked or otherwise appropriately identified and that this mark be included on the certificate of ownership so that the authorities of the State into which the live animal enters can verify that the certificate corresponds to the live animal in question;

k) when, during a stay in another State, a live animal travelling under a certificate of ownership produces progeny, the holder of the certificate comply with the requirements of Article III, IV or V to export such progeny from the State where it was produced and to import it into the holder’s State of usual residence. For progeny produced from an animal travelling under a certificate of ownership, a certificate of ownership may be issued after it has been moved to the State of usual residence of the owner of the parent;

l) when, during a stay in another State, a certificate of ownership for a live animal is lost, stolen or accidentally destroyed, only the Management Authority that 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 a new date of issuance, and contain the following statement: “This certificate is a true copy of the original”;

m) in accordance with paragraph e) above, the owner not sell or otherwise transfer a live animal that is a personal or household effect when travelling outside of his State of usual residence; and

n) Parties maintain records of the number of certificates of ownership issued under this Resolution and if possible include the certificate numbers and the scientific names of the species concerned in their annual reports.

Conf. 10.21 (Rev. CoP16)*

活体标本运输

考虑到 公约第三条、第四条、第五条的规定，在核发出口许可证、再出口或巡回展出证明书之前，管理机构应确信标本的准备和装运能将受伤、损害健康或遭受虐待的风险降到最低程度；

进一步考虑到 公约文本第八条要求缔约方确保所有活体标本，在运送、保定和装箱的任何时段，受到精心照管，将其健康受伤、损害和受虐待的风险降到最小；

注意到 空运是很多活体动物和植物的首选方式，而空运有其特定的要求；

进一步**注意到** 就活体动物和活体植物运输而言，国际航空运输协会活体动物规定(the Live Animals Regulations of the International Air Transport Association，IATA)和国际航空运输协会易腐货物规定(IATA's Perishable Cargo Regulations)可用于活体标本的运输，两者每年都有修订，因而能更迅速地反映需求变化；

认识到 关注所有活体标本的运输的必要性；

进一步认识到 附录中某些动物种类活体标本的非航空运输可能需要较国际航空运输协会活体动物和易腐货物规定额外或有偏差的条件；

同意 为有效执行公约第四条第2款第2项的规定，需要不时地进一步对这一问题进行专门评估、对有关信息进行分析、对缔约方提出采取补救或纠正措施的建议；

忆及 公约文本第十四条第1款，允许任一缔约方就公约附录物种标本采取更为严格的国内措施，并对非附录物种采取限制或禁止的国内措施；

公约缔约方大会

1. **指示** 常委会、动物和植物委员会处理有关活体标本运输的问题；

2. **建议**：

   a) 各缔约方要采取措施，推动管理机构全面而有效地使用 IATA 活体动物规则 (对动物)和 IATA 易腐货物规则 (对植物) 及 CITES 活体野生动植物非航空运输指南来管理活体标本的准备和运输，并引起出口者、进口者、运输公司、运输者、货物代运者、检查机构和负责管理空运、陆运、海运和内陆水运的国际组织及会议的重视；

   b) 缔约方邀请以上组织和机构讨论和完善 IATA 活体动物规则 (对动物)和 IATA 易腐货物规则 (对植物)，以推动他们有效执行；

   c) 公约秘书处与常务委员会同 IATA 的活体动物和易腐货物理事会、野生动物运输协会 (AATA)的主任理事会继续进行定期交流，并发展与国际动物健康组织 (OIE)和国际植物保护公约 (IPPC)的关系；

   d) 只要 CITES 秘书处和常委会同意，IATA 活体动物规则 (对动物)、IATA 易腐货物规则 (对植物) 和 CITES 活体野生动植物非航空运输指南的最新版本就可被用来满足 CITES 对运输的要求；

   e) 常委会和秘书处，与动物、植物委员会和 IATA 商议，定期审查、修订和改善

* 经第十四和十六次次缔约方大会修订。

CITES 活体野生动植物非航空运输指南；

f) IATA 活体动物规则、IATA 易腐货物规则与活体植物标本运输有关的章节和 CITES 活体野生动植物非航空运输指南应纳入缔约方国内立法和政策中；

g) 申请出口许可证或再出口及巡回展出证明书，作为签发的条件，要按照 IATA 活体动物规则、IATA 易腐货物规则和 CITES 活体野生动植物非航空运输指南准备和装运标本；

h) 遵照国家法律和政策，当在运输地点停留时间延长时，公约指定人员或航空公司职员要检查活体标本的运输情况，并采取必要的措施，以确保标本处于最佳状态；

i) 遵照国家法律和政策，在公约缔约方指定进出口的港口，应建有动物和植物安置设施；及

j) 遵照国家法律和政策，缔约方要尽可能确保动物和植物安置设施公开，使公约指定的执行人员或指定的观察员能够与运输公司一道检查动物安置设施，有关机构和运输公司可以获得有关资料；

3. **指示** 常委会、动物和植物委员会，在以下方面与秘书处商议：

a) 参加IATA活体动物和易腐货物理事会会议，以强化和更新IATA活体动物规则、IATA易腐货物规则和CITES活体野生动植物非航空运输指南；

b) 如适当，检查就活体标本的运输而制订的新的或附加参考指南是否被纳入了当前决议；

c) 如适当，检查有关活体植物标本运输的发展情况，以纳入当前决议；及

d) 合适时，对任一活体标本高死亡率的装运进行检查，并就在未来如何避免和消除这类问题给相关缔约方、出口者、进口者及转运公司提出建议；

4. **鼓励** 秘书处、缔约方及相关组织帮助发放IATA活体动物规则、IATA易腐货物规则和CITES活体野生动植物非航空运输指南，提高公众的意识；

5. **邀请** 非政府组织特别是在活体标本的装运、装运准备、运输、照看或管理方面有专业知识的兽医、科学、保护、福利和贸易组织，向那些需要和请求相关协助的缔约方提供必要的财政、技术和其他协助，以确保有关活体标本国际贸易的运输准备和运输活动能有效履行公约相关规定；

6. **注意** 为改进缔约方对IATA活体动物规则、IATA易腐货物规则和CITES活体野生动植物非航空运输指南的履行，需要通过更有效的方法来对运输公司、出口者和执法机关的人员进行培训，以大大提高执行有关规则的意识；及

7. **废除:**

a) Conf. 9.23决议 (劳德代尔堡，1994)——活体标本的运输；及

b) CITES活体野生动植物货运的运输和备运指南(1981)。

Conf. 10.21 (Rev.CoP16)*

Transport of live specimens

CONSIDERING that the Convention, in Articles III, IV, V and VII, requires Management Authorities to be satisfied, before granting export permits, or re-export or travelling exhibition certificates, that specimens will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment;

FURTHER CONSIDERING that the Convention, in Article VIII, requires Parties to ensure that all living specimens, during any period of transit, holding and shipment, are properly cared for so as to minimize the risk of injury, damage to health or cruel treatment;

NOTING that air transport is the preferred method for transporting many live animals and plants and that there are special requirements necessitated by air transport;

FURTHER NOTING the extent to which, in the case of the transport of live animals, the *Live Animals Regulations* of the International Air Transport Association (IATA) and, in the case of the transport of live plants, IATA's *Perishable Cargo Regulations*, are to be used for transport of live specimens and that the *Live Animals Regulations* and the *Perishable Cargo Regulations* are amended annually and are therefore more quickly responsive to changing needs;

RECOGNIZING the need to address the transport of all live specimens;

FURTHER RECOGNIZING that the non-air transport of live specimens of certain animal species included in the Appendices may require transport conditions additional to or deviating from those found in the IATA *Live Animals Regulations* and IATA *Perishable Cargo Regulations*;

AGREEING that the effective implementation of Articles III, IV, V and VII of the Convention necessitates from time to time further specific evaluation of transportation issues, analysis of information and recommendations to the Parties for remedial or corrective action;

RECALLING that Article XIV, paragraph 1, permits any Party to adopt stricter domestic measures regarding the conditions for transport of specimens of species included in the Appendices and to adopt domestic measures restricting or prohibiting transport of species not included in the Appendices;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. DIRECTS the Standing Committee and the Animals and Plants Committees to deal with matters related to the transport of live specimens;
2. RECOMMENDS that:
   a) suitable measures be taken by the Parties to promote the full and effective use by Management Authorities of the IATA *Live Animals Regulations* (for animals), the IATA *Perishable Cargo Regulations* (for plants) and the *CITES guidelines for the non-air transport of live animals and plants* for the preparation and transport of live specimens and that they be brought to the attention of exporters, importers, transport companies, carriers, freight forwarders, inspection authorities and international organizations and conferences competent to regulate conditions of carriage by air, land and sea or inland waterways;
   b) Parties invite the above organizations and institutions to comment on and amplify the IATA *Live Animals Regulations* (for animals) and the IATA *Perishable Cargo Regulations* (for plants), so as to promote their effectiveness;
   c) the regular communication of the CITES Secretariat and the Standing Committee with IATA's Live Animals and Perishables Board and with the board of directors of the Animals Transportation Association (AATA) be continued and that a relationship with the International Animal Health Organisation (OIE) and the International Plants Protection Convention (IPPC) be developed;
   d) for as long as the CITES Secretariat and the Standing Committee agree, the IATA *Live Animals Regulations* (for animals), the IATA *Perishable Cargo Regulations* (for plants) and the

* *Amended at the 14th and 16th meetings of the Conference of the Parties.*

CITES guidelines for the non-air transport of live animals and plants in their most recent edition be deemed to meet CITES transport requirements;

e) the Standing Committee and the Secretariat, in consultation with the Animals and Plants Committees and IATA, regularly review, revise and approve amendments to the *CITES guidelines for the non-air transport of live animals and plants*;

f) the IATA *Live Animals Regulations*, the sections of the IATA *Perishable Cargo Regulations* related to the transport of live plant specimens and the *CITES guidelines for the non-air transport of live animals and plants* be incorporated into Parties' domestic legislation or policies;

g) applicants for export permits or re-export or travelling exhibition certificates be notified that, as a condition of issuance, they are required to prepare and ship live specimens in accordance with the IATA *Live Animals Regulations*, the IATA *Perishable Cargo Regulations* and the *CITES guidelines for the non-air transport of live animals and plants*;

h) in compliance with national laws and policies, shipments of live specimens be examined and necessary action taken to ensure the well-being of the specimens by CITES-designated persons or transport company personnel during extended holding periods at transfer points;

i) in compliance with national laws and policies where Parties to the Convention have designated ports of entry and exit, holding facilities for live animals and plants be provided; and

j) in compliance with national laws and policies, Parties ensure that animal- and plant-holding facilities are open for inspection of shipments, with the concurrence of the transport company, by CITES-designated enforcement personnel or designated observers; and that any documented information be made available to the appropriate authorities and transport companies;

3. DIRECTS the Standing Committee and the Animals and Plants Committees, in consultation with the Secretariat:

   a) to participate in meetings of the Live Animals and Perishables Board of IATA in order to amplify or update the IATA *Live Animals Regulations* and the IATA *Perishable Cargo Regulations* and the *CITES guidelines for the non-air transport of live animals and plants*;

   b) to examine new or additional references for transport of live specimens for incorporation into the present Resolution, if appropriate;

   c) to examine developments related to the transport of live plant specimens for incorporation into the present Resolution, if appropriate; and

   d) to examine, when appropriate, any high mortality shipments of live specimens and make recommendations to relevant Parties, exporters, importers and transport companies on how to avoid this in the future;

4. ENCOURAGES the Secretariat, Parties and relevant organizations to assist in the distribution and increase public awareness of the IATA *Live Animals Regulations*, the IATA *Perishable Cargo Regulations* and the *CITES guidelines for the non-air transport of live animals and plants*;

5. INVITES non-governmental organizations, particularly veterinary, scientific, conservation, welfare and trade organizations with expertise in the shipment, preparation for shipment, transport, care or husbandry of live specimens, to provide the necessary financial, technical and other assistance to those Parties in need of and requesting such assistance to ensure the effective implementation of the provisions of the Convention for the transport and preparation for shipment of live specimens subject to international trade;

6. NOTES that in order to improve implementation of the IATA *Live Animals Regulations*, the IATA Perishable *Cargo Regulations* and the *CITES guidelines for the non-air transport of live animals and plants* by the Parties, there is a need for greatly increased awareness of the Regulations through more effective methods of training of personnel of transport companies, exporters and enforcement agencies; and

7. REPEALS:

   a) Resolution Conf. 9.23 (Fort Lauderdale, 1994) – *Transport of Live Specimens;* and

b) the *CITES Guidelines for transport and preparation for shipment of live wild animals and plants* (1981).

Conf. 11.3 (Rev. CoP18)*

遵约和执法

忆及 公约第二条第4款声明，除遵守本公约各项规定外，各缔约国均不应允许就附录I、附录II、附录III所列物种标本进行贸易；

忆及 公约第八条第1款规定，缔约方应采取适当措施来执行公约的规定并禁止违反公约规定的标本贸易发生，这些措施应包括对非法贸易或持有此类标本进行单独处罚或一并处罚，措施应规定对非法贸易的标本进行没收或将其返还出口国；

认识到 公约前言已经声明，为了保护某些野生动植物种不致由于国际贸易而遭到过度开发利用，进行国际合作是必要的；

肯定 各缔约方有义务在执行本公约时密切合作，通过迅速交换涉嫌欺诈的野生动植物贸易相关的案情信息，来保证其他相关的缔约方能够运用法律惩处手段；

忆及 第六次缔约方大会 (渥太华，1987)和第七次缔约方大会 (洛桑，1989)通过的Conf. 6.3和Conf. 7.5号决议、第二次缔约方大会 (圣何塞，1979)通过并经第九次缔约方大会 (劳德代尔堡，1994)修订的Conf. 2.6 (Rev.)号决议、第三次缔约方大会 (新德里，1981)通过并经第九次缔约方大会修订的Conf. 3.9 (Rev.)号决议、第六次缔约方大会通过并经第九次缔约方大会修订的Conf. 6.4 (Rev.)号决议，及第九次缔约方大会通过并经第十次缔约方大会(哈拉雷，1997)修订的Conf. 9.8 (Rev.)号决议；

意识到 在过去，由于出口国和进口国管理机构在监视、签发文件和管控活体和死体野生动植物及其部分和衍生物的贸易遵约方面执行不足或不充分，违约事件已有发生；

考虑到 对于所有公约缔约方来说，防止再次发生上述违约事件及充分执行公约为此而建立的机制，最符合他们的道德、生物、生态和经济利益，可以确保他们正常有效地实施濒危野生动植物贸易控制和濒危野生动植物保护；

意识到 各缔约方在履约和执法能力方面存在着相当大的差异；

认识到 发展中国家因其特殊的社会经济、政治、文化和地理状况，很难以达到适当的控制要求，尽管这并不能使其免于尽最大可能遵循履约效率；

认识到 生产国在执行本国的公约控制措施中面临的困难，且这些困难加剧了其他缔约方的执法问题，同时仍有消费国因为缺少充分的公约控制措施而持续发生非法进口贸易；

欢迎 国际打击野生动植物犯罪同盟(ICCWC)的建立；

意识到 ICCWC在给国家野生动植物执法机构和次区域及区域性网络的自然资源保护行动，提供日常性协调支持上的重要作用；

认识到 ICCWC的野生动植物和森林犯罪分析工具包能够辅助缔约方，对野生动植物和森林产品保护和监测的可能方式进行综合分析，及确定技术援助需求；

认识到 ICCWC的《关于野生动植物和森林犯罪的指示因子框架》提供了重要指示因子框架，涵盖了对野生动植物和森林犯罪的执法响应的主要组成部分，可供缔约方在国家层面使用，以度量和监测自身应对这些犯罪活动的执法有效性。

注意到 事实上，进口国提出的保留形成了漏洞，使那些在原产国非法获得的标本在没有

*经第十三、十四、十五、十六、十七和十八次缔约方大会修订。

任何控制的情况下进入合法市场；

察觉 有些提了保留的进口国拒绝考虑第四次缔约方大会 (哈博罗内，1983)通过并经第十四次缔约方大会 (海牙，2007)修订的Conf. 4.25 (Rev. CoP14)号决议所作的建议，那样就削弱了想要保护其野生动植物资源的生产国所制定的保护政策；

认识到 非法贩运野生动植物仍然是一个主要问题；

认识到 快速增长的CITES所列物种标本电子商务；

注意到 2009年2月在 (加拿大)温哥华召开的公约附录所列物种标本电子商务会议的结论和建议；

考虑到 进口非法所获资源的国家应对刺激全球性的非法贸易负有直接责任，由此，生产国的自然遗产遭到破坏；

考虑到 所有缔约方有效履行和遵守全部的公约要求，对于公约取得成功至关重要；

确信 如果各缔约方想成功达成公约目标，各国必须持续以最高程度关注公约的执法；

确信 有必要加强公约的执法来应对野生动植物走私所造成的严重问题，而相较于现有的执法资源，这些走私交易所获的利益具有压倒性优势；

欢迎 联合国经济社会理事会2011年通过的2011/36号决议《应对违法濒危野生动植物种走私的预防犯罪和刑事司法对策》，其表达了对有组织的犯罪团伙介入交易濒危物种的关注，承认了国际层面的努力和ICCWC的工作，敦促联合国成员国加强国际、区域和双边合作，并提请联合国成员国考虑将非法交易濒危物种定为严重罪行；

欢迎 联合国可持续性发展大会(里约热内卢，2012.6)的成果文件——我们期望的未来，其203节认可了CITES的重要地位和野生动植物非法走私对经济、社会和环境的冲击，及需要同时在供给侧和需求侧采取坚定和进一步的行动，并强调了在相关多边环境协议和国际组织间开展有效国际合作的重要性；

欢迎 亚太经济合作组织(APEC)的领袖们2012年通过的题为“整合推动成长、创新促进繁荣”的宣言，在此他们“认识到自然资源及其所依赖的生态系统是可持续经济发展的重要基础”，“承诺更加努力打击野生动植物 、木材及其相关产品的非法贸易，采取措施确保可持续的海洋和森林生态系统管理，促进可持续、开放和公平的非木材森林产品贸易”，还承诺“通过能力建设、合作、加强执法和其他机制，采取有意义的步骤鼓励可持续的野生动植物种群管理和保护，并解决对濒危和被保护野生动植物的非法供应和需求问题”；

欢迎 联合国大会2015年7月通过的《打击野生动植物的非法贩运》决议，其反映了对于对野生动植物偷猎和非法贸易的破坏性影响的更高级别政治关注，该决议尤其呼吁坚定和进一步的的国家措施及增进区域和全球层面响应，包括加强立法、规定把野生动植物非法交易犯罪视为上游犯罪处置，并采取步骤以禁止、预防和打击腐败；

欢迎 联合国可持续发展峰会2015年9月通过的“可持续发展目标”，其呼吁保护野生动植物和其所依赖的生态系统，并特别强调通过在“15号目标"中设立的特定指标来打击野生动植物非法交易。

认识到 《关于针对野生动植物非法贸易开展联合执法行动的卢萨卡协定》对加强公约执法所做出的贡献；

认识到 利用犬类并结合其他手段可以提高发现率和查获率。侦查犬可以发现其他手段不能发现的物品。侦查犬和驯犬员团队可在短时间内有效搜查人员、货物或行李；

意识到 需要在国家、地区、国际等多种层次上加强公约机构同野生动植物执法机构之间的合作与协调；

考虑到 公约第十三条没有对缔约方答复秘书处的询问做出时限方面的规定，而规定这样一个截至日期却是必要的，以免把“未答复”解读为“拒绝答复”；

认识到 秘书处在执法过程中能够发挥的重要作用，公约第十三条提供了一定手段；

意识到 秘书处依据公约第十三条的规定在推动公约执法方面的作用，及秘书处已经与国际刑警组织和世界海关组织采取措施，促进执法机构间和培训用途的情报交流；

同意 需要采取额外的措施来进一步减少公约附录所列物种的非法贸易；

承认 由于野生动植物贸易的水平如此之高，消费国有责任与生产国一起确保贸易是合法的和可持续的，且缔约方采纳和实施的执法措施会支持生产国的保护工作；

认识到 公约附录所列物种的非法贸易会引起野生动植物资源的严重破坏，降低野生动植物管理计划的有效性，破坏和威胁合法与可持续的贸易，尤其对于许多作为生产国的发展中经济体；

公约缔约方大会

进口国的义务：验证CITES文件的有效性

1. **提醒** 所有缔约方有义务核查随CITES所列标本运输的CITES文件的有效性，及执行Conf. 12.3 (Rev. CoP18)*号决议《许可证和证明书》的必要性，至少包括：

   a) 验证文件中包含Conf. 12.3 (Rev. CoP18)号决议附件1《CITES许可证和证明书中应当包含的信息》列出的所有信息；

   b) 出口国或再出口国官方指定并通告秘书处的合法管理机构以外的任何机构，无论其级别如何，所签发的出口或再出口文件，无论任何情况或托词，缔约方确保不予接受；

   c) 在获得CITES许可证或证明书后，即使他们认为该证书是由合格机构签发的，当有理由CITES所列出的物种标本贸易未可能未遵守公约规定时，应进行尽职调查；

开展尽职调查

2. 建议：

   a) 如果进口或再出口国管理机构有理由相信CITES物种标本的交易违反了交易涉及的任何国家的法律，或者有理由相信该标本随附CITES文件可能未按照公约的规定进行交易(例如，当他们有理由认为标本没有合法来源、未曾做出所需的非致危性判定、或任何其他CITES要求可能未满足)，则应：

      i) 当认为交易已经触犯一国法律，立即咨询该国管理机构，并尽可能向该管理机构提供与此交易相关的所有文件的副本；

      ii) 当标本合法来源判定、非致危性判定、或其他CITES要求存有不确定性，则在适当的情况下，征询做出相关决定的依据；

* 由秘书处在第十八次缔约方大会后修正。

iii) 在咨询有关国家管理机构后，如果进口国或再出口国的管理机构没有收到令人满意的信息，包括合法来源判定、所要求的非致危性判定或其他CITES要求，它不应授权有关标本的进口或再出口，也不应颁发进口许可证或再出口证书；

iv) 如没有满意的答复，在公约第十三条和Conf. 14.3 (Rev. CoP18)号决议赋予秘书处职责下，要求秘书处的协助；及

v) 如果需要，利用公约第十四条第1款a)的规定，对该交易采取更严格的措施；

b) 为确保不同缔约方的CITES机构之间的有效合作，管理机构应对相关询问作出回应，并就有关CITES文件有效性的事务与其他CITES缔约方的管理当局进行合作；

3. **敦促** 所有缔约方尽快在其管辖领土内加强对野生动植物贸易的控制，特别要控制来自源头国的货物，包括邻国的货物，同相关管理机构核实自上述国家的有关文件的有效性；

4. **建议** 如任一缔约方有理由相信另一缔约方正在以对有害于某种附录I或II物种生存的方式贸易该物种，则可以：

a) 直接咨询有关管理机构；

b) 如没有得到满意的答复，根据公约第十三条和Conf. 14.3 (Rev. CoP18)号决议赋予秘书处的职责，寻求秘书处的协助；及

c) 利用公约第十四条第1款a)的规定，如果认为合适，采取更严格的措施；

关于公约第十三条的应用

5. 建议：

a) 在适用公约第十三条和第Conf. 14.3 (Rev. CoP18)号决议时，秘书处就潜在合规事项进行信息征询，缔约方应在一个月内答复，或者，如果无法回复，则在一个月内提供一个其认为可能回复信息征询的大概日期；

b) 如果在六个月的时限内未能提供所要求的信息，缔约方应向秘书处提供其未能做出回复的正当理由；

c) 如果关于特定缔约方的重大遵约事项引起了秘书处的注意，秘书处，经与常委会主席协商，应尽快会同有关缔约方尝试解决此事，并根据要求提供咨询或技术帮助；

d) 如果无法即刻找到解决方案，秘书处应通报给常委会，由常委会直接与有关缔约方联系，以帮助找到解决方案；及

e) 秘书处应以通知的形式，尽可能全面地告知各缔约方此类遵约问题和为解决此类问题而采取的办法，并将此类问题纳入向常委会和缔约方大会的报告；

关于秘书处的执法活动

6. **敦促** 各缔约方、政府间和非政府间国际组织，通过向秘书处的执法协助工作提供资金，来为本公约的执法提供额外的财力支持；

7. **指示** 秘书处充分运用上述资金重点开展以下活动：

a) 在秘书处另行任命一些官员从事执法相关的活动；

b) 帮助制定和执行区域性和次区域性的执法协定；及

c) 向缔约方提供培训和技术帮助；

8. **敦促** 缔约方借调执法官员给秘书处，以帮助秘书处解决执法方面的问题；及

9. **指示** 秘书处：

a) 在公约各机构、区域性和次区域性野生动植物执法网络、与国家执法部门之间，寻求建立更紧密的国际联系，与国际刑警组织、联合国毒品与犯罪办公室、世界银行、世界海关组织等ICCWC伙伴组织开展密切合作；

b) 向每次常委会会议和每次常规的缔约方大会提交一份关于在ICCWC指导下开展活动的报告，与常委会协商制定ICCWC工作计划，以确保CITES缔约方的需求得到充分处理；

c) 以公约的正式语言，在CITES网站上维护ICCWC的专用门户，以使缔约方能够确定可通过ICCWC获得的机会和支持。

d) 与ICCWC有关合作伙伴机构的法医专家及ICCWC聘请的野生动植物法医学学会的专业机构密切合作，就野生动植物法医学问题向联盟提供建议，每年考虑来自实验室的任何新申请，以纳入实施野生动植物法庭测试的实验室电子目录，并且每两年审查一次现有清单；

关于信息交流和协调

10. 建议

a) 管理机构协调包括海关和警察等在内的负责公约执法的政府部门，适当时考虑部门性的非政府组织，以安排培训活动、组织联席会议和推动信息交流等为方式；

b) 缔约方应建立国家级部门间委员会，使管理机构及包括海关和警察在内的负责CITES执法的政府部门协同工作；；

c) 作为一项紧急事务，各缔约方向秘书处通报本国负责野生动植物非法交易调查的各执法机构的联络信息；

d) 各缔约方在接到秘书处关于其签发的文件遭到伪造的通报后，应调查以确定犯罪教唆者，必要时请求国际刑警组织协助；

e) 在收到伪造文件后，缔约方应尽其所能确定相关的标本所在的位置及这一伪造文件的来源，并将这些信息通知秘书处和相关缔约方；

f) 区域内各缔约方应致力于建立区域级别适当机制来开展野生动植物执法机构间合作与协调；

g) 缔约方加强原产国、中转国和目的国之间的执法措施合作，以处理野生动植物非法贸易；

h) 秘书处经协商常委会后，根据需要，首先针对附录I物种成立执法特遣队；

i) 尚未采取行动的各缔约方考虑提名本国的执法和检察官员参加国际刑警组织野生动植物犯罪工作组；

j) 拥有侦查犬项目的缔约方向有意发起和实施这一项目的缔约方共享知识和经验；

k) 如适当，各缔约方以不损害任何正在进行的调查或是暴露秘密调查技术的方式，向秘书处提交非法贸易大案要案的详细案情；

l) 缔约方根据商定的报告要求报告非法野生动植物贸易；

m) 可能的话，各缔约方向秘书处提供有关认罪非法商和惯犯的信息；

n) 缔约方落实或进一步提高国内措施和联络渠道，确保达到能向公园巡护员及面临重型武装团伙和暴露于严重攻击威胁的其他人员提供所需实时支持的级别；及

o) 缔约方应提高军事人员的意识，向他们宣传偷猎和消费非法野生动植物产品的负面后果；

11. **指示** 秘书处向各缔约方快速通报依照上述第k段和m段收到的信息；

关于与互联网相关的野生动植物犯罪

12. **建议** 各缔约方：

a) 评估或者采取国内措施，确保足以应对控制野生动植物非法贸易、调查野生动植物非法贸易和处罚罪犯所面临的挑战，对求销附录I物种标本行为给予高度重视；

b) 在国家水平上设立调查与网络相关的野生动植物犯罪的专门机构，或者将打击野生动植物非法贸易事宜整合到现有的调查或监测计算机或网络犯罪的机构中；

c) 在国家水平上建立机制，以协调野生动植物网络交易监测，并妥善安排CITES管理机构制定联络员与执法机构制定联络员联络员及时共享相关活动信息；

d) 任命有相关知识和受过在线调查、证据收集和起诉培训的国家联络点，以作为其他缔约方和政府间组织进行查询的联络员；

e) 建立持续的国家监测计划，并与有关专家一起，制定数字和在线平台上最常见的附录II标本清单；

f) 识别在线技术和数据公司中可以根据缔约方要求促成信息交付以支持调查的关系联系人；

g) 使在线平台参与，以：

   i) 出台并发布政策，以解决和防止利用此类平台进行非法野生动植物贸易，包括确保此类政策得以遵守的措施；

   ii) 确保此类政策尽可能清晰可见地发布。

   iii) 鼓励平台使其用户知晓野生动植物非法在线交易，通过采用有针对性的警报和其他技术来使用户意识到相关法律和网站政策；

h) 通过公共宣传和直接与在线技术公司合作，提高对与互联网相关的野生动植物犯罪的认识；及

i) 鼓励邮政、运输、物流和金融服务提供商及相关零售部门的合作与参与；

13. 进一步**建议** 各缔约方和国际刑警组织：

a) 向秘书处提交关于其他机构所使用的可帮助评估网上合法公约附录物种标本交易

管制机制的信息；

b) 确保有足够的资源用于：

i) 调查和确定网上非法交易公约附录物种标本活动；

ii) 实施培训和意识提升，及监测非法在线贸易受保护标本并对其执法；

c) 利用监测活动所获数据来制定执法、能力建设和公众意识方面的战略；及

d) 考虑筹资方式，在国际刑警组织总秘书处设立专门负责互联网相关野生动植物物种犯罪的全职岗位。该职位的职责应包括确保有关非法在线贸易的信息或情报得以持续地采集并散发给各缔约方指定的相关执法机构；

关于遵约和管控机制

14. 建议

a) 所有缔约方：

i) 充分认识野生动植物非法贸易的严重性，并将其确定为本国执法机构优先关注的事务；

ii) 如果适当的话，考虑设计制定包含时间表、目标和资金拨备的国家和区域行动计划，用以加强CITES执法、遵守CITES规定、支持野生动植物执法部门；

iii) 向负有野生动植物执法职责的官员提供与其在海关和警察部门的同行对等的培训、地位和权威；

iv) 关于公约中与管制附录II所列动植物种贸易相关的所有机制和条款，及所有用于确保附录所列物种免受非法走私的规定，确保严格遵守和管控；

v) 在违反上述规定的情况下，应依据公约第八条第1款的规定立即采取适当的措施处罚此类违约行为，并采取适当的补救措施；及

vi) 缔约方应相互交流可能与非法贸易有关的所有情况和事实，及相互交流为达根除此类贸易而采取的控制措施；

b) 缔约方应提倡对违法行为采取与其性质和严重程度相应的制裁措施；

c) 尚未签署或批准《关于打击跨国境有组织犯罪的联合国公约》和《关于反腐败的联合国公约》的缔约方应考虑尽快签署或者批准上述公约；

d) 缔约方提醒其外交使团、驻外国团体的代表和在联合国旗帜下服务的军队，他们不豁免于公约条款；

关于推进执法的追加行动

15. 进一步**建议** 各缔约方：

a) 采取下列必要的措施，制定全面的边界控制、稽查和调查战略：

i) 考虑海关货物清关有不同流程，及考虑诸如过境转运、临时准入、保税仓库储运等海关流程；

ii) 确保负责贸易管控的官员了解诸如CITES要求、标本鉴定、活体标本处理等

方面的CITES事务，并受过相应的培训；

iii) 执行文件控制以确保CITES许可证和证明书的真实有效，如有必要，可要求秘书处确认这些文件的真实性；

iv) 基于风险评估和锁定的政策，对货物进行物理检查；

v) 使用野生动植物侦查犬和适当的扫描装置，以支持发现非法野生动植物货物；

vi) 在出口和再出口时提高管控质量；及

vii) 为达到上述目标提供必要的资源；

b) 鼓励负责野生动植物执法的国家机构建立交流网络，或扩展现有网络，以根据规范这类事务的相关立法打击有组织野生动植物犯罪，包括设立或维护严格程序来管理隐蔽人工情报源；

c) 当其CITES标本受到严重盗猎的影响，或已大规模查获这类标本，如果在这类严重事件发生后立即需要专家支持，可与秘书处联系，要求部署野生动植物严重事件支持团队（WIST）；

d) 在调查野生动植物犯罪行为时，鼓励和增加使用野生动植物法庭技术和专门调查技术，例如受控交付；

e) 如需要且适当，回顾和修订国家立法，把非法野生动植物贸易相关犯罪行为视为《联合国打击跨国有组织犯罪公约》所定义的为达成国内洗钱犯罪目的而进行的上游犯罪来处理，并可在刑事立法的国内程序下采取行动；

f) 实施打击洗钱和促进资产罚没的国家立法，以确保罪犯无法受益于其犯罪所得，并强调将野生动植物贸易和洗钱专门知识融合在整合起来，包括酌情整合金融情报部门的知识，有助于对与野生动植物贩运有关的洗钱进行有效起诉；

g) 依据国内立法和《联合国打击跨国有组织犯罪公约》第二条(b)款，将涉及有组织犯罪集团的、针对受保护的野生动植物种的非法贩运作为严重犯罪；

h) 一旦可能，应组合运用具备适当处罚措施、可有效清除犯罪的相关立法，起诉那些涉及野生动植物犯罪的人员，尤其是那些被指认为有组织犯罪集团成员的；

i) 使用可通过ICCWC获得的不同工具，特别是《ICCWC野生动植物和森林犯罪分析工具包》和《ICCWC关于野生动植物和森林犯罪的指示因子框架》，以加强执法相关方面的履约工作；

j) 如适当且可能，与消费国、来源国和中转国的CITES管理机构和执法部门保持密切联系，以通过情报交换、技术建议、支持来帮助调查、侦察、阻止和预防野生动植物非法贸易；

k) 推进激励机制以确保在管理野生动植物资源进而打击非法贸易方面得到当地和乡村社区的支持和合作；

l) 如适当，为执法目的，评估和充分利用来源于非政府组织的信息，同时维护保密标准；

m) 考虑在国家层面形成野生动植物特别执法机构或团队；

n) 利用提供课程和训练材料使用机会的CITES虚拟学院以建设执法能力；

o) 探索提高和改善国内执法能力的创新方式；

p) 如适当，发起情报驱动的行动，并参与由国际刑警组织和世界海关组织等组织在国际层面发起的行动，以调动资源并发起有针对性的活动来打击野生动植物犯罪；及

q) q)开展国家和地区性的重点能力建设项目，特别将重点放在鼓励机构间合作和提高法律知识、物种鉴别、风险分析和犯罪活动调查方面；

16. **指示** 秘书处，视资源情况：

a) 与ICCWC伙伴合作，分析关于非法野生动植物贸易的年度报告；

b) 与缔约方分享关于该分析的信息，以支持进一步的执法活动；及

c) 基于该分析和通过ICCWC伙伴获得的其他相关信息，向常委会和缔约方大会提交报告；

17. **敦促** 缔约方和捐助社团向ICCWC提供资金支持，以确保该联盟能达成其为国家执法机构、为区域性和次区域性网络带来整合支持的目标和提供能力建设活动的目标；

18. **敦促** 各缔约方、政府间和非政府组织，作为一项紧急事务，聚焦于发展中国家、经济转型国家和受非法野生动植物贸易影响的分布国，最好能在地区或次地区基础上，为执法培训得以开展或执法材料得以供应，而提供资金和专门技术，并提供资金确保这些国家的执法人员能得到充分的培训和装备；

19. **鼓励** 缔约方优先安排CITES执法和起诉违约的工作；

20. **鼓励** 各国为有关非法猎捕和贩运附录Ⅰ所列物种标本且导致违法者被逮捕和定罪的的信息提供奖励；

21. **敦促** 国际刑警组织支持来自其野生动植物犯罪工作组的一名代表参加公约缔约方大会；

22. **指示** 秘书处：

a) 与ICCWC伙伴组织、区域性和次区域性网络及相关的国家机构合作，以：

i) 制作并分发适当的培训材料；及

ii) 推动主管边界控制的机构之间的技术信息交换；及

b) 向每次常委会会议和每次常规的缔约方大会提交一份执法事务的报告；及

c) 秘书处应向常委会和第十八次缔约方大会报告关于公约第十三条和Conf. 14.3 (Rev. CoP18)号决议《CITES遵约程序》的执行情况；及

23. **废除** 下列决议或其部分内容：

a) Conf. 2.6 (Rev.)号决议 (圣何塞，1979；修订于劳德代尔堡，1994)——附录Ⅱ和附录Ⅲ物种的贸易，第b)款及“请求”项下的所有内容；

b) Conf. 3.9 (Rev.) 号决议 (新德里，1981；修订于劳德代尔堡，1994)——国际遵约控制；

c) Conf. 6.3号决议 (渥太华，1987)——CITES的履行

d) Conf. 6.4 (Rev.)号决议 (渥太华，1987；修订于劳德代尔堡，1994)——非法

贸易的控制

e) Conf. 7.5号决议（洛桑，1989)——执法； 及

f) Conf. 9.8（Rev.)号决议（劳德代尔堡，1994；修订于哈拉雷，1997)——执法

附件 1 生态信息、说明和表格

生态信息表格和说明

野生动植物的许多非法贩运是国际范围的。因此，只有良好的国际合作才能有效地对付它。

国际刑警组织希望借助生态信息创建一个涵盖所有重大环境犯罪的国际报告系统和数据库。

非法开采和贩运是当今对野生动植物的最严重威胁之一。受高利润和低风险的驱使，犯罪网络和辛迪加集团已建立了一个国际产业，该产业：

1. 降低野生动植物种群的生物学生存能力；
2. 损害地球的自然遗产和生态完整性；
3. 加强无可接受的残酷于活体动物，并且；
4. 公然藐视野生动植物法律及许多其他法律。

INTERPOL，国际刑事警察组织(ICPO)已做出重大努力来抑制环境犯罪。作为这项工作的一部分，国际刑警组织于 1992 年成立了一个环境犯罪委员会，该委员会在 1994 年得到扩大，包括一个野生动植物犯罪工作组和一个污染犯罪工作组。

超过 25 年的经验让国际刑警组织信服，及时交流相宜信息，对于任何以贩运受保护野生动植物犯罪分子为目标的活动都是至关重要的。但是，不同国家间的交流会遭受破坏性的并发症，因为：

1. 所需信息通常必须从高度分散的来源收集；
2. 各国没有统一的报告方法；
3. 一直没有的国际储存库用以收集，储存，分析和传递对打击野生动植物犯罪有用的信息；
4. 一个国家的调查人员通常不知道哪个或哪些执法机构是他们在其他国家的适当联系人。

国际刑警组织通过创建“生态信息”来克服这些缺点。

国际刑警组织希望借助“生态信息”来建立一个涵盖所有重大环境犯罪的报告系统和数据库，其中包括：

1. 非法越境转移和非法倾倒废物；
2. 涉及放射性物质的非法越境活动；
3. 野生动植物的非法贩运。

生态信息：它是什么及如何运转

国际刑警组织在法国里昂的总秘书处是收集国际环境犯罪(包括野生动植物犯罪)信息的中心。国际刑警组织已经开发了生态信息系统，作为一种报告系统，可以系统地接受环境犯罪数据并将其输入到总秘书处的计算机化数据收集设施中。

生态信息系统使用一种简单的形式将特定犯罪的详细信息传送给国际刑警组织。生态信息表单经过精心设计。当国际刑警组织通过生态信息收到环境犯罪报告时，通信的标准化设计允许：

1. 以与国际刑警组织数据库兼容的格式快速有条不紊地输入报告的详细信息；
2. 将数据与计算机数据库中的其他条目进行高效的交叉引用；及
3. 有组织地有意义地提取数据，以促进诸如犯罪情报分析之类的应用程序。

生态信息是一个系统。

生态信息报告必须通过标准化程序和路径发送给国际刑警组织。这种系统的方法有助于确保所传输数据的有效性，从而提高了国际刑警组织数据库中信息的可靠性，并在使用该信息时提供了更为可靠的结果。

许多政府执法机构可能参与野生动物法律的执行：国家公园或野生动植物管理局可能拥有各种执法机构。海关通常是拦截和查获含有受保护野生动植物的违禁运送物的机构。警察机构，及检查总署，警长部门，环境保护和其他政府机构，经常参与野生动植物的执法。

这些机构中的任何一个都可以收集生态信息报告所需的信息。但是，在收集信息时，应完成一份生态信息报告，并将其提交给报告国的国际刑警组织国家中心局(NCB)。通常在国家警察机构的国际关系部门可以找到国家中心局。如果在您所在的国家/地区无法找到国际刑警组织国家中心局，请通过发送邮件至 Environmentalcrime@interpol.int 与环境犯罪项目联系。

国家中心局有责任向国际刑警组织总秘书处发送生态信息的详细信息。1994 年 6 月 9 日国际刑警组织通函参考号 38 / DII / SD2 / E / INT / WG / 2 / ENV / 94 概述了这项责任，该通函应在全球每一个国际刑警组织国家中心局中存档。

生态信息表格

当国际刑警组织总秘书处收到“生态信息”时，其中包含的信息将输入国际刑警组织的计算机数据库中。

1. 准备生态信息表单时，重要的是要使所有条目保持相同的编号和字母顺序。这对于保持与 INTERPOL 数据库的兼容性很重要。正确准备的表格将很容易输入数据库，并且更有可能产生结果！
2. 如果表单上特定项目的信息不可用，请将其标记为“未知”。
3. 完成“生态邮件”表格后，将其发送到您当地的国家中央局(NCB)。NCB 是国际刑警组织的国家联络处。NCB 通常位于国家警察局的国际事务办公室。只有 NCB 可以向国际刑警组织总秘书处发送生态信息。
4. 请注意，某些国家/地区的国家立法可能禁止报告某些信息，例如公民姓名。国家国际刑警组织国家警察局应了解此类法律，并应能够防止传输不适当的信息。但是，即使无法报告某些信息，提交生态信息仍然很重要，因为即使是部分信息也可能有用。

生态信息

**请注意，红色为必填项*

1. 主题	**1. 主题**
1.1 犯罪的简要描述	1.1
1.2 代码名称	1.2
1.3 犯罪的法律说明(参考编号，违反法律的引用及可能受到的处罚)	1.3
2. 发现地及发现方式:	**2. 发现的地点和方法**
2.1 发现违法行为的地方(例如，港口或城市的名称)。如果在海上或开阔的乡村，请指明距已知参考点的距离和方向	2.1
2.2 描述如何发现违法行为(例如海关检查，举报人信息等)	2.2
2.3 被发现违法的城市，国家	2.3
3. 日期和时间	**3. 日期和时间**
发现罪行的时间	

4. 违禁品	**4.违禁品**
4.1 **非法废物**：指明废物的性质及其生产地点；或 **放射性物质**：指明放射性物质的性质；或， **野生动植物**：具体说明所涉物种的科学名称和通用名称，并精确描述标本(例如活体，死亡，部分或衍生物，年龄，性别等)	4.1
4.2 **数量和估计值**：具体说明计量单位和货币类型	4.2
5. 涉案人员身份:	**5. 涉案人员身份:**
备注：必须为每个相关人员完成项目 5.a 至 5.l	*备注：必须为每个相关人员完成项目5.a 至 5.l*
a) 逮捕日期	a)
b) 姓氏(姓)	b)
c) 名	c)
d) 性别	d)
e) 别名(一个或多个)	e)
f) 出生地点和日期	f)
g) 国籍	g)
h) 地址	h)
i) 护照或身份证上的信息，包括号码，签发地点和日期，有效期	i)
j) 职业	j)
k) 如果有，则可在第 6 项中提及的任何公司中发挥作用	k)
l) 其他信息：犯罪中电话，传真，车辆等的号码及主体的功能(快递，经销商等)	l)
6. 涉及的公司	**6. 涉及的公司**
备注：必须为每个涉及的业务完成项目 6.a 至 6.f	*备注：必须为每个涉及的业务完成项目 6.a 至 6.f*
a) 类型：指明公司的合法类型	a)

b) 名称：同时指定法定名称和任何商品名称 c) 营业项目 d) 总部地址和电信详细信息 e) 注册号码 f) 公司地址和电话/传真-如果与项目 d)不同	b) c) d) e) f)
7.运输方式和路线	**7，运输方式和路线**
提供涉及违禁品运输违规行为的运输手段和路线的最详细信息	
8，地点	**8，地点**
a) 一原产国家对于野生动植物，请根据《濒危野生动植物种国际贸易公约》(从野外采集或人工饲养标本的国家)及海关的定义(最后发生实质性转变的国家)标明原产国。源自海洋的标本应标为“海洋” b) 出处国家：最后再出口的国家 c) 中转国：可以确定的都尽可能列出 d) 目的地国家和地址：运输单据上声明的目的地和实际目的地(如果已知)	a) b) c) d)
9，使用文件的标识	**9，使用文件的标识**
具体说明文件类型，包括授权，运输文件，许可证和证明，发票等。具体说明此类文件是否被更改或属于欺诈	
10.执法机构	**10.执法机构**
指定负责此案的主要机构的名称和地址，及电信信息和联系人(如果可能)	
11.一作案方法	**11.一作案方法**
准确描述操作方式，包括：隐蔽技术，包装类型，证件伪造技术等，及与其他情况的可能关系。附上可说明	

作案手法的文书复印件(例如虚假文件) 和照片(例如容器)	
12.额外信息	**12.额外信息**
其他相关细节	
13.信息征询	**13.信息征询**
调查人员是否需要从外国获得的信息 (例如，有关外国国民被捕记录的详细 信息或货运公司的违规史)？	

附件 2 报告和情报分析指南

生态信息应该在必要时进行调整以适合当地要求。外勤人员应就应完成的案件类别获得指导；应向谁提交；及应通过哪些渠道提交。国家野生动植物执法相关信息的管理应遵循严格的程序，法律考量和行为准则。许多缔约方采用了“国家情报模式”来制定与信息的目的，过程和记录有关的指导和程序。应该向现场工作人员强调，详细、准确和及时的报告是必不可少的，而且重要的是，受欢迎的。应尽一切努力消除可能鼓励隐瞒犯罪或盗猎的任何文化或传统影响。必须在组织内部鼓励及时详细的报告和记录。必须让工作人员放心，事件举报不会受到任何指责。

理想情况下，负责整理报告表的人员应维护信息数据库，并负责对输入做出回应，或将信息传达给负责协调回应的人员。

生态信息可用于在国家，地区和国际级别的机构之间传递信息。有关当局可以确定信息共享的水平(国家，区域或国际)，这取决于国家立法、适用于每个案件的独特情况及调查的状态。

信息和情报的收集本身并不足够，一旦收集情报，就必须进行分析。尽管可以使用计算机软件包来辅助分析过程，但是通过简单地研究数据可以实现很多目标。

分析可用于作业级目的和战略级目的它们不仅可以在资源的部署或重新部署、风险评估和目标确定方面做出决策，还可以识别为有效应对犯罪、立法薄弱点、边界薄弱点所需的额外人力或技术资源，并可以协助设计意识宣传运动。分析应被视为确定优先级和评估绩效的强大管理工具。

然后必须有效地利用从这种分析中获得的情报，而不仅仅是将其存储起来。情报应引导调查行动，并应将情报用于指导最有效打击犯罪的战术。需要对如何传播信息进行考虑。在安全的环境中交换和传播信息和情报的能力对于执法机构有效打击野生动植物犯罪至关重要。事实已显示，准备警报或公告以分发是非常有效的，并且清楚地表明了输入是有价值的并已依据其采取行动。生态信息与国家报告系统，国际刑警组织I-24 / 7和世界海关组织海关执法网络(WCO CEN)[†]系统结合使用，可以安全、系统地交换信息。信息和情报应始终根据有关隐私及敏感和名义信息共享的国家法规，通过安全的官方渠道进行传播。Hotmail，Gmail，Yahoo，Facebook，Twitter和其他类似服务不被视为安全平台，应限制使用它们。分析的潜在接受者可能包括诸如CITES管理机构、所有国家执法机构、

[†]http://www.wcoomd.org/en/topics/enforcement-and-compliance/instruments-and-tools/cen.aspx

CITES秘书处、ICPO-INTERPOL和世界海关组织之类的实体。在适当和相关的情况下，尽可能广泛地分发信息和情报，应有助于促进反馈，机构间合作和提供更多情报。

应当仔细考虑哪些信息可以公开，哪些应该保密。还可能需要定义机密级别，并相应地调整传播。

国际打击野生动植物犯罪联盟(ICCWC)建议在研究收集到的数据时应检查以下字段或主题：

模式

识别地理，一天中的时间，一周中的一天，季节相似性等

嫌疑犯

识别犯罪网络，有组织犯罪集团，集团成员，重犯和犯罪嫌疑人的常见描述。

犯罪嫌疑人

识别可能的犯罪者并收集有关已知犯罪者的其他信息。

网络

识别可能一起行动或活动有关联的盗猎者、贸易者，经销者、走私者、出资者、购买者、辩护律师(尤其是那些与被告资源不相容的人)等。这可以有助于识别有组织犯罪集团，并有助于当局更好地了解这类犯罪集团的作案手法、活动和结构。

犯罪手法

识别犯罪或从事非法贸易的常用或相关方法。不同的个人或网络可能参与野生动植物犯罪，但相同的罪犯往往使用相似的运输和隐藏方法及相似的路线来开采相同的商品。

发展趋势

识别与特定物种，地点，犯罪和走私方法等有关的非法活动的增减。这可以帮助当局确定受非法贸易影响最大的物种；在与走私路线有关或被犯罪分子锁定的地方采取积极措施；积极应对已知的走私方法；确定犯罪活动趋势背后的驱动力；等等

证据

识别常见或关联的物理和文献发现，例如重复使用相同口径的武器、毒药、伪造文件等。

目标物种

查明非法猎捕、走私和交易的物种及受此类非法活动威胁最大的物种。

法庭学结果

识别可以通过DNA和弹道分析，指纹或字迹比较等方法证明的刑事案件之间的关联。

目标罪犯

找出最活跃的犯罪者和实施最严重罪行的犯罪者，并配置资源应对他们。这可能包括监视，情报收集和秘密调查等。

动机

识别什么促使罪犯从事非法猎捕和交易的原因，及为什么他们使用特定的走私方法和路线等。

路线

查明盗猎者使用的进出路线；走私者用来运输标本的国家或国际路线，及走私品过境路、资金、讯息所汇合的热点地区。

市场

识别销售非法标本的地方和国家，并描述可能的贸易商或买家。

价格

确定标本在供应链中不同点的价值，即盗猎者，走私者或贸易商的财务收益及最终客户支付的价格等。此信息可以用作量刑时的加重因素，以支持预计要没收资产的案件，出于统计目的等情况。

资金

查明可能资助盗猎或非法贸易的个人或公司；确定从野生动植物犯罪中获利是否正在资助其他活动；找出可以有效实施反洗钱和资产没收的立法机会。

与其他罪行的联系

识别与其他犯罪或非法交易的任何联系，例如在麻醉品、武器、非法移民等方面。

附件 3 野生动植物专门执法单位指南

缔约方大会已多次确认专门单位在解决与CITES附录所列物种的野生动植物犯罪和非法贸易有关问题中的作用。Conf. 11.3 (Rev. CoP18)号决议鼓励缔约方考虑建立这种单位，这些单位在历史上被证明在增加野生动植物犯罪调查和起诉的数量和质量方面非常成功。

对于任何计划建立或进一步发展一个或多个专门单位以应对包括非法贸易在内的野生动植物犯罪的国家，以下内容被视为重要因素，应当加以考虑。重要性排名不分先后。根据国家的具体情况，某些要素将比其他要素具有更大的意义。

专门单位的结构和组成也将取决于它们是在国家、省或地方一级创建的，还是它们的组合。

政府支持/政治意愿

此元素绝对必不可少。为了真正发挥作用，该部门必须得到中央政府和州/省政府及所有其他执法机构的支持。

授权

必须适当授权一个专门的野生动植物执法单位以履行其职责。吸收来自不同机构人员通常可以确保该单位拥有经合法授权可以开展有效运营的人员。另外，尽管通常没有必要，但应制定立法措施以赋权该部门。这个元素也与“对等”紧密联系(见下文)。

同样重要的是，应授权单位负责人在国家立法的范围内以自主行动，并在尽可能可接受的范围内，直接指导业务活动，而不必始终将事情提交上级主管部门。

最好使该单位有权在其任务中纳入与野生动植物犯罪有关的反腐败工作，包括进行财务调查的权力；并酌情冻结资产并要求政府没收资产。在这种情况下，至关重要的是，应根据有关法律或政策授权该单位或其部分人员调查政府官员涉嫌的腐败活动。

激励

这个问题与均等有关(见下文)，可能需要考虑实现单位工作人员之间的均等工资，而不管

他们现在或通常被雇用的机构是什么。奖金或“加薪”工资值得考虑，以认可将要承担的专业职责，及现场行动的津贴等。这些还应考虑到该单位可能承担的危险职责。与所从事工作相称的薪金也应鼓励抵抗腐败。为员工提供足够的保险应视为必不可少的。

良好的管理

需要明确、适当和有经验的领导，特别是在业务部门的领导层，但这也适用于战略管理。应仔细考虑由哪个机构负责单位的总体管理和战略方向。

指导委员会可以战略性地管理该部门的优先事项和工作计划，该指导委员会包括定期参与野生动植物执法的每个国家级机构的高层代表，例如森林，渔业和野生动植物部门，警察，海关和检察机关(例如国家环境犯罪检察官)。

结构清晰

该单位的指挥条线及该单位及其人员的职责应当是清晰明确的。

任务

单位的职责应明确定义，并被单位的工作人员和与之互动的所有机构所理解。这些职责可能酌情包括情报收集和传播、调查、协调和起诉。

但是，应该包含适当程度的灵活性，以便单位领导者可以快速响应发展中的情况并以有效的方式分配资源。还需要考虑一定程度的流动性，以便员工可以去需要的地方。

有针对性

与任务(见上文)相关联，至关重要的是要适当地集中精力处理单位的工作，最好是由情报主导，以便以有意义，高效和有效的方式充分利用资源。同样重要的是，要获得公众和其他机构的支持，该部门应优先专注于反复发生和严重的犯罪问题，并且不要卷入轻微、“技术性”的违反国家法律或CITES的行为。

专注

这不仅涉及单位人员所期待的投入，而且还涉及必须允许单位仅专注于其任务的方式。不应将其转用于其他职责。

全职

根据当地情况，应专职部署“核心”数量的单位人员。必要时，可以使用额外的人员来补充和支持活动。

对等

单位及其人员应与警察部门和海关等其他官方执法机构享有同等地位。

员工

单位人员最好是基于自愿原则分配的。野生动植物犯罪是一个日益严重的问题，有组织犯罪集团对野生动植物犯罪的参与日益明显。对有组织的野生动植物犯罪的调查本质上是复杂的。因此，应征聘高素质的员工并任命其在野生动植物专业执法单位任职。在该单位任职应被视为官员专业和职业发展的资产。甄选程序应经过精心设计，以找出最合适的合格和合适的人员，同时要记住，适当的培训可以弥补以往经验的任何不足。不得将单位视为绩效不佳的人员可以分配到的地方。虽然应鼓励员工自愿在单位任职，但这不应被视为意味着他们的服务将是无偿的。

多机构

重要的是，该单位应从每个常规从事野生动植物物执法工作的国家机构吸收人员并与这些机构的人员保持联络，例如森林、渔业和野生动植物部门，警察部门和海关及检察机关(例如国家环境犯罪检察官)。它也应该可以随时获取和连接到那些不定期参加行动的机构的资源。来自各种机构的人员的参与也可以成为防止腐败行为的有效措施。

在国家层面，可以成立专门机构作为国家环境安全任务组(NEST)。鼓励各缔约方使用ICPO-INTERPOL关于国家环境安全任务组1‡的操作手册中规定的NEST结构和组成的指南。

资金充足

该单位必须有与其活动相称的预算。预算控制措施应足够灵活，以允许对作业需求做出适当的响应。野生动植物专门执法单位应由政府出资。这将展示政府对打击野生动植物犯罪的承诺。仅在特殊情况下，才应考虑使用来自支持者捐助的外部资金来资助专门的野生动植物执法单位。当将来自支持者捐助的外部资金用于此目的时，必须确保控制权掌握在适当的国家机关内，并且不允许潜在的捐助者指示或参与该单位的活动。资金问责制应仅限于年度报告。

规模

尽管这将由国情决定，但拥有合适的人员和适当的支持可能比该单位的员工人数更为重要。重点应该在质，而不是量。

技术支持

该单位应得到适当配备以使其能够执行其职责。一般和常规性质的设备可能包括例如：制服、车辆、通信、枪支、监视装备、计算机和相关软件。应做好准备，以便迅速获得更专业的支持，例如法庭学服务，犯罪现场检查人员和物种识别专家。

分配此类资源时，应提供常年维护。

训练

所有单位人员都应在相关专业领域接受充分培训，这应该是一个持续开展的过程。培训应被视为该单位员工的一项优先投入活动。在获得适当的经验后，应利用单位人员对他人进行培训。

出于专业和职业发展的目的，应定期更新和认可经过培训的人员的资格或证书。

策略

除其业务承诺外，还应为该部门提供足够的时间和资源来考虑和确定战略问题，或者应由考虑这些问题的基础架构来支持该部门，例如国家刑事情报局。

长期

除非有很好的理由提出其他建议，否则该单位应视为该国执法机构和政策框架内的长期或永久性结构。这将提供连续性并获得专业经验，并向其他执法机构和公众表明政府打击野生动植物犯罪的决心。

认可

应该采取步骤，确保在所有执法机构和公众中宣传该单位的宗旨和任务。后一方面可以

‡ 见http://www.interpol.int/Crime-areas/Environmental-crime/Task-forces

对犯罪者产生威慑作用，也可以鼓励公众提供信息。

当地支持

应该尽一切努力以正式和非正式的方式促进和鼓励当地社区对该单位的支持。应鼓励该单位与当地社区领导人保持联系，并争取他们的帮助，使公民确信单位的目标是有价值的。

纪律

应该期望该部门保持最高的纪律标准。如果采用多机构方法，则应采用最严格的个人和专业行为标准作为“行为规范”。任何违反标准的行为都将导致严厉的回应，在严重的情况下，应鼓励将违法者驱逐出该单位。在这种情况下，如果适用，还应对犯罪者提起刑事诉讼。

借调

除了该单位的“核心”成员外，还应鼓励尽可能广泛地从各种执法机构借调短期和中期借调，以促进机构间合作，补充该单位的人数并传播知识和经验。通过借调到单位，可以为来自各个机构的人员提供出色的培训机会，并为单位成员提供对他人工作的有用见解。

这些借调应被视为对专业和职业发展的宝贵资产。

线人网络

应鼓励该部门建立一个线人网络(符合国家程序法和管理秘密人工情报源的严格程序)，将其作为优先任务。这可以通过奖励计划和机密信息“热线电话”来促进，以便提供信息。

合作与协调

理想情况下，该部门应充当有关野生动植物犯罪(包括非法野生动植物贸易)情报的中央存储库。任何国家的刑事情报部门都应制定标准的操作程序，以确保该部门可以访问所有相关情报。应尽一切努力避免执法机构之间重复工作，并消除线人通过向不同机构提供相同情报而获得重复奖励机会。

如果该单位本身从始至终都没有调查案件，则它应负责保持对野生动植物犯罪严重案件的概览，并在适当时提供协助和指导。

区域和国际合作

该单位应负责通过国际刑警组织国际刑警组织国家中央局与适当的区域和国际执法机构及其他相关组织，如国际刑警组织国际刑警组织，世界海关组织和CITES秘书处，就野生动植物犯罪问题进行联络。这应包括在国际层面上准备和提交生态信息S。

其他犯罪活动的证据

单位收到的与职权范围外活动有关的任何信息，例如麻醉品、枪支贩运、非法移民等，应尽快并毫不犹豫地转交给有关机构。这种行动应会鼓励互惠互利的工作方式。

检控

如果该单位没有吸纳检察官，则应尽一切努力与检察机关建立最密切的工作关系。应优先提高对此类主管部门的认识，并应建立起检查机构对单位的支持。该单位很可能能够为检察官提供培训。应建立案例报告标准和证据要求标准。检察官还可以协助确定该单位的优先事项和目标。

司法

尽管单位与国家司法机构之间的关系应保持适当的距离，但该单位必须提高司法机构对野生动植物犯罪，适当的量刑和威慑反应的认识，这一点非常重要。该单位还应寻求司法机构的信息和反馈，以解决民事和刑事案件中发生的有关决定和问题，及证据方面的任何问题或进行调查的方式。

立法审查

应当定期审查和分析刑事调查、起诉和司法裁决。可能会改善立法和政策的调查结果应报告给相关的立法或补充行政部门。

非政府组织、私营部门和其他特殊利益集团的援助

考虑到上述有关供资的评论，该股可与国家和国际非政府组织，私营部门协会及其他有关利益相关方建立适当的联系，以提供有关信息、专家咨询和援助。但是，至关重要的是，他们的作用应仅限于对该单位的支持，并且在没有适当的法律权限及未得到该单位和检查机关的同意的情况下，不应允许他们获取情报或从事任何业务活动。

不应允许非政府组织，私营部门和其他特殊利益集团开展更适合政府机构开展的活动，例如秘密行动或维护犯罪和罪犯数据库。

应鼓励非政府组织，私营部门和其他特殊利益集团与该单位讨论可能涉及隐蔽因素的任何研究或贸易调查；就是为了防止他们意外地介入该单位自己的“秘密”活动。

Conf. 11.3 (Rev. CoP18)

Compliance and enforcement

RECALLING the provisions of Article II, paragraph 4, which states that the Parties shall not allow trade in specimens of species included in Appendices I, II and III except in accordance with the provisions of the present Convention;

RECALLING that Article VIII, paragraph 1, of the Convention provides that the Parties shall take appropriate measures to enforce the provisions of the Convention and to prohibit trade in specimens in violation thereof, and that these shall include measures to penalize trade in, or possession of, such specimens, or both; and to provide for the confiscation or return to the State of export of specimens illegally traded;

RECOGNIZING that the Preamble of the Convention states that international cooperation is essential for the protection of certain species of wild fauna and flora against over-exploitation through international trade;

AFFIRMING the obligation of Parties to collaborate closely in the application of the Convention, through expeditious exchange of information on cases and situations related to wildlife trade suspected to be fraudulent, so as to enable other Parties concerned to apply legal sanctions;

RECALLING Resolutions Conf. 6.3 and Conf. 7.5, adopted by the Conference of the Parties at its sixth and seventh meetings (Ottawa, 1987; Lausanne, 1989), Resolution Conf. 2.6 (Rev.), adopted at its second meeting (San José, 1979) and amended at its ninth meeting (Fort Lauderdale, 1994), Resolution Conf. 3.9 (Rev.), adopted at its third meeting (New Delhi, 1981) and amended at its ninth meeting, Resolution Conf. 6.4 (Rev.), adopted at its sixth meeting and amended at its ninth meeting, and Resolution Conf. 9.8 (Rev.), adopted at its ninth meeting and amended at its 10th meeting (Harare, 1997);

AWARE that, in the past, violation of the Convention has occurred because of inadequate or insufficient implementation by Management Authorities in both exporting and importing countries regarding surveillance, issuance of documentation and control of compliance with the provisions regulating trade in live and dead animal and plants, and their parts and derivatives;

CONSIDERING that it is of utmost moral, biological, ecological and economic interest for all Parties to the Convention that such violations not re-occur and that the mechanisms established for the Convention to this end are fully implemented, so as to ensure their normal and efficient functioning to control trade in, and afford effective protection to, endangered animal and plant species;

AWARE that there is considerable variability among Parties in their capacity to implement and enforce the provisions of the Convention;

RECOGNIZING that the developing countries, because of their special socio-economic, political, cultural and geographic circumstances have major difficulties in meeting appropriate control requirements, even though this does not exempt them from observing the highest possible degree of effectiveness;

RECOGNIZING the difficulties that producer countries are facing in implementing their own CITES controls, and that such difficulties exacerbate enforcement problems in other Parties, while there are still consumer countries that continue to allow illegal imports as a result of a lack of adequate CITES control;

WELCOMING the establishment of the International Consortium on Combating Wildlife Crime (ICCWC);

AWARE of the important role of ICCWC in bringing coordinated support to the national wildlife law enforcement agencies and to the subregional and regional networks that, on a daily basis, act in defence of natural resources;

RECOGNIZING that the ICCWC *Wildlife and forest crime analytic toolkit* can assist Parties in conducting a comprehensive analysis of possible means and measures to protect and monitor wildlife

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* *Amended at the 13th, 14th and 15th, 16th, 17th and 18th meetings of the Conference of the Parties.*

and forest products, and in identifying technical assistance needs;

RECOGNIZING that the *ICCWC Indicator framework for wildlife and forest crime* provides an important framework of indicators that cover the major components of a law enforcement response to wildlife and forest crime, for national level use by Parties to measure and monitor the effectiveness of their own law enforcement responses to these crimes;

ATTENTIVE to the fact that the reservations made by importing countries allow loopholes through which specimens illegally acquired in the countries of origin can find legal markets without any control whatsoever;

OBSERVING that some importing countries that maintain reservations refuse to take into consideration the recommendations of the Conference of the Parties in Resolution Conf. 4.25 (Rev. CoP18), adopted at its fourth meeting (Gaborone, 1983) and amended at its 14th and 18th meeting (The Hague, 2007; Geneva, 2019), weakening in that way the conservation policies of producing countries that wish to protect their wildlife resources;

RECOGNIZING that illegal trafficking in wild fauna and flora continues to be a major concern;
RECOGNIZING the rapid growth in e-commerce of specimens of CITES-listed species;
NOTING the conclusions and recommendations of the meeting on e-commerce of specimens of CITES-listed species in Vancouver (Canada) in February 2009;

CONSIDERING that the countries that import illegally obtained specimens are directly responsible for encouraging illegal trade worldwide, and in this way the natural heritage of producing countries is damaged;

CONSIDERING that it is essential for the success of the Convention that all Parties implement and comply effectively with all the requirements of the Convention;

CONVINCED that enforcement of the Convention must be a constant concern of the Parties at the highest level if they are to succeed in fulfilling the objectives of the Convention;

CONVINCED of the need to strengthen enforcement of the Convention to address serious problems caused by the trafficking of wild fauna and flora, and that the available resources for enforcement are overwhelmed by the profits gained from such trafficking;

WELCOMING the adoption of Resolution 2011/36 on *Crime prevention and criminal justice responses against illicit trafficking in endangered species of wild fauna and flora* by the United Nations Economic and Social Council in 2011, in which it expresses concern about the involvement of organized criminal groups in the trafficking of endangered species, recognizes the efforts made at the international level and the work of ICCWC, urges the Member States of the United Nations to strengthen international, regional and bilateral cooperation, and invites the member States of the United Nations to consider making trafficking in endangered species a serious crime;

WELCOMING the outcome document*, The Future We Want,* of the United Nations Conference on Sustainable Development (Rio de Janeiro, June 2012), in which it recognizes in paragraph 203 the important role of CITES, the economic, social and environmental impacts of illicit trafficking in wildlife and the need for firm, and strengthened action to be taken on both the supply and demand sides; and emphasizes the importance of effective international cooperation among relevant multilateral environmental agreements and international organizations;

WELCOMING the declaration entitled *Integrate to Grow, Innovate to Prosper* that the leaders of the Asia-Pacific Economic Cooperation (APEC) adopted in 2012 and where they "recognize that natural resources and the ecosystems upon which they depend are important foundations for sustainable economic growth"; “commit to strengthen [their] efforts to combat illegal trade in wildlife, timber, and associated products, to implement measures to ensure sustainable marine and forest ecosystems management, and to facilitate sustainable, open, and fair trade of non-timber forest products"; and commit to "take meaningful steps to promote sustainable management and conservation of wildlife populations while addressing both the illegal supply and demand for endangered and protected wildlife, through capacity building, cooperation, increased enforcement, and other mechanisms";

WELCOMING the Resolution on *Tackling illicit trafficking in wildlife* adopted by the United Nations General Assembly in July 2015, which reflects the heightened level of political concern over the devastating impacts of poaching and illegal trade in wildlife, and which, among others, calls for firm and strengthened national measures, and an enhanced regional and global response, including by

strengthening legislation, providing for illegal trafficking in wildlife offences to be treated as predicate offences and taking steps to prohibit, prevent andcounter corruption;

WELCOMING the Sustainable Development Goals adopted by the United Nations Sustainable Development Summit in September 2015, which call for the protection of wild fauna and flora as well as the ecosystems that they depend on, and specifically address tackling illegal trafficking in wildlife through specific Targets under Goal 15;

RECOGNIZING the contribution to enhancing enforcement of CITES made by the Lusaka Agreement on Cooperative Enforcement Operations Directed at Illegal Trade in Wild Fauna and Flora;

RECOGNIZING that the use of dogs in combination with other tools will increase the chance of detections and seizures; that detector dogs can detect items that cannot be detected by other tools; and that a dog-handler team is highly effective in searching people and cargo or luggage in a short time;

AWARE of the need for improved cooperation and coordination among CITES authorities and wildlife- law enforcement agencies at the national, regional and international levels;

CONSIDERING that Article XIII does not specify a time-limit for a Party to respond to a request for information from the Secretariat, and that such a deadline is necessary in order that the absence of response not be interpreted as a refusal to respond;

RECOGNIZING the important role the Secretariat can play in the enforcement process, and the means provided by Article XIII of theConvention;

CONSCIOUS of the Secretariat's role in promoting enforcement of the Convention, as provided in Article XIII, and of the measures that the Secretariat has taken with the International Criminal Police Organization (ICPO-INTERPOL) and the World Customs Organization to facilitate the exchange of information between enforcement bodies and for training purposes;

AGREEING on the need for additional measures to reduce further the illegal trade in species covered by the Convention;

ACKNOWLEDGING that, owing to such high levels of trade in wildlife, it is incumbent upon consumer nations together with producer countries to ensure that trade is legal and sustainable and that enforcement measures adopted and implemented by Parties support conservation in producer countries; and

RECOGNIZING that illegal trade in specimens of species included in the Appendices of the Convention can cause serious damage to wildlife resources, reduce the effectiveness of wildlife management programmes, undermine and threaten legal and sustainable trade particularly in the developing economies of many producing countries;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

Obligations of importing countries: verifying the validity of CITES documents

1. REMINDS all Parties of their obligation to verify the validity of CITES documents accompanying shipments of CITES-listed specimens, and of the need to implement Resolution Conf. 12.3 (Rev. CoP18)[1] on *Permits and certificates,* including at a minimum:

    a) verifying that all of the information listed in Annex 1, *Information that should be included in CITES permits and certificates,* to Resolution Conf. 12.3 (Rev. CoP18) is included on the document;

    b) ensuring that they do not accept under any circumstances or pretext, export or re-export documents issued by any authority, irrespective of its hierarchical level, other than the Management Authority officially designated as competent by the exporting or re-exporting Party and duly notified to the Secretariat;

    c) exercising due diligence when presented with a CITES permit or certificate, even if they believe it to have been issued by a competent authority, when they have a reason to believe that the specimens of CITES-listed species may not have been traded in accordance with

[1] *Corrected by the Secretariat after the 18th meeting of the Conference of the Parties*

the provisions of the Convention;

Exercising due diligence

2. RECOMMENDS that:

   a) if the Management Authority of the State of import or re-export has reason to believe that specimens of CITES species are traded in contravention of the laws of any country involved in the transaction, or has reason to believe that the specimen accompanied by a CITES document may not have been traded in accordance with the provisions of the Convention (e.g., when they have reason to believe that the specimen may not have been legally acquired, that the required non-detriment finding may not have been made, or that any other CITES requirement(s) may not have been fulfilled), it should:

      i) immediately consult with the Management Authority in the country whose laws were thought to have been violated and, to the extent possible, provide that Management Authority with copies of all documentation relating to the transaction;

      ii) where there is uncertainty with regard to the legal acquisition finding, the required non- detriment finding, or other CITES requirement(s), if appropriate request the basis for the relevant determination;

      iii) if after consulting with the Management Authority of the relevant State, the Management Authority of the State of import or re-export has not received satisfying information including regarding the basis for the determination that the specimen was legally acquired, or the required non-detriment finding or other CITES requirement(s), it should not authorize the import or re-export of the specimen concerned and should not issue an import permit or a re-export certificate;

      iv) if there is no satisfactory response, call upon the assistance of the Secretariat, in the context of its responsibilities in Article XIII of the Convention and Resolution Conf. 14.3 (Rev. CoP18); and

      v) if needed, make use of the provisions of Article XIV, paragraph 1. a), of the Convention to take stricter measures with regard to that transaction; and

   b) to ensure effective cooperation between CITES Authorities of different Parties, Management Authorities should be responsive to inquiries and cooperate with the Management Authorities of other CITES Parties on matters relating to the validity of CITES documents;

3. URGES all Parties to strengthen, as soon as possible, the controls on trade in wildlife in the territories under their jurisdiction, and in particular controls on shipments from source countries, including neighbouring countries, and to verify the validity of documents originating from such countries with the respective Management Authorities;

4. RECOMMENDS that, if any Party has reason to believe that an Appendix-I or -II species is being traded by another Party in a manner detrimental to the survival of that species, it:

   a) consult directly with the appropriate Management Authority;

   b) if there is no satisfactory response, call upon the assistance of the Secretariat, in the context of its responsibilities in Article XIII of the Convention and Resolution Conf. 14.3 (Rev. CoP18)*;* and

   c) make use of the provisions of Article XIV, paragraph 1. a), of the Convention to take stricter measures as they see fit;

Regarding application of Article XIII

5. RECOMMENDS that:

   a) when, in application of Article XIII of the Convention and Resolution Conf. 14.3 (Rev. CoP18), the Secretariat requests information on a potential compliance matter, Parties reply within one month or, if this is impossible, provide within the month an approximate date by which they consider it will be possible to provide the information requested;

b) when, within six months, the information requested has not been provided, Parties provide the Secretariat with justification of the reasons for which they have not been able to respond;

c) if major compliance matters concerning particular Parties are brought to the attention of the Secretariat, the Secretariat, in consultation with the Chair of the Standing Committee and as expeditiously as possible, work with the Parties concerned to try to solve the matter and offer advice or technical assistance as required;

d) if it does not appear a solution can be readily achieved, the Secretariat bring the matter to the attention of the Standing Committee, which may pursue the matter in direct contact with the Party concerned with a view to helping to find a solution; and

e) the Secretariat keep the Parties informed as fully as possible, through Notifications to the Parties, of such compliance matters and of actions taken to solve them, and include such matters in its reports for meetings of the Standing Committee and the Conference of the Parties;

Regarding enforcement activities of the Secretariat

6. URGES the Parties, intergovernmental and non-governmental organizations to provide additional financial support for the enforcement of the Convention, by providing funds for the enforcement assistance work of the Secretariat;

7. DIRECTS the Secretariat to utilize such funds towards the following priorities:

a) the appointment of additional officers to the Secretariat to work on enforcement-related matters;

b) assistance in the development and implementation of regional and subregional law-enforcement agreements; and

c) training and technical assistance to theParties;

8. URGES the Parties to offer secondment of enforcement officers to assist the Secretariat in addressing law-enforcement issues; and

9. DIRECTS the Secretariat to:

a) pursue closer international liaison between the Convention's institutions, regional and subregional wildlife enforcement networks and national enforcement agencies, and to work in close cooperation with ICPO-INTERPOL, the United Nations Office on Drugs and Crime, the World Bank and the World Customs Organization as ICCWC partner organizations;

b) submit a report on activities that have been conducted under the auspices of ICCWC at each Standing Committee meeting and each regular meeting of the Conference of the Parties and consult with the Standing Committee on the development of the ICCWC Programme of Work to ensure CITES Parties' needs are adequatelyaddressed; and

c) maintain the dedicated portal on ICCWC, in the official languages of the Convention, on the CITES website to enable Parties to identify the opportunities and support available through ICCWC;

d) in close collaboration with forensic experts from relevant ICCWC partner agencies and the Society for Wildlife Forensics Science as the professional body engaged by ICCWC to advise the Consortium on wildlife forensic science matters, consider annually any new applications from laboratories for inclusion in the electronic directory of laboratories that conduct wildlife forensic testing and, further, to review existing listings every two years;

Regarding communication of information and coordination

10. RECOMMENDS that:

a) Management Authorities coordinate with governmental agencies responsible for enforcement of CITES, including customs and the police, and, where appropriate, sectoral non-governmental organizations, by arranging training activities and joint meetings, and facilitating the exchange of information;

b) Parties establish inter-agency committees at the national level, bringing together Management Authorities and governmental agencies responsible for the enforcement of

CITES, including customs and the police;

c) Parties, as a matter of urgency, inform the Secretariat of contact details of their relevant national law-enforcement agencies responsible for investigating illegal trafficking in wild fauna and flora;

d) Parties, when informed by the Secretariat of the fraudulent use of documents issued by them, carry out an inquiry to identify the instigators of the crime, calling on ICPO-INTERPOL where necessary;

e) when presented with a false document, Parties do everything in their power to determine where the specimens are and where the false document originated and inform the Secretariat and other Parties involved where appropriate;

f) Parties work together within their regions to develop appropriate mechanisms for cooperation and coordination between wildlife-law enforcement agencies at the regional level;

g) Parties strengthen cooperation relating to enforcement measures implemented across range, transit and destination States to address illegal wildlife trade;

h) the Secretariat, in consultation with the Standing Committee, establish *ad hoc* CITES enforcement task forces as needed focusing initially on species included in Appendix I;

i) Parties that have not already done so consider nominating officials from relevant national enforcement and prosecuting agencies to participate in the ICPO-INTERPOL Wildlife Crime Working Group;

j) Parties with existing detector-dog programmes share knowledge and experience with those Parties that may be interested in developing and implementing such programmes;

k) Parties provide to the Secretariat, as appropriate, and in a manner that would not jeopardize any ongoing investigations or expose covert investigative techniques, detailed information regarding significant cases of illegal trade;

l) Parties report on illegal wildlife trade under the reporting requirements agreed;

m) Parties inform the Secretariat, when possible, about convicted illegal traders and persistent offenders;

n) Parties put in place, or further enhance, national measures and communication channels to ensure that the required level of real-time support can be provided to park rangers, and other wildlife and enforcement personnel who are confronted by heavily armed groups and exposed to serious risk of attack; and

o) Parties raise awareness amongst military personnel, to sensitize them to the negative consequences of poaching and consumption of illegal wildlife products; and

11. DIRECTS the Secretariat to communicate quickly to the Parties information received in accordance with subparagraphs k) and m) above;

Regarding wildlife crime linked to the Internet

12. RECOMMENDS that Parties:

a) evaluate or develop their domestic measures to ensure that they are sufficient to address the challenges of controlling legal wildlife trade, investigating illegal wildlife trade and punishing the perpetrators, giving high priority to the offer for sale of specimens of species listed in Appendix I;

b) establish, at the national level, a unit dedicated to investigating wildlife crime linked to the Internet or incorporate wildlife trade issues into existing units that investigate or monitor computer or cyber-crime;

c) establish at the national level a mechanism to coordinate the monitoring of wildlife crime linked to the Internet and to provide for the timely sharing between designated contact points in CITES Management and Enforcement Authorities of information that results from these activities;

d) appoint national points of contact with knowledge and training on online investigations,

evidence gathering, and prosecutions to serve as focal points for enquiries from other Parties and intergovernmental organizations;

e) establish an ongoing national monitoring programme, and in conjunction with relevant experts, develop a list of Appendix II specimens that are most commonly found in illegal trade on digital and online platforms;

f) identify key contacts at online technology and data companies that can facilitate the provision of information upon request from Parties in support of investigations;

g) engage online platforms to:

i) introduce and publish polices to address and prevent the use of such platforms for illegal trade in wildlife including measures to ensure compliance with such policies;

ii) ensure that such policies are presented as clearly and visibly as possible;

iii) encourage them to inform their users about illegal online trade in wildlife, by using targeted alerts and other technology to make users aware of relevant laws and website policies;

h) raise awareness of wildlife crime linked to the Internet through public outreach and by engaging directly with online technology companies; and

i) encourage the cooperation and engagement of postal, transport, logistical and financial service providers and relevant retail sectors;

13. RECOMMENDS further that Parties and ICPO-INTERPOL:

a) submit information to the Secretariat on methodologies used by other agencies that may assist in the evaluation of mechanisms to regulate legal commerce of CITES-listed species via the Internet;

b) ensure that sufficient resources are directed to:

i) the investigation and targeting of illegal Internet-related trade in specimens of CITES- listed species; and

ii) conducting training and awareness raising as well as monitoring and enforcement of illegal online trade in protected specimens;

c) use the data acquired during monitoring activities to establish strategies regarding enforcement, capacity building and public awareness; and

d) consider ways in which funding may be provided for the establishment of a full-time position, dedicated to wildlife crime linked to the Internet, within the General Secretariat of ICPO-INTERPOL. The responsibilities of such a position should include ensuring that all information or intelligence regarding illegal online trade is consistently collected and disseminated to the relevant Enforcement Authorities designated by Parties;

Regarding compliance, and control mechanisms

14. RECOMMENDS that:

a) all Parties:

i) recognize the seriousness of illegal trade in wild fauna and flora and identify it as a matter of high priority for their national law enforcement agencies;

ii) if appropriate, consider formulating national and regional action plans, incorporating timetables, targets and provisions for funding, designed to enhance enforcement of CITES, achieve compliance with its provisions, and support wildlife-law enforcement agencies;

iii) provide officials who have wildlife-law enforcement responsibilities with training, status and authority equivalent to those of their counterparts in customs and the police;

iv) ensure strict compliance and control with respect to all mechanisms and provisions of the Convention relating to the regulation of trade in animal and plant species listed in

Appendix II, and of all provisions ensuring protection against illegal traffic for the species included in the Appendices;

v) in case of violation of the above-mentioned provisions, immediately take appropriate measures pursuant to Article VIII, paragraph 1, of the Convention in order to penalize such violation and to take appropriate remedial action; and

vi) inform each other of all circumstances and facts likely to be relevant to illegal traffic and also of control measures, with the aim of eradicating such traffic;

b) Parties should advocate sanctions for infringements that are appropriate to their nature and gravity;

c) Parties that are not yet signatories to, or have not yet ratified, the UN Convention against Transnational Organized Crime and the UN Convention against Corruption consider doing so;

d) Parties remind their diplomatic missions, their delegates on mission in foreign countries and their troops serving under the flag of the United Nations that they are not exempted from the provisions of the Convention;

Regarding additional actions to promote enforcement

15. RECOMMENDS further that the Parties:

a) take the necessary measures to develop a comprehensive strategy for border controls, audits and investigations, by:

i) taking into account the different procedures for customs clearance of goods and customs procedures such as transit, temporary admission, warehouse storage, etc.;

ii) ensuring that officers in charge of control are aware of and trained in CITES matters regarding, for example, CITES requirements, identification of specimens and the handling of live animals;

iii) implementing document control in order to ensure the authenticity and validity of CITES permits and certificates, especially, if necessary, by requesting the Secretariat to confirm their validity;

iv) conducting physical examinations of goods, based on a policy of risk assessment and targeting;

v) using wildlife detector dogs and scanning equipment as appropriate, in support of the detection of illegal wildlife shipments;

vi) increasing the quality of controls at the time of export and re-export; and

vii) providing the necessary resources in order to achieve these objectives;

b) encourage national agencies responsible for wildlife law enforcement to establish communication networks, or expand existing networks, to combat organized wildlife crime, in accordance with relevant legislation regulating such matters, including putting in place or maintaining strict procedures for managing covert human intelligence sources;

c) affected by significant poaching of CITES specimens, or that have made a large-scale seizure of such specimens, reach out to the Secretariat to request the deployment of a Wildlife Incident Support Team (WIST), should expert support be needed in the immediate aftermath of such an incident;

d) promote and increase the use of wildlife forensic technology and specialized investigation techniques, such as controlled deliveries, in the investigation of wildlife crime offences;

e) review and amend national legislation, as necessary and appropriate, so that offences connected to the illegal wildlife trade are treated as predicate offences, as defined in the United Nations Convention against Transnational Organized Crime, for the purposes of domestic money-laundering offences, and are actionable under domestic proceeds of crime legislation;

f) implement national legislation to combat money laundering and facilitate asset forfeiture to ensure that criminals do not benefit from the proceeds of their crimes, stressing that effective

prosecutions against money laundering linked to wildlife trafficking benefit from bringing together wildlife trade and money laundering expertise, including from financial intelligence units, as appropriate;

g) make illicit trafficking in protected species of wild fauna and flora involving organized criminal groups a serious crime, in accordance with their national legislation and Article 2 (b) of the United Nations Convention against Transnational Organized Crime;

h) prosecute those involved in wildlife crime, in particular those identified as members of organized crime groups, under a combination of relevant legislation which carry appropriate penalties that will act as effective deterrents, whenever possible;

i) make use of the different tools available through ICCWC, in particular the *ICCWC Wildlife and Forest Crime Analytic Toolkit* and the *ICCWC Indicator Framework for Wildlife and Forest Crime*, in order to strengthen enforcement-related aspects of the implementation of the Convention;

j) whenever appropriate and possible, liaise closely with CITES Management Authorities and law enforcement agencies in consumer, source and transit countries to help investigate, detect, deter and prevent illicit trade in wildlife through the exchange of intelligence, technical advice and support;

k) promote incentives to secure the support and cooperation of local and rural communities in managing wildlife resources and thereby combating illegaltrade;

l) where appropriate, evaluate and utilize for enforcement purposes, information from non-governmental sources while maintaining standards of confidentiality;

m) consider the formation, at national level, of specialized wildlife-law enforcement units or teams;

n) use the CITES Virtual College, which provides access to courses and training materials to build enforcement capacity;

o) explore innovative means of increasing and improving national enforcement capacity;

p) as appropriate, initiate intelligence-driven operations, and participate in the operations initiated at international level by organizations such as INTERPOL and the World Customs Organization, to mobilize resources and initiate targeted activities to combat wildlife crime; and

q) carry out focused national and regional capacity-building activities with particular focus on fostering inter-agency cooperation and improving knowledge of legislation; species identification; risk analysis and investigation of criminal actions;

16. DIRECTS the Secretariat to, subject to availableresources:

a) analyse, in collaboration with ICCWC partners, the annual reports on illegal wildlife trade;

b) share with Parties information relating to the analysis to support further enforcement activities; and

c) submit a report at each meeting of the Standing Committee and the Conference of Parties based on the analysis and other relevant information available through ICCWC partners;

17. URGES the Parties and the donor community to provide financial support to ICCWC, to ensure that the Consortium can achieve its goals of bringing coordinated support to national wildlife law enforcement agencies and to subregional and regional networks, and of delivering capacity- building activities;

18. URGES the Parties, intergovernmental and non-governmental organizations to provide, as a matter of urgency, funds and expertise to enable enforcement-related training or the provision of training materials, focusing, preferably on a regional or subregional basis, on developing countries and countries with economies in transition and range States affected by illegal wildlife trade, and provide funds to ensure that wildlife-law enforcement personnel in such countries are adequately trained and equipped;

19. ENCOURAGES Parties to give priority to the enforcement of CITES and prosecution of violations

of the Convention;

20. ENCOURAGES States to offer rewards for information on illegal hunting and trafficking of specimens of Appendix-I species leading to the arrest and conviction of the offenders;

21. URGES ICPO-INTERPOL to support the attendance of a representative from its Wildlife Crime Working Group at meetings of the Conference of the Parties to CITES;

22. INSTRUCTS the Secretariat to:

    a) cooperate with ICCWC partner organizations, regional and subregional wildlife enforcement networks, and competent national authorities to:

        i) prepare and distribute appropriate training material; and

        ii) facilitate the exchange of technical information between the authorities in charge of border controls; and

    b) submit a report on enforcement matters at each Standing Committee meeting and each regular meetingof the Conference of the Parties; and

    c) report on the implementation of Article XIII and Resolution Conf. 14.3 (Rev. CoP18) on *CITES compliance procedures* to the Standing Committee and at each regular meeting of the Conference of the Parties; and

23. REPEALS the Resolutions or parts thereof listed hereunder:

    a) Resolution Conf. 2.6 (Rev.) (San José, 1979, as amended at Fort Lauderdale, 1994) – *Trade in Appendix-II and -III species* – paragraph b) and paragraph under 'REQUESTS';

    b) Resolution Conf. 3.9 (Rev.) (New Delhi, 1981, as amended at Fort Lauderdale, 1994) – *International compliance control*;

    c) Resolution Conf. 6.3 (Ottawa, 1987) – *The Implementation ofCITES*;

    d) Resolution Conf. 6.4 (Rev.) (Ottawa, 1987, as amended at Fort Lauderdale, 1994) – *Controls on illegal trade*;

    e) Resolution Conf. 7.5 (Lausanne, 1989) – *Enforcement*; and

    f) Resolution Conf. 9.8 (Rev.) (Fort Lauderdale, 1994, as amended at Harare, 1997) – *Enforcement*.

Annex 1

Much illegal trafficking in wildlife is international in scope. Thus, it can be effectively countered only by good international cooperation.

With Ecomessage, INTERPOL seeks to create an international reporting system and database that covers all major environmental crime.

Ecomessage Forms and Instructions

Illegal exploitation and trafficking constitute one of the most serious threats to wildlife today. Criminal networks and syndicates, motivated by high profits and low risks, have established an international industry that:

1. Diminishes the biological viability of wildlife populations;
2. Compromises the natural heritage and ecological integrity of the planet;
3. Imposes unacceptable cruelty on living animals, and;
4. Flouts wildlife law as well as many other laws.

INTERPOL, the International Criminal Police Organization (ICPO) has made significant efforts to suppress environmental crime. As part of this effort, INTERPOL in 1992 set up an Environmental Crime Committee, which in 1994 was expanded to include a Working Group on Wildlife Crime, and a Working Group on Pollution Crime.

More than a quarter-century of experience has persuaded INTERPOL that the timely exchange of pertinent information is crucial to any campaigns that target criminals who traffic in protected wildlife. But exchanges between various countries can suffer disruptive complications, because:

1. Required information often must be collected from widely scattered sources;
2. Countries do not have uniform reporting methods;
3. There had been no international repository for the collection, storage, analysis and circulation of information useful in efforts against wildlife crime;
4. Investigators in one country often did not know which law enforcement agency or agencies were their appropriate contacts in other countries.

INTERPOL acted to resolve these shortcomings by creating the Ecomessage.

With the Ecomessage, INTERPOL seeks to create a reporting system and database that covers all major environmental crime, including:

1. Illegal transborder movements and illegal dumping of wastes;
2. Illegal transborder activities involving radioactive substances;
3. Illegal traffic in species of wild flora and fauna.

Ecomessage: What it is and how it functions

INTERPOL's General Secretariat in Lyon, France, serves as a central collection point for information on international environmental crime, including wildlife crime. INTERPOL has developed the Ecomessage as a reporting system that systematically accepts environmental crime data and enters it into a computerized data collection facility at the General Secretariat.

The Ecomessage system uses a simple form to transmit details of a particular crime to INTERPOL. The Ecomessage form is carefully designed. When INTERPOL receives environmental crime reports via Ecomessage, the standardized design of the communication permits:

1. Speedy and methodical entry of the report's details in a format that is compatible with the INTERPOL database;
2. Efficient cross-referencing of the data against other entries in the computerized database; and
3. Organized and meaningful extraction of that data in a way that facilitates applications such as criminal intelligence analysis.

The Ecomessage is a system.

An Ecomessage report must be transmitted to INTERPOL via a standardized procedure and routing. This systematic approach helps to assure the validity of the data transmitted, which increases the reliability of the information in INTERPOL's database *and* provides for more dependable results when that information is used.

Many governmental law enforcement agencies may be involved in enforcement of wildlife laws: A national parks or wildlife agency may have various enforcement authorities. Customs is often the agency that intercepts and seizes contraband consignments of protected wildlife. Police agencies are often involved in wildlife law enforcement, as are Attorneys General, Sheriff's Departments, Environmental Protection and other governmental agencies.

Any of these agencies may gather the information required for an Ecomessage report. When the information is gathered, however, an Ecomessage report should be completed and brought to the INTERPOL National Central Bureau (NCB) of the reporting country. The NCB is usually found in the international relations department of the national police. If you have difficulty locating the INTERPOL NCB in your country, please contact the Environmental Crime Programme by sending a message to environmentalcrime@interpol.int.

It is the NCB's responsibility to transmit the details of an Ecomessage to the INTERPOL General Secretariat. This responsibility is outlined in INTERPOL circular letter reference 38/DII/SD2/E/INT/WG/2/ENV/94 of 9th June 1994, which should be on file in every INTERPOL NCB worldwide.

When the INTERPOL General Secretariat receives an Ecomessage, the information contained is entered into INTERPOL's computerized database. There are several important benefits that are generated by this process:

1. The information is immediately screened against all other information in the INTERPOL computer. This can produce important feedback. For example, if Country X reports the arrest of Mr. A on charges of smuggling elephant ivory, the processing of the Ecomessage may produce information that Mr. A is also wanted by Country Y for a similar offense, or that he has already been convicted in Country Z for a different offense. Information on concurrent warrants for arrest, or prior convictions, is of great interest and importance to prosecuting attorneys.
2. The Ecomessage form also allows for the reporting country to ask questions, and provides a mechanism for international cooperation. For example, imagine Country X has seized some rare birds smuggled out of country Y. Using the form, investigators in Country X can ask for information about the exporter in Country Y, or the carrier involved. It can also ask if Country Y wants those birds repatriated—or anything else where international information exchange will help the case along.
3. Professional INTERPOL criminal analysts can access data collected. When adequate reliable data is available, very useful analyses can be conducted to reveal the criminals involved, as well as the size, structure and dynamics of criminal trafficking in protected wildlife. (See the recent project *analyses* to the *left.)*

Criminal intelligence analysis also produces conclusions drawn from a particular study, as well as recommendations that help wildlife law enforcement officers work more effectively in their campaigns to suppress illegal trafficking.

The more information entered into INTERPOL's Ecomessage database the more effective it is to produce a truly global analysis of the criminality associated with illegal trafficking in wildlife. This data should be put into the system via Ecomessage reports. The more statistically significant the data included, the better it can be analyzed and used to construct a worldwide picture of the illegal trade in wildlife.

Only when the worldwide magnitude, structure and dynamics of illegal trafficking in wildlife are known can there be an effective worldwide cooperative effort to suppress it.

The Ecomessage Form

When the INTERPOL General Secretariat receives an Ecomessage, the information contained is entered into INTERPOL's computerized database.

1. When you are preparing an Ecomessage form, it is important to keep all entries in the same numbered and lettered sequence. This is important to maintain compatibility with the INTERPOL database. A properly prepared form will enter easily into the database—and is much more likely to produce results!
2. If the information for a particular item on the form is not available, mark it as "unknown."
3. When the Ecomessage form is completed, deliver it to your local National Central Bureau (NCB). The NCB is the national contact office for INTERPOL. The NCB is usually located in the international affairs office of the national police agency. Only an NCB can transmit an Ecomessage to the INTERPOL General Secretariat.
4. Be aware that national legislation in some countries may prohibit the reporting of certain information, such as the names of citizens. The national INTERPOL NCB should be aware of such legislation and should be able to prevent inappropriate information from being transmitted. But even if some information cannot be reported, it is still important to file the Ecomessage, for even partial information can be useful.

ECOMESSAGE

** Please note that subject fields in red are mandatory*

	1. Subject	**1. Subject**
1.1	A brief description of the offense	1.1
1.2	Code name	1.2
1.3	Legal description of the offense *(Reference number, citation of legislation violated and legally possible penalties)*	1.3
	2. Place and method of discovery	**2. Place and method of discovery**
2.1	Place where the offense was discovered (*e.g., the name of a port or city*). If on sea or open country side, indicate distance and direction to a known reference point	2.1
2.2	Describe how the offense was discovered *(e.g., customs control inspection, informant information, etc.)*	2.2
2.3	City, Country where offense was discovered	2.3
	3. Date and time	**3. Date and time**
	Time when the offense was discovered	
	4. Contraband products	**4. Contraband products**
4.1	**Illegal wastes:** Specify the nature of the wastes and their place of production; or **Radioactive substances:** Specify the nature of the radioactive substance; or, **Wildlife:** Specify the scientific and common names of the species involved, with a precise description of the specimen (*e.g., live, dead, part or derivative, age, sex, etc.*)	4.1
4.2	**Quantity and estimated value:** Specify the units of measure and the type of currency	4.2
	5. Identity of person(s) involved	**5. Identity of person(s) involved**
	Note: Items 5.a to 5.l must be completed for each person involved	*Note: Items 5.a to 5.l must be completed for each person involved*
a)	Date of arrest	a)
b)	Family name (& *maiden name*)	b)
c)	First name(s)	c)
d)	Sex	d)
e)	Alias(es)	e)
f)	Date and place of birth	f)
g)	Nationality	g)
h)	Address	h)
i)	Information contained on passport or national ID Include numbers, place & date of issue, period of validity	i)
j)	Profession	j)
k)	If any, function in any of the companies mentioned in item 6	k)
l)	**Other information**: Numbers of telephone, fax, vehicle, etc. plus subject's function in the offense (*courier, dealer, etc.*)	l)

6. Companies involved

Note: Items 6.a to 6.f must be completed for each business involved

a) **Type:** Indicate the legal type of company
b) **Name:** Specify both the legal name & any trade names
c) Activities
d) Address and telecommunications details of headquarters
e) Registration number
f) Business address & phone/fax — If not the same as item *d)*

7. Means of transport and route

Provide maximum details on means and routes of transportation for violations involving transport of contraband

8. Locations

a) **Country and town of origin:** For wildlife, indicate country of origin according to CITES (*country where the specimen was taken from the wild or bred in captivity*), as well as according to the Customs definition (*country where the last substantial transformation occurred*). Specimens originating from the sea should be indicated as "sea"
b) **Country of provenance:** Country of last re-export
c) **Countr(ies) of transit:** As much as can be determined
d) **Country & address of destination:** Both the destination declared on transport documents, and the real destination, if known

9. Identification of documents used

Specify the types of documents, including authorizations, transport documents, permits and certificates, invoices, etc. Specify if such documents are altered or fraudulent

10. Law enforcement agency

Specify the name and address of the agency with primary responsibility for the case, along with telecommunications information and a contact person, if possible

11. Modus operandi

Describe the *modus operandi* precisely, including: technique of concealment, type of packaging, techniques of document falsification, etc. as well as possible relationship with other cases. Attach photocopies of paperwork (*e.g., false documents*) and photos (*e.g., container*) that illustrate the *modus operandi*

12. Additional information

Other details deemed relevant

13. Information requested

Do investigators need information available from foreign countries (*e.g., details about a foreign national's arrest record or a freight forwarding company's history of violations*)?

6. Companies involved

Note: Items 6.a to 6.f must be completed for each business involved

a)
b)
c)
d)
e)
f)

7. Means of transport and route

8. Locations

a)
b)
c)
d)

9. Identification of documents used

10. Law enforcement agency

11. Modus operandi

12. Additional information

13. Information requested

Annex 2 Guidance for reporting and intelligence analysis

The ECOMESSAGE should, where necessary, be adapted to suit local requirements. Field staff should receive guidance on the categories of cases for which it should be completed; to whom it should be submitted; and through which channels it should be submitted. The management of national wildlife enforcement-related information should be subject to strict procedures, legal considerations and codes of practice. Many Parties have adopted a 'national intelligence model' to lay down guidance and the procedures to be used related to the purpose, process and recording of information. It should be stressed to field staff that detailed, accurate and timely reporting is essential and, importantly, welcome. Every effort should be made to dispel any cultural or traditional influences that may encourage the concealment of crime or poaching. Prompt and detailed reporting and recording must be encouraged within the organization. Staff must be reassured that there will be no recrimination for the reporting of incidents.

The person or persons tasked with collating the report forms should, ideally, maintain a database of the information and be responsible for responding to input, or communicating the information to those tasked with coordinating responses.

The ECOMESSAGE can be used to pass information between agencies at the national, regional and international levels. The relevant authorities can determine the level of information sharing (national, regional or international), which will depend on national legislation, the unique circumstances applicable to each case and the status of the investigation.

The gathering of information and intelligence is not, in itself, sufficient and, once gathered, intelligence must be analysed. Although computer software packages are available to assist the analytical process, much can be achieved by simple study of the data.

Analyses can be used for both operational and strategic purposes. They enable not only decision-making with regard to deployment or re-deployment of resources, risk assessment and targeting, but can also identify the additional human or technical resources needed for effective response to crimes, legislative weaknesses, weak border points and can assist in the design of awareness campaigns. Analyses should be viewed as a strong management tool to identify priorities and assess performance.

The intelligence gained from such analyses must then be used effectively and not just stored. Intelligence should lead investigative actions and should be used to direct resources towards tactics that will be most effective in combating crime. Consideration will require to be given to how the information is disseminated. The ability to exchange and disseminate information and intelligence in a secure environment is imperative for enforcement authorities to combat wildlife crime effectively. The preparation of alerts or bulletins for distribution has been shown to be very effective and demonstrates clearly that input is valued and acted upon. The ECOMESSAGE in conjunction with national reporting systems, the INTERPOL I-24/7 and the World Customs Organization Customs Enforcement Network (WCO CEN)[1] systems allow for a secure and systematic exchange of information. Information and intelligence should always be disseminated through secure official channels in accordance with national legislation on privacy and sharing of sensitive and nominal information. Hotmail, Gmail, Yahoo, Facebook, Twitter and other similar services are not considered to be secure platforms and their use should be limited. Potential recipients of analyses might include entities such as CITES Management Authorities, all national enforcement agencies, the CITES Secretariat, ICPO-INTERPOL and the World Customs Organization. Distributing information and intelligence as widely as possible, where appropriate and relevant, should help promote feedback, inter-agency cooperation and the submission of more intelligence.

Careful consideration should be given to what information can be made public and what ought to remain confidential. The level of confidentiality may also require to be defined and dissemination adjusted accordingly.

The International Consortium on Combating Wildlife Crime (ICCWC) recommends that the following fields or subjects be examined when studying data that have been collected:

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[1] http://www.wcoomd.org/en/topics/enforcement-and-compliance/instruments-and-tools/cen.aspx.

Patterns

To identify geographical, time of day, day of week, seasonal similarities, etc.

Suspects

To identify criminal networks, organized crime groups, syndicate members, repeat offenders and common descriptions of suspects.

Suspect profiling

To identify likely offenders and to gather additional information on known offenders.

Networks

To identify poachers, traders, dealers, smugglers, financiers, buyers, defence lawyers (especially those incompatible with the accused's resources), etc. that may be operating together or whose activities are linked. This could facilitate the identification of organized crime groups and will assist authorities to get a better understanding of the *modus operandi*, activities and structures of such groups.

Modus operandi

To identify common or linked methods of committing crime and engaging in illegal trade. Different individuals or networks may be involved in wildlife crime, but the same offenders often exploit the same commodities, using similar methods of transportation and concealment, and similar routes.

Trends

To identify increased or decreased illegal activity in relation to particular species, locations, methods of crime and smuggling, etc. This could assist authorities in identifying those species that are most affected by illegal trade; putting proactive measures in place at locations linked to smuggling routes or targeted by criminals; proactively addressing known methods of smuggling; identifying the drivers behind trends in criminal activity; etc.

Evidence

To identify common or linked physical and documentary findings, such as repeated use of same calibre weapons, poison, forged documents, etc.

Target species

To identify illegally hunted, smuggled and traded species and those species most at risk from such illegal activities.

Forensic science results

To identify links between criminal cases that can be demonstrated through such methods as DNA and ballistics analysis, fingerprint or hand-writing comparisons, etc.

Target criminals

To identify offenders who are most active and those committing the most serious offences, and to deploy resources against them. This may include surveillance, intelligence gathering and covert investigations, etc.

Motives

To identify what is prompting offenders to engage in illegal hunting and trading, why they use specific smuggling methods and routes, etc.

Routes

To identify access and exit routes used by poachers; national or international routes used by smugglers to transport specimens and hotspots where transit routes of contraband, money or communication converge.

Markets

To identify places and countries where illegal specimens are sold and to profile likely traders or buyers.

Prices

To determine the value of specimens at different points in the supply chain, i.e. financial gain by the poacher, smuggler or trader, and the price paid by the final customer, etc. This information can be used as an aggravating factor in sentencing, in support of cases where asset forfeiture is foreseen, for statistical purposes, etc.

Financing

To identify persons or companies that may be funding poaching or illegal trade; determine whether profits from wildlife crime are funding other activities; identify opportunities where anti-money- laundering and asset-forfeiture legislation can be applied effectively.

Links with other crimes

To identify any links with other crimes or illegal trades, such as in narcotics, weapons, illegal immigrants, etc.

Annex 3 Guidance for specialized wildlife law enforcement units

The role of specialized units in addressing issues relating to wildlife crime and illegal trade in CITES-listed species has been identified by the Conference of the Parties on a number of occasions. Resolution Conf. 11.3 (Rev. CoP18) encourages Parties to consider the establishment of such units, which have historically proven to be very successful in increasing the number and quality of wildlife crime investigations and prosecutions.

The following are regarded as important elements to be considered by any country planning the establishment, or further development, of one or several specialized units to tackle wildlife crime, including illegal trade. They are not listed in order of importance. Some elements will be of greater significance than others, depending on the country circumstances.

The structure and composition of specialized units will also be dictated by whether they are created at national, provincial or local level, or a combination of these.

Government support/political will

This element is absolutely essential. To be truly effective, the unit must have the backing of central and state/provincial governments, as well as all other enforcement agencies.

Authority

It is essential for a specialized wildlife law enforcement unit to be properly empowered to carry out its duties. Inclusion of multi-agency personnel will usually ensure that the unit has staff that is legally authorized to conduct effective operations. Alternatively, although it should not be necessary ordinarily, legislative measures should be enacted to empower the unit. This element is also closely linked with *Parity* (see below).

It is also important that the unit leader should be authorized to act on his or her own initiative within the limits of national legislation and to as acceptable a degree as possible, to direct operations without having to constantly refer matters to a higher authority.

It may be very desirable for the unit to be empowered to include in its tasks anti-corruption work related to wildlife crime, including authority to conduct financial investigations; and, where appropriate, to freeze assets and seek their forfeiture by the government. If that is the case, it is essential that the unit, or some of its personnel, should be empowered under relevant legislation or policies to investigate the alleged corrupt activities of government officials.

Incentives

This issue is linked with *Parity* (see below) and consideration may have to be given to achieving parity of salary among unit staff, regardless of the agency in which they are or would usually be employed. Bonus or 'top-up' salary payments are worthy of consideration to recognize the specialized duties that will be undertaken, as are allowances for field operations, etc. These should also take account of the hazardous duties that the unit may engage in. Salaries commensurate with the work undertaken ought to also encourage resistance to corruption. Adequate insurance for staff should be regarded as essential.

Good management

Clear, appropriate and experienced leadership is needed, particularly in the unit at operational level, but this also applies to strategic management. Careful consideration should be given to which agency is given responsibility for overall management and strategic direction of the unit.

The unit could be strategically managed with priority settings and work planning by a steering committee including high-level representation from each of the national agencies that regularly engage in wildlife law enforcement, such as the forest, fishery and wildlife departments, the police, Customs and the prosecuting authority (e.g. national prosecutor for environmental crime).

Clearly structured

There should be no doubt as to the lines of command and responsibilities of the unit and its staff.

Tasks

The duties of the unit should be clearly defined and understood by its staff and all agencies with which it will interact. These might include intelligence gathering and dissemination, investigation, coordination and prosecution, as appropriate.

An appropriate degree of flexibility should, however, be incorporated so that the unit leader can respond quickly to developing situations and allocate resources in an effective manner. A degree of

mobility will also require to be taken into account so that staff can go where they are needed.

Targeted

Linked to *Tasks* (see above), it is essential that the unit's work be properly focused, preferably intelligence-led, so that resources are utilized in a meaningful, efficient and effective manner. It is also important, to achieve support from the public and other agencies, that the unit concentrates on priority, recurring and serious crime issues and does not become involved in minor, 'technical' violations of national law or CITES.

Dedicated

This refers not only to the commitment expected of unit personnel but also to the manner in which the unit must be allowed to concentrate solely upon its tasks. It should not be allowed to be diverted to other duties.

Full time

Depending upon local circumstances, a 'core' number of unit personnel should be deployed on a full- time basis. Additional staff can be used to supplement and support activities as and when necessary.

Parity

The unit and its personnel should enjoy equal status with other official enforcement agencies, such as the police and Customs.

Staff

Unit personnel should preferably be assigned on a voluntary basis. Wildlife crime is a growing problem and organized crime group involvement in wildlife crime is increasingly evident. The investigation of organized wildlife crime is complex in nature. For this reason, highly competent staff should be recruited and appointed to serve in specialized wildlife law enforcement units. Serving in the unit should be regarded as an asset for the officers' professional and career development. Selection procedures should be carefully designed to identify the most suitably qualified and appropriate staff, whilst remembering that appropriate training can compensate for any lack of previous experience. The unit must not be regarded as somewhere to which poorly performing staff can be assigned. Whilst staff should be encouraged to serve voluntarily in the unit, this should not be taken to mean their service will be unpaid.

Multi-agency

It is important that the unit should include or liaise with personnel from each of the national agencies that regularly engage in wildlife law enforcement, such as forest, fishery and wildlife departments, the police and Customs, and the prosecuting authority (e.g. national prosecutor for environmental crime). It should also have ready access and be connected to the resources of those agencies that participate on an irregular basis. The involvement of personnel from a variety of agencies can also be an effective measure against corrupt practices.

At the national level, the specialized unit could be established as a national environmental security taskforce (NEST). Parties are encouraged to use the guidance on the NEST's structure and formation as set out in the ICPO-INTERPOL operational manual on *National Environmental Security Taskforces*[1].

Properly funded

The unit must have a budget commensurate with its activities. Budget control measures should be flexible enough to allow for an appropriate response to operational requirements. Specialized wildlife law enforcement units should be funded by the government. This will demonstrate governmental commitment to combating wildlife crime. The use of external funding from supporting donors to fund specialized wildlife law enforcement units should only be considered in exceptional circumstances. When external funding from supporting donors is utilized for this purpose, it must be ensured that control remains with the proper national authorities and that potential donors are not allowed to dictate or participate in the unit's activities. Accountability for funds should be restricted to annual reporting.

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[1] *See http://www.interpol.int/Crime-areas/Environmental-crime/Task-forces.*

Size

Whilst this will be dictated by national circumstances, having the right people with the right support will probably be more important than the numbers of staff in the unit. Quality should be the focus, rather than quantity.

Technical support

The unit should be properly equipped to enable it to carry out its duties. Equipment of a general and routine nature might include, for example, uniforms, vehicles, communications, firearms, surveillance gear, computers and associated software. Provision should be made for ready access to more specialized support, such as forensic science services, scenes-of-crime examination officers, and species-identification experts.

A multi-year maintenance should be provided for when allocating such resources.

Training

All unit personnel should be adequately trained in relevant specialized fields and this should be an ongoing process. Training should be regarded as a priority investment activity for the unit's staff. After gaining suitable experience, unit personnel should be utilized for the training of others.

Accreditation or certification of trained staff should be periodically renewed and recognized for professional and career development purposes.

Strategies

The unit should be provided with sufficient time and resources to consider and identify strategic issues, aside from its operational commitments, or should be supported by an infrastructure that will consider these issues, e.g. a national criminal intelligence service.

Long term

Unless there are very good reasons to suggest otherwise, the unit should be regarded as a long-term or permanent structure within the country's enforcement institutional and policy framework. This will provide for continuity and the acquisition of specialized experience, and demonstrate to other enforcement agencies and the public governmental commitment to combating wildlife crime.

Recognition

Steps should be taken to ensure that the purpose and tasks of the unit are publicized among all enforcement agencies and the general public. The latter aspect can have a deterrent effect for offenders and also encourage the public to supply information.

Local support

Every effort should be made to facilitate and encourage support to the unit from local communities, in both a formal and an informal fashion. The unit should be encouraged to liaise with local community leaders and enlist their assistance in convincing citizens of the worth of its aims.

Discipline

The unit should be expected to maintain the highest standards of discipline. If a multi-agency approach is employed, the personal and professional conduct standards that are the most stringent should be adopted as the 'norm'. Any deviance from the standards should result in a rigorous response, with expulsion of the offender from the unit being encouraged in serious cases. In such cases, criminal prosecution should also be instituted against the offender, when applicable.

Secondments

Aside from the 'core' members of the unit, the concept of short- and mid-term secondments from as wide a variety of enforcement agencies as possible should be encouraged to promote inter-agency cooperation, supplement numbers in the unit and spread knowledge and experience. Secondments to the unit can provide excellent training opportunities for personnel from various agencies as well as useful insights for unit members into the work of others.

These secondments should be recognized as valuable assets for professional and career development.

Informant network

The unit should be encouraged to develop a network of informants (in compliance with national procedural laws and strict procedures for managing covert human intelligence sources) as a priority task. This can be facilitated by means of reward schemes and confidential information 'hotlines' to allow the supply of information.

Cooperation and coordination

The unit should, ideally, act as a central repository of intelligence regarding wildlife crime, including illegal wildlife trade. Standard operating procedures should be developed with any national criminal intelligence service to ensure that the unit has access to all relevant intelligence. Every effort should be made to avoid duplication of effort among enforcement agencies and to eliminate opportunities for informants to supply, and be rewarded for, the same intelligence to a variety of agencies.

If the unit itself does not investigate cases from beginning to prosecution, it should have a role to maintain an overview of serious cases of wildlife crime, and provide assistance and guidance whenever appropriate.

Regional and international collaboration

The unit should be responsible for liaison on wildlife crime matters through the ICPO-INTERPOL National Central Bureaus with appropriate regional and international law enforcement agencies and other relevant organizations, such as ICPO-INTERPOL, the World Customs Organization and the CITES Secretariat. This should include the preparation and submission of ECOMESSAGES at the international level.

Evidence of other criminal activities

Any information received by the unit that relates to activities outside its remit, e.g. narcotics, trafficking in firearms, illegal immigration, etc., should be passed to the relevant agency as soon as possible and without hesitation. Such action should encourage reciprocal approaches.

Prosecution

Where a prosecutor is not included in the unit, every effort should be made to establish the closest working relationship possible with prosecution authorities. Raising of awareness in such authorities should be given priority and their support to the unit should be established. The unit may well be able to provide training for prosecutors. Case reporting and evidential requirement standards should be established. Prosecutors can also assist in identifying priorities and targets for the unit.

Judiciary

Whilst the relationship between the unit and a country's judiciary should be maintained at an appropriate distance, it is very important that the unit raises awareness among the judiciary of wildlife crime, appropriate sentencing and deterrent responses. The unit should also seek information and feedback from the judiciary on relevant decisions and issues that have arisen in civil and criminal cases, and any problems with evidence or the manner in which investigations have been conducted.

Legislative review

Criminal investigations, prosecutions and judicial decisions should be reviewed and analysed regularly. Findings that may improve legislation and policy should be reported to the relevant legislative or complementary administration.

Assistance from non-governmental organizations, the private sector and other special interest groups

Taking into account the comments above with regard to funding, the unit might establish appropriate links with national and international non-governmental organizations (NGOs), private sector associations and other interested stakeholders that could offer relevant information, expert advice and assistance. It is essential, however, that their role should be restricted to support of the unit and that they should not be allowed access to intelligence or to engage in any operational activity without appropriate legislative authority as well as the agreement of the unit and prosecution authorities.

NGOs, the private sector and other special interest groups should not be allowed to undertake activities that rest more properly with government agencies, e.g. covert operations or the maintenance of databases on crime and criminals.

NGOs, the private sector and other special interest groups should be encouraged to discuss with the unit any research or trade surveys that might involve a covert element; if for no other reason than this will prevent them from accidentally intruding into the unit's own 'undercover' activities.

Conf. 11.4 (Rev. COP12)*

鲸类的保护、鲸类标本的贸易及其同国际捕鲸委员会的关系

忆及 第二、第三和第九次缔约方大会(圣约瑟，1979；新德里，1981；劳德代尔堡，1994)通过的 Conf. 2.8 号、Conf. 2.9 号、Conf. 3.13 号 和 Conf. 9.12 号决议及由第二次缔约方大会通过后经第九次缔约方大会修订的 Conf. 2.7 (Rev.)号决议；

忆及 各缔约方认定，为保护某些特定动植物种并避免因国际贸易而造成过度利用，开展国际合作非常重要；

考虑到 对于海洋物种，公约第十五条第 2 款 (b)项要求秘书处同那些具有与这些物种相关的职能的政府间机构进行磋商；

注意到 根据缔约方大会特别工作会议的建议 (日内瓦，1977)，秘书处已要求并被接受作为国际捕鲸委员会(IWC)大会及国际捕鲸委员会科学委员会会议在贸易问题方面的观察员及顾问；

进一步**注意到** 国际捕鲸委员会已要求并被接受为 CITES 缔约方大会的观察员；

认识到 公约第三条第 5 款和第四条第 6 款规定，未经引进国管理机构事先批准并核发证明书，禁止将捕自公海环境的公约附录Ⅰ或附录Ⅱ任何物种的标本 (包括其任何可辨认的部分或衍生物)引进到该国；

认识到 各缔约方对其邻近海域内的海洋资源的权限范围不一致，在性质上各不相同，并且尚未有国际性的共识和认同；

希望 在本公约框架下，能向被列入其附录的鲸类提供最大限度的保护；

考虑到 国际捕鲸委员会已要求本公约各缔约方对鲸类某些种和类群的保护提供支持；

意识到 需要对各种鲸及其他鲸目动物的保护给予特别的关注；

忆及 某些大型鲸曾经是开发利用的中心对象，而商业利用已经使这些鲸的种群和类群急剧减少，并威胁到了其中一些物种和类群的生存；

察觉 对国际捕鲸委员会所保护物种和类群的任何商业利用都会危害这些物种和类群的继续生存，而对这些物种和类群标本的贸易活动则必须施以特别严格的管制，以便不进一步威胁到它们的生存；

认识到 尽管这些鲸的物种和种群受到了国际捕鲸委员会成员国的保护以免遭商业性的捕杀，但仍遭到非成员国的商业性捕杀，而非成员国的这种捕鲸行为扼杀并削弱了国际捕鲸委员会保护方案的成效并威胁到这些物种和类群的恢复；

注意到 在国际捕鲸委员会控制范围之外，可能正在发生一些强度不明的鲸类利用活动；

又忆及 尽管其他一些野生动植物种已经从其遭受的相同或更大程度的衰减中恢复过来，但大型鲸类尚未从商业开发对其所造成的耗竭中恢复过来；

注意到 国际捕鲸委员会已经通过为各成员国建立其国民对某些鲸鱼的捕捞限额这一方式，针对世界各国感兴趣的鲸鱼采取了一系列日益增强且有效的保护管理措施；

*经第十二次缔约方大会修订。

注意到 国际捕鲸委员会已制定规则，保护某些鲸鱼物种及类群免遭各成员国国民的各种商业性捕杀，以便为这些物种和类群提供保护，并使之有机会从过度开发中得到恢复；

欢迎 国际捕鲸委员会于其 1978 年 12 月召开的特别会议上通过的决议，该决议要求本公约在其第二次缔约方大会上采取一切可能的措施来支持国际捕鲸委员会针对鲸鱼某些种及类群而制定的商业捕鲸禁令；

担忧 不断地有国际性的报道称发现有鲸鱼肉及其产品正在销售或运输到进口国的途中，而这些鲸鱼肉及其产品却并非来自那些已有的可靠渠道；

担忧 对鲸鱼肉及其他产品的国际贸易缺乏足够的国际性监测和控制；

认识到 国际捕鲸委员会是全世界关于鲸类储量的主要信息来源；

进一步**认识到** 关于这些受保护的鲸类的肉及其他产品的国际贸易客观存在，而这种国际贸易仅靠国际捕鲸委员会自身是难以得到有效控制的；

进一步**认识到** 国际捕鲸委员会和 CITES 确有必要在鲸类产品的国际贸易上开展合作并交换信息；

确信 任何关于本公约附录Ⅰ中鲸鱼标本的非法国际贸易将破坏国际捕鲸委员会和本公约的效力；

公约缔约方大会

关于对《国际捕鲸管制公约》的支持

1. **建议** 鼓励那些尚未加入《国际捕鲸管制公约》的缔约方加入该公约；

关于鲸类标本的贸易

2. **建议** 各缔约方对 CITES 公约第四条和第十四条有关鲸类标本的文件要求予以特别关注；

关于部分受国际捕鲸委员会保护而免遭商业捕杀的一些鲸类物种及类群标本的贸易

3. **建议** 各缔约方在本公约框架下，同意不向以商业目的为主而进口、出口、或从海上引进任何那些受国际捕鲸管制公约保护而免遭商业捕杀的鲸类物种及类群的标本签发任何进出口许可证或海上引进证明书；并
4. **要求** 秘书将上述鲸类物种及种群的名录及其必要的更新版本转发给各缔约方；

关于鲸肉的非法贸易

5. **欢迎** 国际捕鲸委员会在这方面开展的工作，并**敦促** CITES 缔约方对鲸肉非法贸易问题及那些明显属非法贸易的鲸肉地理来源进行调查研究，同时敦促各缔约方在这方面与秘书处合作收集有关信息；
6. **鼓励** 国际捕鲸委员会在 CITES 公约缔约方大会休会期间，通过本公约秘书处和常委会，就鲸类产品非法贸易发展情况及时充分地向本公约各缔约方通报；
7. **邀请** 所有相关的国家在防止鲸肉非法贸易方面开展合作，并向 CITES 秘书处通报进展情况； 并

8. **指示** 秘书处要同国际捕鲸委员会共享其收集到的任何有关鲸肉非法贸易的信息；并

关于在鲸类部分和衍生物非法贸易监测方面的合作

9. **鼓励** 所有相关的国家自愿地：
   a) 对商业规模冷冻鲸类部分和衍生物开展清查造册，列出物种名、数量及地理来源；并
   b) 收集清点这些冷冻鲸标本的皮和肉样品，用于 DNA 鉴定；
10. **建议** 所有相关国家收集以下列方式获得的须鲸的鲸皮或鲸肉样品，用于 DNA 鉴定：
   a) 在一次直接猎捕中获得的；
   b) 在土著居民为生存而开展的捕猎 ；及
   c) 从其他捕鱼作业中意外获得的，且任何来自这些鲸的标本都可能会进入商业渠道；
11. **邀请** 所有相关的国家通过下列方式，在遇到走私时，共同合作确定案件所涉及的鲸类部分、衍生物的来源及具体属于那一个种：
   a) 如需帮助，将鲸肉或鲸皮样品或数字化的 DNA 序列提供给具备确定涉案动物地理来源及属哪一个种的能力的国家，或者是提供给能对初步分析进行确认的国家；
   b) 对样品收集国所提供的样品进行分析，并在将样品转给其他国家或公众前，同样品收集国就分析结果进行充分协商；及
   c) 为上述分析用样品的进、出口签发必要的 CITES 文件并进行查验接收；及
12. **敦促** 每一个相关的国家将其关于鲸鱼部分和衍生物的清查资料及对未知鲸类产品的检查资料提交给 CITES 秘书处，以便秘书处在应有关感兴趣的国家要求时，能提供这些资料；及
13. **废除** 下列决议：
   a) Conf. 2.7 (Rev.)号决议(圣何塞，1979；修订于劳德代尔堡，1994)——与国际捕鲸委员会的关系；
   b) Conf. 2.8 号决议(圣何塞，1979)——海上引进；
   c) Conf. 2.9 号决议(圣何塞，1979)——受国际捕鲸委员会保护免遭商业捕捞的鲸类物种及类群的贸易；
   d) Conf. 3.13 号决议(新德里，1981)——鲸类产品的贸易；及
   e) Conf. 9.12 号决议(劳德代尔堡，1994)——鲸肉的非法贸易。

Conf. 11.4
(Rev. CoP12)*

Conservation of cetaceans, trade in cetacean specimens and the relationship with the International Whaling Commission

RECALLING Resolutions Conf. 2.8, Conf. 2.9, Conf. 3.13 and Conf. 9.12, adopted by the Conference of the Parties at its second, third and ninth meetings (San José, 1979; New Delhi, 1981; Fort Lauderdale, 1994), and Resolution Conf. 2.7 (Rev.), adopted at its second meeting and amended at its ninth meeting;

RECALLING the determination of the Contracting States that international cooperation is essential for the protection of certain species of wild fauna and flora against over-exploitation through international trade;

CONSIDERING that, for marine species, Article XV, paragraph 2 (b), of the Convention requires the Secretariat to consult inter-governmental bodies having a function in relation to those species;

NOTING that, in accordance with the recommendations of the special working session of the Conference of the Parties (Geneva, 1977), the Secretariat has requested and obtained observer status, and adviser status for trade matters, at meetings of the International Whaling Commission (IWC) and at meetings of the Scientific Committee of the IWC;

NOTING further that the IWC has requested and obtained observer status at meetings of the Conference of the Parties;

RECOGNIZING that Article III, paragraph 5, and Article IV, paragraph 6, of the Convention prohibit the transportation into a party State of specimens (including any readily recognizable parts or derivative thereof) of any species listed in Appendix I or II to the Convention that were taken in the marine environment not under the jurisdiction of any States without prior grant of a certificate from a Management Authority of the State of introduction;

RECOGNIZING that the jurisdiction of the Parties with respect to marine resources in their adjacent seas is not uniform in extent, varies in nature and has not yet been agreed internationally;

DESIRING that the maximum protection possible under this Convention be afforded to the cetaceans listed in the Appendices;

CONSIDERING that the International Whaling Commission has asked for the support of the Parties in protecting certain stocks and species of whales;

MINDFUL of the need for special attention to the conservation of whales and other cetaceans;

RECALLING that commercial utilization has caused the rapid depletion of many species and stocks of large whales once they become the focus of exploitation and has resulted in a threat to the survival of a number of these species and stocks;

OBSERVING that any commercial utilization of species and stocks protected by the IWC jeopardizes their continued existence, and that trade in specimens of these species and stocks must be subject to particularly strict regulation in order not to endanger further their survival;

RECOGNIZING that although these species and stocks of whales are protected from commercial whaling by nationals of IWC member nations, they are commercially harvested by nationals of non- IWC member nations and that such harvesting circumvents and diminishes the effectiveness of the protective regime of the IWC and threatens to prevent the recovery of those protected species and stocks;

NOTING that some unknown level of exploitation of whales may be occurring outside the control of the IWC;

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* *Amended at the 12th meeting of the Conference of the Parties.*

RECALLING also that the great whales have not generally recovered from the depletion brought about by commercial exploitation, even though many other species of exploited wildlife have recovered from equal or greater degrees of depletion;

NOTING that the IWC has taken increasingly vigorous action to provide for the effective conservation and management of whales which are of interest to all nations of the world by establishing limits on the number of whales that may be taken by nationals of its member nations;

NOTING that the IWC has established regulations that protect certain species and stocks from all commercial whaling by nationals of its member nations in order to provide them with protection and the opportunity to recover from over-exploitation;

WELCOMING the Resolution passed by the IWC at its Special Meeting in December 1978 requesting that the Conference of the Parties to the Convention, at its second meeting, take all possible measures to support the IWC ban on commercial whaling for certain species and stocks of whales;

CONCERNED about continuing international reports of the discovery of whale meat and products appearing for sale in, or *en route* to importing countries, from no plausible existing source;

CONCERNED that the international trade in meat and other products of whales is lacking adequate international monitoring or control;

RECOGNIZING that the IWC is the major source of information on whale stocks around the world;

RECOGNIZING further that the meat and other products of such protected species of whales are subject to international trade which cannot be controlled effectively by the IWC alone;

RECOGNIZING further the need for the IWC and CITES to cooperate and exchange information on international trade in whale products;

AFFIRMING its concern that any illegal international trade in Appendix-I whale specimens undermines the effectiveness of both the IWC and CITES;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

Regarding adhesion to the International Convention for the Regulation of Whaling

1. RECOMMENDS that those Parties that do not currently adhere to the International Convention for the Regulation of Whaling be encouraged to do so;

Regarding trade in specimens of cetaceans

2. RECOMMENDS that Parties pay particular attention to the documentation requirements for specimens of cetaceans under Articles IV and XIV of CITES;

Regarding trade in specimens of certain species and stocks of whales protected by the IWC from commercial whaling

3. RECOMMENDS that the Parties agree not to issue any import or export permit, or certificate for introduction from the sea, under this Convention for primarily commercial purposes for any specimen of a species or stock protected from commercial whaling by the International Convention for the Regulation of Whaling; and

4. REQUESTS that the Secretariat communicate to the Parties a list of such species and stocks and revised versions of this list as necessary;

Regarding illegal trade in whale meat

5 WELCOMES the work of the IWC in this respect and URGES CITES Parties to explore the issue of illegal trade in whale meat and the geographic origin of meat apparently illegally traded and to cooperate with the CITES Secretariat in the collection of information on this subject;

6. ENCOURAGES the IWC to keep CITES Parties fully informed through the CITES Secretariat and the Standing Committee between meetings of the Conference of the Parties on all related developments regarding the illegal trade in whale products;

7. INVITES all countries concerned to cooperate to prevent illegal trade in whale meat, and to report to the CITES Secretariat on any development regarding this issue; and

8. DIRECTS the Secretariat to share with the IWC any information it collects regarding illegal trade in whale meat; and

Regarding cooperation in monitoring illegal trade in whale parts and derivatives

9. ENCOURAGES all countries concerned to voluntarily:

   a) inventory all frozen whale parts and derivatives possessed in commercial quantities, indicating the species, quantity and geographic origin; and

   b) collect and inventory skin or meat samples for DNA identification from all such frozen whale specimens;

10. RECOMMENDS that all countries concerned collect and inventory skin or meat samples for DNA identification from baleen whales:

    a) taken in a directed harvest;

    b) taken in aboriginal subsistence hunts; and

    c) taken incidentally to other fishing operations, and if any specimens from these whales will be entered into commerce;

11. INVITES all countries concerned to cooperate in determining sources of whale parts and derivatives, and the species concerned, in cases of smuggling, by:

    a) where assistance is requested, providing skin or meat samples or digitized DNA sequencing to countries that have the capability to determine species and geographic origin of the animal, or to confirm the initial analysis;

    b) analysing the samples provided by the country that has collected them, and fully consulting it regarding the results of the analysis before releasing them to other Parties or to the public; and

    c) obtaining and issuing necessary CITES documentation for export and import of the samples for analysis; and

12. URGES every country concerned to submit to the CITES Secretariat any information relevant to its inventory of whale parts and derivatives and to examination of unknown whale products, for dissemination by the Secretariat to interested Parties upon request; and

13. REPEALS the Resolutions listed hereunder:

    a) Resolution Conf. 2.7 (Rev.) (San José, 1979, as amended at Fort Lauderdale, 1994) – *Relationship with the International Whaling Commission*;

    b) Resolution Conf. 2.8 (San José, 1979) – *Introduction from the sea*;

    c) Resolution Conf. 2.9 (San José, 1979) – *Trade in certain species and stocks of whales protected by the International Whaling Commission from commercial whaling*;

    d) Resolution Conf. 3.13 (New Delhi, 1981) – *Trade in whale products*; and

    e) Resolution Conf. 9.12 (Fort Lauderdale, 1994) – *Illegal trade in whale meat*.

Conf. 11.7

麝的保护和贸易

意识到 所有麝物种已被列入公约附录Ⅰ或附录Ⅱ；

认识到 麝虽是亚洲特有物种，但天然麝香和含麝香的产品在全世界范围得到使用和贸易，因此麝类的保护受到了全球的关注；

注意到 麝的种群趋势、现状和国内需求在分布国的文件和文献中没有得到恰当描述；

进一步**注意到** 继续发生的有关得自野生麝的生麝香非法贸易破坏了公约有效性；

意识到 如果缔约方和非缔约方不采取行动消除非法贸易，偷猎可能会造成一些种群的减少甚至是灭绝；

认识到 麝的长远保护措施要求采取旨在保证持续利用且有实质内容和可衡量的行动；

认识到 促进分布国和消费国间的技术合作及资金支持将会更有利于有效的麝保护；

公约缔约方大会

1. **敦促** 所有缔约方，特别是麝分布和消费国及有麝标本过境转运的国家，立即采取行动，确保减少得自野生麝的麝香的非法贸易：
   a) 在分布国和消费国引入创新性的实施方法，作为优先行动，并在关键的边境地区加强执法工作；
   b) 致力于开发一个清晰的含麝香产品标记系统，并开发和传播用来检测医药和其他产品中所含天然麝香的鉴别方法；
   c) 鼓励所有至今尚未成为公约缔约方的分布国和消费国尽早加入公约，以加强对生麝香和含麝香产品的国际贸易控制；
   d) 与麝香消费者共同努力开发生麝香的替代品，以减轻对天然麝香的需求； 同上也鼓励发展安全有效的活麝取香技术；及
   e) 发展双边和地区协议以增进麝的保护和管理，并加强立法和执法工作；
2. **建议** 加工国和消费国合作开发并推广含麝香产品的鉴定手册，以便于执法工作；及
3. **号召** 缔约方、国际援助机构、政府间组织和非政府组织，优先向分布国提供资金和技术援助，以开展麝种群调查和包括合法及非法贸易在内的国内市场调查。

Conf. 11.7 Conservation of and trade in musk deer

AWARE that all musk deer species are included either in Appendix I or Appendix II of the Convention;

RECOGNIZING that musk deer are native to Asia but that natural musk and products containing musk are used and traded worldwide and, therefore, that conservation of musk deer is a global concern;

NOTING that the status and trends of musk deer populations and the domestic demand for musk in range countries are inadequately documented;

FURTHER NOTING that continued illegal trade in raw musk derived from wild musk deer undermines the effectiveness of the Convention;

AWARE that, if Parties and States that are not yet party to the Convention do not take action to eliminate the illegal trade, poaching may cause declines and even extirpation of certain populations;

RECOGNIZING that long-term solutions for the protection of musk deer require the adoption of substantive and measurable actions designed to ensure sustainable use;

RECOGNIZING that strengthening technical cooperation between range and consumer States and financial support would contribute to more effective musk deer conservation;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. URGES all Parties, particularly musk deer range and consuming countries and those through which musk deer specimens pass in transit, to take immediate action in order to reduce demonstrably the illegal trade in musk deriving from wild musk deer by:
   a) introducing innovative enforcement methods in range and consumer States and, as a matter of priority, strengthening enforcement efforts in key border regions;
   b) pursuing the development of a clear labelling system for products containing musk, and the development and dissemination of forensic methods to detect natural musk in medicinal and other products;
   c) encouraging all range States and consumer States that are not party to CITES to accede to it at the earliest possible date in order to improve international trade control of raw musk and products containing musk;
   d) working with musk consumers to develop alternatives for raw musk in order to reduce demand for natural musk, while encouraging the development of safe and effective techniques for collecting musk from live musk deer; and
   e) developing bilateral and regional agreements for improving musk deer conservation and management, strengthening legislation and strengthening enforcement efforts;
2. RECOMMENDS that manufacturing and consumer States cooperate in the development and distribution of identification guides for manufactured products containing musk to assist with enforcement efforts; and
3. CALLS on the Parties, international aid agencies, intergovernmental organizations, and non-governmental organizations, as a matter of priority, to provide financial and technical assistance to range States to conduct population surveys, and surveys of domestic markets for musk deer, including both legal and illegal trade.

Conf. 11.8 (Rev. CoP17)*

藏羚的保护及贸易控制

忆及 在 1999 年 10 月 12－14 日于中国西宁召开的“藏羚保护与贸易控制国际研讨会”上，中国、法国、印度、意大利、尼泊尔、英国和美国的政府代表、公约秘书处和若干非政府组织的代表一起讨论了“藏羚保护和贸易控制的决议 (草案)”；

意识到 藏羚被列入附录Ⅰ，自 1979 年起所有藏羚的部分和衍生物的国际贸易受到本公约的管制；

注意到 为供应市场所需的由藏羚绒制成的藏羚绒织物及其产品而进行的偷猎活动继续威胁着藏羚的野生种群；

意识到 有效禁止藏羚绒披肩的加工和贸易，对实施包括控制大范围偷猎活动在内的有效就地保护至关重要；

认识到 加强分布国与非分布国的技术合作和资金援助，将有利于对藏羚实施更有效的保护；

赞赏 缔约方为促进在藏羚保护与非法贸易打击方面的合作所做的努力，包括：

a) 中国政府对盗猎藏羚及走私藏羚绒活动实施了一系列严厉的打击行动，并为此物种建立多处自然保护区；及

b) 法国、印度、意大利、英国和美国等已经采取一些实际行动来保护藏羚，包括采取执法和司法措施遏制藏羚部分或衍生物的非法贸易活动，并建立有关部分和衍生物的鉴定技术等；

公约缔约方大会

1. **建议：**

   a) 所有缔约方和非缔约方，特别是消费国和分布国，应作为一项迫切的任务，采取全面的立法和执法控制措施，消除包括特别是披肩在内的藏羚部分和衍生物的商业性贸易活动，以使藏羚产品的非法贸易明显减少；

   b) 所有缔约方应将所有声称是“藏羚绒披肩”或声称含藏羚标本的任何产品按可辨认的藏羚的部分或衍生物对待，并据此依据 Conf. 9.6 (Rev. CoP 16)号决议有关附录Ⅰ物种的相关条款办理。如无与此相关的国内立法，应制定这样的法规来全面实施上述规定；

   c) 所有缔约方要采取足以遏制非法贸易活动的处罚措施和提高公众对藏羚现状及产品实际来源认识的宣传教育措施；及

   d) 所有拥有藏羚部分或原材料库存的缔约方或非缔约方，要建立注册系统并采取全国性措施以阻止这些库存再次进入贸易；

2. **指示：**

*经第十二、十三和十七次缔约方大会修订。

a) 公约秘书处在感兴趣的缔约方、政府间组织或非政府组织的帮助下，向藏羚分布国提供资金和技术支持，以推进打击非法偷猎活动的努力，开展种群调查，制定保护战略，并阻止藏羚部分和衍生物的贸易；及

b) 公约常委会在公约秘书处报告的基础上，对各缔约方在根除藏羚制品非法贸易方面所采取的执法措施进行定期回顾，并向每次缔约方大会报告其回顾结果；

3. **敦促**：

a) 藏羚产品的加工国应继续努力禁止加工藏羚绒；

b) 具备相关经验和技术能力的所有国家和地区，在宣传教育、走私路线和方法等执法信息、藏羚的部分和衍生物的鉴定技术等方面加强合作与交流；及

c) 所有缔约方每次在领土内查获非法藏羚绒及其产品后，根据案件适用情况，立即告知源头国、中转国、目的地国相关机构和公约秘书处，提供能找到的相关查获信息使跟进调查得以开展，如适当，充分利用国际刑警组织的生态信息和包括世界海关组织在内的现有执法网络，并向公约秘书处报告跟进调查的进展。

Conf. 11.8 (Rev. CoP17)* Conservation of and control of trade in the Tibetan antelope

RECALLING the International Workshop on Conservation and Control of Trade in Tibetan Antelope, held in Xining, China, 12-14 October 1999, where a draft resolution on the conservation and control of trade in the Tibetan antelope *(Pantholops hodgsonii)* was discussed by government representatives from China, France, India, Italy, Nepal, the United Kingdom of Great Britain and Northern Ireland and the United States of America, as well as representatives of the CITES Secretariat and non- governmental organizations;

AWARE that the Tibetan antelope is included in Appendix I, and that all commercial international trade in its parts and derivatives has been regulated by the Convention since 1979;

NOTING that the wild population of the Tibetan antelope continues to be threatened by poaching to supply the market for shahtoosh, the fine wool of the species, and shahtoosh products;

CONSCIOUS that an effective ban on processing of and trade in shahtoosh is a critically important complement to effective *in situ* conservation of the species, including control of large scale poaching;

RECOGNIZING that strengthened technical cooperation between range and non-range States, and financial support, would contribute to more effective conservation of the Tibetan antelope; and

COMMENDING the initiatives by Parties to facilitate cooperation in conservation of the Tibetan antelope and to address illegal hunting of the Tibetan antelope, including:

a) China, which has made a serious effort to stop poaching and smuggling of the Tibetan antelope and has also established nature reserves for the species; and

b) France, India, Italy, the United Kingdom and the United States, which have taken steps to protect the species, including enforcement and judicial action to halt the illegal trade in Tibetan antelope parts and derivatives and the development of identification techniques for such parts and derivatives;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that:

   a) all Parties and non-Parties, especially consumer and range States, adopt comprehensive legislation and enforcement controls as a matter of urgency, with the aim of eliminating commercial trade in Tibetan antelope parts and derivatives, especially shahtoosh, in order to reduce demonstrably the illegal trade in Tibetan antelope products;

   b) all Parties treat any product claimed to be 'shahtoosh' or claimed to contain Tibetan antelope specimens as a readily recognizable part or derivative of the Tibetan antelope and therefore subject to the provisions relating to Appendix-I species, as provided for in Resolution Conf. 9.6 (Rev. CoP16), and enact legislation, where it does not exist, to fully implement these provisions for such products;

   c) all Parties adopt penalties adequate to deter illegal trade and measures to enhance public awareness of the actual origin of the products and of the status of the Tibetan antelope; and

   d) all Parties and non-Parties in whose territory stocks of Tibetan antelope parts and raw materials exist, adopt a registration system and national measures to prevent such stocks from re-entering into trade;

* *Amended at the 12th, 13th and 17th meetings of the Conference of the Parties, and corrected by the Secretariat following the 16th meeting.*

2. DIRECTS:

a) the Secretariat, with the assistance of interested Parties, intergovernmental organizations and non-governmental organizations, to provide funding and technical assistance to the range States of the Tibetan antelope in order to improve anti-poaching efforts, to carry out population censuses, to formulate a conservation strategy and to prevent trade in Tibetan antelope parts and derivatives; and

b) the Standing Committee to undertake a regular review of the enforcement measures taken by the Parties in eliminating the illicit trade in Tibetan antelope products on the basis of the Secretariat's report, and to report the results at each meeting of the Conference of the Parties; and

3. URGES:

a) the processing countries of the products of the Tibetan antelope to continue their efforts to ban the processing of Tibetan antelope wool;

b) all countries and territories with relevant experience and technical capabilities to strengthen cooperation and the exchange of information, technology and experience with regard to education and awareness, law enforcement such as smuggling routes and methods, and techniques for the identification of parts and derivatives of the Tibetan antelope; and

c) all Parties immediately bring every seizure of illegal Tibetan antelope wool and its products made within its territory to the attention of authorities in countries of origin, transit and destination, as applicable, and to the attention of the Secretariat; provide available associated information on the seizure to enable follow-up investigations to take place; where appropriate, make full use of the Ecomessage of INTERPOL and existing law enforcement networks, including the World Customs Organization; and report to the Secretariat the progress of follow-up investigations.

Conf. 11.9 (Rev. CoP18)*

陆龟和淡水龟鳖的保护和贸易

意识到 每年全球陆龟和淡水龟鳖的国际贸易涉及到数百万个标本；

认识到 在贸易中发现了很多陆龟和淡水龟鳖物种，并且许多物种已经列入附录Ⅰ或附录Ⅱ；

察觉 陆龟和淡水龟鳖的收集是通过一个由诱捕、猎杀和中间商组成的广泛且非正式的网络进行的，采集工作和贸易量相当可观；

考虑到 此外，由于生物学特征，例如性成熟期长、年繁殖产量有限、幼体死亡率高及栖息地退化和丧失，陆龟和淡水龟鳖的野生种群通常容易受到过度开发的影响；

注意到 陆龟和淡水龟鳖有两种重要的贸易类型：将陆龟和淡水龟鳖及其部分作为食物和传统医药的消费，其贸易量很大；及针对特定物种的宠物贸易；

意识到 某些种类的陆龟和淡水龟鳖在分布国内外被大量繁殖，以便尤其是供应食用和药品需求，大规模商业性繁殖陆龟和淡水龟鳖的保护风险与收益尚不清楚；

注意到 装运陆龟和淡水龟鳖活体常常没有按照公约第三、第四、第五条的规定进行，特别是空运陆龟和淡水龟鳖活体常常没有按照IATA规定进行；

承认 陆龟和淡水龟鳖无管制或不可持续的贸易对野生种群构成了重大威胁，需要国际合作以紧急应对这些威胁；

忆及 由2017年在新加坡召开的CITES陆龟和淡水龟鳖特别工作组会议与会者提出的、经常委会审议通过并籍2018年3月26日的第2018/030号缔约方通知予以发布的建议；

公约缔约方大会

1．敦促：

a) 所有缔约方：

i) 在陆龟和淡水龟鳖的保护与管理、贸易及执行公约的所有方面开展合作；

ii) 评估当前管理本地陆龟和淡水龟鳖种群的工作，并在必要时改进这些工作，例如通过建立基于陆龟和淡水龟鳖特殊生物学习性的限额；及

iii) 制定并实施研究计划，以确定贸易涉及到的物种，监测和评估贸易对野生种群的影响，并评估大规模商业性繁殖陆龟和淡水龟鳖的保护风险与收益；

b) 陆龟和淡水龟鳖分布国酌情与秘书处、行业代表、感兴趣的政府和非政府组织及其他利益相关者合作，考虑制定有关CITES所列陆龟和淡水龟鳖的管理战略，包括保护陆龟和淡水龟鳖的区域行动计划；

c) 所有缔约方：

i) 其国家立法不足以有效控制陆龟和淡水龟鳖不可持续捕捞和贸易的，要颁布法律保护和管理这些物种；

ii) 特别是陆龟和淡水龟鳖的分布国与进出口国，作为当务之急，强化现行法律

*经第十二、十三和十八次缔约方大会修订，并由秘书处在第十五次缔约方大会后修正。

的执法和起诉工作；及

iii) 加强国家和国际层面野生动植物执法机构之间及执法机构与CITES主管部门之间在控制陆龟和淡水龟鳖贸易方面的合作，包括在可能情况下利用国际刑警组织(INTERPOL)的国家环境安全研讨会(NESS)促进机构间的协调，并酌情通过区域野生动植物执法网络进行合作，以促进国际一级的合作行动；

d) 所有受陆龟和淡水龟鳖非法贸易影响的缔约方：

i) 进行风险分析，并向港口的执法人员提供能力建设干预措施和检测设备，以更好地确定用于贩运陆龟和淡水龟鳖的已知运输方式；

ii) 加大力度预防、侦查和处理通过邮政和快递服务非法运输陆龟和淡水龟鳖标本问题；

iii) 必要时，利用现有的识别和执法指南，并着重于识别、当地名称、分布和插图，促进陆龟和淡水龟鳖信息的汇编、传播和翻译成当地语言，供执法人员使用；

iv) 必要时，根据有关缔约方的具体需求，编制补充识别指南，其中包含陆龟和淡水龟鳖识别特征的基本信息，以支持准确使用现有识别材料；及

v) 加大力度处理与这些标本非法国际贸易有关的国内市场的关键场所；

e) 所有缔约方：

i) 通过提高人们对现有工具，例如手机应用程序、热线电话、免费电话号码、社交媒体等的认识，授权公众举报陆龟和淡水龟鳖非法贸易及其他野生动植物犯罪；

ii) 通过提高认识的举措和面向如公共交通、路边停车站和饭店、机场和其他交通枢纽的材料，鼓励公众充当执法的耳目，尤其侧重于陆龟和淡水龟鳖的非法贸易；

iii) 提高公众对不可持续获取和非法贸易对陆龟和淡水龟鳖构成的威胁的认识，包括通过吸引拍卖平台和封闭讨论组等在线社区参与，及酌情创建和实施能够吸引目标受众和文化，特别是年轻人，通过社交和其他数字媒体参与的宣传工具；及

iv)鼓励非政府组织开发、制作和分发有关该主题的海报及其他教育和信息材料；

f) 所有缔约方和组织探索提高收集者、贸易商、出口商、进口商和消费者参与陆龟和淡水龟鳖物种保护与可持续贸易的途径；

g) 所有缔约方根据Conf. 17.8号决议*制定行动计划，一旦没收了陆龟和淡水龟鳖的活体标本，就可以立即执行；

h) 所有缔约方确保所有运输的活体陆龟和淡水龟鳖均按照相关的IATA准则进行；及

i) 所有缔约方与分布国和有关政府机构合作，推动感兴趣的非政府组织或其他团体之间发展伙伴关系，以建立和运营用于被缉获或没收的陆龟和淡水龟鳖的救护中

* 由秘书处在第十五和十七词缔约方大会后修正，原指Conf. 10.7号决议，后被 Conf. 17.8号决议取代。

心；

2. **指示** 秘书处用来自缔约方、联合国专门机构、政府间组织和非政府组织、贸易协会、行业及其他适当方面的可靠的资金来源，向有需要和要求资金支持的分布国提供援助，以使其根据本决议制定和实施有关CITES所列陆龟和淡水龟鳖的管理和执法战略及行动计划；及

3. **鼓励** 捐助者增加资助计划，以打击非法贩运陆龟和淡水龟鳖。

Conf. 11.9 (Rev. CoP18)

Conservation of and trade in tortoises and freshwater turtles

AWARE that the global international trade in tortoises and freshwater turtles involves millions of specimens each year;

RECOGNIZING that many tortoise and freshwater turtle species are found in trade, and that a number of species are already included in Appendix I or II;

OBSERVING that the collection of tortoises and freshwater turtles is carried out through an extensive informal network of trappers, hunters and middlemen, and that collection efforts and trade volumes are considerable;

CONSIDERING that, in addition, wild populations of tortoises and freshwater turtles are generally vulnerable to overexploitation, because of biological characteristics such as late maturity, limited annual reproductive output, and high juvenile mortality, as well as habitat degradation and loss;

NOTING that there are two significant types of trade in tortoises and freshwater turtles: a high-volume trade in tortoises and freshwater turtles and parts thereof for consumption both as food and in traditional medicine; and a species-focused trade for pets;

AWARE that certain species of tortoises and freshwater turtles are bred in high numbers in and outside range States, *inter alia* to supply the demand for food and medicines, and that the conservation risks and benefits of large-scale commercial breeding of tortoises and freshwater turtles are not well known;

NOTING that the shipment of live tortoises and freshwater turtles is often not conducted in accordance with the provisions of Articles III, IV and V of the Convention, and in particular that transport of live tortoises and freshwater turtles by air is often not conducted in accordance with IATA regulations;

ACKNOWLEDGING that unregulated or unsustainable trade in tortoises and freshwater turtles poses a significant threat to wild populations, and that international cooperation is needed to address these threats urgently; and

RECALLING the recommendations developed by participants of the CITES Tortoises and Freshwater Turtles Task Force meeting in Singapore, in 2017, as adopted by the Standing Committee and made available through Notification to Parties No. 2018/030 of 26 March 2018;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. URGES:
   a) all Parties to:
      i) collaborate on all aspects of conservation and management of, trade in, and implementation of the Convention for, tortoises and freshwater turtles;
      ii) assess current efforts to manage native tortoise and freshwater turtle populations, and to improve those efforts as necessary, for example by establishing quotas that take into consideration the particular biology of tortoises and freshwater turtles; and
      iii) develop and implement research programmes to identify the species involved in trade, to monitor and assess the impact of trade on wild populations, and to evaluate the conservation risks and benefits of large-scale commercial breeding of tortoises and freshwater turtles;
   b) range States of tortoises and freshwater turtles to consider developing management strategies concerning CITES-listed tortoises and freshwater turtles, including regional action plans for the conservation of tortoises and freshwater turtles, in collaboration with the
   c)

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* *Amended at the 12th, 13th and 18th meetings of the Conference of the Parties, and corrected by the Secretariat following the 15th meeting.*

Secretariat, industry representatives, interested governmental and non-governmental organizations and other stakeholders as appropriate;

d) all Parties:

i) whose national legislation is not sufficient to control effectively the unsustainable harvest of and trade in tortoises and freshwater turtles, to enact legislation to protect and manage these species appropriately;

ii) especially range States and exporting and importing States of tortoises and freshwater turtles, to enhance and increase enforcement and prosecution efforts with regard to existing legislation as a matter of urgency; and

iii) to enhance cooperation concerning control of trade in tortoises and freshwater turtles, amongst wildlife-law enforcement agencies at national and international levels, and between enforcement agencies and national CITES authorities, including by, when possible making use of INTERPOL's National Environmental Security Seminars (NESS) to promote inter-agency coordination and, as appropriate, cooperating through regional wildlife enforcement networks to facilitate collaborative action at international level;

e) all Parties affected by illegal trade in tortoises and freshwater turtles to:

i) undertake risk profiling, and to provide capacity-building interventions and detection equipment to enforcement officers at ports, to enable better targeting of known modes of transport used for trafficking in tortoises and freshwater turtles;

ii) scale up efforts to prevent, detect and address the illegal shipment of tortoises and freshwater turtles specimens through postal and courier services;

iii) where necessary facilitate the compilation, dissemination and translation into local languages, of information on tortoises and freshwater turtles, for use by enforcement officers, drawing on existing identification and enforcement guides, and focusing on identification, local names, distribution and illustrations;

iv) where necessary, develop supplementary identification guidance, tailored to the specific needs of the Party concerned, containing basic information on the characteristics used for tortoise and freshwater turtle identification, to support the accurate application of existing identification material; and

v) scale up efforts to address key locations in domestic markets associated with illegal international trade in these specimens;

f) all Parties to:

i) empower the general public by raising awareness about existing tools available to report illegal trade in tortoises and freshwater turtles and other wildlife crimes, for example mobile phone applications, hotline numbers, toll-free phone numbers, social media, and others;

ii) encourage the general public to act as the eyes and ears of law enforcement through awareness raising initiatives and materials targeting for example public transport, roadside stops and restaurants, airports and other transport hubs, with a particular focus on illegal trade in tortoises and freshwater turtles;

iii) increase public awareness of the threats posed to tortoises and freshwater turtles from unsustainable harvest and illegal trade, including by, engaging online communities such as auction platforms and closed discussion groups, and as appropriate creating and implementing awareness tools that can engage target audiences and cultures, in particular young adults, through social and other digital media; and

iv) encourage non-governmental organizations to develop, produce and distribute posters and other educational and informative materials on this subject;

g) all Parties and organizations to explore ways to enhance the participation of collectors, traders, exporters, importers and consumers in the conservation of and sustainable trade in tortoises and freshwater turtle species;

h) all Parties to develop plans of action, in compliance with Resolution Conf. 17.8[1], that can be executed without delay in the event that live specimens of tortoises and freshwater turtles are confiscated;

i) all Parties to ensure that all shipments of live tortoises and freshwater turtles are transported in compliance with relevant IATA guidelines; and

j) all Parties to 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;

2. DIRECTS the Secretariat to provide assistance with securing financial resources from Parties, United Nations specialized agencies, intergovernmental and non-governmental organizations, trade associations, industry and others as appropriate, for range States in need of and requesting financial support to develop and implement management and enforcement strategies and action plans concerning CITES-listed tortoises and freshwater turtles in accordance with this Resolution; and

3. ENCOURAGES donors to increase funding initiatives to combat illegal trafficking in tortoises and freshwater turtles.

[1] *Corrected by the Secretariat following the 15th and 17th meetings of the Conference of the Parties: originally referred to Resolution Conf. 10.7, replaced by Resolution Conf. 17.8.*

Conf. 11.10 (Rev. CoP15)*

石质珊瑚贸易

意识到 石质珊瑚(苍珊瑚目Helioporacea、多孔螅目Milleporina、石珊瑚目Scleractinia、多茎目Stolonifera和柱星螅目Stylasterina目)以未经加工的水族馆标本和收藏品等形式出现在国际贸易中；

认识到 珊瑚礁块、珊瑚碎片、珊瑚沙和其他珊瑚制品也出现在国际贸易中；

注意到 珊瑚所具有的独特性，即：其骨架稳固，并随着时间推移可能会发生矿化，基层通常是作为礁石的基底，及一旦遭到侵蚀后珊瑚碎片会形成部分矿物和沉积物；

也注意到 珊瑚礁块对活珊瑚的附着能起到重要作用，及珊瑚礁的移动可能会对珊瑚礁生态系统造成危害；

意识到 除了能将其鉴定到石珊瑚目这一分类学水平为止，很难对珊瑚礁块进行进一步的鉴定，并由此造成公约第四条第2款a项所提及的“非致危性判定”难以得到适用；

注意到 公约第四条第3款要求对附录II中每一物种标本的出口进行监测，以评估这些物种是否维持在一个与其在生态系统中所起作用相一致的水平上；

注意到 仅仅对出口本身进行监测，很难做到公约第四条第3款要求的对珊瑚采集给其所来自的生态系统所造成的影响进行评估；

承认 对珊瑚碎片和珊瑚沙难以识别；

又**认识到** 对于非专业人员，因缺少标准命名法和全面并便利的鉴定指南，常常难以在种的水平上对活的或死的珊瑚标本进行鉴定；

认识到 公约条款不适用于珊瑚化石；

注意到 公约的条款在有关珊瑚的贸易中一直难以得到运用和执行；

公约缔约方大会

1. **批准** 本决议附件所提出的有关珊瑚沙、珊瑚碎片、珊瑚礁块、活珊瑚和死珊瑚的工作定义；
2. **建议** 缔约方在批准珊瑚出口时对第四条第3款的执行给予更多关注，并在依靠监测珊瑚贸易本身这一手段的同时，采用有关生态系统评估方面的原理和惯例而不仅仅依靠监测出口；及
3. **敦促**：
   a) 在秘书处的协调下，各有关缔约方和其他来自珊瑚分布国和消费国的组织优先为制定便利并实用的指南进行合作并提供支持，以识别贸易中所涉及的珊瑚和珊瑚礁块，并通过适当的媒体，使各缔约方能广泛地获得这些指南；及
   b) 各缔约方寻求与其他多边环境协定等开展协作，共同为珊瑚礁生态系统的保护和可持续利用而努力。

*经第十二、十四和十五次缔约方大会修订。

附件　定义

珊瑚沙——完全或部分地由碾碎的死珊瑚碎片组成且直径不超过2毫米的材料，同时，除其他组分之外，可能还夹杂着有孔虫类、软体动物、甲壳类的贝壳及珊瑚藻等残余物。无法鉴定到属。

珊瑚碎片 (包括砂砾和碎石)——从任何方向度量，在2至30毫米之间、断手指状的死珊瑚和其他材料组成的松散片段，无法鉴定到属。

珊瑚礁块[1] (包括活的珊瑚石及亚层)——由死珊瑚碎片组成的直径大于3厘米的坚固材料，其中可能含有起黏结作用的沙子、珊瑚藻或其他沉积礁石。“活的珊瑚石”专指附着有活的无脊椎动物或珊瑚藻 (非公约附录物种)标本的珊瑚礁块，并且常通过内部潮湿但无水的柳条箱运输。“亚层”专指附着有活的无脊椎动物 (非公约附录物种)标本的珊瑚礁块，但在运输过程中如活珊瑚一样常被浸泡在水中。对珊瑚礁块难以鉴定到属但可以鉴定到目。本定义不包括被定义为死珊瑚的标本。

死珊瑚——采集时可能尚活着但出口时确已死亡的珊瑚块，其中的珊瑚石结构 (单个珊瑚虫的骨架)仍然保持完整；标本也由此可被鉴定到种或属。

活珊瑚——在水中运输的活珊瑚块，可被鉴定到种或属。

[1]公约条款不适用于不含珊瑚的礁块和其珊瑚已成为化石的礁块。

Conf. 11.10 (Rev. CoP15)*

Trade in stony corals

AWARE that stony corals (in the orders Helioporacea, Milleporina, Scleractinia, Stolonifera, and Stylasterina) are in international trade as intact specimens for aquaria and as curios;

RECOGNIZING that coral rock, fragments, sand and other coral products are also traded;

NOTING the unique nature of corals, namely that their skeletons are persistent, that they may become mineralized in time and that they are the foundation of reefs, and that, following erosion, fragments of coral may form part of mineral and sedimentary deposits;

NOTING also that coral rock may act as an important substrate for the attachment of live corals and that the removal of rock may have a detrimental impact on reef ecosystems;

AWARE, however, that coral rock cannot be readily identified other than to the order Scleractinia and that accordingly non-detriment findings under Article IV, paragraph 2 (a), of the Convention cannot be readily applied;

NOTING that Article IV, paragraph 3, requires the monitoring of exports of specimens of each species in Appendix II, in order to assess whether the species is being maintained at a level consistent with its role in the ecosystem;

NOTING that assessments under Article IV, paragraph 3, of the impacts of harvesting corals on the ecosystems from which they are derived cannot be adequately made by monitoring exports alone;

ACCEPTING that coral fragments and coral sand cannot be readily recognized;

RECOGNIZING also that it is frequently difficult to identify live or dead corals to the species level owing to the lack of a standard nomenclature and the lack of comprehensive and accessible identification guides for the non-specialist;

RECOGNIZING that stony corals that are fossilized are not subject to the provisions of the Convention; NOTING that it has been difficult to apply and enforce the provisions of the Convention to trade in corals;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. ADOPTS the working definitions of coral sand, coral fragments, coral rock, live coral and dead coral provided in the Annex to this Resolution;
2. RECOMMENDS that Parties give much greater emphasis to the implementation of Article IV, paragraph 3, when permitting the export of corals and that they adopt the principles and practice of an ecosystem approach, rather than relying on the monitoring of exports alone; and
3. URGES:
   a) interested Parties and other bodies from range and consumer States to collaborate and provide support, coordinated by the Secretariat, to produce as a priority accessible and practical guides to recognizing corals and coral rock in trade and to make these widely available to Parties through appropriate media; and
   b) Parties to seek synergy with other multilateral environmental agreements and initiatives to work for the conservation and sustainable use of coral reef ecosystems.

* *Amended at the 12th, 14th and 15th meetings of the Conference of the Parties.*

Annex Definitions

Coral sand – material consisting entirely or in part of finely crushed fragments of dead coral no larger than 2 mm in diameter and which may also contain, amongst other things, the remains of Foraminifera, mollusc and crustacean shell, and coralline algae. Not identifiable to the level of genus.

Coral fragments (including gravel and rubble) – unconsolidated fragments of broken finger-like dead coral and other material between 2 and 30 mm measured in any direction, which is not identifiable to the level of genus.

Coral rock[1] *(also live rock and substrate)* – hard consolidated material, >3 cm in diameter, formed of fragments of dead coral and which may also contain cemented sand, coralline algae and other sedimentary rocks. *'Live rock'* is the term given to pieces of coral rock to which are attached live specimens of invertebrate species and coralline algae not included in the CITES Appendices and which are transported moist, but not in water, in crates. *'Substrate'* is the term given to pieces of coral rock to which are attached invertebrates (of species not included in the CITES Appendices) and which are transported in water like live corals. Coral rock is not identifiable to the level of genus but is recognizable to the level of order. The definition excludes specimens defined as dead coral.

Dead coral – pieces of coral that are dead when exported, but that may have been alive when collected, and in which the structure of corallites (the skeleton of the individual polyp) is still intact; specimens are therefore identifiable to the level of species or genus.

Live coral – pieces of live coral transported in water and that are identifiable to the level of species or genus.

[1] *Rock that does not contain any corals or in which the corals are fossilized is not subject to the provisions of the Convention.*

Conf. 11.11 (Rev. CoP18)[1]

植物贸易规定

忆及 第九次缔约方大会 (劳德代尔堡，1994)通过，并在第十次缔约方大会 (哈拉雷，1997)修订的关于植物履约问题的Conf 9.18 (Rev.)号决议；

意识到 公约提供了一系列国际合作措施来保护某些种类的野生植物不致由于国际贸易而受到过度开发；

意识到 公约文本和缔约方大会做出的有关植物的若干决议，可能并没有充分考虑现代植物培植和人工培植植物贸易的发展势头；

忆及 各缔约方在处理植物履约问题时所面临的、并还将面临的诸多特定问题；

认识到 植物贸易和植物生物学特性有其独特性，如兰科植物的瓶装籽苗问题，就不应与动物一视同仁，因此在有些情况下针对植物采取特殊政策是很有必要的；

认识到 对产自封闭苗圃的兰科植物瓶装籽苗的贸易进行控制，往往与保护兰科植物的自然种群关系不大；

认识到 在公约框架下管理植物国际贸易所涉及的问题大都与人工培植标本有关；

认识到 某些植物物种在各种生产系统中繁殖和生长，并受到不同程度的人为干预，这可能对野外种群造成不同程度的影响；

也**认识到** 公约第三条的规定依旧是许可那些不适用于公约第七条第4、5款豁免措施的附录植物物种标本贸易的基础；

注意到 公约第三条第3款 (c)项不允许进口野外采集的附录I植物物种标本来建立商业性的人工培植场，这在第五次缔约方大会 (布宜诺斯艾利斯，1985)通过并经第十五次大会(多哈，2010)修订的Conf. 5.10 (Rev. CoP15)号决议中已经作了进一步解释；

察觉 批准大量出口人工培植植物的某些缔约方，需寻找途径在保护好野生植物的同时减少纸面上的工作，同时又帮助人工培植植物的出口商理解并遵守公约规定；

意识到 通过引入注释，即可使植物标本根据公约的豁免条款合法进入国际贸易，而在原产国以外其符合上述豁免的资格可能中止；

意识到 上述标本在随后的国际贸易中需要附具公约许可证或证明书；

认识到 在缺少原产国签发的出口许可证的情况下，也许难以签发上述许可证或证明书；

公约缔约方大会

关于“人工培植”的定义

1. **通过** 本决议所用若干术语的定义如下：

   a) “控制条件”是指为植物生产而受深度人为操作的一种非自然环境。控制条件的一般特征可包括，但又不仅限于耕作、施肥、除草、虫害控制、灌溉、或诸如盆植、整床等或防备恶劣气候等类的苗圃作业；

   b) “培植亲本”是指在控制条件下生长的、用来繁殖的植物体，且必须获得出口国指

[1] 经第十三、十四、十五、十七和十八次缔约方大会修订，并由秘书处在十六次缔约方大会后修正。

定公约机构在以下两个方面的认可：

i) 符合公约和本国有关法律法规的规定，且以不危害该物种野生种群生存的方式建立；及

ii) 拥有足够的繁殖量，无需或极少从野外补充。万不得已需要补充的，仅限于维持该培植亲本活力和生产力所需的数量；及

c) 根据《栽培植物命名国际编码》第8版的定义，“栽培品种”是指植物的一种集合，它们 (a)因具有某一特定性状或性状组合被人为选出，(b)在这些性状上都具有独特性、一致性和稳定性，(c)通过适当的方式繁殖后能够保持那些性状 (参阅第9.1条附注1[2])。

2. **确定** “人工培植”一词对植物标本而言，应解释为：

a) 在控制条件下生长；且

b) 由豁免于公约条款的或是培植亲本生产的种子、插条、分株、愈伤组织或其他植物组织、孢子或其他繁殖体长成；

3. **确定** 如果贸易中的标本没有包含任何采自野外的材料，由插条、分株长成的植物应被视为人工培植标本；ji

4. **建议** 对于附录I所列物种的种群，如果涉及的分类单元为以下情况，则可作为第2和第3款的例外，并认为是人工繁育的标本：

a) i) 由于标本需要花费很长时间才能达到繁殖年龄，如很多树木类物种，要建立培植亲本在实践中极端困难；

ii) 繁殖体是从野外采集来的，生长在分布国的控制环境下，该分布国也必须是此类种子或孢子的原产国；

iii) 该分布国的相关管理机构已经确定采集此类繁殖体是合法的，并不违反该国保护和保育该物种的有关法律；及

iv) 该分布国的科学机构已经确定：

A. 根据关于非致危性判定的Conf.16.7(Rev. CoP17)号决议，采集繁殖体的方式不会危害该物种的野外生存；及

B. 允许上述标本的贸易对保护野生种群有积极影响；

b) 要满足上述第4小段a)项第iv)条A、B两款条件，至少应：

i) 为此目的采集繁殖体仅限于以允许重建其野生种群等方式进行；

ii) 在上述境况下生产的植物的一部分，要用来建立种植园，作为将来的培植亲本，成为繁殖体的额外来源，进而减少或消除对采集野生繁殖体的需求；及

iii)在适当的情况下，将在这种情况下生产的部分植物移植到野外，以促进现有种群的恢复或重建已灭绝的种群；并

c) 人工培植场在上述条件下以商业目的人工培植附录物种，则应依照关于以出口为目的附录I植物人工培植标本的苗圃的注册的Conf. 9.19 (Rev. CoP15)号决议向公约

[2] 9.1条规定只有在其种类名称和限定范围被正式发表后，才能被认定为栽培植物（包括一个栽培种）新的分类单元。

秘书处进行注册；

关于嫁接植物

5. 建议

a) 只有砧木和接穗均来自符合以上人工培植定义的标本的嫁接植物，才能被视为人工培植；及

b) 嫁接标本若由来自不同附录级别的分类单元组成，则应被视为附录级别较高的分类单元的标本；

关于杂种

6. **确定：**

a) 尽管杂种未被列入公约附录中，但如果其亲本一方或双方为公约附录物种，该杂种依然受公约管制，除非在公约附录II或附录III的注释中做出了该杂种不受公约管制的注解；及

b) 关于人工培植的杂种：

i) 如果相关的条款适用于附录I物种，附录I中的植物种或其他分类单元应加以注释 (根据公约文本第十五条)；

ii) 如果列入附录I中的一个植物物种或分类单元被注释，则由该物种或分类单元产生的人工培植杂交种，在贸易时需办理出口许可证或再出口证明书；但

iii) 从一种或多种未加注释的附录I物种或分类单元产生的人工培植杂交种，应作为附录II物种来对待，因此也适用于对附录II物种标本的所有豁免条款；

关于栽培品种

7. **决定** 除非被附录I、II 或III的特定注释豁免，栽培品种应受公约规定管制；

关于附录Ⅰ兰科植物瓶装籽苗

8. **建议** 如果体外获得的、置于固体或液体培养基中，用无菌容器运输的附录I兰科植物瓶装籽苗满足了人工培植的定义，可根据公约文本第七条第4款、第一条第b(iii)款和关于豁免的Conf. 9.6 (Rev. CoP 16)[3]号决议的规定，免受公约的管制；

关于“通过辅助生产获得的植物”(“辅助生产”)的定义

9. **通过** 本决议所用的若干术语定义以下：

a) “辅助生产”是指以下植物标本：

i) 不满足“人工培植”定义，及

ii) 被认为不是“野生”的，因为它们是在人为干预的环境中繁殖或种植的；

b) “辅助生产”的繁殖材料可来自按公约规定豁免的植物材料，或来源于人工培植植

[3] 由秘书处在第十六次缔约方大会后修正，原为Conf. 9.6 (Rev.)号决议。

物，或来自在不同水平人为干预的环境中生长的植物材料，或来源于根据CITES和相关国家法律规定，以不危害野外物种生存的方式从野外种群可持续采集的植物材料；

10. **同意** 附录物种通过“辅助生产”所获的植物标本的贸易，同样适用于文本第三、四、五条，特别是以下情况：

a) 出口国管理机构确认该出口标本的获得不违反本国保护该物种的相关法律；及

b) 出口国的科学机构认为该项出口不致危害物种的生存[4]；

关于国际贸易中的豁免植物标本

11. **确定** 公约豁免资格终止标本，如系合法出口和进口的，可被视为原产于其豁免资格终止的国家；

关于植物的执法

12. **建议** 各缔约方保证：

a) 执法官员充分了解公约的有关要求、公约植物标本的管理检查和报关程序及侦察非法贸易所必须的程序等；

b) 执法机构可以获取用来识别贸易中的植物标本的资料和技术，包括区别野生标本和人工培植标本的知识；

c) 执法机构可以使用年度报告、植物健康证明、苗圃目录和其他相关信息来侦破可能存在的非法贸易；

d) 执法机构、管理机构与科学机构在确定和实施执法优先领域方面保持密切的联系；及

e) 仔细检查贸易材料以强化执法工作，要特别注意对声称是人工培植植物的在进口和出口时均加以检查；

关于救护植物标本的贸易

13. 建议：

a) 如果可能，缔约方应保证环境变化项目不会威胁公约附录所列植物的生存，应视附录I植物的就地保护为应尽的国家和国际义务；

b) 在无法保证项目建设对公约附录物种的生存不会产生影响的情况下，缔约方应建立拯救植物标本的栽培地；及

c) 对救护的附录I或附录II植物的标本进行国际贸易，有可能会危害该物种在野外的生存。为此，其贸易必须满足下列全部条件：

i) 此类贸易可以明显增强该物种的生存，虽然不是野外种群；

ii) 进口的目的是为了照顾和人工培植该物种；及

iii)进口者确实是植物园或科学机构；及

[4] 不适用于附录III物种。

关于通过公约来开展植物保护的教育

14. 建议：

a) 缔约方应定期向科学刊物、园艺或植物贸易杂志及植物协会出版物提供植物履约所涉及的各方面的最新信息；

b) 缔约方应定期向植物园、旅游组织、和相关非政府组织提供植物履约所涉及的各方面的最新信息，以便后者向公众广为传播；

c) 缔约方应与国内植物贸易组织发展和保持密切的合作关系，告知他们植物履约所涉及的各方面的最新信息，并将这些国内组织在执行公约中遇到的问题报告秘书处，供植物委员会考虑；

d) 秘书处应与国际植物贸易组织和植物园协会 (尤其是国际植物园协会和植物园保护国际)建立和保持密切的合作；及

e) 秘书处应宣传人工培植所带来的潜在保护益处，并在可能的情况下，鼓励发展人工培植事业，使之替代从野外采集标本的活动；及

15. **废除** Conf. 9.18 (Rev.)号决议 (劳德代尔堡，1994；修订于哈拉雷，1997)——植物贸易规定。

Conf. 11.11 (Rev. CoP18)*

Regulation of trade in plants

RECALLING Resolution Conf. 9.18 (Rev.), adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994) and amended at its 10th meeting (Harare, 1997), relating to the implementation of CITES for plants;

AWARE that the Convention provides measures for international cooperation 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 flasked orchid seedlings, that are not considered analogous to those for animals and that a different approach for plants is sometimes necessary;

RECOGNIZING that the control of the trade in flasked seedlings of orchids from closed nursery systems generally is not considered to be relevant to the protection of the natural populations of orchid species;

RECOGNIZING that many of the problems associated with regulating international trade in plants under the Convention involve artificially propagated specimens;

RECOGNIZING that there are plant species that are propagated and grown in diverse production systems with various degrees of human intervention, that may have different levels of impact on wild populations;

RECOGNIZING also that the provisions of Article III of the Convention remain the basis for permitting trade in specimens of Appendix-I species of plants that do not qualify for the exemptions of paragraphs 4 and 5 of Article VII;

NOTING that import of wild-collected specimens of Appendix-I plant species for purposes of establishing a commercial operation for artificial propagation is precluded by Article III, paragraph 3 (c), of the Convention, as explained further in Resolution Conf. 5.10 (Rev. CoP15), adopted by the Conference of the Parties at its fifth meeting (Buenos Aires, 1985) and amended at its 15th meeting (Doha, 2010);

OBSERVING that certain Parties that authorize export of large quantities of artificially propagated plants need to find ways of reducing paperwork while maintaining protection for wild plants, and helping exporters of artificially propagated plants to understand and to comply with the requirements of the Convention;

AWARE that plant specimens may legally enter international trade under exemptions from the provisions of CITES, provided by an annotation, and that the qualification for such an exemption may cease outside the country of origin;

AWARE that such specimens need CITES permits or certificates for subsequent international trade;

RECOGNIZING that, in the absence of an export permit issued in the country of origin, it may be difficult to issue such CITES permits or certificates;

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* *Amended at the 13th, 14th, 15th, 17th and 18th meetings of the Conference of the Parties and corrected by the Secretariat following the 16th meeting.*

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

Regarding the definition of 'artificially propagated'

1. ADOPTS the following definitions for terms used in this Resolution:

   a) 'under controlled conditions' means in a non-natural environment that is intensively manipulated by human intervention for the purpose of plant production. General characteristics of controlled conditions may include but are not limited to tillage, fertilization, weed and pest control, irrigation, or nursery operations such as potting, bedding or protection from weather;

   b) 'cultivated parental stock' means the ensemble of plants grown under controlled conditions that are used for reproduction, and which must have been, to the satisfaction of the designated CITES authorities of the exporting country:

      i) established in accordance with the provisions of CITES and relevant national laws and in a manner not detrimental to the survival of the species in the wild; and

      ii) maintained in sufficient quantities for propagation so as to minimize or eliminate the need for augmentation from the wild, with such augmentation occurring only as an exception and limited to the amount necessary to maintain the vigour and productivity of the cultivated parental stock; and

   c) 'cultivar' means, following the definition of the 8th edition of the *International Code of Nomenclature for Cultivated Plants*, an assemblage of plants that (a) has been selected for a particular character or combination of characters, (b) is distinct, uniform, and stable in these characters, and (c) when propagated by appropriate means, retains those characters (but see Article 9.1 Note 1)[1]

2. DETERMINES that the term 'artificially propagated' shall be interpreted to refer to plant specimens:

   a) grown under controlled conditions; and

   b) grown from seeds, cuttings, divisions, callus tissues or other plant tissues, spores or other propagules that either are exempt from the provisions of the Convention or have been derived from cultivated parental stock;

3. DETERMINES that plants grown from cuttings or divisions are considered to be artificially propagated only if the traded specimens do not contain any material collected from the wild; and

4. RECOMMENDS that, for populations of Appendix-I listed species, an exception to paragraphs 2 and 3 may be granted and specimens deemed to be artificially propagated if, for the taxon involved:

   a) i) the establishment of a cultivated parental stock presents significant difficulties in practice because specimens take a long time to reach reproductive age, as for many tree species;

      ii) the propagules are collected from the wild and grown under controlled conditions within a range State, which must also be the country of origin of the propagules;

      iii) the relevant Management Authority of that range State has determined that the collection of propagules was legal and consistent with relevant national laws for the protection and conservation of the species; and

      iv) the relevant Scientific Authority of that range State has determined that:

         A. collection of propagules was in a manner not detrimental to the survival of the species in the wild in accordance with Resolution Conf. 16.7 (Rev. CoP17) on *Non- detriment findings*; and

         B. allowing trade in such specimens has a positive effect on the conservation of wild populations;

   b) at a minimum, to comply with subparagraphs 4 a) iv) A. and B. above:

[1] *Article 9.1 Note 1 states that no new taxon of cultivated plants (including a cultivar) can be regarded as such until its category name and circumscription have been formally published.*

i) collection of propagules for this purpose is limited in such a manner such as to allow regeneration of the wild population;

ii) a portion of the plants produced under such circumstances is used to establish plantations to serve as cultivated parental stock in the future and become an additional source of propagules and thus reduce or eliminate the need to collect propagules from the wild; and

iii) if appropriate, a portion of the plants produced under such circumstances is used for replanting in the wild, to enhance recovery of existing populations or to re-establish populations that have been extirpated; and

c) in the case of operations propagating Appendix-I species for commercial purposes under such conditions they are registered with the CITES Secretariat in accordance with Resolution Conf. 9.19 (Rev. CoP15) on *Registration of nurseries that artificially propagate specimens of Appendix-I plant species for export purposes*;

Regarding grafted plants

5. RECOMMENDS that:

a) grafted plants be recognized as artificially propagated only when both the root-stock and the graft have been taken from specimens that have been artificially propagated in accordance with the definition above; and

b) grafted specimens consisting of taxa from different Appendices be treated as specimens of the taxon included in the more restrictive Appendix;

Regarding hybrids

6. DETERMINES that:

a) hybrids shall be subject to the provisions of the Convention even though not specifically included in the Appendices if one or both of their parents are of taxa included in the Appendices, unless the hybrids are excluded from CITES controls by a specific annotation in Appendix II or III; and

b) regarding artificially propagated hybrids:

i) plant species or other taxa included in Appendix I shall be annotated (in accordance with Article XV) if the provisions relevant to the most restrictive Appendix are to apply;

ii) if a plant species or other taxon included in Appendix I is annotated, an export permit or re-export certificate shall be 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 shall be regarded as being included in Appendix II and entitled therefore to all exemptions applicable to artificially propagated specimens of species included in Appendix II;

Regarding cultivars

7. DETERMINES that cultivars shall be subject to the provisions of the Convention unless excluded by a specific annotation in Appendix I, II or III;

Regarding flasked seedlings of Appendix-I orchids

8. RECOMMENDS that flasked seedlings of orchid species included in Appendix I obtained *in vitro*, in solid or liquid media, and transported in sterile containers, be interpreted as being exempt from CITES control only if they have been artificially propagated in accordance with the definition provided above, taking into account the provisions of Article VII, paragraph 4, and Article I, paragraph (b) (iii), and agreeing to a derogation from Resolution Conf. 9.6 (Rev. CoP16)[2] for this exemption;

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[2] *Corrected by the Secretariat following the 16th meeting of the Conference of the Parties: originally referred to Resolution Conf. 9.6 (Rev.).*

Regarding the definition of 'plant obtained through assisted production' ('assisted production')

9. ADOPTS the following definition for the terms used in this Resolution:

   a) 'assisted production' shall be used to refer to plant specimens that:

      i) do not fulfil the definition of 'artificially propagated', and

      ii) are considered not to be 'wild' because they are propagated or planted in an environment with some level of human intervention for the purpose of plant production;

   b) propagation material for 'assisted production' plant can be derived from plant material that is exempt from the provisions of the Convention, or derived from artificially propagated plants, or derived from plants grown in an environment with some level of human intervention or derived from plant materials collected sustainably from wild populations in accordance with the provisions of CITES and relevant national laws and in a manner not detrimental to the survival of the species in the wild;

10. AGREES that, for trade in specimens from 'assisted production' plants of species included in the Appendices, the provisions of Articles III, IV and V of the Convention shall continue to apply, in particular including:

    a) A Management Authority of the State of export is satisfied that the specimen to be exported was not obtained in contravention of the laws of the State for the protection of the species; and

    b) A Scientific Authority of the State of export has advised that the export will not be detrimental to the survival of the species;[1]

Regarding plant specimens in international trade under exemptions

11. DETERMINES that specimens that cease to qualify for an exemption from the provisions of CITES, under which they were legally exported and imported, are deemed to originate in the country in which they cease to qualify for the exemption;

Regarding enforcement for plants

12. RECOMMENDS that Parties ensure that:

    a) enforcement officers are adequately informed of CITES requirements, procedures governing inspection and clearance of CITES plant specimens, and procedures necessary for the detection of illegal trade;

    b) enforcing agencies obtain access to materials and expertise enabling identification of plant specimens in trade, including whether the specimens are of wild or artificially propagated origin;

    c) enforcing agencies utilize annual reports, plant health documents, nursery catalogues and other sources of information to detect possible illegal trade;

    d) enforcing agencies maintain close liaison with the Management and Scientific Authorities for the purpose of setting and implementing enforcement priorities; and

    e) material in trade is carefully checked in order to improve enforcement and in particular that plants declared to have been artificially propagated are checked both on import and on export;

Regarding trade in salvaged plant specimens

13. RECOMMENDS that:

    a) whenever possible, Parties ensure programmes of environment modification do not threaten the survival of plant species included in the CITES Appendices, and that protection of Appendix-I species *in situ* be considered as a national and international obligation;

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[1] *This does not apply for Appendix-III species.*

b) Parties establish salvaged specimens in cultivation where concerted attempts have failed to ensure that such programmes do not put at risk wild populations of species included in the CITES Appendices; and

c) international trade in salvaged specimens of Appendix-I plants, and of Appendix-II plants whose entry into trade might otherwise have been considered detrimental to the survival of the species in the wild, be permitted where all of the following conditions are met:

i) such trade would clearly enhance the survival of the species, albeit not in the wild;

ii) import is for the purposes of care and propagation of the species; and

iii) import is by *bona fide* botanic garden or scientific institution; and

Regarding education about plant conservation through CITES

14. RECOMMENDS that:

a) Parties routinely provide updates of information on all aspects of CITES implementation for plants for publication in scientific, horticultural or plant trade journals and in the publications of plant associations;

b) Parties regularly provide updates of information on all aspects of CITES implementation to botanic gardens, tourist organizations and relevant non-governmental organizations for further dissemination to the general public;

c) Parties develop and maintain a good liaison with national plant-trade organizations, to inform them about all aspects of the implementation of CITES for plants;

d) the Secretariat develop and maintain a good liaison with international plant-trade organizations and botanic garden associations (in particular with the International Association of Botanic Gardens and Botanic Gardens Conservation International); and

e) the Secretariat distribute information on the potential conservation benefits that may be derived from artificial propagation and, where appropriate, encourage artificial propagation as an alternative to the removal of specimens from the wild; and

15. REPEALS Resolution Conf. 9.18 (Rev.) (Fort Lauderdale, 1994, as amended at Harare, 1997) – *Regulation of trade in plants*.

Conf. 11.12 (Rev. CoP15)*

鳄鱼皮鉴别的通用标签系统

意识到 所有现存的鳄鱼物种均已列入了公约附录Ⅰ或附录Ⅱ，但**关注到**许多鳄鱼物种可能存在一定程度的非法贸易；

认识到 通过指定年度出口限额可以将鳄类的某些种群由附录Ⅰ降列到附录Ⅱ，出口限额须确保每年从这些种群中捕捉不会危害它们的生存；

意识到 非法贸易威胁到了某些鳄类种群的生存，损害了生产国在持续管理其鳄类资源方面所作的努力；

忆及 公约第六条第7款规定可以对公约附录所列物种标本进行标记以助识别；

考虑到 将所有用于国际贸易的鳄鱼皮予以标记已经并将继续作为有效管理鳄鱼国际贸易的一项基本措施，就此，第六次缔约方大会 (渥太华，1987)和第九次缔约方大会 (劳德代尔堡，1994)分别通过了Conf. 6.17号和 Conf. 9.22号决议；

注意到 秘书处已经建立和维护着一份关于可以生产鳄鱼皮标记标签的工厂的注册名单；

公约缔约方大会

1. 建议：

a) 为鉴别鳄鱼原皮、鞣制皮和(或)成皮，引入一种通用的标记系统，由原产国对进入国际贸易的所有鳄鱼皮全部利用一种无法重复使用的标签进行标记；

b) 在出口前，将鳄鱼整皮、肋皮和背开皮分别标记；

c) 无法重复使用的标签起码应该标上以下内容：原产国的ISO双字母代码、独有的序列识别号码、物种标准代码 (见附件1)。合适的话，还应根据第十一次缔约方大会 (吉吉里，2000)通过并经第十四和十五次缔约方大会 (海牙，2007；多哈 2010)修订的Conf. 11.16 (Rev. CoP15)号决议的有关规定记录该皮张生产或猎捕年份。此外，此类标签至少应该具备以下特征：一个抗磨损的自锁结构，抗高温、耐化学和机械加工、冲压而成的永久性包括条形码在内的字母数字信息；

d) 标签上的信息按原产国、皮张生产或猎捕年份、序列号、物种代码这一顺序排列时，在皮张生产或猎捕年份和序列号之间要用一个(-) 隔开；

e) 标记由杂种鳄鱼生产的皮张时，可用HYB作为其物种代码来替代本决议附件1所列的物种标准代码。如果知道该杂种的亲本，则用由“x”隔开的两个亲本的物种代码作为其物种代码 (比如，PORxSIA表示该杂种是湾鳄*Crocodylus porosus*和暹罗鳄*Crocodylus siamensis*的杂交种)；

f) 出口尾皮、喉皮、足皮、背皮和其他部分时，应将它们装在透明的密封容器中，该容器应该用无法重复使用的标记或标签明确标记，标签上除注明本决议第c)、d)、e)款对整皮、肋皮和背开皮所要求的信息外，还应注明所装物品的货物类型和总重量；

g) 在法律许可的情况下，缔约方应对鳄鱼皮生产商、鞣革商、进口商和出口商实行注册或许可制度，或者两种制度并用；

*经第十五次缔约方大会后修订，并由秘书处在第十六次缔约方大会后修正。

h) 允许再出口鳄鱼原皮、鞣制皮和(或)成品皮的所有缔约方，应建立有效核实进口和再出口的管理制度，确保再出口的整皮和肋皮依然完整无缺地带着原来的标签，除非原来进口的皮片已经进一步加工并被切成了更小的碎块；

i) 一旦原来的标签被丢失，损坏或从原皮、鞣制皮和 (或)成品皮以、肋皮及背开皮上被去掉，再出口国在再出口上述整皮、肋皮或背开皮时必须给它们挂上“再出口标签”。该标签应载明本决议第c)款要求的除原产国、物种标准代码及皮张生产和 (或)猎捕年份以外的所有信息。此外，还应将标签上的同样信息及进口这些皮张、肋皮和背开皮时所依据的最初许可证的详情一同标注在再出口证明书中；

j) 只有在为鳄鱼皮及其部分的贸易签发的出口许可证、再出口证明书或其他公约文件中包括上述c)，f)，i) 或j)款要求的相应内容，且相关的皮张及其部分已按本决议的规定进行了标记时，各缔约方才能接受；

k) 各缔约方，在合适的情况下接受秘书处的指导，执行由本决议附件2所概述的贸易用标签的管理和跟踪系统；及

l) 管理机构应确保销毁那些在标签适用的年份内未用于标记整皮、肋皮和背开皮的标签；

2. **指示** 秘书处在适宜的情况下向动物委员会和相关的缔约方报告本系统的不足之处或值得特别关注的情况；及

3. **废除** 以下决议：

a) Conf. 6.17号决议 (渥太华，1987)——尼罗鳄和湾鳄皮出口限额的执行；及

b) Conf. 9.22 号决议 (劳德代尔堡，1994)——鉴别鳄鱼皮的通用标记系统。

附件 1 识别鳄鱼物种的标准代码

物种	代码	中文名
Alligator mississippiensis	MIS	密西西比鳄
Alligator sinensis	SIN	扬子鳄
Caiman crocodilus apaporiensis	APA	中美短吻鼍
Caiman crocodilus chiapasius	CHI	中美短吻鼍
Caiman crocodilus crocodilus	CRO	中美短吻鼍
Caiman crocodilus fuscus	FUS	中美短吻鼍
Caiman latirostris	LAT	南美短吻鼍
Caiman yacare	YAC	凯门短吻鼍
Crocodylus acutus	ACU	窄吻鳄
Crocodylus cataphractus	CAT	尖吻鳄
Crocodylus intermedius	INT	中介鳄
Crocodylus johnsoni	JOH	澳洲鳄
Crocodylus mindorensis	MIN	菲律宾鳄
Crocodylus moreletii	MOR	佩腾鳄
Crocodylus niloticus	NIL	尼罗鳄
Crocodylus novaeguineae	NOV	伊里安鳄

Crocodylus palustris	PAL	恒河鳄
Crocodylus porosus	POR	湾鳄
Crocodylus rhombifer	RHO	菱斑鳄
Crocodylus siamensis	SIA	暹罗鳄
Gavialis gangeticus	GAV	食鱼鳄
Melanosuchus niger	NIG	亚马逊鳄
Osteolaemus tetraspis	TET	短吻鳄
Paleosuchus palpebrosus	PAP	盾吻南美鳄
Paleosuchus trigonatus	TRI	锥吻南美鳄
Tomistoma schlegelii	SCH	马来鳄

附件 2 鳄鱼皮贸易用标签的管理和跟踪系统

1. 秘书处应建立、维护和定期修订一份经核准的有能力生产满足本决议第c)款规定的最低要求的标签的厂商名单，秘书处还应定期将此类厂商的情况通报各缔约方，各缔约方的管理机构只能从经核准的厂商处获得标签来标记鳄鱼整皮、肋皮及背开皮。
2. 任何在秘书处注册且经核准的标签生产厂家，均应首先做出以下书面承诺：
   a) 不复制任何按本决议要求所生产的序列标签；及
   b) 对于缔约方，只向其管理机构出售此类标签；对于非缔约方，只向秘书处根据 Conf. 9.5(Rev. CoP16)* 号决议认可的该国政府指定的机构或其核准的单位出售；
3. 应任一管理机构要求，秘书处应购买和散发鳄鱼皮标签并要求预先付款，但如果缔约方请求援助且有外来资助的除外。
4. 在为鳄鱼皮或其他受本决议控制的标本签发出口许可证或再出口证明书时，缔约方应记录下与每份文件相关的标签号码，以备秘书处调用。
5. 在适当的情况下，当常委会指令或者原产国和秘书处一致同意时，出口国、再出口国和进口国的管理机构应在签发或收到每一份鳄鱼整皮、肋皮或背开皮的出口许可证、再出口证明书或者其他公约文件后，立即向秘书处提供其副本。
6. 要求或者准备要求使用容器标记或标签的缔约方，应至少提供一份标记或标签样品给秘书处备案。

* 由秘书处在第十六次缔约方的大会修正，原指Conf. 9.5 (Rev. CoP15)号决议。

Conf. 11.12 Universal tagging system for the identification of crocodilian skins

(Rev. CoP15)*

AWARE that all living crocodilian species are listed in Appendix I or II, but CONCERNED that several crocodilian species may be subject to some levels of illegal trade;

RECOGNIZING that certain populations of crocodilians may be transferred from Appendix I to Appendix II subject to specified annual export quotas and that these export quotas are to ensure that the annual take from these populations is not detrimental to their survival;

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

RECALLING that Article VI, paragraph 7, of the Convention provides that specimens of species listed in the Appendices may be marked to assist in identifying them;
CONSIDERING that the tagging of all crocodilian skins in international trade has been and still is a fundamental step towards the effective regulation of international trade in crocodilians and that Resolutions Conf. 6.17 and Conf. 9.22 to this effect were adopted by the Conference of the Parties at its sixth and ninth meetings (Ottawa, 1987; Fort Lauderdale, 1994);

NOTING the existence of a register of manufacturers able to produce tags for the marking of crocodilian skins, established and maintained by the Secretariat;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS:

   a) the maintenance of a universal tagging system for the identification of raw, tanned, and/or finished crocodilian skins by the general application of non-reusable tags to all crocodilian skins entering international trade from the countries of origin;

   b) that crocodilian skins, flanks and chalecos be individually tagged before export;

   c) that the non-reusable tags include, as a minimum: the ISO two-letter code for the country of origin; a unique serial identification number; a standard species code (as provided in Annex 1); and, where appropriate, the year of skin production or harvest, in accordance with the provisions of Resolution Conf. 11.16 (Rev. CoP15), adopted by the Conference of the Parties at its 11th meeting (Gigiri, 2000) and amended at its 14th and 15th meetings (The Hague, 2007; Doha 2010); and further, that such tags have as a minimum the following characteristics: a tamper-resistant, self-locking mechanism, heat resistance, inertia to chemical and mechanical processing, and alphanumeric information, which may include bar- coding, applied by permanent stamping;

   d) that the year of skin production or harvest and serial number be separated with a hyphen (-) where the information on tags appears in the sequence: country of origin, year of skin production or harvest, serial number, species code;

   e) that, for the labelling of skins derived from crocodilian hybrids, the designation HYB or, where the parentage is known, the two three-letter codes for the parents, separated by the character 'x' (e.g. PORxSIA where the hybrid is a cross between *Crocodylus porosus* and *Crocodylus siamensis*), be used instead of the standard species codes in Annex 1 of this Resolution;

   f) that tails, throats, feet, backstrips, and other parts of skins be exported in transparent, sealed containers clearly marked with a non-reusable tag or label together with a description of the content and total weight, and all the information required for tags for individual skins, flanks and chalecos, as outlined in paragraphs c), d) and e);

* *Amended at the 15th meeting of the Conference of the Parties, and corrected by the Secretariat following the 16th meeting.*

g) that Parties establish, where legally possible, a system of registration or licensing, or both, for producers, tanners, importers and exporters of crocodilian skins;

h) that all countries permitting re-export of raw, tanned, and/or finished crocodilian skins implement an administrative system for the effective matching of imports and re-exports and, further, ensure that skins and flanks are re-exported with the original tags intact unless the pieces originally imported have been further processed and cut into smaller pieces;

i) that, where the original tags have been lost, damaged, or removed from raw, tanned, and/or finished skins, flanks and chalecos, the country of re-export should tag such skins, flanks or chalecos prior to re-export, with a 're-export tag' meeting all the requirements of paragraph c) above except that the country of origin and standard species codes and years of skin production and/or harvest will not be required; and further, that the same information as is on these tags should be given on the re-export certificate together with details of the original permit under which the skins, flanks and chalecos were imported;

j) that Parties accept export permits, re-export certificates or other Convention documents for trade in crocodilian skins and parts thereof only if they contain the information referred to in paragraph c), f), i) or j), as appropriate, and if the related skins and parts thereof are tagged in accordance with the provisions of this Resolution;

k) that Parties, with the advice of the Secretariat if appropriate, implement a management and tracking system for tags used in trade as outlined in Annex 2 to this Resolution; and

l) that Management Authorities ensure that tags not affixed to skins, flanks and chalecos in the year specified on the tag are destroyed;

2. DIRECTS the Secretariat to report deficiencies of the system or specific instances of concern to the Animals Committee and the relevant Parties, as appropriate; and

3. REPEALS the Resolutions listed hereunder:

a) Resolution Conf. 6.17 (Ottawa, 1987) – *Implementation of the export quota for Nile and saltwater crocodile skins*; and

b) Resolution Conf. 9.22 (Fort Lauderdale, 1994) – *Universal tagging system for the identification of crocodilian skins*.

Annex 1 Codes for the identification of crocodilian species

Species	Code
Alligator mississippiensis	MIS
Alligator sinensis	SIN
Caiman crocodilus apaporiensis	APA
Caiman crocodilus chiapasius	CHI
Caiman crocodilus crocodilus	CRO
Caiman crocodilus fuscus	FUS
Caiman latirostris	LAT
Caiman yacare	YAC
Crocodylus acutus	ACU
Crocodylus cataphractus	CAT
Crocodylus intermedius	INT
Crocodylus johnsoni	JOH
Crocodylus mindorensis	MIN
Crocodylus moreletii	MOR
Crocodylus niloticus	NIL
Crocodylus novaeguineae	NOV
Crocodylus palustris	PAL
Crocodylus porosus	POR
Crocodylus rhombifer	RHO
Crocodylus siamensis	SIA
Gavialis gangeticus	GAV
Melanosuchus niger	NIG
Osteolaemus tetraspis	TET
Paleosuchus palpebrosus	PAP
Paleosuchus trigonatus	TRI
Tomistoma schlegelii	SCH

Annex 2

Management and tracking system for tags used in the crocodilian skin trade

1. The CITES Secretariat should establish, maintain, and amend periodically thereafter, a list of approved sources capable of manufacturing tags that meet the minimum requirements as laid down in paragraph c) of this Resolution; and further, the Secretariat should regularly give notice to the Parties of such sources and each Management Authority should obtain tags to mark crocodilian skins, flanks and chalecos only from these approved sources.

2. Any approved tag manufacturer registered by the Secretariat should first agree, in writing, that it will:

   a) not duplicate any series of tags produced in accordance with this Resolution; and

   b) sell such tags only to Management Authorities or, in non-party States, to designated government agencies recognized by the Secretariat in accordance with Resolution Conf. 9.5 (Rev. CoP16)[1], or to bodies approved by these agencies.

3. Upon request by a Management Authority, the Secretariat should purchase and distribute tags for crocodilian skins, and should require advance payment, except if external funding becomes available for Parties requiring assistance.

4. When issuing export permits or re-export certificates for crocodilian skins, or other specimens referred to in this Resolution, Parties should record the numbers of the tags associated with each document and make this information available to the Secretariat on request.

5. The Management Authorities of the exporting, re-exporting and importing Parties should provide to the Secretariat, when directed by the Standing Committee or agreed to between the range State and the CITES Secretariat, a copy of each export permit, re-export certificate, or other Convention document for crocodilian skins, flanks or chalecos immediately after issuance or receipt as appropriate.

6. Parties that require or intend to require the use of tags or labels for containers should send to the Secretariat at least one sample tag or label for reference.

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[1] *Corrected by the Secretariat following the 16th meeting of the Conference of the Parties: originally referred to Resolution Conf. 9.5 (Rev. CoP15).*

Conf. 11.15 (Rev. CoP 18)*

博物馆、标本馆、诊断和法庭研究标本的非商业性租借、赠送或交换

忆及 第一次缔约方大会(伯尔尼，1976)和第二次缔约方大会(圣何塞，1979)通过的第Conf. 1.4 号决议和Conf. 2.14 号决议；

考虑到 对于“经各自所在国管理机构注册的科学家之间或科研单位之间所进行的附录I、II和III所列物种的标本——腊叶标本、浸制、干制、压膜或包埋的博物馆标本及活植物材料等物品，具有管理机构签署或批准的标签的非商业性租借、赠送或交换”，公约第七条第6款对其贸易控制给予了有关豁免规定；

认识到 上述豁免应适用于注册科研单位合法获得，且在其授权下(再)出口或进口的动物(非活体)和植物标本，包括法庭研究标本；

考虑到 博物馆对研究标本的需求会对珍稀动植物的小种群带来不利影响；

忆及 第一次缔约方大会 (伯尔尼，1976)提出的建议；

公约缔约方大会

1. **鼓励** 各缔约方对其科研单位进行注册，以促进开展分类学、物种保护和野生动植物法庭研究所需标本的交换；
2. **敦促** 各缔约方与其所辖领域内的科学家和科研单位进行接触，以促进对公约第七条第6款关于“科研标本非商业性租借、赠送或交换”条款的深入理解；
3. **建议**：
   a) 各缔约方利用公约范畴内一切可能的机会，鼓励对野生动植物开展科学和法庭研究，只要这种研究能有利于保护濒临灭绝或今后可能濒临灭绝的物种；
   b) 为减少科研活动的潜在影响，各缔约方鼓励其自然历史博物馆、腊叶标本收集单位和法庭研究实验室对其所保存的珍稀濒危物种标本进行编目，并酌情将资料广泛提供给各缔约方和研究群体。这种编目，将方便研究人员有效借用标本开展研究，或使用参考数据库中的法庭科学信息；
   c) 当标本可以使用时，应将其增添进编目中。各缔约方的科学机构和管理机构可利用这些信息来判断进一步收集一些珍稀物种标本是否正当，或者是否已经可以从其他博物馆借用标本，或利用法庭研究实验室提供的法庭科学信息即可满足需要；
   d) 各缔约方敦促其博物馆、腊叶标本收集单位和法庭研究实验室开展此类编目工作，并将有关情况予以公布；
   e) 已注册的单位应经注册管理机构量裁决定续期，以确保只有现在有效单位才有资格开展科学交流；及
   f) 秘书处应每五年发布通知，请求各缔约方回顾和更新其科研单位注册名单，并将任何变化通知秘书处；
   g) 各缔约方应按以下要求执行公约第七条第6款有关科研交换标本豁免的规定：
      i) 科研和法庭研究单位的注册，应是真正根据本国科学机构意见，把豁免范围

*经第十二和十八次缔约方大会修订。

扩大到每个缔约方达到一定标准的单位；

ii) 每个管理机构应尽快将注册的科研单位的名称和地址通报秘书处，随后秘书处及时将此信息转发所有其他缔约方；

iii) 要求运输标本或样品的容器贴有管理机构签发或批准的标签。可以通过授权使用海关报关单予以满足，但前提条件是海关申报单上必须载有“CITES”字样，并表明内装物属用于科学研究的腊叶标本、浸制、干制、压膜、包埋的博物馆标本(包括非活体动物标本)或活植物材料，用于法庭分析或诊断目的，同时还应注明发货单位的名称和地址，具有注册科研机构负责人签名、进出口科研机构的代码；或者是使用由管理机构签发并包含这些信息的标签，由标签使用者向管理机构负责；

iv) 为避免滥用此类豁免条款，应将豁免条款限制应限于在已经注册的科研单位之间的合法获得的标本，包括附件1中所列用于野生动植物法庭研究的标本；如果是与某一非缔约方进行的贸易，则秘书处应确保该国主管部门认可的科研机构能达到同样的注册标准；

v) 豁免条款应适用于包括冷冻的博物馆标本、复制的腊叶标本、野生动植物法庭研究标本(附件1中所列)、Conf. 12.3(Rev.18)号*决议附件4中所列类型的诊断样本，及公约第七条第6款述及的其他所有类型的科研标本，包括在某一国合法采集后因非商业性租借、赠送、交换目的而转运到另一国的那些标本；

vi) 科研单位的注册标准如下：

A. 永久收藏并经专业处理的动植物标本及附具的记录；

B. 包括来自其他科研单位的所有具备资格的使用者都可使用标本；

C. 在某一永久目录中妥善记录所有使用情况；

D. 保存租借或转运到其他科研单位的永久性记录；

E. 获取标本以在科学出版物上发表的研究为主要目的；

F. 以通过某种能确保其用途的方式制作或收藏标本；

G. 在标本的标签、永久目录和其他记录上保存准确数据；

H. 按照科研单位所在国法律规定获取和拥有标本；及

I. 附录I物种的标本应永远在该科研单位直接控制下集中保存，并且避免此种标本用于装饰、狩猎纪念物或其他不符合公约原则的目的；

vii) 法庭研究单位的注册标准如下：

A. 应由管理机构确定法庭研究单位适合提供野生动植物法庭分析；

B. 应在某一永久目录中妥善记录那些为开发野生动植物参考数据库，扩大法庭研究能力，而以研究为主要目的获得的动物或植物标本；

C. 永久记录应包括向其他单位租借和转移信息，及交易目的；

D. 单位应参考其用于研究的质量管理体系；

* 由秘书处在第十八次缔约方大会后修正。

E. 永久目录中应记录准确数据，例如学名，重量，地理原产地，来源代码，目的和研究结果，且标本应准确充分地贴上标签；

F. 按照科研单位所在国法律规定获取和拥有标本；及

G. 附录I物种的标本应永远在该法庭单位直接控制下集中保存，并且避免此种标本用于装饰、狩猎纪念物或其他不符合公约原则的目的；

viii) 被世界动物卫生组织(OIE)确认为官方参考实验室或合作中心的诊断测试实验室，或被列入由秘书处保存的开展野生动植物法庭检测实验室电子目录中的实验室有资格注册；

ix) 科研单位注册后，缔约方应将单位提供的名称、地址、联系方式(可行的情况下，包括点子邮箱和电话号码)，及服务类型(分类学研究、物种保护研究或野生动植物法庭研究)提交给CITES科研单位登记表；

x) 鼓励那些个人拥有标本的科学家与注册的科研机构交流，以便他们能够享用公约第七条第6款的豁免规定；

xi) 各国应采取预防性措施，避免对博物馆标本、腊叶标本、法庭和诊断标本任何及其他所附资料的科学价值造成破坏或损失；

xii) 应执行本豁免规定，以确保非商业性科学标本的交换不被中断并以符合公约规定的方式进行；

xiii) 标本一经交换，科研单位应每年向通过注册的缔约方通报交换的标本种类和数量；及

xiv) 应采用五字母代码系统对科研机构进行注册；在五字母代码中，前两个字母是由国际标准化组织制定、在CITES通讯录中提供的各缔约方的国家代码；后三个字母是由缔约方管理机构给本国各科研机构指定的唯一序号。对于非缔约方而言，后三个字母代码则由秘书处指定；并

4. **废除** 以下所列决议：

a) Conf. 1.4 号决议 (伯尔尼，1976)——博物馆标本及腊叶标本的编目；及

b) Conf. 2.14 号决议 (圣何塞，1979)——非商业性租借、赠送或交换博物馆标本和腊叶标本指南。

附件 符合博物馆标本和腊叶标本的非商业性租借、赠送、交换及其使用规定的法庭参考标本类型举例

(注：视具体情况而定，根据本决议，符合交换资格的样品类型和典型规格可能有所不同。)

样品类型	样品的典型规格	样品用途
血液及其衍生成分	显微镜载玻片，滤纸或拭子上的液体样品或干血样品最大5ml	物种鉴定、确定原产地、确定性别、个体识别、亲子鉴定、毒理学分析
固定的内部组织(植物或动物的)	固定的或组织学载玻片上的一块组织切片(5 mm^3 -25 mm^3)，其中	物种鉴定、确定原产地、确定性别、个体识别、亲子鉴

	包含+/- 5um的固定组织切片	定、毒理学分析
冷冻的内部组织(植物或动物的)	组织薄片(5 mm^3 -25 mm^3)，	物种鉴定、确定原产地、确定性别、个体识别、亲子鉴定、毒理学分析
新鲜的内部组织(植物或动物的组织，不包括卵，精子和胚胎)	组织薄片(5 mm^3 -25 mm^3)，	物种鉴定、确定原产地、确定性别、个体识别、亲子鉴定、毒理学分析
外部组织，包括毛发，皮肤，羽毛，鳞片，骨头，蛋壳，牙齿，象牙，角，叶子，树皮，种子，果实或花	无论是否固定的单个样本，对于象牙：根据《ICCWC关于象牙和实验室分析的方法和程序的指南》，大约3厘米x 3厘米厚度1厘米，或视分析方法†而定更小的象牙碎片对于犀角：根据犀角DNA采样程序‡，将少量粉末/碎片密封在防篡改样品瓶中	物种鉴定、确定原产地、确定性别、个体识别、亲子鉴定、毒理学分析、年龄分析
颊/泄殖腔/粘液/鼻/泌尿道/直肠拭子	样品管中拭子上的少量组织或细胞	物种鉴定、确定原产地、确定性别、个体识别、亲子鉴定、毒理学分析
细胞系和组织培养物	样品大小没有限制	物种鉴定、确定原产地、确定性别、个体识别、亲子鉴定、毒理学分析、年龄分析
DNA或RNA(纯化)	每个纯化的DNA或RNA样品的最大体积为0.5 ml	物种鉴定、确定原产地、确定性别、个体识别、亲子鉴定、毒理学分析、年龄分析
分泌物 (唾液、蛇毒、乳汁、植物分泌物)	小瓶中，1-5ml	物种鉴定、确定原产地、确定性别、个体识别、亲子鉴定、毒理学分析、年龄分析

† https：//www.unodc.org/documents/Wildlife/Guidelines_Ivory.pdf

‡ 南非共和国环境事务部犀牛角DNA采样程序

Conf. 11.15

(Rev. CoP18)*

Non-commercial loan, donation or exchange of museum, herbarium, diagnostic and forensic research specimens

RECALLING Resolutions Conf. 1.4 and Conf. 2.14, adopted by the Conference of the Parties at its first and second meetings (Bern, 1976; San José, 1979);

CONSIDERING that Article VII, paragraph 6, of the Convention provides an exemption from the provisions relating to regulation of trade in specimens of species included in Appendices I, II and III for "non-commercial loan, donation or exchange between scientists or scientific institutions registered by a Management Authority of their State, of herbarium specimens, other preserved, dried or embedded museums specimens, and live plant material which carry a label issued or approved by a Management Authority";

RECOGNIZING that this exemption should apply to animal (non-live) and plant specimens, including forensic research specimens, that are legally acquired by a registered scientific institution and (re-)exported or imported under the authority of this institution;

CONSIDERING that museum needs for research specimens can have adverse impact on small populations of rare animals and plants;

RECALLING the recommendations of the first meeting of the Conference of the Parties (Bern, 1976);

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. ENCOURAGES Parties to register their scientific institutions to facilitate scientific exchange of specimens needed to conduct taxonomic and species-conservation research, and to conduct wildlife forensic research;

2. URGES Parties to contact scientists and scientific institutions in the territory under their jurisdiction to facilitate greater understanding of the scientific exchange provisions of Article VII, paragraph 6, on the non-commercial loan, donation or exchange of scientific specimens;

3. RECOMMENDS that:

   a) Parties take every opportunity within the scope of the Convention to encourage scientific and forensic research on wild fauna and flora, where this may be of use in conserving species that are threatened with extinction or that may become so;

   b) in order to reduce the potential impact of research, the Parties encourage their natural history museums, herbaria and forensic research laboratories to inventory their holdings of rare and endangered species and make that information widely available to the Parties and the research community, as appropriate. These inventories will allow researchers to efficiently borrow specimens for study or use forensic information contained in reference databases;

   c) addenda should be added to the inventories as specimens become available. Scientific and Management Authorities of the Parties can use the information in determining whether further collecting of some rare species may be justifiable, or whether the need already can be met by borrowing specimens from other museums or using forensic information provided by forensic research laboratories;

   d) Parties urge their museums, herbaria and forensic research laboratories to undertake such inventories and make such information publicly available;

   e) Registered institutions should be subject to renewal at the discretion of the registering management authority to ensure that only current, valid institutions are eligible for scientific exchange; and

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* *Amended at the 12th and 18th meetings of the Conference of the Parties.*

f) The Secretariat shall issue a Notification every five years requesting that Parties review and update their register of scientific institutions and communicate any changes to the Secretariat

g) Parties implement the exemption for scientific exchange in Article VII, paragraph 6, as follows:

i) registration of scientific and forensic research institutions should be done in a manner that extends the exemption to all such institutions meeting certain standards in each Party as determined to be bona fide upon the advice of a Scientific Authority;

ii) each Management Authority should communicate to the Secretariat as soon as practicable the names and addresses and the type of research they can provide, of those scientific institutions registered, and the Secretariat without delay then communicate this information to all other Parties;

iii) the requirement that the container used to transport the specimens or samples carry a label issued or approved by a Management Authority should be met by authorizing the use of Customs Declaration labels, provided they bear the acronym CITES, identification of contents as herbarium specimens, preserved, dried or embedded museum specimens (including non-live animal specimens) or live plant material for scientific study, for forensic analysis or for diagnostic purposes, the name and address of the sending institution and the codes of the exporting and importing institutions over the signature of a responsible officer of that registered scientific institution; or a label issued by a Management Authority containing the same information and the users of which would be responsible to that body;

iv) to prevent abuse of this exemption, it should be limited to shipments of legally obtained specimens, including specimens that are used for wildlife forensic research, as outlined in Annex 1, between registered scientific institutions and, if trade is to or from a non-Party, the Secretariat shall ensure that the institution in this State meets the same standards for registration, as indicated by competent authorities of the non-party governments;

v) the exemption should be applied to include frozen museum specimens, duplicate herbarium specimens, wildlife forensic research specimens (as outlined in Annex 1), diagnostic samples of the type listed in Annex 4 of Resolution Conf. 12.3 (Rev. CoP18)[1] and all other types of scientific specimens named in Article VII, paragraph 6, including those that are legally collected in one State for shipment to another State as non- commercial loans, donations, or exchanges;

vi) the standards for registration of scientific institutions should be as follows:

A. collections of animal or plant specimens, and records ancillary to them, permanently housed and professionally curated;

B. specimens accessible to all qualified users, including those from other institutions;

C. all accessions properly recorded in a permanent catalogue;

D. permanent records maintained for loans and transfers to other institutions;

E. specimens acquired primarily for purposes of research that is to be reported in scientific publications;

F. specimens prepared and collections arranged in a manner that ensures their utility;

G. accurate data maintained on specimen labels, permanent catalogues and other records;

H. acquisition and possession of specimens accord with the laws of the State in which the scientific institution is located; and

I. all specimens of species included in Appendix I permanently and centrally housed under the direct control of the scientific institution, and managed in a manner to preclude the use of such specimens for decoration, trophies or other purposes incompatible with the principles of the Convention;

[1] *Corrected by the Secretariat following the 18th meeting of the Conference of the Parties*

vii) the standards for registration of forensic research institutions should be as follows:

A. forensic research institutions should be determined by the Management Authority as suitable to provide wildlife forensic analysis;

B. animal or plant specimens acquired primarily for purposes of research, to expand forensic research capabilities through development of wildlife reference databases, should be properly recorded in a permanent catalogue;

C. permanent records should contain information about loans and transfers to other institutions and the purpose of the transaction;

D. institutions should make reference to their quality management system used for research conducted;

E. accurate data, for example scientific name, weight, geographical origin, source code, purpose and result of research, should be recorded in the permanent catalogue, and specimens should be accurately and adequately labelled;

F. acquisition and possession of specimens accord with the laws of the State in which the scientific institution is located; and

G. all specimens of species included in Appendix I permanently and centrally housed under the direct control of the forensic institution, and managed in a manner to preclude the use of such specimens for decoration, trophies or other purposes incompatible with the principles of the Convention;

viii) diagnostic testing laboratories recognised as an official reference laboratory or collaborating centre by the World Organization for Animal Health (OIE), or laboratories included in the electronic directory of laboratories that conduct wildlife forensic testing maintained by the Secretariat would qualify for registration;

ix) when registering scientific institutions, Parties should provide to the Secretariat the name, address, contact details (including, where practicable, an email and telephone number) as well as the types of services (taxonomic, species conservation research or wildlife forensic research) provided by the institutions for inclusion on the CITES Scientific Institutions register;

x) scientists who keep private collections should be encouraged to affiliate with registered scientific institutions in order that they may take advantage of the exemption provided in Article VII, paragraph 6;

xi) all States should take precautions to avoid damage or loss to science of museum, herbarium, forensic and diagnostic specimens or of any accompanying data;

xii) this exemption should be implemented to ensure that non-commercial exchange of scientific specimens is not interrupted and that it occurs in a way consistent with the terms of the Convention;

xiii) if specimens are exchanged, scientific institutions should notify the Party through which they are registered on an annual basis what types and volumes of specimens were exchanged; and

xiv) a five-character coding system for identifying registered institutions should be adopted; the first two characters should be the two-letter country code established by the International Organization for Standardization, as provided in the CITES Directory; the last three characters should be a unique number assigned to each institution by a Management Authority, in the case of a Party, or by the Secretariat, in the case of a non- Party; and

4. REPEALS the Resolutions listed hereunder:

a) Resolution Conf. 1.4 (Bern, 1976) *Museum and herbarium inventories*; and

b) Resolution Conf. 2.14 (San José, 1979) *Guidelines for non-commercial loan, donation or exchange of museum and herbarium specimens*.

Annex Examples of the types of forensic reference samples that may qualify for provisions under non-commercial loan, donation or exchange of museum and herbarium specimens and their use (**Note**: Depending on the specific circumstances, the type of sample and typical sample size eligible for exchange under this Resolution may differ.)

Type of sample	Typical size of sample	Use of sample
blood and its derivative components	5ml maximum for liquid samples or dry blood sample on a microscope slide, filter paper or swab	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis
internal tissues (botanical or zoological), fixed	pieces of tissues (5 mm^3 -25 mm^3) in a fixative or histological glass slide containing a +/-5um section of fixed tissue	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis
internal tissues (botanical or zoological), frozen	pieces of tissues (5 mm^3 -25 mm3),	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis
internal tissues, fresh (botanical or zoological, excluding ova, sperm and embryos)	pieces of tissues (5 mm^3 -25 mm^3)	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis
external tissues including hair, skin, feathers, scales, bone, egg shell, teeth, ivory, horn, leaves, bark, seeds, fruit or flowers	individual samples with or without fixative for ivory: pieces of ivory approximately 3 cm x 3 cm and 1 cm thick or less depending on analysis method, in accordance with *ICCWC Guidelines on methods and procedures for ivory and laboratory analysis*[1] for rhino horn: small amounts of powder/shavings sealed in a tamper proof sample bottle, in accordance with the *Procedure for Rhino horn DNA Sampling*[2]	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; age analysis;
buccal/cloacal/ mucus/nasal/uri nary tract/rectal swabs	Small amounts of tissue or cells on a swab in a tube	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis
cell lines and tissue cultures	no limitation of sample size	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; age analysis
DNA or RNA (purified)	Up to 0.5 ml volumes per individual specimen of purified DNA or RNA	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; age analysis
secretions, (saliva, venom, milk, plant secretions)	1-5 ml in vials	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; age analysis

1 https://www.unodc.org/documents/Wildlife/Guidelines_Ivory.pdf

2 *Republic of South Africa, Department of Environmental Affairs, Procedures for Rhino horn DNA Sampling*

Conf. 11.16 (Rev. CoP15)*

捕养及由附录Ⅰ降列至附录Ⅱ的物种的捕养标本的贸易

忆及 第五次缔约方大会 (布宜诺斯艾利斯，1985年)通过并经第十次缔约方大会 (哈拉雷，1997年)修正的Conf. 5.16 (Rev.)号决议及第十次缔约方大会通过的Conf. 10.18号决议；

注意到 第十次缔约方大会 (哈拉雷，1997年)通过并经第十一次缔约方大会 (吉吉里，2000年)修正的Conf. 10.16 (Rev.)号决议有关人工繁育所获动物物种标本的条款，禁止捕自野外并经圈养的附录Ⅰ物种标本进入贸易，除非按照公约第三条的规定进行；

认识到 有些成功的物种保护项目，允许这些物种的标本在不危害此类物种野生种群生存的情况下进入国际贸易；

忆及 第九次缔约方大会 (劳德代尔堡，1994年)通过并经第十一次缔约方大会和第十六次缔约方大会(吉吉里，2000；曼谷，2013)修订的Conf. 9.6 (Rev. CoP16)号*决议，建议缔约方将所有捕养所获产品均视为可辨认的；

认识到 为达到适当控制之目的，对进入贸易的捕养动物的部分和衍生物进行标记是必要的；

认识到 如果每个缔约方对同一物种捕养动物的部分和衍生物分别使用不同的标记方法，这样既会引起混淆，又会给执法带来难度；

相信 为捕养目的而将某一物种由附录Ⅰ降至附录Ⅱ的提案被批准后，有关捕养活动必须与所批准的捕养提案的内容、条款和条件相一致；

认识到 根据公约第十四条规定，缔约方可以对公约附录所列种群标本的贸易采取更加严格的国内控制措施；

考虑到 如果利用种群的捕养活动不再适合有关标准，则有必要将该种群由附录Ⅱ移回附录Ⅰ；

意识到 在严格控制猎捕野生成体的情况下，通过有控制地采集鳄鱼卵和幼体来开展捕养活动，具有潜在的价值和积极的保护效果；

认识到 作为一个管理体系，对一些物种的捕养已经被证明是相对于野外捕获成体来说更“安全”和有效的可持续利用方式；

关注到 为获得更多收益而开展的人工繁育活动给保护野生种群带来的危害性也许比开展捕养活动带来的更大，原则上，捕养更有利于鳄鱼保护；

强调 公约的根本目的就是保护公约附录所列物种的野生种群，只有为达此目的而开展的有关项目方可允许获得积极的报偿；

公约缔约方大会

关于定义

1. 决定：

a) “捕养”系指从野外采集卵或幼体动物置于受控制的环境中饲养，否则其在野外

*经第十四和十五次缔约方大会修订，并由秘书处在第十六次缔约方大会后修正。
* 由秘书处在第十六次缔约方大会后修正，原指Conf. 9.6 (Rev.)号决议。

存活至成体的可能性很低；及

b) “统一标记系统”系指由缔约方大会批准的用来标记某一物种各种产品的方法，该方法至少应包括原产国的国际标准化组织的双字母代码、一个专门的识别号码和生产年份。对于那些提交提案时已库存的产品或者其制品，还应包括提案批准年份；

关于为捕养目的将种群由附录Ⅰ降列至附录Ⅱ的提案

2. 建议：

a) 在缔约方管辖范围内分布的附录Ⅰ物种种群，如被缔约方大会视为不再濒危且适宜于通过捕养进行贸易时，可被列入附录Ⅱ；

b) 提交给缔约方大会考虑的为捕养目的而将种群降列至附录Ⅱ的任何提案，必须符合以下普遍标准：

i) 该捕养项目首先必须有利于当地种群的保护 (比如，适用的话，有利于增加野生种群或者在维持野生种群稳定的情况下推动该物种栖息地的保护)；

ii) 每个捕养项目的所有产品 (包括活体标本)都必须予以标记和登记，以确保这些产品能够容易地与附录Ⅰ种群的产品区别开来；

iii) 该捕养项目必须建立适宜的档案管理和猎取量控制制度，并具有监督野生种群的机制；及

iv) 该项目必须采取充分的保障措施，以确保在必要的情况下并在适当的地方，将适当数量的捕养所获动物再返回野外；

c) 提交某一物种某一种群捕养提案的任一缔约方，不管有关该物种的捕养提案此前是否被批准过，除应在其提交的捕养提案中包括公约附录修正案所要求的一般生物学资料外，还应说明以下内容：

i) 详细说明所采用的符合本决议定义的统一标记系统的最低要求的标记系统；

ii) 列表说明该捕养单位生产的产品类型；

iii) 描述进入贸易的所有产品和容器的标记方法；及

iv) 有关物种标本的存栏清单，无论它们是否系捕养所获标本；

d) 为捕养目的将某一缔约方的种群或某物种某一较小的地理上隔离的种群由附录Ⅰ降列至附录Ⅱ的提案，除非该提案包括了以下内容，否则缔约方大会不得批准：

i) 从野外获得不会从根本上影响野生种群的证据；

ii) 评估捕养项目在生物和经济方面成功的可能性；

iii) 保证捕养项目在生产的各个阶段都以人道的方式 (不虐待动物)进行；

iv) 展示该项目通过重引入或其他方式造福野生种群的书面证据；及

v) 保证还应符合建议第 b)款规定的标准；

e) 各缔约方应根据本决议的规定准备附录修正案，以供下次缔约方大会讨论。所提提案至少应在会前 330 天提交到秘书处。秘书处经商动物委员会之后，应寻求可靠的科学和技术方面的建议，以核实该附录修正案是否符合建议第 b)款之规定，

并评估提案是否包含上述第 d)款所要求的资料。如果秘书处认为提案国应进一步提供满足有关标准所需的相关资料，秘书处应在收到提案后的 150 之内向该国提出。此后，秘书处应依照公约第十五条的规定向各缔约方发出通知；及

f) 对于涉及从野外捕捉成体动物的捕养提案，其审查标准应比单纯从野外采集卵、幼体、幼虫或其他亚成体动物的捕养提案要严格的多；

关于在将物种从附录Ⅰ转移到附录Ⅱ的提案中描述的捕养项目的变化

3. 建议：

a) 根据本决议规定已经或即将把他们的种群由附录Ⅰ降至附录Ⅱ的缔约方，只能将野生种群的开发方式限定在其提案所描述的技术上，未经通知秘书处，不得启动新的捕捉野生动物的短期项目或者其他项目；

b) 拥有已批准捕养提案的任一缔约方，应将建议第 c)款所涉资料的变化情况报告秘书处。秘书处经商动物委员会后，应判定这些拟议中的变化是否从根本上改变了原定的捕养项目并破坏或危害了野生种群的保护。相应地，秘书处应将其判定结果通报各缔约方；及

c) 当秘书处根据建议第 h)款 (公约原文如此，似应修改为“前款”)的规定经商动物委员会后认为这些拟议中的变化对该物种的管理会产生实质性的改变，拟采取的管理措施，即被视为一项新的提议，必须依据本决议及公约第十五条的要求提交一份新的捕养提案来解决；

关于由附录Ⅰ降至附录Ⅱ的物种的捕养标本的贸易

4. 建议 所有缔约方应禁止捕养所获产品的贸易，除非此类贸易符合业经批准的有关种群的捕养提案所规定的所有条款、条件和要求；及

关于对以捕养目的从附录Ⅰ降至附录Ⅱ的物种的监测和报告

5. 建议：

a) 各有关缔约方应向秘书处提交有关每个已批准捕养项目的各有关方面的年度报告，包括以下内容：

i) 建立在适度频次和足够精确度监测基础上所确定的野生种群的状况，以能够识别和掌握所捕养的种群大小和结构的变化；

ii) 每年从野外取得标本 (卵、幼体或成体)数量，及该捕获用于补给捕养机构的百分比率；及

iii) 每年生产水平的详情，及用于出口的产品类型和数量；

b) 下列信息必须由缔约方保留，并根据秘书处的要求提供：

i) 一个每年采集野外的卵、幼体或其他生命阶段个体用于捕养活动的百分比估算；

ii) 以调查和标记项目为基础，估算释放动物的数量和其成活比率；

iii) 在圈养下的死亡率，及造成死亡的因素；

iv) 针对有关捕养工作或涉及的野外种群开展保护项目和科学实验；及

v) 对开展捕养地的物种的分布区域进行百分比评估。

c) 经常委会和有关缔约方同意，秘书处可以在必要的时候访问和检查捕养项目有关情况；及

d) 当秘书处报告未能履行本决议规定，且常委会和有关缔约方也未能满意地解决这些问题时，经与有关缔约方进行充分协商，常委会可以请求公约保存国政府准备一份将有关种群升列回附录 I 的提案；及

6. **废除** 下列决议：

a) Conf. 5.16 (Rev.)号决议——贸易中捕养标本的标记 (1985 年在布宜诺斯艾利斯通过，1997 年在哈拉雷予以修正)；及

b) Conf. 10.18 号决议——捕养和捕养标本的贸易 (哈拉雷，1997 年)。

Conf. 11.16

(Rev. CoP15)*

Ranching and trade in ranched specimens of species transferred from Appendix I to Appendix II

RECALLING Resolution Conf. 5.16 (Rev.), adopted by the Conference of the Parties at its fifth meeting (Buenos Aires, 1985) and amended at its 10th meeting (Harare, 1997), and Resolution Conf. 10.18 adopted at its 10th meeting;

NOTING that the terms of Resolution Conf. 10.16 (Rev.), adopted by the Conference of the Parties at its 10th meeting (Harare, 1997) and amended at its 11th meeting (Gigiri, 2000), do not allow the entry into trade of specimens of species included in Appendix I that have been taken from the wild and reared in captivity, except in accordance with the provisions of Article III of the Convention;

RECOGNIZING that some successful programmes for the conservation of certain species permit specimens of those species into international trade on the basis that such trade is no longer detrimental to the survival of their wild populations;

RECALLING Resolution Conf. 9.6 (Rev. CoP16)[1], adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994) and amended at its 11th and 16th meetings (Gigiri, 2000; Bangkok, 2013), which recommends that Parties consider all products of ranching operations to be readily recognizable;

RECOGNIZING that marking of parts and derivatives in trade from ranched animals is necessary to achieve adequate control;

RECOGNIZING that, if each Party establishes a different marking system for parts and derivatives of ranched animals of the same species, confusion will result and enforcement will be difficult;

BELIEVING that any proposal to transfer to Appendix II, for ranching, a species for which such a proposal has previously been approved should be consistent with the approved proposal in its intent and in the terms and conditions it specifies;

RECOGNIZING that, in accordance with Article XIV of the Convention, Parties may adopt more restrictive domestic controls on trade in specimens of populations included in the Appendices;

CONSIDERING the necessity of transferring populations back to Appendix I if it is established that ranching operations utilizing them no longer meet the criteria;

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

RECOGNIZING that as a management system, ranching for some species has proven to be a 'safe' and robust form of sustainable utilization relative to wild harvests of adults;

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;

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 designed to achieve this aim;

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* *Amended at the 14th and 15th meetings of the Conference of the Parties, and corrected by the Secretariat following the 16th meeting.*

[1] *Corrected by the Secretariat following the 16th meeting of the Conference of the Parties: originally referred to Resolution Conf. 9.6 (Rev.).*

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

Regarding definitions

1. DECIDES that:

   a) the term ‘ranching’ means the rearing in a controlled environment of animals taken as eggs or juveniles from the wild, where they would otherwise have had a very low probability of surviving to adulthood; and

   b) the term ‘uniform marking system’ means a system of marking each product approved by the Conference of the Parties for a species, which, as a minimum, includes the International Organization for Standardization two-letter code for the country of origin, a unique identification number and the year of production or, for products in stock or manufactured from products of the operation in stock at the time of the proposal, the year of approval of the proposal;

Regarding proposals to transfer populations from Appendix I to Appendix II for ranching

2. RECOMMENDS that:

   a) populations of species included in Appendix I that occur within the jurisdiction of Parties and are deemed by the Conference of the Parties to be no longer endangered and to benefit by ranching with the intention of trade be included in Appendix II;

   b) in order to be considered by the Conference of the Parties, any proposal to transfer a population to Appendix II in order to conduct a ranching programme satisfy the following general criteria:

      i) the programme must be primarily beneficial to the conservation of the local population (i.e., where applicable, contribute to its increase in the wild or promote protection of the species's habitat while maintaining a stable population);

      ii) all products (including live specimens) of each operation must be adequately identified and documented to ensure that they can be readily distinguished from products of Appendix-I populations;

      iii) the programme must have in place appropriate inventories, harvest-level controls and mechanisms to monitor the wild populations; and

      iv) there must be sufficient safeguards established in the programme to ensure that adequate numbers of animals are returned to the wild if necessary and where appropriate;

   c) any Party submitting a ranching proposal for a population of a species, whether or not a ranching proposal has been approved for the species previously, include in the proposal the following, in addition to the usual biological data requested for proposals to amend the Appendices:

      i) details of its marking system that should meet the minimum requirements of the uniform marking system defined in this Resolution;

      ii) a list specifying the types of products produced bythe operation;

      iii) a description of the methods that will be used to mark all products and containers entered into trade; and

      iv) an inventory of current stocks of specimens of the species concerned, whether or not they are from the ranching operation;

   d) any proposal for the transfer to Appendix II of a Party's population or a smaller geographically separate population of a species, for the purpose of ranching, not be approved by the Conference unless it contains the following:

      i) evidence that the taking from the wild will have no significant detrimental impact on wild populations;

      ii) an assessment of the likelihood of the biological and economic success of each ranching operation;

iii) assurance that the operation shall be carried out at all stages in a humane (non-cruel) manner;

iv) documented evidence to demonstrate that the programme is beneficial to the wild population through reintroduction or in other ways; and

v) assurance that the criteria specified in paragraph 2 b) above shall continue to be met;

e) in order to be discussed at the next meeting of the Conference of the Parties, any proposal for amendment of the Appendices pursuant to this Resolution be received by the Secretariat at least 330 days before that meeting. In consultation with the Animals Committee, the Secretariat shall seek appropriate scientific and technical advice to verify that the criteria specified in paragraph 2 d) above have been met and to review the information and assurances in the proposal that are specified in paragraph b) above. If in the opinion of the Secretariat further information concerning the criteria is required, the Secretariat shall request information from the proposing Party within 150 days after receipt. Thereafter, the Secretariat shall communicate with the Parties in accordance with Article XV of the Convention; and

f) proposals that include a component of a wild-adult harvest be examined much more stringently than those based purely on collection of eggs, neonates, larvae or other juvenile life stages;

Regarding changes to the ranching programme described in the proposal to transfer a species from Appendix I to Appendix II

3. RECOMMENDS that:

a) Parties achieving or having achieved the transfer of their populations of a species to Appendix II under the provisions of this Resolution 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) any Party with an approved ranching proposal submit any changes to the information supplied in paragraph 2 c) above to the Secretariat. The Secretariat, in consultation with the Animals Committee, should determine whether the changes proposed substantially alter the original ranching programme, and undermine or jeopardize the conservation of the wild population.

The Secretariat should advise the Party of its determination accordingly; and

c) in cases where the Secretariat, in consultation with the Animals Committee, concludes that changes to the ranching programme that are proposed in accordance with paragraph h) would result in substantial changes to management of the species, the proposed management be treated as a new proposal, requiring the submission of a proposal pursuant to this Resolution and to the requirements of Article XV of the Convention;

Regarding trade in ranched specimens of species transferred from Appendix I to Appendix II

4. RECOMMENDS that all Parties prohibit trade in products of ranching operations unless such trade complies with all the terms, conditions and requirements of the approved ranching proposal for the population concerned; and

Regarding monitoring and reporting in relation to species transferred from Appendix I to Appendix II for ranching

5. RECOMMENDS that:

a) annual reports on all relevant aspects of each approved ranching operation be submitted to the Secretariat by the Party concerned, including the following:

i) the status of the wild population concerned established by monitoring at an appropriate frequency and with sufficient precision to allow recognition of changes in population size and structure owing to ranching;

ii) the number of specimens (eggs, young or adults) taken annually from the wild and the percentage of this offtake used to supply ranching operations; and

iii) details of the annual production levels, and product types and quantity produced for export;

b) the following information should be maintained by the Party and made available to the Secretariat upon request:

   i) an estimate of the percentage of the annual wild production of eggs, neonates or other life stages taken for the ranching operation;

   ii) the number of animals released and their survival rates estimated on the basis of surveys and tagging programmes, if any;

   iii) the mortality rate in captivity and causes of such mortality;

   iv) conservation programmes and scientific experiments carried out in relation to the ranching operation or the wild population concerned; and

   v) an estimation of the percentage of the distribution area of the species where the ranching is operating;

c) with the consent of the Standing Committee and the Party concerned, the Secretariat should have the option to visit and examine a ranching operation wherever circumstances require it to do so; and

d) where the Secretariat reports failure to comply with this Resolution, and the Standing Committee and the Party concerned fail to resolve the matter satisfactorily, the Standing Committee may, after full consultation with the Party concerned, request the Depositary Government to prepare a proposal to transfer the population concerned back to Appendix I; and

6. REPEALS the Resolutions listed hereunder:

   a) Resolution Conf. 5.16 (Rev.) (Buenos Aires, 1985, as amended at Harare, 1997) – *Marking of ranched specimens in trade*; and

   b) Resolution Conf. 10.18 (Harare, 1997) – *Ranching and trade in ranched specimens*.

Conf. 11.17 (Rev. CoP18)*

国家报告

忆及 第九次缔约方大会 (劳德代尔堡，1994)通过并经第十次缔约方大会 (哈拉雷，1997)修订的关于年度报告和贸易监测的Conf. 9.4 (Rev.)号决议；

考虑到 缔约方按照公约第八条第7款规定递交定期报告的履约义务；

认识到 国家报告作为监测公约实施情况及附录所列物种标本合法和非法国际贸易水平方式所具有的重要性；

承认 有必要使缔约方国家报告的内容尽量全面并具有可比性；

考虑到 公约第十二条第2(d)款要求秘书处对缔约方的定期报告进行研究；

感谢 联合国环境规划署世界保护监测中心根据与秘书处的合同为完成上述工作提供的有益帮助；

注意到 计算机的应用有助于确保贸易统计和公约实施信息能得到更有效的处理；

公约缔约方大会

1. **敦促** 所有缔约方根据公约第八条第7(a)款规定，按照秘书处散发的最新的“CITES年度报告编制和提交准则” (可能会由秘书处根据常委会要求不断修订)的要求，于下年度10月31日前提交当属年份的年度报告；
2. **敦促** 所有缔约方根据公约第八条第7款 (b)项规定，按照秘书处散发的“报告格式” (可能会由秘书处根据常委会要求不断修订)的要求，从第十七次缔约方大会开始，在每届缔约方大会的一年前提交报告；
3. **敦促** 所有缔约方每年10月31日前提交涵盖上一年度行动的年度非法贸易报告。报告需按照秘书处提供的报告格式(可能会由秘书处根据常委会要求不断修订)；
4. **同意** 除非提交报告的缔约方另有规定，由年度非法贸易报告收集并纳入数据库的数据应提供给缔约方用于研究和分析影响到他们的野生动植物和森林犯罪，并应提供给国际打击野生动植物犯罪联盟(ICCWC)各成员用于野生动植物和森林犯罪的全球研究分析；
5. 还**敦促** 拥有多个管理机构的缔约方尽最大可能提交协调好的报告；
6. **承认** 如果需要其他信息而又无法从公约第八条第7款规定的国家报告获取，缔约方大会可以要求缔约方提供公约并未要求的特别报告；
7. **认识到** 当需要特殊报告时，如合适，缔约方大会应考虑其时效性，以避免潜在的不必要负担；
8. **建议** 每一个缔约方，如果本国属于本公约第十四条第3款所指的某一区域性贸易协定的成员国，其年度报告应包含该国与上述区域性贸易协定的其他成员国之间开展的有关本公约附录I、II、III物种标本的贸易记录，除非本公约第八条有关贸易记录保存和报告职责的规定与上述区域性贸易协定的有关条款之间存在直接和不可协调的冲突；

* 经第十二、十三和十四届缔约方大会修订，秘书处于第十五届缔约方大会后修正，再经第十六、十七和十八届缔约方大会修订。

9. **建议** 缔约方在根据公约第八条第7款和本决议编制年度报告时，特别注意报告受年度出口限额限制的物种标本贸易。对这些物种，报告应表明限额数量和实际出口量。如果贸易被批准于所报告的年份但源自前一年度的限额，这一点应在年度报告中反映出来；

10. **敦促** 各缔约方考虑是否可以使用计算机编制其国家报告，并用电子格式提交上述报告；

11. 进一步**敦促** 在定期准备和提交国家报告中遇到问题的缔约方从秘书处寻求帮助，以编制这些报告；

12. **建议** 研究和开发用以签署证书、报告贸易、管理其他公约所要求的信息的电脑程序的各缔约方相互之间，或者是同秘书处之间进行协商，以确保不同系统之间的完美协调和兼容；

13. **决定**：

    a) 由于缔约方不能在每年10月31日前及时提交上一年年度报告成为公约实施的一个大问题，对此，秘书处应按照第Conf. 11.3 (Rev. CoP18)†号关于履约和执法的决议规定，将这一问题付诸常委会以寻求解决办法；及

    b) 如果某一缔约方在截止期限之前，向秘书处提交一份书面申请，以充分的理由要求推迟到10月31日这一截止期限之后提交其国家报告，秘书处可批准缔约方的这类合理请求；

14. **指示** 常委会在秘书处所呈报告的基础上，确定哪些缔约方已经连续三年未能按照公约第八条第7 (a)款要求在本决议所规定的截止期限 (或任何其他延长的截止期限)之前提交其年度报告，且没有就此提出充分的理由；

15. **建议** 对于任何被常委会确定为已经连续三年未能按照公约第八条第7(a)款要求在本决议所规定的截止期限 (或任何其他延长的截止期限)之前提交其年度报告，且没有就此提出充分理由的缔约方，各缔约方不予批准同该国开展公约附录所列物种标本的贸易；

16. **呼吁** 所有有意深化公约目标的缔约方、政府间组织和非政府组织，向秘书处提供财务支持，以支持秘书处的贸易监测工作和联合国环境规划署世界保护监测中心按照与秘书处之间的合同而开展的相应工作；及

17. **废除** 第Conf. 9.4 (Rev.)号 (劳德代尔堡，1994；修订于哈拉雷，1997)—关于年度报告和贸易监测的决议。

† 由秘书处在第十八次缔约方大会后修正。

Conf. 11.17 (Rev. CoP18)* National reports

RECALLING Resolution Conf. 9.4 (Rev.), adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994) and amended at its 10th meeting (Harare, 1997), relating to annual reports and monitoring of trade;

CONSIDERING the obligation of Parties to submit periodic reports on their implementation of the Convention under the provisions of Article VIII, paragraph 7, of the Convention;

RECOGNIZING the importance of the national reports as a tool for monitoring the implementation of the Convention and the level of legal and illegal international trade in specimens of species included in the Appendices;

ACKNOWLEDGING the necessity for the national reports of the Parties to be as complete as possible and to be comparable;

CONSIDERING that the provisions of Article XII, paragraph 2 (d), of the Convention require the Secretariat to study the periodic reports of Parties;

APPRECIATING the valuable assistance in meeting this responsibility provided by the UNEP World Conservation Monitoring Centre under contract to the Secretariat;

NOTING that the use of computers can help to ensure that trade statistics and information on Convention implementation are dealt with more effectively;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. URGES all Parties to submit their annual reports required under the provisions of Article VIII, paragraph 7 (a), by 31 October following the year for which they are due and in accordance with the most recent version of the *Guidelines for the preparation and submission of CITES annual reports* distributed by the Secretariat, as may be amended with the concurrence of the Standing Committee;
2. URGES all Parties to submit their reports required under the provisions of Article VIII, paragraph 7 (b), one year before each meeting of the Conference of the Parties, beginning with the 17th meeting of the Conference of the Parties and in accordance with the *report format* distributed by the Secretariat, as may be amended by the Secretariat from time to time with the concurrence of the Standing Committee;
3. URGES all Parties to submit an annual illegal trade report by 31 October each year covering actions in the preceding year and in accordance with the report format distributed by the Secretariat, as may be amended by the Secretariat from time to time with the concurrence of the Standing Committee;
4. AGREES that, unless otherwise specified by the reporting Party, data collected in the annual illegal trade report and included in the database should be made available to Parties for research and analysis of wildlife and forest crime as it affects them, and to the members of the International Consortium on Combating Wildlife Crime (ICCWC) for ICCWC global research and analysis studies on wildlife and forest crime;
5. ALSO URGES Parties with multiple Management Authorities to submit coordinated national reports to the extent possible;

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* *Amended at the 12th, 13th and 14th meetings of the Conference of the Parties; and corrected by the Secretariat following the 15th meeting; subsequently amended at the 16th, 17th and 18th meetings of the Conference of the Parties.*

6. ACKNOWLEDGES that the Conference of the Parties may request that Parties provide special reports not required by the Convention, if additional information is needed that cannot be sought via the national reports required under Article VIII, paragraph 7, of the Convention;

7. RECOGNIZES that the Conference of the Parties, when requesting special reports, should give consideration to making those special reports time-limited, where this is appropriate, to avoid the potential for unnecessarily increasing reporting burdens;

8. RECOMMENDS that each Party to the Convention, if a member of a regional trade agreement within the meaning of Article XIV, paragraph 3, of the Convention, include in its annual reports information on trade in specimens of species included in Appendices I, II and III with other member States of that regional trade agreement, unless the record-keeping and reporting duties of Article VIII are in direct and irreconcilable conflict with the provisions of the regional trade agreement;

9. RECOMMENDS that, when compiling their annual reports in accordance with Article VIII, paragraph 7, of the Convention and this Resolution, Parties pay particular attention to the reporting of trade in specimens of species subject to annual export quotas. For these species, the report should indicate the level of the quota and the amount actually exported. In cases where trade is authorized in the reporting year in specimens obtained under a quota for the previous year, this should be reflected in the annual report;

10. URGES every Party to consider whether the preparation of its national reports could be computerized and the submission of such reports made in electronic format;

11. FURTHER URGES Parties experiencing problems with the regular preparation and submission of national reports to seek assistance from the Secretariat to produce those reports;

12. RECOMMENDS that Parties studying or developing computer programmes for licensing and reporting trade as well as managing other information under the Convention consult with each other, and with the Secretariat, in order to ensure optimal harmonization and compatibility of systems;

13. DECIDES that:

    a) 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. 11.3 (Rev. CoP18)[1] on *Compliance and enforcement*; and

    b) 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 national reports provided the Party submits to the Secretariat a written request, containing adequate justification, before that deadline;

14. INSTRUCTS the Standing Committee to determine, on the basis of reports presented by the Secretariat, which Parties have failed, for three consecutive years and without having provided adequate justification, to provide the annual reports required under Article VIII, paragraph 7 (a), of the Convention within the deadline (or any extended deadline) provided in the present Resolution;

15. RECOMMENDS that Parties not authorize trade in specimens of CITES-listed species with any Party that the Standing Committee has determined has failed, for three consecutive years and without having provided adequate justification, to provide the annual reports required under Article VIII, paragraph 7 (a), of the Convention within the deadline (or any extended deadline) provided in the present Resolution;

16. APPEALS to all Parties, and to intergovernmental organizations and non-governmental organizations interested in furthering the objectives of the Convention, to make financial contributions to the Secretariat to support the trade and other monitoring work of the Secretariat and that of the UNEP World Conservation Monitoring Centre undertaken under contract to the Secretariat; and

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[1] *Corrected by the Secretariat following the 18th meeting of the Conference of the Parties.*

17. REPEALS Resolution Conf. 9.4 (Rev.) (Fort Lauderdale, 1994, as amended at Harare, 1997) – *Annual reports and monitoring of trade*.

Conf. 11.19 (Rev. CoP16)*

鉴别手册

注意到 鉴别手册委员会是首先成立于1977年并为公约缔约方提供服务的第一个委员会；

感谢 所有曾为该委员会服务，并为制定《鉴别手册》做出贡献的人们；

还**注意到** 在第六次缔约方大会 (渥太华，1987)至第十次缔约方大会 (哈拉雷，1997)之间，鉴别手册委员会没有主席和成员；

进一步**注意到** 在第十次缔约方大会 (哈拉雷，1997)后，只有一个缔约方表示有兴趣向该委员会指派委员；

认识到 需要定期用三种工作语言制作《鉴别手册》分页，而由此涉及到的工作是一个委员会所难以完成的；

公约缔约方大会

1. 指示秘书处：

a) 用公约的三种工作语言制作动植物鉴别分页以便将其加入《鉴别手册》；

b) 当有注释的列入项被通过时，基于从附录修订提案国得到的数据，应提供列入项下部分和衍生物的说明；

c) 应某一缔约方要求，就物种的鉴别提供指导，或从有关专家中寻求指导；

d) 保证秘书处组织的培训研讨会中要包含有关物种或标本鉴别的内容；

e) 对缔约方编制国家的或地区性鉴别手册的工作提供帮助；

f) 从那些将新的物种纳入公约附录的提案已获通过的缔约方那里索取适当的资料，并在相关物种列入附录后一年内，将这些资料资料纳入到《鉴别手册》中；

g) 在其财政能力许可的条件下出版《鉴别手册》；

h) 在任何认为合适的时候，向常委会、动物委员会和植物委员会通报进展情况；并

i) 向每一次缔约方大会会议报告；

2. 劝告 已经成功递交了新物种列入附录的提案的缔约方，在提案被接受后的一年时间内提供适当的资料，以便于将新增的物种纳入《鉴别手册》；

3. 请求 各缔约方和组织提供资金支持，以保证《鉴别手册》能得到出版；并

4. 要求 缔约方推动《鉴别手册》的应用。

*经第十六次缔约方大会修订。

Conf. 11.19(Rev. CoP16) Identification Manual

NOTING that the Identification Manual Committee was first established in 1977, and was one of the first committees serving the Parties to the Convention;

GRATEFUL to all persons who have served this Committee, for the work they have done to develop the Identification Manual;

NOTING also that between the sixth (Ottawa, 1987) and the 10th (Harare, 1997) meetings of the Conference of the Parties the Committee was without Chairman and membership;

NOTING further that following the 10th meeting of the Conference of the Parties (Harare, 1997) only one Party has expressed interest in appointing members of the Committee;

RECOGNIZING the need for a regular production of sheets for the Identification Manual in the three working languages of the Convention and that the work involved is not of a nature readily performed by a committee;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. DIRECTS the Secretariat to:
    a) prepare texts on the identification of animal and plant species for inclusion in the Identification Manual in the three working languages of the Convention;
    b) when listings that include annotations are adopted, prepare sheets that illustrate the parts and derivatives covered under the listings, as appropriate, based on relevant data obtained from Parties whose proposals to amend the Appendices have been adopted;
    c) upon request from a Party, provide advice on the identification of species, or seek advice from experts on the taxa concerned;
    d) ensure, where relevant, that the subject of identification of species or specimens is included in training seminars organized by the Secretariat;
    e) provide assistance to Parties in the development of national or regional identification manuals;
    f) obtain, from Parties whose proposals to include new species in the Appendices have been adopted, appropriate data for inclusion in the Identification Manual within one year after acceptance of such additions;
    g) publish, within its financial capacity, the Identification Manual;
    h) inform the Standing, Animals and Plants Committees on the progress made whenever appropriate; and
    i) report at each meeting of the Conference of the Parties;
2. EXHORTS Parties having successfully submitted proposals to include new species in the Appendices, to provide appropriate data for inclusion in the Identification Manual within one year after acceptance of such additions;
3. APPEALS to Parties and organizations to provide funds to ensure the production of the Identification Manual; and
4. REQUESTS the Parties to promote the use of the Identification Manual.

* *Amended at the 16th meeting of the Conference of the Parties.*

Conf. 11.20 (Rev. CoP 18)*

术语“合适和可接受目的地”的定义

忆及 在第九次缔约方大会(劳德代尔堡,1994)和第十三次缔约方大会(曼谷,2004)上，南非和斯威士兰的白犀种群在满足“仅允许将活体运抵合适和可接受目的地及狩猎纪念物的国际贸易”的注释条件下，被降到了公约附录II；

并**忆及** 博茨瓦纳、纳米比亚和津巴布韦的非洲象种群在满足“仅允许向合适和可接受目的地出口活动物”的注释条件下，在第十次缔约方大会(哈拉雷，1997)上被降到公约附录II；

进一步**忆及** 在第十一次缔约方大会 (吉吉里，2000) 上，南非的非洲象种群在满足“仅允许以重引入为目的向进口国在立法上正式宣布为保护区贸易活体动物”的注释条件下，被转移到公约附录II；

注意到 在第十四次缔约方大会 (海牙，2007) 上采纳的对非洲象种群列入附录II的当前注释部分指明，“依Conf. 11.20 (Rev. CoP18)号决议的定义，对博茨瓦纳和津巴布韦，忆及对于纳米比亚和南非的就地保护项目，仅允许向适当和可接受的目的地开展活体动物贸易”；

进一步**注意到** 对“合适和可接受目的地”这一术语仍需进行全面的定义；

认识到 目前已经有了一些涉及到活体动物的注释，而且将来可能还会采纳一些类似的注释；

进一步**注意到** 对于活体动物而言，合适和可接受目的地应该是指那些确保能使动物受到人道对待的地方；

进一步**忆及** Conf. 16.6 (Rev. CoP17)号决议CITES公约和生计认识到，活体动物的迁地保护生产可能会导致乡村社区收入减少，而推动就地保护生产系统会产生正向激励鼓励这些社区获益；

进一步**忆及** Conf. 13.9 号决议鼓励拥有迁地繁殖机构的缔约方和拥有就地保护项目的缔约方开展合作，鼓励迁地繁育机构和就地保护项目的缔约方之间合作；

注意到 依“合适和可接受目的地”注释出口的动物，其后代应受到公约文本第三条的管制，除非进口国的种群也被列为附录II；

关注到 依“合适和可接受”注释的活体犀或象贸易，不应削弱其分布地的物种保护，及对非法贸易的抗击；

认识到 象是高度社会化的动物，将象从其社会群体中移走会破坏野生种群，并对从这些群体中移出的象的身体和社会福祉产生不利影响；

承认 2018年6月1-3日，21个非洲象分布国的代表在非洲象联盟首脑会议的《亚的斯亚贝巴公报》中，重申了联盟中30个分布国的立场，即野生非洲象的唯一合适和可接受目的地是在其野生自然分布地的就地保护项目；及

进一步承认 在非洲象野生自然分布地开展就地保护项目，是促进野生非洲象就地保护的最佳方法；

* 经第十七次和第十八次缔约方大会修订。

1. **同意** 对于公约附录II所列从野外来源的活体非洲象†，当列入的注释中含有“合适和可接受目的地”术语，该术语应被定义为，在非洲该物种的自然和历史分布区的就地保护项目或是安全区域；除以下特殊情况，即在秘书处支持下，通过动物委员会主席经与动物委员会协商，并与世界自然保护联盟(IUCN)象专家组协商，考虑到转移到迁地的地点将为非洲象提供可见的就地保护效益，或紧急情况下的临时转移；

2. 进一步**同意** 对于公约附录II所列物种所有活体动物的贸易，当列入的注释含有“合适和可接受目的地”这一术语，其目的地确切的定义是指：

   a) 进口国管理机构和科学机构认为上述活体标本的拟议接受地确实装置得当，适于收容和可持续照管该活体动物标本；及

   b) 进口国和出口国管理机构和科学机构认为贸易会促进就地保护；

3. **鼓励** 依“合适和可接受目的地”注释发放的活体犀或象贸易许可，即包含如下条件：这些动物及其后代的犀角或象牙不会进入到商业贸易，也不会在其历史分布区之外被运动狩猎；并

4. **建议** 所有缔约方采取立法、监管、执法或其他措施，以防止活体象和犀的非法和致危性贸易，降低对野外种群的不利影响，降低被贸易活体象和犀所受到伤害、健康损害和被虐待的风险，并促进这些动物的社会福利。

† 不包括在第十八次缔约方大会上通过本决议时在异地的象。

Conf. 11.20 Definition of the term 'appropriate and acceptable destinations'

(Rev. CoP18)

RECALLING that, at the ninth meeting of the Conference of the Parties (Fort Lauderdale, 1994) and the 13th meeting of the Conference of the Parties (Bangkok, 2004), the South African and Swaziland populations of southern white rhinoceros (*Ceratotherium simum simum*) were transferred to Appendix II of the Convention subject to an annotation stating, in part, "For the exclusive purpose of allowing international trade in live animals to appropriate and acceptable destinations and hunting trophies";

RECALLING ALSO that, at the 10th meeting of the Conference of the Parties (Harare, 1997), the African elephant (*Loxodonta africana*) populations of Botswana, Namibia and Zimbabwe were transferred to Appendix II of the Convention subject to an annotation stating, in part, "For the exclusive purpose of allowing export of live animals to appropriate and acceptable destinations";

RECALLING FURTHER that, at the 11th meeting of the Conference of the Parties (Gigiri, 2000), the African elephant population of South Africa was transferred to Appendix II of the Convention subject to an annotation stating, in part, "For the exclusive purpose of allowing trade in live animals for re-introduction purposes into protected areas formally proclaimed in terms of legislation of the importing country";

NOTING that the current annotation to the listing of the Appendix-II populations of African elephant, adopted at the 14th meeting of the Conference of the Parties (The Hague, 2007) states, in part, "For the exclusive purpose of allowing trade in live animals to appropriate and acceptable destinations, as defined in Resolution Conf. 11.20 (Rev. CoP18), for Botswana and Zimbabwe and for *in situ* conservation programmes for Namibia and South Africa";

NOTING FURTHER that the term 'appropriate and acceptable destinations' is yet to be fully defined;

RECOGNIZING that there are annotations currently existing that refer to live animals, and that similar annotations may be adopted in future;

NOTING FURTHER that 'appropriate and acceptable destinations' for live animals should be those that ensure that the animals are humanely treated;

RECALLING FURTHER that Resolution Conf. 16.6 (Rev. CoP17) on *CITES and livelihoods* recognizes that *ex situ* production of live animals may lead to loss of revenues for rural communities and that positive incentives to promote *in situ* production systems may encourage benefits to these communities;

RECALLING FURTHER that Resolution Conf. 13.9 on *Encouraging cooperation between Parties with* ex situ *breeding operations and those with* in situ *conservation programmes* encourages cooperation between Parties with *ex situ* breeding operations and those with *in situ* conservation programs;

NOTING that trade in the offspring of the animals exported under an 'appropriate and acceptable destination' annotation will be subject to Article III of the Convention, except if the importing country's population is also listed in Appendix II;

CONCERNED that trade in live rhinoceroses or elephants under an 'appropriate and acceptable' annotation should not undermine the conservation of the species within its range and efforts to combat trafficking;

RECOGNIZING that elephants are highly social animals and that removal of elephants from their social groups disrupts wild populations and has detrimental effects on the physical and social well-being of elephants removed from these groups;

AKNOWLEDGING the Addis Ababa Communiqué from the African Elephant Coalition Summit, 1-3 June 2018, in which 21 representatives of African elephant range States reaffirmed the position of the

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* *Amended at the 17th and 18th meetings of the Conference of the Parties.*

30 African States in the Coalition that the only appropriate and acceptable destinations for live wild African elephants are in situ conservation programmes within their wild natural range; and

FURTHER ACKNOWLEDGING that the best way to promote *in situ* conservation of live wild African elephants is through *in situ* conservation programmes within their wild natural range;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. AGREES that where the term 'appropriate and acceptable destinations' appears in an annotation to the listing of *Loxodonta africana* in Appendix II of the Convention with reference to the trade in live elephants[1] taken from the wild, this term shall be defined to mean *in situ* conservation programmes or secure areas in the wild, within the species' natural and historical range in Africa, except in exceptional circumstances where, in consultation with the Animals Committee, through its Chair with the support of the Secretariat, and in consultation with the IUCN elephant specialist group, it is considered that a transfer to *ex-situ* locations will provide demonstrable *in-situ* conservation benefits for African elephants, or in the case of temporary transfers in emergency situations;

2. FURTHER AGREES that, where the term 'appropriate and acceptable destinations' appears in an annotation to the listing of a species in Appendix II of the Convention with reference to the trade in all live animals, this term shall be defined to mean destinations where:

   a) the Management and Scientific Authority of the State of import is satisfied that the proposed recipient of a living specimen is suitably equipped to house and care for it sustainably; and

   b) the Management and Scientific Authorities of the State of import and the State of export are satisfied that the trade would promote *in situ* conservation;

3. ENCOURAGES that any permit authorizing trade of live rhinoceroses or elephants under an 'appropriate and acceptable destinations' annotation contain a condition stating that the rhinoceros horn or elephant ivory from those animals and from their progeny may not enter commercial trade and be sport hunted outside of their historic range; and

4. RECOMMENDS that all Parties have in place legislative, regulatory, enforcement, or other measures to prevent illegal and detrimental trade in live elephants and rhinoceroses, to minimize the risk of negative impacts on wild populations and injury, damage to health or cruel treatment of live elephants and rhinoceroses in trade, and to promote the social well-being of these animals.

[1] *Excluding elephants that were in* ex-situ *locations at the time of the adoption of this Resolution at the 18th meeting of the Conference of the Parties.*

Conf. 11.21 (Rev. CoP18)*

附录Ⅰ和Ⅱ中注释的使用

认识到 因一系列原因，附录中的注释得到越来越多的使用；

意识到 一些特定的注释仅仅只作为参考，而其他大部分注释则具有实质性的含义，并且是用来定义某一物种被列入附录的范围；

考虑到 对于附录修订中涉及的某些特殊情况，缔约方已经就其附录升降、报告和回顾等问题制定了具体程序，比如那些与捕养、限额、特定部分和衍生物及贸易体制有关的程序；

还**意识到** 某些特定类型的注释是将某物种列入附录不可分割的组成部分，任何增加、修订或删除此类注释的提案都必须符合第九次缔约方大会 (劳德代尔堡，1994)通过并经第十二、十三、十四、十五、十六和十七次缔约方大会 (圣地亚哥，2002；曼谷，2004；海牙，2007；多哈，2010；曼谷，2013；约翰内斯堡，2017)修订的Conf. 9.24 (Rev. CoP17)号决议的规定；

忆及 把一个动物或植物物种带注释列入三个附录中任一个总是包括整个动物或植物的活体或死体，而通过一个注释则可以包括任何标本；

还**忆及** 缔约方大会在其第二和第四次会议上同意，将植物种列入附录II或附录III，及将动物物种列入附录III而没有注释，应被解释为包括整个动物或植物活体或死体，及所有易于识别的部分和衍生物，且缔约方大会随后的任何决定都没有改变这一观点；

认识到 对于含有注释的附录修订提案，需对其提交标准和所含注释执行情况审议的程序加以明确定义，以避免发生履约和执法方面的问题；并

认识到 缔约方已经接受了一些注释中术语和词语的定义，而且这些定义都包含在几个决议和附录的说明部分中；

公约缔约方大会

1. **同意：**
   a) 以下属参考性注释，仅作参考信息使用：
      i) 用作表示所注分类单元一个或多个地理隔离种群、亚种或种被列入其他附录的注释；
      ii) 注释“possibly extinct” (可能灭绝)；及
      iii) 有关命名的注释；
   b) 以下注释具有实质性含义，并属于将某物种列入附录的不可分割的组成部分：
      i) 特别规定列入或排除指定地理隔离种群、亚种、种、若干组物种或更高分类单元的注释，其中可能包括出口限额；及
      ii) 特别规定标本类型或出口限额的注释；
   c) 为便于对附录进行理解，如有必要，缔约方大会或秘书处可以增加、修订或删除参考性的注释；

* 经第十三、十四、十五、十六、十七和十八次缔约方大会修订。

d) 按照公约第十五条规定，只有缔约方大会能增加、修订或删除有关附录I和II物种的实质性注释；

e) 只有提出把物种列入附录III的一个或几个缔约方才能增加、修订或删除有关附录III物种的实质性注释；

f) 有关附录I和II中地理隔离种群的实质性注释应符合Conf. 9.24 (Rev. CoP17)号决议附件3关于分列的规定；及

g) 有关将某一物种从附录I降到附录II的上下文中所用的实质性注释应满足Conf. 9.24 (Rev. CoP17)号决议附件4所包含的预防性措施；且

h) 常务委员会，或酌情由动物委员会或植物委员会定期审议删除或修订包括时间限制或其他随着时间推移而不再使用的其他参考的注释，

2. **同意** 对于由某一缔约方提出的、在对某些特定类型标本加注注释的条件下将某一物种从附录I降至附录II的提案，如果提案国曾经对该物种提出过保留且保留仍然生效，缔约方大会对此提案将不予考虑，除非该缔约方已同意在采纳提案修订案后的90天之内撤销其保留；

3. **同意** 将某一植物种列入附录II的提案，或将某一植物种从附录I转移到附录II的提案，如果该提案不包括用以指明所列标本类型的注释，则应被解释为包括所有活体或死的植物，和所有易于识别的部分和衍生物；

4. 进一步**同意** 对于列入附录II或附录III的植物种，及列入附录III的动物物种，如没有关于该物种的注释，则表明包括所有易于识别的部分和衍生物；

5. **鼓励** 当考虑提议把一个物种带着实质性的注释列入附录时，缔约方应考虑以下几点:

a) 一个包含性注释,它指定了哪些标本类型包括在列入范围内，应该在只有少数标本类型需要包括在列入范围内时使用；

b) 一个排他性的注释，它指定了哪些标本类型被排除在列入范围外，应该在只有在少数标本类型需要被排除在列入范围外时使用；

c) 一个由包含性和排他性语言组合的注释，它指定了哪些标本类型被排除在列入范围外，同时又附以不在排除之列的这些标本类型的子集供参考，或指定了哪些标本类型包括在列入范围内，而又附以被排除在外的这些标本类型的子集供参考，应该根据具体情况来使用；

d) 如果标本的许多类型的贸易对该物种的野外种群有危险，或者贸易中的标本类型很容易改变，可能会频繁发生改变，或可能随时间而改变，在这些情况下，注释就可能没有必要；

6. **建议** 以下注释指南和原则：

a) 提交包含实质性注释的提案的缔约方应：

i) 确保提案文本得到明确无误的阐述；

ii) 考虑某些标本不适用CITES规定对保护的影响；及

iii) 考虑注释的可执行性；

b) 在今后为药用植物起草注释时遵循两条主要原则并将其作为准则：

i) 控制应集中针对那些最初见于国际贸易并从分布国出口的货品；这些货品可包括从未加工到加工过的各种材料；及

ii) 控制应仅包括那些对贸易和野生资源需求起主导作用的货品；

c) 如果某一提议的注释与标本的具体类型有关，注释中应详细列出公约适用于每一种标本类型进口、出口和再出口的具体规定；

d) 作为一条普遍规则，缔约方应避免提出要求采纳包含有活体动物或纪念物的注释的提案；及

e) 由于其实施面临着特殊挑战，尤其是存在鉴定问题或贸易目的已被具体明确的情况下，所以在使用具体规定附录所列标本类型的注释时应采取保守态度；

f) 在可行的情况下，注释的内容应重点关注要包括在附录中或从附录中排除类群的特定部分和衍生物。

7. **敦促** 提交包括实质性注释提案的缔约方咨询秘书处、常务委员会，及在适当情况下动物委员会或植物委员会，以确保注释恰当并易于执行；

8. **指示：**

a) 当在有贸易的缔约方间出现对注释中术语解释有明显不同的情况时，常务委员会经与动物或植物委员会磋商，在两次缔约方大会间提出临时定义，然后写入向缔约方大会的报告以待通过；

b) 秘书处向缔约方送达每一个经常委会同意的注释中术语定义的通知；

c) 在按某一实质性注释将某物种从附录I降至附录II的提案获得通过至少四年后，秘书处将其所收集到的任何能显示有关该物种非法贸易或偷猎显著增加的可信资料向常委会报告；及

d) 常委会对任何此类有关非法贸易的报告进行调查，并采取适当措施来弥补这种状况，包括可呼吁缔约方暂停有关受到影响的物种的商业性贸易，或提请公约保存国政府提交提案以对注释进行修订或将该物种重新列入附录I；及

9. **同意** 对于从附录I降到附录II的物种，其所附注释指明仅特定类型的标本受附录II物种相关条款的管制，则没有被明确包含在该注释中的标本应被看作附录I所列物种的标本，其贸易也应受到相应管制。

10. **建议** 缔约方使用附录注释中所用术语的定义和表达

Conf. 11.21 (Rev. CoP18)

Use of annotations in Appendices I and II

RECOGNIZING that annotations are increasingly used in the Appendices for a number of purposes;

AWARE that certain types of annotations are for reference only, whereas others are substantive and are intended to define the scope of the inclusion of a species;

CONSIDERING that the Parties have developed specific procedures for transfer, reporting and review for certain special cases of amendment of the Appendices, such as those relating to ranching, quotas, certain parts and derivatives, and trade regimes;

AWARE also that certain types of annotations are an integral part of a species listing, and that any proposal to introduce, amend or delete such an annotation must follow the provisions of Resolution Conf. 9.24 (Rev. CoP17), adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994) and amended at its 12th, 13th, 14th, 15th, 16th and 17th meetings (Santiago, 2002; Bangkok, 2004; The Hague, 2007; Doha, 2010; Bangkok, 2013; Johannesburg, 2016);

RECALLING that an annotated listing of an animal or plant species in any of the three Appendices always includes the whole live or dead animal or plant, as well as any specimen specified in the annotation;

RECALLING further that the Conference of the Parties had agreed at its second and fourth meetings that a listing of a plant species in Appendix II or Appendix III, and an animal species in Appendix III, without an annotation should be interpreted as including the whole live or dead animal or plant and all readily recognizable parts and derivatives, and that this view has not been changed by any subsequent decision of the Conference of the Parties;

CONSCIOUS that criteria for the submission of proposals to amend the Appendices that include annotations, and procedures for reviewing the implementation of such annotations, need to be clearly defined to avoid implementation and enforcement problems; and

RECOGNIZING that the Parties have adopted a number of definitions of terms and expressions in annotations, and that those definitions are included in several Resolutions and in the Interpretation section of the Appendices;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. AGREES that:

   a) the following are reference annotations and are for information purposes only:

      i) annotations to indicate that one or more geographically separate populations, subspecies or species of the annotated taxon are in another Appendix;

      ii) the annotations ‘possibly extinct’; and

      iii) annotations relating to nomenclature;

   b) the following are substantive annotations, and are integral parts of species listings:

      i) annotations that specify the inclusion or exclusion of designated geographically separate populations, subspecies, species, groups of species, or higher taxa, which may include export quotas; and

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* *Amended at the 13th, 14th, 15th, 16th, 17th and 18th meetings of the Conference of the Parties.*

ii) annotations that specify the types of specimens or export quotas;

c) reference annotations may be introduced, amended or deleted by the Conference of the Parties, or by the Secretariat, as required, to facilitate the understanding of the Appendices;

d) substantive annotations relating to species in Appendix I or II may be introduced, amended or deleted only by the Conference of the Parties in accordance with Article XV of the Convention;

e) substantive annotations relating to species in Appendix III may be introduced, amended or deleted only by the Party or Parties that submitted the species for inclusion in Appendix III;

f) substantive annotations relating to geographically separate populations in Appendix I or II should be in compliance with the split-listing provisions contained in Resolution Conf. 9.24 (Rev. CoP17) Annex 3; and

g) substantive annotations used in the context of transferring a species from Appendix I to Appendix II should be in compliance with the precautionary measures contained in Resolution Conf. 9.24 (Rev. CoP17) Annex 4; and

h) annotations that include time limits or other references that may with time cease to apply should, on a regular basis, be considered for deletion or revision by the Standing Committee and as appropriate, by the Animals Committee or Plants Committee.

2. AGREES that no proposal for transfer of a species from Appendix I to Appendix II subject to an annotation relating to specified types of specimens shall be considered from a Party that has entered a reservation for the species in question, unless that Party has agreed to remove the reservation within 90 days of the adoption of the amendment;

3. AGREES that a proposal to include a plant species in Appendix II, or to transfer a plant species from Appendix I to Appendix II, shall be interpreted to include the whole live or dead plant and all readily recognizable parts and derivatives if the proposal does not include an annotation specifying the types of specimens to be included;

4. AGREES further that, for a plant species included in Appendix II or Appendix III, and an animal species included in Appendix III, the absence of an annotation relating to that species shall indicate that all readily recognizable parts and derivatives are included;

5. ENCOURAGES Parties, when considering proposing the inclusion of a species in the Appendices with a substantive annotation, to take into account the following:

a) an inclusionary annotation, which specifies the types of specimens to be included under the listing, should be used in cases where only a few types of specimens need to be included under the listing;

b) an exclusionary annotation, which specifies the types of specimens to be excluded from the listing, should be used where only a few types of specimens need to be excluded from the listing;

c) an annotation that is a combination of inclusionary and exclusionary language, which specifies the types of specimens to be excluded from the listing, but also references a subset of those types of specimens that are excepted from the exclusion, or which specifies the types of specimens to be included in the listing, but also references a subset of those types of specimens to be excluded, should be used as circumstances dictate; and

d) an annotation may not be necessary in cases where there is a risk to wild populations of the species from many types of specimens in trade or where the types of specimens in trade are easily transformed, likely to change frequently, or likely to change over time;

6. RECOMMENDS the following guidance and principles for annotations:

a) Parties submitting proposals that contain substantive annotations:

i) ensure that the text is clear and unambiguous in the three working languages of the Convention;

ii) consider the conservation impact of excluding certain specimens from CITES provisions; and

iii) consider the enforceability of the annotations;

b) two main principles be followed as standard guidance when drafting annotations for plants:

i) controls should concentrate on those commodities that first appear in international trade as exports from range States; these may range from crude to processed material; and

ii) controls should include only those commodities that dominate the trade and the demand for the wild resource;

c) if a proposed annotation relates to specified types of specimens, the applicable provisions of the Convention for import, export and re-export of each type of specimen should be specified;

d) as a general rule, Parties avoid making proposals to adopt annotations that include live animals or trophies;

e) annotations that specify the types of specimens included in the Appendices should be used sparingly, as their implementation is particularly challenging, especially where there are identification problems or where the purpose of trade has been specified; and

f) elements of an annotation should, whenever practicable, focus on specification of parts and derivatives of the taxon intended to be included in or excluded from the Appendices.

7. URGES Parties submitting proposals that contain substantive annotations to consult with the Secretariat, the Standing Committee and, as appropriate, the Animals Committee or Plants Committee, to ensure that the annotation is appropriate and can be readily implemented;

8. DIRECTS:

a) the Standing Committee, in consultation with the Animals Committee or the Plants Committee, to agree on interim definitions between meetings of the Conference of the Parties in cases where significant differences in the interpretation of terms in annotations exist among trading countries and are causing implementation difficulties, and then include these definitions in its report to the Conference of the Parties for adoption;

b) the Secretariat to issue a Notification to the Parties on any interim definitions of terms in annotations agreed by the Standing Committee;

c) the Secretariat to report to the Standing Committee, for at least four years following the adoption of a proposal to transfer species from Appendix I to Appendix II subject to a substantive annotation, any credible information it receives indicating a significant increase in the illegal trade in or poaching of such species; and

d) the Standing Committee to investigate any such reports of illegal trade and to take appropriate action to remedy the situation, which may include calling on the Parties to suspend commercial trade in the affected species, or inviting the Depositary Government to submit a proposal to amend the annotation or to retransfer the species to Appendix I;

9. AGREES that, for species transferred from Appendix I to II with an annotation specifying that only certain types of specimens are subject to the provisions relating to species in Appendix II, specimens that are not specifically included in the annotation shall be deemed to be specimens of species included in Appendix I and the trade in them shall be regulated accordingly; and

10. RECOMMENDS that the definitions of terms and expressions used in annotations in the Appendices be applied by the Parties.

Conf. 12.3 (Rev. CoP18)[1]

许可证和证明书

忆及 第八次缔约方大会 (京都，1992)通过的Conf. 8.16号决议；

忆及 第十次缔约方大会 (哈拉雷，1997)通过并经第十一次缔约方大会 (吉吉里，2000)修订的Conf. 10.2 (Rev.)号决议；

忆及 公约文本第六条关于许可证和证明书的规定；

察觉 伪造的或无效的许可证和证明书越来越频繁地被用于欺诈目的，为防止接受此类许可证和证明书，有必要采取适当的措施；

认识到 各缔约方在为非常有价值的标本和列入附录I物种的标本签发许可证和证明书时需要特别警觉；

认识到 许可证和证明书可以以纸质、电子或以两种格式并用的方式签发；

认识到 对缔约方签发电子格式的许可证或证明书没有强制要求；

认识到 除非已经与其他受影响的缔约方达成具体协议，否则以电子格式签发许可证或证明书的缔约方还需以纸质格式签发；

考虑到 需要用国际规范和标准提高许可证和证明书的标准化；

注意到 CITES电子许可工具包为缔约方应用国际公认的信息交换格式、议定书、标准及电子签名提供了指导；

认识到 采取CITES电子许可工具包强调的原则促进管理机构间信息交换的需要；

认识到 CITES电子许可工具包需要更新和修订，以反映不断发展的国际标准；

认识到 签发CITES许可证和证明书，是确保贸易不会危害公约附录物种的生存的证明机制；

意识到 许可证和证明书上的数据必须提供最大的信息量，使得不论是对于出口还是进口，可以确认标本和文件的一致性；

认识到 公约并没有明确如何接受标本出口后、进口前超过有效期的出口许可证的问题；

考虑到 现在还没有确定进口许可证最长有效期的规定，因此有必要制定适当的有效期时限，以保证公约第三条第3款的全面执行；

忆及 公约第三、第四、第五条对任何列入公约附录物种标本的贸易规定，都要事先取得并出具有关文件.

忆及 根据公约第八条第1款 (b)项的规定，各缔约方有义务对违反公约规定进行贸易的标本予以没收或将其返还出口国；

注意到 进口国为履行其根据公约第八条第1款 (b) 项要求承担的义务所进行的努力，可能被为已经无证离开出口国或再出口国的标本补发许可证或证明书的行为所严重瓦解，另外，确认这些不符合公约规定要求的文件为有效的做法，也可能产生类似的效果；

考虑到 补发许可证和证明书的做法增加了对正确执行公约的可能性的负面影响，而且会

[1] 经第十三、十四、十五、十六、十七和十八次缔约方大会修订。

导致产生非法贸易可以利用的漏洞；

考虑到 公约第七条第7款允许在某些情况下，“任何国家的管理机构可不按照第三条、第四条和第五条的各项规定，允许用作巡回动物园、马戏团、动物展览、植物展览或其他巡回展出的标本，在没有许可证或证明书的情况下运送，但必须……这些标本系属于本条第2款或第5款所规定的范围”；

然而又**希望** 该豁免不会被用来逃避对公约附录所列物种国际贸易所采取的必要控制措施；

认识到 出于特殊情况或特别目的，许多生物学样品的贸易要求加快签发许可证和证明书的进程，以使货物能及时得到运输；

忆及 根据公约第八条第3款，缔约方应保证物种标本在贸易时尽快通过任何必要的手续；

认识到 公约第七条包含了专门的条款，减少对那些公约条款对其生效之前所获标本和人工繁育或人工培植所获标本的贸易的控制程度；并

注意到 需要建立简化程序，以便和《生物多样性公约》缔约方的义务相一致；

公约缔约方大会

1. 在本决议中**设立**以下章节：

I. 关于公约许可证和证明书的标准化

II. 关于出口许可证和再出口证明书

III. 关于进口许可证

IV. 关于物种从一个附录转移到另一个附录后许可证和证明书的签发

V. 关于“公约前所获”证明书

VI. 关于原产地证明书

VII. 关于巡回展出证明书

VIII. 关于植物检疫证明书

IX. 关于受限额制约物种的许可证和证明书

X. 关于鳄类标本的许可证和证明书

XI. 关于珊瑚标本的许可证和证明书

XII. 关于附录II和III中的木材标本 (附有注释：“系指原木、锯材和饰面用单板”)的许可证和证明书

XIII. 关于使用简化程序签发许可证和证明书

XIV. 关于补发许可证和证明书

XV. 关于接受和核销文件及防伪措施

XVI. 关于ATA文件体系涵盖的用于样品收集的文件

XVII. 关于法庭命令下的许可证和证明书

附件1 CITES许可证和证书中应包含的信息

附件2 CITES标准表格;说明和解释

附件3 巡回展出证明书的样式、说明和解释、附页

附件4 生物学样品的类型及其用途

I. 关于公约许可证和证明书的标准化

2. **同意：**

a) 为履行公约文本第四条及其他相关决议的要求，出口和进口许可证、再出口和公约前所获证明书、原产地证明书、人工繁育和人工培植 (检疫证明书用于该目的时除外)证明书中必须包含本决议附件1中的所有信息；

b) 如果涉及的所有缔约方均同意，许可证和证明书可以以纸质格式或电子格式签发；

c) 无论纸质还是电子格式，各种形式的证书必须以一种或一种以上的公约工作语言(英语、西班牙语、法语)来签发，如果所在国的法定语言不是公约工作语言，还必须使用本国语言；

d) 每种证书都应注明该证书的类型 (例如：进口或出口许可证，再出口或公约前所获证明书等)；

e) 如果一种许可证或证明书无论纸质还是电子格式的包含申请者签字一栏，那么没有手写签字的、或是对于电子形式的没有电子签字等同体的许可证或证明书将被视为无效；及

f) 如果附件是作为一份许可证或证明书整体的一部分，则这一点连同附件的页数必须在许可证或证明书上清楚地注明，附件的每一页应包括以下内容：

i) 许可证或证明书的编号及签发日期；及

ii) 负责签发文件的管理机构的手写体签字、印花或印章，最好加盖钢印，或它们的电子等同体；并

3. **建议：**

a) 缔约方想更换其许可证和证明书格式，重新印刷现有文件或采用新的文件，要事先征求公约秘书处的意见；

b) 各缔约方在可行的基础上，其出口许可证和再出口证明书的内容和格式尽量采用本决议附件2的标准格式；

c) 使用或开发电子许可证或证明书的缔约方采用CITES电子许可工具包建议的标准；

d) 秘书处在得到外来资金的情况下，为有要求的缔约方安排在安全纸张上印刷许可证和证明书；

e) 为防止滥用或诈用，缔约方不要将CITES证明书格式用于其国内贸易证明书；

f) 为便于查找和制作年度报告，在可能的情况下，对许可证和证明书的编号应根据下列格式限制在14位之内：

WWxxYYYYYY/zz

在这里，WW代表证书签发年份的最后两位数字；XX代表发证国家的ISO双字母代码；YYYYYY代表六位数的证书编号；ZZ代表一个缔约方用于反映国内信息

的两个数字或字母，或一个数字和一个字母的组合；

g) 缔约方在其核发的每份许可证和证明书上，采用如下代码表示其贸易目的：

T 商业

Z 动物园

G 植物园

Q 马戏团和巡回展出

S 科研

H 狩猎纪念物

P 个人

M 医药 (包括生物医药研究)

E 教育

N 重引入或引入野外

B 人工繁育或人工培植

L 执法/司法/法庭；

h) 贸易目的代码确定如下：

i) 直接参与从一国到另一国贸易的发货人/出口者和收货人/进口者之间的交易用于评估出口许可证或再出口证明书的贸易目的代码。这表明标本从发货人/出口者到收货人/进口者进行贸易的原因。发货人/出口者和收货人/进口者可以是同一实体(例如个人物品运转)。

ii) 进口者对标本的预期用途用于确定进口许可证的贸易目的代码。这表明进口者要求进口或正在进口标本的原因。

iii) 出口许可证/再出口证明书和进口许可证都需签发时，两个CITES文件中使用的贸易目的代码可以不同。

iv) 对于这些证书，应使用以下贸易目的代码：

所有权证明书	P
巡回展出证明书	Q
乐器证明书	P或Q
科研证明书	S

v) 对于其余的证书，贸易目的代码确定如下：

公约前所获证明书-参考上文i)对于出口许可证或再出口证明书所述；

原产地证明书–参考上文i)对于出口许可证或再出口证明书所述；

人工繁育和人工培植证明书–参考上文i)对于出口许可证或再出口证明书所述；

从海上引进证明书–参考上文ii)对进口许可证所述；

i) 用于本决议的术语“狩猎纪念物”，是指CITES许可证或证明书注明的一个动物整体，或者该动物的一个可辨认的部分或衍生物，其：

i) 是生的、加工过的或制造过的；

ii) 是被猎人通过为猎人本人自用而狩猎所合法获得的；及

iii)正由猎人或其代理人作为从原产国最终转移至猎人常住国的一部分实施进口、出口或再出口。

j) 使用下列代码表示标本的来源：

W 野外所获标本；

X 从不属于任何国家管辖的海域中取得的标本；

R 捕养标本：其在卵或幼体时从野外获得，在控制环境中育成的动物标本，否则会有很低可能性存活至成年；

D 根据公约文本第七条第 4 款规定出口的、为商业目的符合 Conf. 12.10 (Rev. CoP15)号决议规定在秘书处注册的养殖场人工繁育的附录I动物，及为商业目的而人工培植所获的附录I植物，及其这些动物和植物的部分和衍生物；

A 根据公约文本第七条第 5 款规定进行出口的、符合 Conf. 11.11 (Rev. CoP18)1[2]号决议规定的人工培植所获植物，及其部分和衍生物 (因非商业目的而人工培植所获的附录I植物标本，及附录II和附录III植物标本)。

C 根据公约文本第七条第 5 款的规定进行出口的、符合公约 Conf. 10.16 (Rev.)号决议规定的人工繁育所获动物及其部分和衍生物；

F 不符合公约 Conf. 10.16 号 (Rev.)决议关于“人工繁育”定义的圈养出生的动物 (子一代或以后世代)及其部分和衍生物；

Y 符合 Conf11.11(Rev. CoP18)号决议中“辅助生产”定义的植物标本及其部分和衍生物；

U 来源不明(必须说明理由)；

I 没收或扣留的标本；

O 公约前所获标本；

k) 许可证或证明书中说明贸易标本类型的术语和代码，应与秘书处最新的《编制和提交年度报告指南》列出的相一致，所用计量单位也应与该指南相一致；

l) 所有缔约方考虑研发和使用电子许可证和证明书；

m) 所有缔约方在使用纸质许可证和证明书时考虑使用防伪安全纸张；

[2] 由秘书处在第十八次缔约方大会后修正。

n) 还没有这么做的缔约方在每张许可证和证明书上粘贴一张安全印花；

o) 如果在许可证或证明书上粘贴了安全印花，应使用签字或印章加以注销，最好是钢印，并在文件上注明印花的编号；

p) 在签发许可证和证明书时，各缔约方要遵守缔约方大会通过的标准命名 (参见 Conf. 12.11 (Rev. CoP18)号决议)表示物种名称；

q) 缔约方尽快向秘书处通报以下情况 (如果还没通报的话)：被授权签发许可证和证明书的人员的姓名、三个签字的样本，如有任何变化，所有缔约方都应在一个月内通报增补的授权签字人名单、签字失效的人员名单及上述变更的生效日期；

r) 当所采用的运输手段要求“船运单”或“空运单”时，要将运单的号码标注在许可证和证明书上；

s) 各缔约方直接或通过秘书处，将其根据公约第十四条第1款 a) 项采取的任何更严厉的国内措施通知其他缔约方，如果一个缔约方得到了有关信息，则应避免签发任何与这些措施冲突的许可证和证明书；

t) 当一份许可证或证明书作废、丢失、被盗或被毁坏后，签发证书的管理机构要立即将有关货物的情况通知抵达国家的管理机构和秘书处；及

u) 为替代一份已经作废、丢失、被盗、被毁坏、或已经过期的文件而签发一份许可证或证明书时，要注明被替代文件的编号及被替代的原因；及

v) 当一个管理机构为包含不止一种CITES附录物种的部分或者衍生物的制品出具许可证或证明书时，它应当尽可能地：

i) 确保贸易的每种制品只标明在一份许可证或证明书上；

ii) 要写上声明，声明该许可证或证明书载明的内容是包含不止一种CITES附录物种的制品；

iii)在许可证或证明书上列明该制品所包含的所有CITES附录物种；

iv) 对任何列名的物种，要指明制品的类型及制品中的CITES标本的类型；

v) 清楚地表明该许可证或证明书中的制品的全部数量；

II. 关于出口许可证和再出口证明书

4. **同意** 一份再出口证明书应包含下列内容：

a) 原产国、原产国出口许可证的编号和签发日期；及

b) 最后一个再出口国、再出口国签发的再出口证明书的编号和签发日期；

或如果出现问题：

c) 说明遗漏任何上述信息的理由；

5. 建议：

a) 鼓励出口者在临近出口前申请许可证；

b) 管理机构要求提供每张许可证所涉及标本出口数量的准确信息，并尽可能避免签发没有准确反映实际出口数量的许可证；

c) 当申请人要求更换一份尚未使用的许可证时，只有在原件被退回签发机构的情况下才能予以更换，除非申请人报告原件已丢失。在后一种情况下，签发的管理机构应通知到达国的管理机构该原件已经被撤消和更换；

d) 如果出口者声称使用许可证所出口的标本数量比许可证允许的数量少，并要求签发另一份许可证以出口剩余数量，管理机构在签发任何新的许可证前，应获得关于已出口数量的证明 (如一份已查验的出口许可证的复印件，或是来自到达国管理机构的关于使用原先许可证进口的标本数量的确认件)；

e) 出口标本和再出口标本不应放在同一份文件中，除非能够清楚地指出哪些标本是出口，哪些标本是再出口；

f) 在签发再出口证明书时，如有关标本的形式在进口以后并未发生变化，则有关标本的度量单位就应使用其进口时所接受的许可证或证明书中的度量单位；

g) 公约第三条第3款、第四条第4款、第五条第3款和第六条第2款应理解为，一份出口许可证或再出口证明书其有效期自签发之日起最长不超过六个月，除非仍在有效期内，否则不能被允许用于出口、再出口或进口；

h) 在超过上述六个月的有效期后，一份出口许可证或再出口证明书即被认为无效或无法律价值，除非是处在第XII部分关于木材物种所指的情况下；

i) 对于一份已知为非法获得的标本不能开具出口许可证或再出口证明书，即使是按照国内法律已经实施了进口的也同样对待，除非这份标本已经预先被没收了；

j) 如果缔约方有理由相信标本并非从原产国合法获得，则不应批准其进口；

k) 缔约方核实附录I标本的来源，避免在以商业为根本目的，或是标本并非来自CITES注册的繁殖单位的情况下签发出口许可证；并

l) 尽最大可能在出口时检查文件和货物。这一点在涉及活体动物的货物时应被视为是必要的；

6. **同意** 当植物标本不再具备受公约条款豁免的资格时，而该标本是依据豁免条款从原产国出口的，则其豁免资格终止的第一个国家被视为原产国；及

对于此种情况，原产国被视为植物标本不再满足豁免条件的国家。

7. 进一步**同意** 缔约方可以在这类情况下，如果认为有益，在再出口证明书第5栏增加下述文字：“根据公约豁免合法进口”，并可进一步说明是哪类豁免；

III. 关于进口许可证

8. **同意** 为附录I物种标本核发的进口许可证可附加其他要求，证明标本将不用于以商业为根本目的的活动，如果涉及活体标本，还要求接受者具备必要的设施来安放和照看这些活体标本；及

9. **建议：**

a) 公约第三条第2款、第4款的意思应理解为，一份进口许可证的有效期不应超过签发之日起12个月，除非在有效期内出具，否则不应允许进口；同时

b) 一份进口许可证在超过12个月的有效期后，无论出于何种原因，都将被认为无效且无法律价值；

IV. 关于物种从一个附录转移到另一个附录后许可证和证明书的签发

10. **决定** 如果一个物种从一个附录转移到另一个附录，其有关标本应适用于它们出口、再出口、进口或从海上引入时的规定；

11. **建议** 如果缔约方大会通过了将一个物种转移到附录I的提案，管理机构应确保该物种的任何贸易许可证或证明书仅在新列入附录I生效前有效，并在许可证第2栏中注明。

V. 关于“公约前所获”证明书

12. **同意** 一份公约前所获证明书还应注明：

    a) 证明书所涉及标本为“公约前所获”；及

    b) 根据第十三次缔约方大会 (曼谷，2004)通过的并经第十六、十八次缔约方大会(曼谷，2013；日内瓦，2019)修订的第Conf. 13.6(Rev. CoP18)号决议确定的标本获得日期；

VI. 关于原产地证明书

13. 建议：

a) 为出口附录III物种标本签发的原产地证明书只能由指定的管理机构或非公约缔约方的相应机构签发，缔约方不应接受此外任何其他机构签发的原产地证明书；

b) 公约第五条第3款应理解为：一份原产地证明书的有效期不应超过签发之日起12个月，除非在有效期内出具，否则不应允许出口或进口；及

c) 一份原产地证明书在超过12个月的有效期后，无论出于何种原因，都被认为无效且无法律价值；

VII. 关于巡回展出证明书

14. 建议：

a) 为本决议的目的，“巡回展出”一词包括但不限于巡回动物园，马戏团，动物展览，博物馆展览，乐团，植物展览及其他展览；

b) 各缔约方为以下CITES标本签发巡回展出证明书：该标本属于以该缔约方为基地、在其管理机构注册并仅由于展出目的希望被运往其他国家进行巡回展出。前提是这些标本是合法获得的，并且将回到该基地国，且：

   i) 是于1975 年7 月1 日之前或是该物种被列入公约任一附录之前获得；

   ii) Conf. 10.16 (Rev.)号决议定义的人工繁育所获；或是

   iii) Conf. 11.11 (Rev. CoP18)号决议定义的人工培植所获；

c) 巡回展出证明书应以本决议附件3的样式为基础。必须以一种或一种以上的公约工作语言 (英语、西班牙语、法语)来打印，如果所在国的法定语言不是公约工作语言，还必须打印本国语言；

d) 巡回展出证明书应在第5栏或其他栏(如果没有使用样板格式)注明以下文字：“本证书所指的标本不得在该展品的基地国或注册国以外的任何国家被出售或以其他

方式转手。本证书不得转用。如果该标本死亡、被窃、被毁、丢失、出售或以其他方式易手，所有者必须立即将本证书退还发证机构。”

e) 应为每只活体动物签发一份单独的巡回展出证明书；

f) 对于除活体动物之外的其他标本的巡回展出，管理机构应附具一份清单，包含每一标本对应于样板格式第9 至16 栏的所有信息；

g) 巡回展出证明书的有效期应自准许证书所涉各标本多次进口、出口和再出口之日起不超过三年；

h) 缔约方将这类巡回展出证明书视作有关标本已经在发证机构注册的证明，并允许该标本跨边境转运；

i) 在每个边境口岸，由缔约方的检查人员在巡回展出证明书上签署官方印章和签名，并允许该证明书与标本随行；

j) 缔约方在出口/再出口和进口时严格检查巡回展品，并特别注意是否有活体动物运输，对动物照管的方式是否能够使受伤、健康受损或虐待的风险减到最小程度；

k) 缔约方应要求对标本以这样一种方式进行标记或识别：能够使该展出进入的每个国家确认该巡回展出证明书与进口的标本相吻合；

l) 当在一国停留时，属于某个展出的动物产下后代，应通知该国的管理机构，并由该机构签发适当的公约许可证或证明书；

m) 当在一国停留时，某个乐器的乐器证明书遗失、被窃或意外被毁，只有签发该文件的管理机构可以签发一份副本。如系副本，应尽可能使用与原始文件相同的编号和有效期，并包括声明“本文件是原件的真实副本”。“本证书是原件的真实副本”；及

n) 缔约方应在年度报告中包含一份同年签发的巡回展出证明书的清单；

VIII. 关于植物检疫证明书

15. 建议：

a) 任何缔约方在考虑了监控签发植物检疫证明书用于出口人工培植所获附录II标本的实际情况，并确认能够为标本来自人工培植 (如Conf. 11.11 (Rev. CoP18)号决议所定义)提供足够的保证之后，可以根据公约第七条第5款将上述文件视作人工培植证明书。该文件必须包含物种的学名、标本的类型和数量，并有印花、印章或它们的电子等同体，或其他特别标识，说明该标本是CITES定义的人工培植所获；

b) 任何将植物检疫证明书用作人工培植证明书的缔约方应通知秘书处，并提供所用证明书、印花、印章等的复印件；并

c) 仅将植物检疫证明书用于从人工培植该标本的国家出口之目的；及

16. **指示** 秘书处，如果任何缔约方确认其为出口人工培植附录II植物种签发检疫证明书，即通知各缔约方；

IX. 关于受限额制约物种的许可证和证明书

17. 建议：

a) 当一个缔约方自愿为附录I (非商业性目的)和/或附录II和附录III的物种标本建立国内出口限额时，应在签发出口许可证之前将限额通知秘书处，并尽快通报其所做的任何变动；

b) 对于受年度出口限额限制的物种标本，无论该限额是本国还是缔约方大会设定的，应在每份签发的出口许可证上说明所设定的该年度总限额，并包含关于遵守该限额的认证。出于这一目的，缔约方应注明当年已经出口的标本总数 (包括此证中包含的数量)和受限额控制的该物种和标本的出口限额；并

c) 如果缔约方大会、常委会或秘书处提出要求，缔约方应向秘书处提供为受限额制约的物种签发的电子和纸质的许可证的复印件；

X. 关于鳄类标本的许可证和证明书

18. 建议：

a) 已标记的鳄鱼皮张贸易被批准后，应在许可证或证明书上给出与标记相同的信息；

b) 如果是缔约方大会批准了皮张限额的鳄鱼物种，则只有在按照发证机构的要求对皮张进行标记，且其尺寸已记录在案之后，才能签发许可证或证明书；

c) 如果鳄鱼皮张与许可证或证明书上的信息不符，则进口缔约方的管理机构应立即和出口/再出口缔约方的对等部门联络，弄清这是否是由于本决议和Conf. 11.12 (Rev. CoP15)号决议所要求的信息量太大而造成的真实错误 (译者注：这里指相关人员不是故意造成这种错误)，如果这样的话，则应尽一切努力避免与此交易有关的人员受到处罚；

d) 对于小件鳄鱼皮产品，缔约方可考虑采取本决议第XII部分所规定的许可证和证明书申办简化程序的措施，减轻与此类贸易相关的行政负担；及

e) 对于小件鳄鱼皮产品，需要进口许可证作为一项更严格国内措施的缔约方应回顾此类要求，以确定这些要求对实现公约的目标是否有效，即确保野生动植物种的贸易不致危害它们的生存；

XI. 关于珊瑚标本的许可证和证明书

19. **建议：**

a) 对于列入最新的《鉴别至属即可接受的CITES珊瑚分类单元名录》[3]中的硬珊瑚，在签发批准其标本贸易的许可证和证明书时，如不易确定到种，则标本可记录到属的水平。该名录由秘书处管理，并经动物委员会同意进行修订；

b) 在为尽管可明确认定为珊瑚礁块 (根据Conf. 11.10 (Rev. CoP15)号决议附件的定义)，但又不能确定其属名的标本签发的许可证和证明书上，标本的学名应标为：“Scleractinia” (石珊瑚目)；

c) 考虑到对只能鉴定到目一级水平的珊瑚礁块无法按公约第四条第2a)款规定做出非致危性判定，任何希望批准珊瑚礁块出口的缔约方可只应用公约第四条第3款的规定；

[3] 该决议生效(2013年6月12日)时，最新发布的名录为第2012/047号缔约方通知，后来被2013/035号缔约方通知取代。

d) 批准珊瑚礁块出口的缔约方应：

i) 建立出口年度限额，并向秘书处报告以便散发给各缔约方；且

ii) 通过其科学机构，在开展一个监测项目的基础上，就上述出口是否会由于获取标本而影响珊瑚礁在生态系统中的作用进行评估 (可应要求提供秘书处)；

e) 对于加工的黑珊瑚标本贸易的许可证和证明书，如不易确定到种，则标本可记录到属的水平；如属也不易确定，则所涉标本的学名应标为“Antipatharia”；及

f) 生黑珊瑚和活黑珊瑚在贸易中应继续鉴定到种的水平；

XII. 关于附录Ⅱ和Ⅲ中的木材标本 (附有注释：“系指原木、锯材和饰面用单板”)的许可证和证明书

20. **建议** 出口许可证或再出口证明书的有效期可以在通常六个月的最长有效期外适当延长，但须符合下列条件：

a) 货物于许可证或证明书有效期满前到达最终目的地口岸，并且在海关的监控之下 (即不被视为已经进口)；

b) 延长的时间不超过许可证或证明书上规定的失效之日起的六个月，并且在此之前未曾被延长；

c) 适当的执法人员已在出口许可证或再出口证明书特殊条件一栏或相应的栏目内，注明到达日期和新的有效期，并用加贴正式印花或加盖印章和签字或者它们的电子等同体来证明这一改动；

d) 该货物是从其延期获得批准时所处的口岸进口用于消费，而且在新的有效期期满之前进口的；及

e) 一份依照上述c)段规定加以修改的出口许可证或再出口证明书的复印件，被提交给出口国或再出口国，供其修订年度报告，同时递交给公约秘书处；同时

21. 进一步**建议** 任何依据本决议附件1的d)段，标明了出口者 (再出口者)和进口者完整的名称、地址的许可证或证明书，都不得用于将标本进口到文件注明的国家以外的任何国家，除非具备以下条件：

a) 在出口许可证和再出口证明书的指定栏目中注明出口或再出口标本的实际数量，并有出口或再出口时的查验机构的印花或印章和签字作证；

b) 进口的确切数量符合以上a)段；

c) 货物的运单号要记录在许可证或证明书上；

d) 在进口时，要将货物的运单连同许可证或证明书的原件一并提供给管理机构；

e) 进口须在出口许可证或再出口证明书签发后6个月内，或是在产地证明书签发后12个月内完成；

f) 许可证或证明书的有效期此前未被延长过；

g) 进口国的管理机构应在其许可证或证明书上的“特殊条件”栏或者一处对等的地方，注明下列文字，并用印花或印章和签字来证明：

“根据公约Conf. 12.3 (Rev. CoP18)号决议 (第XII部分)于【日期】批准进口至

【国家名】”； 并

h) 一份依照上述g)段加以修改的许可证或证明书的复印件，被递交给出口国或再出口国，以便于其修正年度报告，同时递交给公约秘书处；

XIII. 关于使用简化程序签发许可证和证明书

22. **建议：**

a) 缔约方使用简化的程序签发许可证和证明书，以便利并加快那些对该物种的保护只有微小影响或没有影响的标本贸易，例如：

i) 因以下原因，急需那些本决议附件4所列类型和规格的生物学样品：

A. 出于某动物个体的利益；

B. 为保护该物种或附录所列的其他物种；

C. 因司法或执法目的；

D. 为了控制可在附录物种间的疾病传播；或

E. 出于诊断或鉴定目的；

ii) 为了根据公约第七条第2款签发公约前所获证明书；

iii) 为了根据公约第七条第5款签发人工繁育或人工培植证明书，或是根据公约第四条为第七条第4款所指的标本签发出口许可证或再出口证明书；及

iv) 管理机构认为应使用简化程序的其他情况；

b) 为简化在上述情况下签发许可证和证明书的程序，缔约方应：

i) 建立一个注册系统，其中包括可能受益于简化程序的个人和机构，及可能在简化程序下贸易的物种；

ii) 给注册的个人和机构提供部分完成的许可证和证明书，其有效期对出口许可证最多六个月，对进口或再出口证明书最多12个月，对公约前所获及人工繁育或人工培植证明书最多三年；并

iii) 当管理机构在第5栏，或是一处对等的地方注明如下信息后，可允许注册的个人和机构在CITES文件上填写特定的信息：

A. 允许注册的个人或机构为每批货物填写的栏目列表；如果包括学名，则管理机构必须在该许可证或证明书的正本或是副页上给出所批准物种(包括科水平)的清单，并提供扩大批准物种清单以涵盖先前未包括在紧急疾病事件中的物种；

B. 任何特殊条件；及

C. 一个供完成该文件的人填写全名和签名，或者在使用电子许可程序的情况下其商定电子等同体的地方；

c) 对于本决议附件4所列类型和规格的生物学样品的贸易，如果其目的属于本节第a)段之一，且相关容器带有标签 (如注明“CITES生物学样品”和CITES文件编号的海关标签)，则可认为许可证和证明书在获得批准时，而不是在货物出口或再出口时即已生效；

d) 在办理那些本决议附件4所列用途、类型和规格的生物学样品的出口申请时，如果物种未知，管理机构应向属或者科级别签发许可证；

e) 在办理那些本决议附件4所列用途、类型和规格的生物学样品的出口申请时，由科学机构做出可通用于多批同类生物学样品的非致危性判定意见，科学机构在开展这一工作的同时，应考虑对附录I和II物种标本的收集所产生的影响，以便确定生物学样品的出口或进口是否会对该物种的生存产生危害；

f) 在办理那些本决议附件4所列用途、类型和大小的生物样品贸易申请时，鼓励那些对CITES所列物种实行更严格许可程序的管理机构放弃或修改这些措施，以确保采用CITES文件签发的标准流程；及

g) 在可能的范围内，各缔约方加快办理附件4所列用途、类型和大小的生物样品贸易申请。

XIV. 关于补发许可证和证明书

23. **建议：**

a) 某一出口国或再出口国的管理机构：

i) 不补发公约许可证或证明书；

ii) 就已经离开本国但没有相应的公约文件的标本，不要向出口者、再出口者和/或进口国的收货者提供出口或再出口的合法证明； 并

iii) 当出口、再出口或进口不符合公约要求时，不要向出口者、再出口者和/或进口国的收货者就许可证或证明书的合法性提供证明；

b) 进口国、过境国或转运国的管理机构，不接受补发的许可证或证明书；

c) 对于附录I物种的标本，不能就上述建议a)和建议b)做出破例决定；对于附录II和附录III物种的标本，破例的决定也只能在经过出口 (再出口)国和进口国双方的管理机构共同开展快速和深入的调查、紧密磋商并确信满足下列条件后做出：

i) 违规的责任不在出口者 (再出口者)或进口者，或者当标本是作为个人或家庭财产而进口或 (再)出口时 (出于本决议的目的，这包括与其主人一起旅行的活体宠物)，管理机构经与相关执法机构协商，可以确认为无意错误，并无欺诈企图；且

ii) 有关标本的出口 (或再出口)和进口的其他方面符合公约及有关出口 (或再出口)国和进口国的立法；

d) 一旦做出破例决定：

i) 应清楚地注明许可证或证明书是补发的； 且

ii) 放宽限制的原因，应限制在以上c)段规定的范围内，同时在许可证或证明书的条件中注明，还应将复印件提交秘书处，并将其列在报送给秘书处的双年度报告中；

e) 如果许可证是在以上c)i)项所指的个人或家庭财产的情况下补发的，缔约方应考虑制定惩罚措施并限制在此后六个月内出售的规定，以确保对原则上禁止补发许可证的规定予以放宽的权力不被滥用；及

f) 不应对屡犯者做出以上补发许可证和证明书的决定；

XV. 关于接受和核销文件及防伪措施

24. 建议：

a) 各缔约方拒绝接受被改动 (擦掉、删掉、刮掉等)、修改或划销过的许可证和证明书，除非改动、修改或划销处业经签发部门加盖印章并签字证实；

b) 当怀疑有违规之处时，缔约方要交换已签发和/或接受的许可证或证明书以确认其真实性；

c) 当纸质许可证和证明书加贴了安全印花，如果安全印花上未经签字和盖章注销，则缔约方应拒绝接受此类文件；

d) 缔约方拒绝接受任何无效的许可证或证明书，包括那些未包含本决议所要求的全部信息，或是含有对其有效性产生质疑信息的真实文件；

e) 缔约方拒绝接受没有注明有关物种 (适当情况下包括亚种)学名的许可证和证明书，但下列情况除外：

   i) 缔约方大会同意使用更高级的分类单元名称；

   ii) 签发国能证明这样做有正当理由，并已将该理由通报秘书处；

   iii) 含有不能鉴定到种的水平的公约前标本的加工产品；

   iv) 再出口于2000年8月1日以前进口的双领蜥类 (Tupinambis)物种的加工皮张或碎皮，在这种情况下，使用Tupinambis spp.表示就足够了；或

   v) 在办理那些本决议附件4所列用途、类型和规格的生物学样品的出口申请时，如果物种未知，只需使用该属或科的学名即可；

f) 检查人员如海关应对出口许可证和再出口证明书进行签注，在文件的出口签注栏内注明数量并签字和盖章。如果出口文件未在出口时被签注，进口国管理机构应当联络出口国管理机构，考虑任何减轻的情节或文件，以决定出口文件的可接受性；

g) 当缔约方拒绝接受一份许可证或证明书后，应保存其原件或电子副本。或者如果符合本国的法律，应用无法去掉的印记注销纸质文件，最好是打孔，特别是在安全印花上打孔，或者登记电子文件以示注销；

h) 当某个缔约方拒绝接受一份为出口或再出口目的而签发的许可证或证明书时，应立即通知出口国或再出口国；

i) 某缔约方在被告知其为出口者或再出口者签发的出口许可证或再出口证明书被拒绝接受后，应采取措施确保相关标本不进入非法贸易；

j) 当一份纸质出口许可证或再出口证明书的原件没有被持证人用于所批准的贸易，缔约方要确保该证书由持证人退回发证机构，以防止有关文件被非法使用。如果是一份电子许可证或证明书，要通知发证机构并被登记为未使用；

k) 缔约方仔细核对其收到的确认许可证有效性的电子邮件和传真，以确保上面出现的信息，包括号码，与CITES通讯录里的一致；

l) 当一出口国或再出口国收到进口国关于确认CITES许可证或证明书的真实性和有效性的要求时，它应作出一切努力，在收到该要求15天内做出答复；及

m) 如果一出口国或再出口国不能在收到进口国的确认要求的15天内确认CITES许可证或证明书的有效性，它应在收到这样的要求的15天内做出初步答复，并在此后尽快作出最终答复。做出确认的最长期限不能超过30天；

25. 进一步**建议** 对于小羊驼绒布，只有其背面持有签署《小羊驼保护公约》的该物种分布国通过的标识，及其镶边缀有“VICUÑA –COUNTRY OF ORIGIN” (小羊驼—原产国)时，或者系公约前所获小羊驼绒制成的绒布时，管理机构才能批准其进口；并

26. **敦促** 缔约方向秘书处核对：

a) 当其严重怀疑伴随可疑货物的许可证的有效性时；及

b) 在其同意声称是人工繁育或人工培植所获的附录I物种活体标本进口之前；及

XVI. 关于ATA文件体系涵盖的用于样品收集的文件

27. **建议：**

a) 出于以下所述程序的目的，术语“样品收集” (sample collection)是指合法获得的附录II、III物种、及被视为附录II标本对待的为商业性目的人工繁育或人工培植的附录I物种的死体标本、部分和衍生物，其不能出售或转让，在返回至转移被首次批准的国家之前将跨境用于展示目的；及

b) 此类样品收集被认为是在“转运中” (in transit)，并可以在满足公约第七条第1款所规定的特殊条款〔见Conf. 9.7 (Rev. CoP15)号决议的解释〕及下列条件下开展贸易：

i) 货物拥有ATA官方文件或标准的公约许可证，上面注明该文件应是一份用于“出口”、“再出口”或“其他”类型(如适当)的许可证或证明书。此外，该文件还应清楚地注明是为一批“样品收集”签发的；

ii) 在第5栏或一处对等位置注明：“本文件是为样品收集签发，随同有效的ATA官方文件方为有效。本证明书所列标本在签发本文件的国家境外不得被出售或转让”。应登记随同的ATA文件号码，如果必要，可由海关或其他负责签注该CITES文件的执法官员完成该工作；

iii) 进口者和出口者或再出口者的名称和地址 (包括国家)应相同，并应在第5栏或一处对等位置注明将访问的国家名称；

iv) 上述文件的失效日期不得晚于随同的ATA官方文件的失效日期，有效期不得超过批准之日起六个月；

v) 在每一跨境口岸，缔约方应查验是否拥有CITES许可证或证明书，但允许证书随货物同行，并确保海关官员在ATA官方文件上适当地用印章和签名进行签注；及

vi) 缔约方应在第一次出口或再出口及返回时进行仔细查验CITES许可证或证明书及样品收集，确保该样品收集没有任何变化；

28. **同意：**

a) 这类许可证或证明书不得转让，当其在一国停留期间发生丢失、被窃或意外毁坏时，只有签发证书的管理机构可以签发一份副本，或者签发一份新证书替代原始证书。如系副本，应尽可能使用与原始文件相同的编号和有效期，并包括声明“本文件是原件的真实副本”。如系新证书，应声明其替代XX号码的原始证书；

b) 如果该收集中的标本被窃、毁坏或丢失，应立即告知签发该文件的管理机构和事情发生国管理机构；并

c) 那些不承认或不允许使用ATA官方文件的缔约方，应采用通常的CITES程序出口、再出口或进口样品收集；

XVII. 关于法庭命令下的许可证和证明书

29. **建议：**

a) 如果没有CITES所列物种标本的合法来源证据，及对附录Ⅰ或附录Ⅱ物种，如果没有非致危性判定的证据，出口缔约方不得进行此类物种标本的任何出口；

b) 一旦收到可靠的信息或情报，对在法庭命令下签发的但没有公约所需判定的出口许可证，进口国应当拒绝相应物种标本的货物。进口缔约方应当联系出口缔约方，寻求科学机构关于非致危性判定及管理机构关于合法来源判定的确认；及

c) 一旦收到可靠的信息或情报，秘书处应当与法庭命令下许可证涉及潜在贸易的出口缔约方和进口缔约方联系，告知他们公约的相关规定；及

30. **废除** 以下所列决议：

a) Conf. 8.16号决议 (京都，1992)——活体动物巡回展出；

b) Conf. 10.2 (Rev.)号决议 (哈拉雷，1997，修订于吉吉里，2000)——许可证和证明书；及

c) Conf. 11.6 (Rev. CoP13) (吉吉里，2000，修订于曼谷，2004)——小羊驼织物的贸易。

附件 1 CITES 许可证和证明书需要包含的信息

a) 公约的全称和标识

b) 签发许可证的管理机构的完整名称和地址

c) 惟一的控制编号

d) 出口者和进口者完整的名称和地址

e) 该标本所属的物种的学名 (有时甚至是亚种名——如果这与确定相关的分类单元属于哪一附录有关)。该学名与公约采用的标准命名一致

f) 用公约三种工作语言之一对标本的描述，使用公约统一发布的对标本的命名

g) 如果标本上有标记或是根据缔约方大会的决议的要求进行了标记 (源自捕养的标本、受缔约方大会批准的限额制约的标本、来自商业目的人工繁育附录Ⅰ动物的单位的标本等)，列出标记号；如果用微芯片应答器进行了标记，列出微芯片的号码、连同微芯片制造商的名称，如果可能，还包括微芯片在标本中的位置

h) 该物种、亚种或种群所属的附录。注意：即便相关标本被视为列入了不同附录，但物种、亚种或种群的附录级别不发生变化。例如，虽然商业性人工繁育的附录Ⅰ物种的标本被视为附录Ⅱ物种的标本，但该物种仍然列在附录Ⅰ，这应在许可证或证明书上列明。

i) 标本的来源

j) 标本的数量，必要时标明使用的度量单位

k) 签发日期和失效日期

l) 签字人的姓名，及其纸质许可证和证明书的手写签名，或者电子许可证和证明书的电子等同体

m) 管理机构的钢印或油印或其电子等同体

n) 一份声明，如果涉及活体标本，表述为许可证只有在运输条件符合国际航空运输协会 《IATA活体动物规则》(对动物)和《IATA易腐货物规则》的情况下方为有效；或者于非航空运输情况，只有符合CITES活体野生动植物非航空运输指南方为有效；

o) 当许可证涉及源自以商业目的人工繁育或人工培植单位 (公约第七条第4款)的附录Ⅰ物种标本时，提供由秘书处掌握的单位注册号；当出口者不是注册的单位时，还须提供注册单位的名称

p) 出口标本的实际数量，由出口查验机构的印花或印章和签字予以证明

仅在原产地证明书中包含的内容还有：

q) 一份标本来源于签发证明书国家的声明。

附件 2 CITES 标准证书的格式及说明和解释

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

PERMIT/CERTIFICATE No.
☐ EXPORT
☐ RE-EXPORT
☐ IMPORT
☐ OTHER:

Original

2. Valid until

3. Importer (name and address)

3a. Country of import

4. Exporter/re-exporter (name, address and country)

Signature of the applicant

5. Special conditions

If for live animals, this permit or certificate is valid only if the transport conditions comply with the *IATA Live Animals Regulations*; if for live plants, with the IATA *Perishable Cargo Regulations*

5a. Purpose of the transaction (see reverse)

5b. Security stamp no.

6. Name, address, national seal/stamp and country of Management Authority

	7./8. Scientific name (genus and species) and common name of animal or plant	9. Description of specimens, including identifying marks or numbers (age/sex if live)	10. Appendix no. and source (see reverse)	11. Quantity (including unit)	11a. Total exported/Quota
A					
	12. Country of origin * Permit no. Date		12a. Country of last re-export Certificate no. Date		12b. No. of the operation ** or date of acquisition ***
B					
	12. Country of origin * Permit no. Date		12a. Country of last re-export Certificate no. Date		12b. No. of the operation ** or date of acquisition ***
C					
	12. Country of origin * Permit no. Date		12a. Country of last re-export Certificate no. Date		12b. No. of the operation ** or date of acquisition ***
D					
	12. Country of origin * Permit no. Date		12a. Country of last re-export Certificate no. Date		12b. No. of the operation ** or date of acquisition ***

* Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export)
** Only for specimens of Appendix-I species bred in captivity or artificially propagated for commercial purposes
*** For pre-Convention specimens

13. This permit/certificate is issued by:

Place Date Security stamp, signature and official seal

14. Export endorsement:

15. Bill of Lading/Air waybill number:

Block	Quantity
A	
B	
C	
D	

Port of export Date Signature Official stamp and title

CITES PERMIT/CERTIFICATE No.

Sample

说明和解释

(与表格的栏目编号相对应)

1. 选择所签发文件类型的方框 (出口许可证、再出口证明书、进口许可证或其他)。如果选择其他，必须指出文件的类型。证书的编号是签发证书的管理机构分配给每份文件的惟一的编号。

2. 对于出口许可证或再出口证明书，有效期自发证之日起不得超过6个月 (进口许可证为一年)。

3. 进口者的完整名称和地址。

3a. 国家名称必须用全称。

4. 出口者/再出口者的完整名称和地址。必须注明国家的名称。缺乏申请者签字将使许可证或证明书无效。

5. 特殊条件指国家立法或发证管理机构在货物方面给出的特殊条件。此栏也可用于阐述遗漏特定信息的理由。

5a. 应使用下列代码：**T**商业、**Z**动物园、**G**植物园、Q马戏团和巡回展出、**S**科研、**H**狩猎纪念物、**P**个人、**M**医药、**E**教育、**N**重引入或引入至野外、**B**人工繁育或人工培植、**L**执法/司法/法庭。

5b. 注明粘贴在13栏中的安全印花的号码。

6. 签发证书的管理机构的名称、地址和国家应已经印刷在证书上。

7-8.填写公约附录中动植物种的学名 (属和种，必要时亚种)或经缔约方大会批准的参考名册和签发证书的国家所使用的俗名。

9. 尽可能准确地对贸易所涉及的标本 (活体动物、皮张、侧腹、皮夹、鞋等)加以描述。如果对标本已经作过标记 (标签、鉴定记号、环志等)，不论是否根据缔约方大会的决议要求对其进行标记 (来自捕养场的标本、经缔约方大会批准的实行限额管理的标本、商业性人工繁育的附录Ⅰ物种标本等)，都应注明所作标记的编号和类型。如有可能，还应记下活体动物的性别和年龄。

10. 填写物种在公约附录中的级别 (I，Ⅱ或Ⅲ)使用下列代码表示来源：

W 野外所获标本；

X 从不属于任何国家管辖的海域中取得的标本；

R 捕养标本：其在卵或幼体时从野外获得，在控制环境中育成的动物标本，否则会有很低可能性存活至成年；

D 根据公约文本第七条第 4 款规定出口的、为商业目的符合 Conf. 12.10 (Rev. CoP15)号决议规定在秘书处注册的养殖场人工繁育的附录I动物，及为商业目的而人工培植所获的附录I植物，及其这些动物和植物的部分和衍生物；

A 根据公约文本第七条第 5 款规定进行出口的、符合 Conf. 11.11 (Rev. CoP18)1[4] 号决议规定的人工培植所获植物，及其部分和衍生物 (因非商业目的而人工培植所获的附录I植物标本，及附录II和附录III植物标本)。

C 根据公约文本第七条第 5 款的规定进行出口的、符合公约 Conf. 10.16 (Rev.) 号决议规定的人工繁育所获动物及其部分和衍生物；

F 不符合公约 Conf. 10.16 号 (Rev.)决议关于“人工繁育”定义的圈养出生的动物 (子一代或以后世代)及其部分和衍生物；

Y 符合 Conf11.11(Rev. CoP18)号决议中“辅助生产”定义的植物标本及其部分和衍生物；

U 来源不明(必须说明理由)；

I 没收或扣留的标本；

O 公约前所获标本；

11. 标本的数量和单位，应与最新版本的《编制和提交年度报告指南》一致。

11a. 本公历年 (1月1日至12月31日)出口的标本总量 (包括本证书数量)和该物种本年度出口限额 (例如： 500/1000)。适用于国内或缔约方大会通过的具有限额的物种。

12. 原产国是标本从野外获得、人工繁育或人工培植的国家，除了不再满足公约豁免条件的植物标本。对于此种情况，原产国被视为植物标本不再满足豁免条件的国家。标明出口国证书的号码和签发日期。如果部分或全部信息不得而知，需在第5栏中申明理由。此栏只在再出口时填写；

12a. 前一再出口国指该标本进入签发本证书国家前的再出口国家。填入前一再出口国的再出口证明书号码和签发日期。如果部分或全部信息不得而知，需在第5栏中申明理由。此栏只在再出口先前已经再出口的标本时填写。

12b. “单位编号”是已注册的人工繁育或人工培植单位的编号。“获得日期”的定义见 Conf13.6(Rev. CoP16)号决议，并只适用于公约前所获标本。

13. 由签发证书的官员填写。官员的名字必须用全称。安全印花贴在此栏，必须由签证官员签字并盖章以注销。印章、签字和安全印花号必须清晰可辨。

14. 由检查货物的官员在出口或再出口实施时填写。填写标本出口和再出口的实际数量。划掉没有使用的栏目。

15. 如果运输方式需要此类文件，填写运单或空运单号。

文件必须用公约三种工作语言 (英语、西班牙语或法语)之一书写或完全翻译成三种工作语言之一。出口和再出口标本不应放在同一份证书内，除非能够清楚地表明哪些标本是出口，哪些标本是再出口。

文件使用后必须返还给进口国的管理机构。

[4] 由秘书处在第十八次缔约方大会后修正。

附件 3 巡回展出证明书的样式、说明和解释、附页

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

TRAVELLING-EXHIBITION CERTIFICATE

Original

1. Certificate no.
2. Valid until

3. Owner of specimen(s) (name, permanent address and country of registration)

Signature of owner

4. Name, address, national seal/stamp and country of issuing Management Authority

5. Special conditions:

a) **Valid for multiple cross-border movements. Owner to retain original form**

b) **The specimen/s covered by this certificate may not be sold or otherwise transferred in any State other than the State in which the exhibition is based and registered. This certificate is non-transferable. If the specimen/s dies/die, is/are stolen, destroyed, lost, sold or otherwise transferred, this certificate must be immediately returned by the owner to the issuing Management Authority**

c) **This certificate is not valid unless accompanied by a continuation sheet**

If for live animals, this certificate is valid only if the transport conditions comply with the *IATA Live Animals Regulations,* if for live plants, with the *IATA Perishable Cargo Regulations*

6. Country of import	7. Purpose of the transaction	8. Security stamp no.
Various	**Q**	

9. Scientific name (genus and species) and common name of species	10. Description of specimen/s, including identifying marks or numbers, age, sex	11. Quantity
		12. Appendix no. and source

13. Country of origin	14. Permit no. and date	15. Exhibition registration number	16. Date of acquisition, if pre-Convention

17. This certificate is issued by:

Place | Date | Security stamp, signature and official seal

18. Additional conditions

19. Customs endorsement (see Continuation sheet)

TRAVELLING-EXHIBITION CERTIFICATE No.

Sample

说明和注释

(与表格的栏目编号相对应)

1. 签发证明书的管理机构应为证书分配惟一的编号。
2. 本文件的有效期自发证之日起不得超过三年。
3. 填写本证明书所涉标本的拥有者的全称、永久地址和所在国家。缺乏申请者签字将使本证明书无效。
4. 签发证明书的管理机构的名称、地址和国家应当已经印刷在证明书上。
5. 本栏内容应事先印刷，表明仅因展出目的而将有关标本多次跨境运输随同展览时，使用本证明书才是有效的，并阐明本证明书不应被收走而应与标本/货主同行。本栏也可用于说明遗漏特定信息的理由。
6. 本栏内容应事先印刷，指出对任何其国内立法承认该证明书的国家，跨境运输是许可的。
7. 本栏应事先印刷代码Q (马戏团和巡回展出)。
8. 注明粘贴在17栏中的安全印花的编号。
9. 填写公约附录中动植物种的学名 (属和种，必要时亚种)或经缔约方大会批准的参考名册和签发证明书的国家所使用的俗名。
10. 尽可能准确地对本证明书所涉及的标本加以描述，包括鉴定标识 (标签、环志、惟一标记等)，以使该展品所进入的缔约方的机构能够确认证明书与相关标本一致。如果可能的话，还应记载签发证明书时标本的性别和年龄。
11. 标明标本的总数。如果是活体动物，通常应当是一只。如果超过一件标本，注明 “见所附清单”。
12. 填写物种在公约附录中的级别 (I，Ⅱ或Ⅲ)。使用下列代码表示来源。该证明书可能不宜被用于来源代码是W、R、F或U的标本，除非这是公约前所获标本并同时使用了代码O。

    W 野外所获标本；

    X 从不属于任何国家管辖的海域中取得的标本；

    R 捕养标本：其在卵或幼体时从野外获得，在控制环境中育成的动物标本，否则会有很低可能性存活至成年；

    A 根据公约文本第七条第 5 款规定进行出口的、符合 Conf. 11.11 (Rev. CoP18)1[5] 号决议规定的人工培植所获植物，及其部分和衍生物 (因非商业目的而人工培植所获的附录I植物标本，及附录II和附录III植物标本)。

    C 根据公约文本第七条第 5 款的规定进行出口的、符合公约 Conf. 10.16 (Rev.) 号决议规定的人工繁育所获动物及其部分和衍生物；

    F 不符合公约 Conf. 10.16 号 (Rev.)决议关于“人工繁育”定义的圈养出生的动物 (子一代或以后世代)及其部分和衍生物；

[5] 由秘书处在第十八次缔约方大会后修正。

Y 符合 Conf11.11(Rev. CoP18)号决议中“辅助生产”定义的植物标本及其部分和衍生物；

U 来源不明(必须说明理由)；

O 公约前所获标本；

13. 原产国是标本从野外获得或人工繁育的国家。
14. 标明原产国出口许可证的编号和签发日期。如果部分或全部信息不得而知，须在第18栏中说明原因。
15. 本栏须包含展品注册号。
16. 填写“获得日期”，只适用于公约前所获标本。
17. 由签发证明书的官员填写。证明书只可由展品所在国的管理机构签发，且该展品的所有者已经将标本的详细资料在该管理机构备案。官员的名字必须用全称。安全印花贴在此栏，必须由签证官员签字并盖章以注销。印章、签字和安全印花号必须清晰可辨。
18. 该栏可用于填写国内立法或由签发证明书的管理机构对跨境运输提出的附加特殊条件。
19. 该栏应事先打印，提示参见附页，其应记录所有跨境运输情况。

受以上第5条制约，本文件期满后必须返还证明书签发机构。

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA	TRAVELLING-EXHIBITION CERTIFICATE CONTINUATION SHEET Page _____ of _____
1. Original certificate no.	4. Name, address, national seal/stamp and country of Management Authority
8. Security stamp no.	

17. This certificate is issued by:

Place	Date	Security stamp, signature and official seal

Port of export or re-export	Date	Signature	Official stamp	Port of export or re-export	Date	Signature	Official stamp
Port of export or re-export	Date	Signature	Official stamp	Port of export or re-export	Date	Signature	Official stamp
Port of export or re-export	Date	Signature	Official stamp	Port of export or re-export	Date	Signature	Official stamp
Port of export or re-export	Date	Signature	Official stamp	Port of export or re-export	Date	Signature	Official stamp
Port of export or re-export	Date	Signature	Official stamp	Port of export or re-export	Date	Signature	Official stamp

Sample

附件 4 生物学样品的类型及用途

样品类型	样品的典型规格	样品用途
血液及其衍生成分	显微镜载玻片，滤纸或拭子上的最大不超过5ml的液体样品或干血样品	生物医学研究；物种鉴定；原产地确定；性别测定；个体识别；亲子鉴定；毒理学分析；疾病测试/诊断，包括血清学
固定的内部组织(植物或动物的)	在固定剂中的或组织学载玻片上的组织块(5 mm^3 -25 mm^3)，包含+/- 5um的固定组织切片	组织学和电子显微镜监测生物和有毒物质；分类学研究；生物医学研究；物种鉴定；原产地确定；性别测定；个体识别；亲子鉴定；毒理学分析；疾病测试/诊断，包括血清学
冷冻的内部组织(植物或动物的)	组织块(5 mm^3 -25 mm^3)	生物医学研究；物种鉴定；原产地确定；性别测定；个体识别；亲子鉴定；毒理学分析；疾病测试/诊断，包括血清学
新鲜的动植物内部组织(不包括卵，精子和胚胎)	组织块(5 mm^3 -25 mm^3)	生物医学研究；物种鉴定；原产地确定；性别测定；个体识别；亲子鉴定；毒理学分析；疾病测试/诊断，包括血清学
外部组织，包括毛发，皮肤，羽毛，鳞片，骨头，蛋壳，牙齿，象牙，角，叶子，树皮，种子，果实或花	对于象牙，无论是否固定的单个样本：根据ICCWC关于象牙和实验室分析的方法和程序的指导原则，大约3厘米x 3厘米厚度1厘米，或视分析方法而定，更小的象牙碎片[6] 对于犀角：根据犀角DNA采样程序[7]，将少量粉末/碎片密封在防篡改样品瓶中	物种鉴定；原产地确定；性别测定；个体识别；亲子鉴定；毒理学分析；疾病测试/诊断；年龄分析；生物医学研究
颊/泄殖腔/粘液/鼻/泌尿道/直肠拭子	样品管中拭子上的少量组织或细胞	物种鉴定；原产地确定；性别测定；个体识别；亲子鉴定；毒理学分析；疾病测试/诊断，包括血清学；生物医学研究
细胞系和组织培养物	样品大小没有限制	生物医学研究；物种鉴定；原产地

[6] https：//www.unodc.org/documents/Wildlife/Guidelines_Ivory.pdf
[7] 南非共和国环境事务部犀牛角DNA采样程序

		确定；性别测定；个体识别；亲子鉴定；毒理学分析；疾病测试/诊断，包括血清学；年龄分析
DNA或RNA(纯化)	每个纯化的DNA或RNA样品的最大量为0.5 ml	生物医学研究；物种鉴定；原产地确定；性别测定；个体识别；亲子鉴定；毒理学分析；疾病测试/诊断，包括血清学；年龄分析
分泌物 (唾液、蛇毒、乳汁、植物分泌物)	小瓶中，1-5ml	抗毒血清的生产；生物医学研究；物种鉴定；原产地确定；性别测定；个体识别；亲子鉴定；毒理学分析；疾病测试/诊断，包括血清学；年龄分析

Conf. 12.3 (Rev. CoP18)

Permits and certificates

RECALLING Resolution Conf. 8.16, adopted by the Conference of the Parties at its eighth meeting (Kyoto, 1992);

RECALLING Resolution Conf. 10.2 (Rev.), adopted by the Conference of the Parties at its 10th meeting (Harare, 1997) and amended at its 11th meeting (Gigiri, 2000);

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

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

RECOGNIZING the need for Parties to be particularly vigilant regarding the issuance of permits and certificates for very valuable specimens and specimens of species included in Appendix I;

RECOGNIZING that permits and certificates may be issued in paper, electronic or both formats;

RECOGNIZING that there is no obligation on Parties to issue permits or certificates in electronic formats;

RECOGNIZING that Parties issuing permits or certificates in electronic formats will need to issue them also in paper format unless specific agreement has been reached with other affected Parties;

CONSIDERING the need to improve the standardization of permits and certificates with international norms and standards;

NOTING that the *CITES electronic permitting toolkit* provides guidance to Parties on common internationally recognized information exchange formats, protocols and standards, and electronic signatures;

RECOGNIZING the need to adopt the principles outlined in the *CITES electronic permitting toolkit* to facilitate the exchange of information among national Management Authorities;

RECOGNIZING that the *CITES electronic permitting toolkit* will require updates and revisions to reflect the ongoing development of international standards;

RECOGNIZING that the issuance of CITES permits and certificates serves as a certification scheme for assuring that trade is not detrimental to the survival of species included in the Appendices;

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

RECOGNIZING that the Convention provides no guidance about the acceptability of an export permit whose period of validity expires after the specimens have been exported but before the permit has been presented for import purposes;

CONSIDERING that no provision exists to establish the maximum time validity of import permits, and that it is necessary to establish a time validity appropriate to guarantee compliance with the provisions of Article III, paragraph 3, of the Convention;

RECALLING that Articles III, IV and V of the Convention provide that trade in any specimen of a species included in its Appendices requires the prior grant and presentation of the relevant document;

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* *Amended at the 13th, 14th and 15th, 16th, 17th and 18th meetings of the Conference of the Parties.*

RECALLING that Parties are obliged, under Article VIII, paragraph 1 (b), of the Convention, to provide for the confiscation or return to the State of export of specimens traded in violation of the Convention;

NOTING that the efforts of importing countries to fulfil their obligations under Article VIII, paragraph 1 (b), may be seriously obstructed by the retrospective issuance of permits or certificates for specimens having left the exporting or re-exporting country without such documents, and that declarations about the validity of documents that do not meet the requirements of the Convention are likely to have a similar effect;

CONSIDERING that the retrospective issuance of permits and certificates has an increasingly negative impact on the possibilities for properly enforcing the Convention and leads to the creation of loopholes for illegal trade;

CONSIDERING that Article VII, paragraph 7, of the Convention provides that under certain circumstances "a Management Authority of any State may waive the requirements of Articles III, IV and V and allow the movement without permits or certificates of specimens which form part of a travelling zoo, circus, menagerie, plant exhibition or other travelling exhibition provided that the specimens are in either of the categories specified in paragraph 2 or 5 of this Article";

DESIRING, however, that this exemption not be used to avoid the necessary measures for the control of international trade in specimens listed in the Appendices to the Convention;

RECOGNIZING that the trade in many biological samples, because of their special nature or because of the special purpose of such trade, requires expedited processing of permits and certificates to allow for the timely movement of shipments;

RECALLING that, in accordance with Article VIII, paragraph 3, Parties are required to ensure that specimens shall pass through any formalities required for trade with a minimum of delay;

RECOGNIZING that Article VII includes special provisions reducing the level of control on trade in specimens that were acquired before the provisions of the Convention applied to them and specimens that were bred in captivity or artificially propagated; and

NOTING the need to develop simplified procedures that are compatible with the obligations of Parties to the Convention on Biological Diversity;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. ESTABLISHES the following sections in the present Resolution:

   I. Regarding standardization of CITES permits and certificates

   II. Regarding export permits and re-export certificates

   III. Regarding import permits

   IV. Regarding the issuance of permits and certificates after the transfer of a species from one Appendix to another

   V. Regarding pre-Convention certificates

   VI. Regarding certificates of origin

   VII. Regarding travelling-exhibition certificates

   VIII. Regarding phytosanitary certificates

   IX. Regarding permits and certificates for species subject to quotas

   X. Regarding permits and certificates for crocodilian specimens

   XI. Regarding permits and certificates for coral specimens

XII. Regarding permits and certificates for timber species included in Appendices II and III with the annotation 'Logs, sawn wood and veneer sheets'

XIII. Regarding the use of simplified procedures to issue permits and certificates

XIV. Regarding retrospective issue of permits and certificates

XV. Regarding acceptance and clearance of documents and security measures

XVI. Regarding documents for sample collections covered by ATA carnets

XVII. Regarding permits and certificates issued under court orders

Annex 1 Information that should be included in CITES permits and certificates

Annex 2 Standard CITES form; instructions and explanations

Annex 3 Model travelling-exhibition certificate; instructions and explanations; continuation sheet

Annex 4 Types of biological samples and their use

I. Regarding standardization of CITES permits and certificates

2. AGREES that:

a) to fulfil the requirements of Article VI and relevant Resolutions, export and import permits, re- export and pre-Convention certificates, certificates of origin and certificates of captive breeding and artificial propagation (except where phytosanitary certificates are used for this purpose) should include all the information specified in Annex 1 of the present Resolution;

b) Permits and certificates may be issued in paper format or electronic format provided all Parties involved have agreed with the electronic format;

c) every form, whether issued in an electronic or paper format, should be issued in one or more of the working languages of the Convention (English, Spanish or French) and in the national language if it is not one of the working languages;

d) every form should indicate which type of document it is (e.g. import or export permit, re-export or pre-Convention certificate, etc.);

e) if a permit or certificate form, whether issued in an electronic or paper format, includes a place for the signature of the applicant, the absence of the handwritten signature or in case of electronic forms any electronic equivalent should render the permit or certificate invalid; and

f) if an annex is attached to a permit or certificate as an integral part of it, this and the number of pages should be clearly indicated on the permit or certificate, and each page of the annex should include the following:

i) the number of the permit or certificate and its date of issue; and

ii) the signature, handwritten, and the stamp or seal, preferably embossed, or their electronic equivalent, of the authority issuing the document; and

3. RECOMMENDS that:

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

b) Parties adapt the contents and, to the extent practicable, the format of their permits and certificates to the standard form attached to the present Resolution as Annex 2;

c) Parties using or developing electronic permits and certificates, adopt the standards recommended in the *CITES electronic permitting toolkit*;

d) the Secretariat, subject to availability of external funding, organize the printing of permit and certificate forms on security paper for Parties that request it;

e) to avoid abusive or fraudulent use, the Parties not use forms for their internal-trade certificates that are identical to CITES forms;

f) for tracking and annual reporting purposes, permit and certificate numbers be limited, if possible, to 14 characters in the format:

WWxxYYYYYY/zz

where WW represents the last two digits of the year of issuance; xx represents the two-letter ISO code of the country; YYYYYY represents a six-digit serial number; and zz represents two digits or letters, or a combination of a digit and a letter, that a Party may use for national informational purposes;

g) Parties state, on each of their permits and certificates, the purpose of the transaction using the following codes:

T Commercial
Z Zoo
G Botanical garden
Q Circus or travelling exhibition
S Scientific
H Hunting trophy
P Personal
M Medical (including biomedical research)
E Educational
N Reintroduction or introduction into the wild **B** Breeding in captivity or artificial propagation **L** Law enforcement / judicial / forensic;

h) The purpose of transaction code is determined as follows:

i) The transaction between the sender/exporter and receiver/importer directly involved in the trade from one State to another is used to assess the purpose of transaction code for the export permit or re-export certificate. This indicates the reason there is trade of the specimen(s) from the sender/exporter to receiver/importer. The sender/exporter and receiver/importer can be the same entity (e.g. personal movement).

ii) The intended use of the specimens by the importer is used to determine the purpose of transaction code for the import permit. This indicates the reason the importer requests to import or is importing the specimen(s).

iii) When both the export permit/re-export certificate and the import permit are issued, the purpose of transaction code used on the two CITES documents may be different.

iv) In the case of these certificates, the following purpose of transaction codes should be used:

Certificate of Ownership	P
Travelling Exhibition Certificate	Q
Musical Instrument Certificate	P
or Q Scientific Certificate	S

v) For the remaining certificates, the purpose of transaction code is determined as follows:

Pre-convention certificate – as outlined in i) above for export permits or re-export certificates;

Certificate of Origin – as outlined in i) above for export permits or re-export certificates; Certificate of captive breeding and artificial propagation – as outlined in i) above for export permits or re-export certificates;
Introduction from the Sea certificate – as outlined in ii) above for import permits;

i) The term 'hunting trophy', as used in this Resolution, means a whole animal, or a readily recognizable part or derivative of an animal, specified on any accompanying CITES permit or certificate, that:

i) is raw, processed or manufactured;

ii) was legally obtained by the hunter through hunting for the hunter's personal use; and

iii) is being imported, exported or re-exported by or on behalf of the hunter, as part of the transfer from its country of origin, ultimately to the hunter's State of usual residence.

j) the following codes be used to indicate the source of the specimens:

W Specimens taken from the wild;

X Specimens taken in "the marine environment not under the jurisdiction of any State";

R Ranched specimens: specimens of animals reared in a controlled environment, taken as eggs or juveniles from the wild, where they would otherwise have had a very low probability of surviving to adulthood;

D Appendix-I animals bred in captivity for commercial purposes in operations included in the Secretariat's Register, in accordance with Resolution Conf. 12.10 (Rev. CoP15), and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention;

A Plants that are artificially propagated in accordance with Resolution Conf. 11.11 (Rev. CoP18)[1], 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 propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III);

C 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;

F Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof;

Y Specimens of plants that fulfil the definition for 'assisted production' in Resolution Conf. 11.11 (Rev. CoP18) as well as parts and derivatives thereof;

U Source unknown (**must be justified**);
I Confiscated or seized specimens;
O Pre-Convention specimens;

k) the terms and codes used on permits and certificates to indicate the type of specimen being traded conform to those provided in the Secretariat's most recent *Guidelines for the preparation and submission of CITES annual reports* and that the units of measurement used also conform to these Guidelines;

[1] *Corrected by the Secretariat following the 18th meeting of the Conference of the Parties.*

l) all Parties consider the development and use of electronic permits and certificates;

m) all Parties, when using paper permits and certificates, consider the use of security paper;

n) Parties that do not already do so affix a security stamp to each permit and certificate;

o) when a security stamp is affixed to a permit or certificate, it be cancelled by a signature and a stamp or seal, preferably embossed and the number of the stamp also be recorded on the document;

p) when issuing permits and certificates, the Parties follow the standard nomenclatures adopted by the Conference of the Parties to indicate the names of species [see Resolution Conf. 12.11 (Rev. CoP18)];

q) Parties that have not yet done so communicate to the Secretariat the names of the persons empowered to sign permits and certificates, as well as three specimens of their signatures, 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 signatures are no longer valid and the dates the changes took effect;

r) 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;

s) each Party inform the other Parties, direct 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 permits and certificates that run counter to these measures;

t) when a permit or certificate has been cancelled, lost, stolen or destroyed, the issuing Management Authority immediately inform the Management Authority of the country of destination, as well as the Secretariat regarding commercial shipments; and

u) when a permit or certificate is issued to replace a document that has been cancelled, lost, stolen or destroyed, or that has expired, it indicate the number of the replaced document and the reason for the replacement; and

i) when a Management Authority issues any permit or certificate for manufactured products that contain parts or derivatives of more than one CITES-listed species, it should, as far as possible:

   i) ensure that each type of manufactured product being traded is covered by only one permit or certificate;

   ii) include a statement that the permit or certificate relates to manufactured products that include more than one CITES-listed species;

   iii) list on the permit or certificate all the CITES-listed species from which parts or derivatives are included in the manufactured products;

   iv) for each species named, indicate the type of manufactured product and the type of CITES specimen included in the product; and

   v) clearly indicate the total number of manufactured products covered by the permit or certificate;

II. Regarding export permits and re-export certificates

4. AGREES that a re-export certificate should also specify:

   a) the country of origin, the number of the export permit of the country of origin and its date of issue; and

b) the country of last re-export, the number of the re-export certificate of that country and its date of issue;

or if the case arises:

c) justification for the omission of any of the aforementioned information;

5. RECOMMENDS that:

a) exporters be encouraged to apply for permits shortly before the time of intended export;

b) Management Authorities require accurate information about the number or quantity of specimens to be exported under each permit and, as far as possible, avoid the issuance of permits where the numbers or quantities do not accurately reflect what will actually be exported;

c) in cases where a replacement is requested for a permit that has not been used, the replacement be issued only if the original has been returned to the issuing authority, unless the original is reported as lost. In the latter case, the issuing Management Authority should notify the Management Authority of the country of destination that the original permit has been cancelled and replaced;

d) if an exporter claims to have used a permit to export a smaller number or quantity of specimens than the amount authorized on the export permit, and requests another permit to export the remainder, the Management Authority obtain proof of the number or quantity already exported before issuing any new permit (such as a copy of the validated export permit or confirmation from the Management Authority of the country of destination of the number or quantity of specimens that were imported using the original permit);

e) exported specimens and re-exported specimens not appear on the same document, unless it is clearly indicated which specimens are being exported and which re-exported;

f) when re-export certificates are issued for specimens whose form has not changed since being imported, the unit of measure used be the same as that used on the permit or certificate accepted when they were imported;

g) the provisions of Article III, paragraph 3, Article IV, paragraph 4, Article V, paragraph 3, and Article VI, paragraph 2, be understood to mean that an export permit or re-export certificate shall be valid for a period of no more than six months from the date on which it was granted and that it may not be accepted to authorize export, re-export or import except during the period of validity;

h) after the expiry of the said six-month period of validity, an export permit or re-export certificate be considered as void and of no legal value whatsoever, except in the case referred to in section XII relating to timber species;

i) no export permit or re-export certificate be issued for a specimen known to have been acquired illegally, even if it has been imported in accordance with the national legislation, unless the specimen has previously been confiscated;

j) Parties not authorize the import of any specimen if they have reason to believe that it was not legally acquired in the country of origin;

k) Parties verify the origin of Appendix-I specimens to avoid issuing export permits when the use is for primarily commercial purposes and the specimens did not originate in a CITES- registered breeding operation; and

l) as far as possible, inspections of documents and shipments be conducted at the time of export. This should be regarded as essential for shipments of live animals;

6. AGREES that, in the case of plant specimens that cease to qualify for an exemption from the provisions of CITES under which they were exported from their country of origin, the country of

origin is deemed to be the first country in which the specimens cease to qualify for the exemption; and

7. AGREES further that Parties may in such instances, and if considered useful, add the following text in block 5 of re-export certificates: 'Legally imported under an exemption from the provisions of CITES' and additionally it may be stated to which exemption this refers;

III. Regarding import permits

8. AGREES 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

9. RECOMMENDS that:

   a) the provisions of Article III, paragraphs 2 and 4, be understood to mean that an import permit shall be valid for a period of not more than 12 months from the date on which it was granted and that it may not be accepted to authorize import except during the period of validity; and

   b) after the expiry of the said 12-month period of validity, an import permit be considered as void and of no legal value whatsoever;

IV. Regarding the issuance of permits and certificates after the transfer of a species from one Appendix to another

10. RESOLVES that in the case a species is transferred from one Appendix to another, specimens concerned shall be subject to the provisions applicable to them at the time of export, re-export, import or introduction from the sea;

11. RECOMMENDS that, in the case of a listing proposal adopted by the Conference of the Parties to transfer a species to Appendix I, the Management Authority ensures that any permit or certificate for trade in that species be valid only until the date that the new listing in Appendix I enters into force and that this be indicated in box 2 of the permit.

V. Regarding pre-Convention certificates

12. AGREES that a pre-Convention certificate should also specify:

   a) that the specimen covered by the certificate is pre-Convention; and

   b) the date of acquisition of the specimen as defined in Resolution Conf. 13.6 (Rev. CoP18) adopted at the 13th meeting of the Conference of the Parties (Bangkok, 2004) and revised at the 16th and 18th meetings (Bangkok, 2013; Geneva, 2019);

VI. Regarding certificates of origin

13. RECOMMENDS that:

   a) certificates of origin for export of specimens of species listed in Appendix III only be issued by a designated Management Authority or by the competent authority if trade is from a State not a Party to the Convention, and that Parties not accept certificates of origin unless they are issued by such authorities;

   b) the provisions of Article V, paragraph 3, be understood to mean that a certificate of origin shall be valid for a period of not more than 12 months from the date on which it was granted, and that it may not be accepted to authorize export or import except during the period of validity; and

   c) after the expiry of the said 12-month period of validity, a certificate of origin be considered as void and of no legal value whatsoever;

VII. Regarding travelling-exhibition certificates

14. RECOMMENDS that:

a) for the purpose of this Resolution, the term 'travelling exhibition' include, but not be limited to travelling zoos, circuses, menageries, museum exhibitions, orchestras, plant exhibitions and other such exhibitions;

b) each Party issue a travelling-exhibition certificate for CITES specimens belonging to a travelling exhibition based in its State, registered with the Management Authority and wishing to transport specimens of CITES species to other States for exhibition purposes only, on the condition that they were legally acquired and will be returned to the State in which the exhibition is based and that they were:

i) acquired before 1 July 1975 or before the date of inclusion of the species in any of the Appendices of the Convention;

ii) bred in captivity as defined in Resolution Conf. 10.16 (Rev.); or

iii) artificially propagated as defined in Resolution Conf. 11.11 (Rev. CoP18);

c) travelling-exhibition certificates should be based on the model included in Annex 3 of the present Resolution. They should be printed in one or more of the working languages of the Convention (English, Spanish or French) and in the national language if it is not one of these;

d) travelling-exhibition certificates should include in block 5, or in another block if the model form is not used, the following language: "The specimen/s covered by this certificate may not be sold or otherwise transferred in any State other than the State in which the exhibition is based and registered. This certificate is non-transferable. If the specimen/s dies/die, is/are stolen, destroyed, lost, sold or otherwise transferred, this certificate must be immediately returned by the owner to the issuing Management Authority";

e) a separate travelling exhibition certificate must be issued for each live animal;

f) for travelling exhibitions of specimens other than live animals, the Management Authority should attach an inventory sheet that contains all of the information in blocks 9 to 16 of the model form for each specimen;

g) travelling-exhibition certificates should be valid for not more than three years from the date on which they were granted to allow multiple imports, exports and re-exports of the individual specimens that they cover;

h) Parties consider such travelling-exhibition certificates as proof that the specimens concerned have been registered with the issuing Management Authority and allow the movement of such specimens across their borders;

i) at each border crossing, Parties endorse travelling-exhibition certificates with an authorized stamp and signature by the inspecting official and allow the certificates to remain with the specimens;

j) Parties check travelling exhibitions closely, at the time of export/re-export and 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;

k) Parties require that specimens be marked or identified in such a way that the authorities of each State into which an exhibition enters can verify that the travelling-exhibition certificates correspond to the specimens being imported;

l) 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 permit or certificate as appropriate;

m) when, during a stay in a State, a travelling-exhibition certificate for a specimen is lost, stolen or accidentally destroyed, only the Management Authority which has issued the document may issue a duplicate. This duplicate paper certificate 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

n) Parties include in their annual reports a list of all travelling-exhibition certificates issued in the year concerned;

VIII. Regarding phytosanitary certificates

15. RECOMMENDS that:

a) any Party having considered the practices governing the issue of its phytosanitary certificates for export of artificially propagated Appendix-II specimens, and having determined that such practices provide adequate assurance that the specimens are artificially propagated [as defined in Resolution Conf. 11.11 (Rev. CoP18)], may consider these documents as certificates of artificial propagation in accordance with Article VII, paragraph 5. Such certificates must include the scientific name of the species and the type and quantity of the specimens and bear a stamp, seal or their electronic equivalent, or other specific indication stating that the specimens are artificially propagated as defined by CITES;

b) any Party using phytosanitary certificates as certificates of artificial propagation inform the Secretariat and provide copies of the certificates, stamps, seals, etc. that are used; and

c) phytosanitary certificates be used exclusively for the purpose of export from the country of artificial propagation of the specimens concerned; and

16. INSTRUCTS the Secretariat to notify the Parties when any Party confirms that it issues phytosanitary certificates for export of artificially propagated plants of Appendix-II species;

IX. Regarding permits and certificates for species subject to quotas

17. RECOMMENDS that:
a) when a Party 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 inform the Secretariat of the quotas before issuing export permits and of any changes thereto as soon as they are made;

b) each export permit issued for specimens of a species subject to an annual export quota, whether established nationally or by the Conference of the Parties, indicate the total quota that has been established for the year and include a certification that the quota is being complied with. For this purpose Parties should specify the total number or quantity of specimens already exported in the current year (including those covered by the permit in question) and the export quota for the species and specimens that are subject to the quota; and

c) Parties send to the Secretariat copies of permits, electronic and paper, issued for species subject to quotas if so requested by the Conference of the Parties, the Standing Committee or the Secretariat;

X. Regarding permits and certificates for crocodilian specimens

18. RECOMMENDS that:

a) when trade in tagged crocodilian skins is authorized, the same information as is on the tags be given on the permit or certificate;

b) in the case of crocodilian species subject to quotas approved by the Conference of the Parties, no permit or certificate for skins be issued before the skins are tagged in accordance with the requirements of the issuing Management Authority and their sizes are recorded;

c) in the event of mismatches of information within a permit or certificate for crocodilian skins, the Management Authority of the importing Party immediately contact its counterpart in the exporting/re-exporting Party to establish whether this was a genuine error arising from the volume of information required by the present Resolution and Resolution Conf. 11.12 (Rev. CoP15), and that, if this is the case, every effort be made to avoid penalizing those involved in the transaction;

d) for small crocodilian leather products, Parties consider measures to alleviate the administrative burdens associated with this trade through simplified procedures to issue permits and certificates as provided in Part XIII of this Resolution; and

e) for small crocodilian leather products, Parties that require import permits as a stricter domestic measure should review these requirements in order to determine whether they are effective in achieving the objectives of the Convention to ensure that trade in wild fauna and flora species is not detrimental to their survival;

XI. Regarding permits and certificates for coral specimens

19. RECOMMENDS that:

a) on permits and certificates issued to authorize trade in specimens of hard corals of the genera included in the most recent CITES list of *Coral taxa where identification to genus level is acceptable*[1], where the species cannot be readily determined, the specimens may be recorded at the genus level. This list is maintained by the Secretariat and may be amended with the concurrence of the Animals Committee;

b) on permits and certificates for trade in specimens that are readily recognizable as coral rock [as defined in Resolution Conf. 11.10 (Rev. CoP15) Annex], where the genus cannot be readily determined, the scientific name for the specimens should be 'Scleractinia';

c) any Party wishing to authorize export of coral rock identified to ordinate level only should, in view of the inability to make a non-detriment finding for coral rock pursuant to Article IV, paragraph 2 (a), apply the provisions of Article IV, paragraph 3;

d) Parties that authorize export of coral rock should:

i) establish an annual quota for exports and communicate this quota to the Secretariat for distribution to the Parties; and

ii) through their Scientific Authorities, make an assessment (which would be available to the Secretariat on request), based on a monitoring programme, that such export will not affect the role that coral rock has in ecosystems affected by the extraction of such specimens;

e) on permits and certificates for trade in worked specimens of black coral, where the species cannot be readily determined, the specimens may be recorded at the genus level and, where the genus cannot be readily determined, the scientific name for the given specimens should be 'Antipatharia'; and

f) raw black coral and live black coral should continue to be identified in trade to species level;

[1] At the time of entry into force of the present Resolution (12 June 2013), the most recent list had been published in Notification to the Parties No. 2012/047; later replaced by Notification to the Parties No. 2013/035.

XII. Regarding permits and certificates for timber species included in Appendices II and III with the annotation 'Logs, sawn wood and veneer sheets'

20. RECOMMENDS that the validity of the export permit or re-export certificate may be extended beyond the normal maximum of six months after the date of issue, on the condition that:

    a) the shipment has arrived in the port of final destination before the date of expiration indicated on the permit or certificate and is being held in Customs bond (i.e. is not considered as imported);

    b) the time extension does not exceed six months from the date of expiration of the permit or certificate and no previous extension has been granted;

    c) the appropriate enforcement personnel has included the date of arrival and the new date of expiration in the box relating to special conditions, or an equivalent place, on the export permit or re-export certificate, certifying the modification with an official stamp or seal and signature or their electronic equivalent;

    d) the shipment is imported for consumption from the port where it was located when the extension was approved and before the new date of expiration; and

    e) a copy of the export permit or re-export certificate as amended in accordance with subparagraph c) above is sent to the country of export or re-export, allowing it to amend its annual report, and to the CITES Secretariat; and

21. RECOMMENDS further that any permit or certificate that indicates the complete names and addresses of the (re-)exporter and importer, in conformity with Annex 1, paragraph d), to the present Resolution, not be accepted for import into a country other than the one for which it was issued, except under the following conditions:

    a) the actual quantity of specimens exported or re-exported is included in the designated box on the permit or certificate, certified by the stamp or seal and signature of the authority that carried out the inspection at the time of export or re-export;

    b) the exact quantity referred to under paragraph a) above is imported;

    c) the number of the bill of lading of the shipment is included on the permit or certificate;

    d) the bill of lading of the shipment is presented to the Management Authority together with the original of the permit or certificate at the time of import;

    e) the import takes place within six months after the issue of the export permit or re-export certificate or within 12 months after the issue of a certificate of origin;

    f) the period of validity of the permit or certificate has not already been extended;

    g) the Management Authority of the importing country includes on the permit or certificate, in the box relating to special conditions, or an equivalent place, the following text, certified by its stamp or seal and signature:

"import into [name of country] permitted in accordance with Resolution Conf. 12.3 (Rev. CoP18) (section XII) on [date]"; and

    h) a copy of the permit or certificate as amended in accordance with paragraph g) above is sent to the country of export or re-export, allowing it to amend its annual report, and to the CITES Secretariat;

XIII. Regarding the use of simplified procedures to issue permits and certificates

22. RECOMMENDS that:

a) Parties use simplified procedures to issue permits and certificates to facilitate and expedite trade that will have a negligible impact, or none, on the conservation of the species concerned, e.g.:

i) where biological samples of the type and size specified in Annex 4 of the present Resolution are urgently required:

A. in the interest of an individual animal;

B. in the interest of the conservation of the species concerned or other species listed in the Appendices;

C. for judicial or law enforcement purposes;

D. for the control of diseases transferable between species listed in the Appendices; or

E. for diagnostic or identification purposes;

ii) for the issuance of pre-Convention certificates in accordance with Article VII, paragraph 2;

iii) for the issuance of certificates of captive breeding or artificial propagation in accordance with Article VII, paragraph 5, or for the issuance of export permits or re-export certificates in accordance with Article IV for specimens referred to in Article VII, paragraph 4; and

iv) in other cases judged by a Management Authority to merit the use of simplified procedures;

b) Parties, in order to simplify procedures concerning the issuance of permits and certificates under the circumstances outlined above:

i) maintain records of persons and bodies that benefit from simplified procedures, as well as the species that are traded under the simplified procedures;

ii) provide persons and bodies determined to be bona fide with partially completed permits and certificates that remain valid for a period of up to six months for export permits and re-export certificates, 12 months for import permits, and three years for pre-Convention certificates and certificates of captive breeding or artificial propagation; and

iii) authorize holders of partially completed permits to enter specific information on the CITES document when the Management Authority has included in box 5, or an equivalent place, the following:

A. a list of the boxes that these persons or bodies are authorized to complete for each shipment; if the list includes scientific names, the Management Authority must have included an inventory of approved species (including up to the family level) on the face of the permit or certificate or in an attached annex and provide details of the approvals process required to extend the inventory of approved species to encompass species not previously included in an emergency disease event;

B. any special conditions; and

C. a place for the whole name and signature, or in the case where electronic permitting processes are used its agreed electronic equivalent, of the person who completed the document;

c) concerning trade in biological samples of the type and size specified in Annex 4 of the present Resolution, where the purpose is among those specified in paragraph a) of this section,

permits and certificates be accepted that were validated at the time the documents were granted, rather than at the time a shipment was exported or re-exported provided that the container bears a label, such as a Customs label, that specifies 'CITES Biological Samples' and the CITES document number;

d) when processing applications for the trade in biological specimens of the type and size and for the use specified in Annex 4 of the present Resolution where the species is unknown, Management Authorities should issue permits to the genus or family level;

e) when processing applications for the export of biological samples of the type and size and for the use specified in Annex 4 to the present Resolution, Scientific Authorities develop generic non-detriment advice that would cover multiple shipments of such biological samples, taking into account the impacts of the collection of the specimens of species included in Appendix I or II to determine whether the export or import of biological samples would be detrimental to the survival of the species;

f) when processing applications for the trade in biological samples of the type and size and for the use specified in Annex 4 to the present Resolution, Management Authorities that have introduced stricter permitting procedures for CITES listed species are encouraged to waive or customize these measures to ensure standard processes for issuance of CITES documents are applied; and

g) to the extent possible Parties expedite the processing of applications for the trade of biological samples of the type and size and for the use specified in Annex 4.

XIV. Regarding retrospective issue of permits and certificates

23. RECOMMENDS that:

a) a Management Authority of an exporting or re-exporting country:

i) not issue CITES permits and certificates retrospectively;

ii) not provide exporters, re-exporters and/or consignees in importing countries with declarations about the legality of exports or re-exports of specimens having left its country without the required CITES documents; and

iii) not provide exporters, re-exporters and/or consignees in importing countries with declarations about the legality of permits or certificates which at the time of export, re- export or import did not meet the requirements of the Convention;

b) a Management Authority of an importing country, or of a country of transit or transhipment, not accept permits or certificates that were issued retrospectively;

c) exceptions from the recommendations under a) and b) above not be made with regard to Appendix-I specimens, and be made with regard to Appendix-II and -III specimens only where the Management Authorities of both the exporting (or re-exporting) and the importing countries are, after a prompt and thorough investigation in both countries and in close consultation with each other, satisfied:

i) that the irregularities that have occurred are not attributable to the (re-)exporter or the importer or, in the case of specimens imported or (re-)exported as personal or household effects (for the purposes of the present Resolution this includes live pets travelling with their owner), the Management Authority, in consultation with the relevant enforcement authority, is satisfied that there is evidence that a genuine error has been made, and that there was no attempt to deceive; and

ii) that the export (or re-export) and import of the specimens concerned are otherwise in compliance with the Convention and with the relevant legislation of the countries of export (or re-export) and import;

d) whenever exceptions are made:

   i) the permit or certificate clearly indicate that it is issued retrospectively; and

   ii) the reasons for the relaxation, which should come within the purview of paragraph c) above, are specified in the conditions on the permit or certificate and a copy sent to the Secretariat and also these be listed in the biennial report to the Secretariat;

e) in cases where retrospective permits are issued for personal or household effects as referred to in subparagraph c) i) above, Parties make provision for penalties and restrictions on subsequent sales within the following six months to be imposed where appropriate to ensure that the power to grant exemptions from the general prohibition on the issue of retrospective permits is not abused; and

f) the above discretion to issue permits and certificates retrospectively not be afforded to benefit repeat offenders;

XV. Regarding acceptance and clearance of documents and security measures

24. RECOMMENDS that:

a) the Parties refuse to accept permits and certificates if they have been altered (by rubbing out, deleting, scratching out, etc.), modified or crossed out, unless the alteration, modification or crossing-out has been authenticated by the stamp and signature, or its electronic equivalent, of the authority issuing the document;

b) whenever irregularities are suspected, Parties exchange issued and/or accepted permits or certificates to verify their authenticity;

c) when a security stamp is affixed to a paper permit or certificate, Parties refuse the document if the security stamp is not cancelled by a signature and a stamp or seal;

d) Parties refuse to accept any permit or certificate that is invalid, including authentic documents that do not contain all the required information as specified in the present Resolution or that contain information that brings into question the validity of the permit or certificate;

e) Parties refuse to accept permits and certificates that do not indicate the scientific name of the species concerned (including subspecies when appropriate), except in the case where:

   i) the Conference of the Parties has agreed that the use of higher-taxon names is acceptable;

   ii) the issuing Party can show it is well justified and has communicated the justification to the Secretariat;

   iii) certain manufactured products contain pre-Convention specimens that can not be identified to the species level;

   iv) worked skins or pieces thereof of *Tupinambis* species that were imported before 1 August 2000 are being re-exported, in which case it is sufficient to use the indication *Tupinambis* spp.; or

   v) the permit or certificate is for a biological sample of the type and size and for the use specified in Annex 4 to the present Resolution where the species is unknown, in which case it is sufficient to use the scientific name of the genus or family;

f) Export permits and re-export certificates be endorsed, with quantity, signature and stamp, by an inspecting official, such as Customs, in the export endorsement block of the document. If the export document has not been endorsed at the time of export, the Management Authority of the importing country should liaise with the exporting country's Management Authority, considering any extenuating circumstances or documents, to determine the acceptability of the document;

g) when a Party refuses to accept a permit or certificate, it will keep the original or electronic copy or, if this is not compliant with its national laws, it will cancel the paper document indelibly, preferably by perforation, particularly the security stamp, or register the electronic document as cancelled;

h) when a Party refuses to accept a permit or certificate issued for export or re-export, it immediately inform the exporting or re-exporting country;

i) when a Party is informed that a permit or certificate it has issued for export or re-export has been refused, it take measures to ensure that the specimens in question do not enter into illegal trade;

j) Parties ensure that, when the original of a paper permit or certificate is not used by the permittee for the trade authorized, it is returned by the permittee to the issuing Management Authority in order to prevent the illegal use of the document, and in the case of an electronic permit or certificate, notification is sent to the issuing Management Authority and the electronic permit is registered as unused;

k) Parties carefully check the e-mails and telefaxes they receive confirming the validity of permits, in order to ensure that the information that appears on them, including the numbers, corresponds to that in the CITES Directory;

l) when an exporting or re-exporting State receives a request from an importing State to verify the authenticity and validity of a CITES permit or certificate, it make every effort to respond to that request within 15 days of receiving the request; and

m) if an exporting or re-exporting State is not able to verify the validity of a CITES permit or certificate within 15 days of receiving such a request from an importing State, it should provide a preliminary response within 15 days of receiving the request and a final response as soon as possible thereafter. The maximum period for such verification should not exceed 30 days;

25. RECOMMENDS further that Management Authorities authorize the import of vicuña cloth only if the reverse side of the cloth bears the logotype adopted by the range States of the species, which are signatories to the *Convenio para la Conservación y Manejo de la Vicuña*, and the selvages the words VICUÑA – COUNTRY OF ORIGIN or if it is cloth containing pre-Convention wool of vicuña; and

26. URGES the Parties to check with the Secretariat:

a) when they have serious doubts about the validity of permits accompanying suspect shipments; and

b) before they accept imports of live specimens of Appendix-I species declared as bred in captivity or artificially propagated; and

XVI. Regarding documents for sample collections covered by ATA carnets

27. RECOMMENDS that:

a) for the purpose of the procedure described below, the term ‘sample collection’ refer to collections of legally acquired dead specimens, parts and derivatives of species included in Appendix II or III and of Appendix-I species bred in captivity or artificially propagated for commercial purposes, which are deemed to be Appendix-II specimens, which are not entitled to be sold or otherwise transferred, and that will cross borders for presentation purposes before returning to the country from which such movement was first authorized; and

b) such sample collections be considered as ‘in transit’ and may be traded under the special provisions stipulated in Article VII, paragraph 1, as explained in Resolution Conf. 9.7 (Rev. CoP15), on the following conditions:

i) sample collections shall be covered by ATA carnets and be accompanied by a standard CITES permit, on which it shall be indicated that the document is a permit or certificate

either for ‘export’, ‘re-export’ or 'other', as appropriate, and, in addition, it shall be clearly specified that the document is issued for a ‘sample collection’;

ii) it shall be specified in block 5, or an equivalent place, that “This document covers a sample collection and is invalid unless accompanied by a valid ATA carnet. The specimen(s) covered by this certificate may not be sold or otherwise transferred whilst outside the territory of the State that `issued this document.” The number of the accompanying ATA carnet should be recorded and, if necessary, this may be entered by the Customs or other CITES enforcement official responsible for the endorsement of the CITES document;

iii) the name and address (including the country) of the importer and the exporter or re- exporter shall be identical, and in block 5, or an equivalent place, the names of the countries to be visited shall be indicated;

iv) the date of expiry of such a document shall not be later than that of the ATA carnet accompanying it and the period of validity shall not be more than six months from the date on which it was granted;

v) at each border crossing, Parties shall verify the presence of the CITES permit or certificate but allow it to remain with the collection, and ensure that the ATA carnet is properly endorsed with an authorized stamp and signature by a Customs official; and

vi) Parties shall check the CITES permit or certificate and sample collection closely at the time of first export or re-export and on its return, to ensure that the collection was not subject to any change;

28. AGREES that:

a) such a permit or certificate shall not be transferable and when, during a stay in a State, it is lost, stolen or accidentally destroyed, only the Management Authority that issued it may issue a duplicate or a new document to replace the original. In the case of a duplicate, it will bear the same number, if possible, and the same date of validity as the original document, and contain the statement "This document is a true copy of the original". In the case of a new document, it will state that it replaces the original bearing the number xx;

b) if specimens in the collection are stolen, destroyed or lost, the issuing Management Authority of the document shall be immediately informed as well as the Management Authority of the country in which that occurred; and

c) the usual CITES procedures for export, re-export and import of sample collections shall be followed by those Parties that do not recognize or allow the use of ATA carnets;

XVII. Regarding permits and certificates issued under court orders

29. RECOMMENDS that:

a) exporting Parties should not proceed with any export of specimens of any CITES-listed species without evidence of legal origin of specimens of the species, and for species listed in Appendix I or II, without evidence of a non-detriment finding;

b) upon receiving credible information or intelligence, importing countries should reject shipments of specimens of species accompanied by export permits issued under court order without the required CITES findings. The importing Party should contact the exporting Party to seek confirmation that a non-detriment finding by the Scientific Authority and a legal acquisition finding by the Management Authority were made; and

c) upon receiving credible information or intelligence, the Secretariat should contact the importing and exporting Parties involved in the potential trade of specimens accompanied by court ordered permits and inform them of the relevant provisions of the Convention; and

30. REPEALS the Resolutions listed hereunder:

    a) Resolution Conf. 8.16 (Kyoto, 1992) – *Travelling live-animal exhibitions*;

    b) Resolution Conf. 10.2 (Rev.) (Harare, 1997, as amended at Gigiri, 2000) – *Permits and certificates*; and

    c) Resolution Conf. 11.6 (Rev. CoP13) (Gigiri, 2000, as amended at Bangkok, 2004) – *Trade in vicuña cloth*.

Annex 1 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 unique control number

d) The complete names and addresses of the exporter and importer

e) The scientific name of the species to which the specimens belong (or the subspecies when it is relevant in order to determine in which Appendix the taxon concerned is included) in accordance with the adopted standard nomenclature

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.) or, in the case of marking with microchip transponders, the microchip codes, the name of the transponder manufacturer, and, where possible, the location of the microchip in the specimen

h) The Appendix in which the species or subspecies or population is listed. NB: This does not change even if the specimen concerned is deemed to be included in a different Appendix. For example, although specimens of Appendix-I species bred in captivity for commercial purposes are deemed to be specimens of species included in Appendix II, the species remains listed in Appendix I, and this should be specified on the permit or certificate.

i) The source of the specimens

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/her handwritten signature for paper permits and certificates or its electronic equivalent for electronic permits and certificates

m) The embossed seal or ink stamp of the Management Authority or its electronic equivalent

n) A statement that the permit, if it covers live specimens, is only valid if the transport conditions comply with the *IATA Live Animals Regulations* (for animals), with the *IATA Perishable Cargo Regulations* (for plants) or, in the case of non-air transport, with the *CITES Guidelines for the Non- Air Transport of Live Wild Animals and Plants;*

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 or artificial propagation for commercial purposes (Article VII, paragraph 4), 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

To be included in certificates of origin only

q) A statement that the specimens originate in the country that issued the certificate.

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

PERMIT/CERTIFICATE No.
☐ EXPORT
☐ RE-EXPORT
☐ IMPORT
☐ OTHER:

Original

2. Valid until

3. Importer (name and address)

3a. Country of import

4. Exporter/re-exporter (name, address and country)

Signature of the applicant

5. Special conditions

If for live animals, this permit or certificate is valid only if the transport conditions comply with the *IATA Live Animals Regulations*; if for live plants, with the IATA *Perishable Cargo Regulations*

5a. Purpose of the transaction (see reverse)

5b. Security stamp no.

6. Name, address, national seal/stamp and country of Management Authority

	7./8. Scientific name (genus and species) and common name of animal or plant	9. Description of specimens, including identifying marks or numbers (age/sex if live)	10. Appendix no. and source (see reverse)	11. Quantity (including unit)	11a. Total exported/Quota
A	7./8.	9.	10.	11.	11a.
	12. Country of origin * Permit no. Date		12a. Country of last re-export Certificate no. Date		12b. No. of the operation ** or date of acquisition ***
B	7./8.	9.	10.	11.	11a.
	12. Country of origin * Permit no. Date		12a. Country of last re-export Certificate no. Date		12b. No. of the operation ** or date of acquisition ***
C	7./8.	9.	10.	11.	11a.
	12. Country of origin * Permit no. Date		12a. Country of last re-export Certificate no. Date		12b. No. of the operation ** or date of acquisition ***
D	7./8.	9.	10.	11.	11a.
	12. Country of origin * Permit no. Date		12a. Country of last re-export Certificate no. Date		12b. No. of the operation ** or date of acquisition ***

* Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export)
** Only for specimens of Appendix-I species bred in captivity or artificially propagated for commercial purposes
*** For pre-Convention specimens

13. This permit/certificate is issued by:

Place Date Security stamp, signature and official seal

14. Export endorsement:

15. Bill of Lading/Air waybill number:

Block	Quantity
A	
B	
C	
D	

Port of export Date Signature Official stamp and title

CITES PERMIT/CERTIFICATE No.

Sample

Instructions and explanations(These correspond to block numbers on the form)

1. Tick the square which corresponds to the type of document issued (export permit, re-export certificate, import permit or other). If the box "other" has been ticked, the type of document must be indicated. The original number is a unique number allocated to each document by the Management Authority.
2. For export permits and re-export certificates, the date of expiry of the document may not be more than six months after the date of issuance (one year for import permits).
3. **Complete** name and address of the importer. 3a. The name of the country must be written in full.
4. **Complete** name and address of the exporter/re-exporter. The name of the country must be stated. The absence of the signature of the applicant renders the permit or certificate invalid.
5. Special conditions may refer to national legislation or special conditions placed on the shipment by the issuing Management Authority. This block can also be used to justify the omission of certain information.

5a. The following codes should be used: **T** for commercial, **Z** for zoo, **G** for botanical garden, **Q** for circus or travelling exhibition, **S** for scientific, **H** for hunting trophy, **P** for personal, **M** for medical, **E** for education, **N** for reintroduction or introduction into the wild, **B** for breeding in captivity or artificial propagation and **L** for law enforcement / judicial / forensic.

5b. Indicate the number of the security stamp affixed in block 13.

6. The name, address and country of the issuing Management Authority should already be printed on the form.

7-8. Indicate the scientific name (genus and species, where appropriate subspecies) of the animal or plant as it appears in the Convention Appendices or the reference lists approved by the Conference of the Parties, and the common name of the animal or plant as known in the country issuing the permit.

9. Describe, as precisely as possible, the specimens entering trade (live animals, skins, flanks, wallets, shoes, etc.). If a specimen is marked (tags, identifying marks, rings, etc.), whether or not this is required by a Resolution of the Conference of the Parties (specimens originating in a ranching operation, specimens subject to quotas approved by the Conference of the Parties, specimens of Appendix-I species bred in captivity for commercial purposes, etc.), indicate the number and type of mark. The sex and age of the live animals should be recorded, if possible.

10. Enter the number of the Appendix of the Convention (I, II or III) in which the species is listed. Use the following codes to indicate the source:
    - **W** Specimens taken from the wild
    - **X** Specimens taken in "the marine environment not under the jurisdiction of any State".
    - **R** Ranched specimens: specimens of animals reared in a controlled environment, taken as eggs or juveniles from the wild, where they would otherwise have had a very low probability of surviving to adulthood.
    - **D** Appendix-I animals bred in captivity for commercial purposes in operations included in the Secretariat's Register, in accordance with Resolution Conf. 12.10 (Rev. CoP15), and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention
    - **A** Plants that are artificially propagated in accordance with Resolution Conf. 11.11 (Rev. CoP18), 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 propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)
    - **C** 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
    - **F** Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof
    - **Y** Specimens of plants that fulfil the definition for 'assisted production' in Resolution Conf. 11.11 (Rev. CoP18) as well as parts and derivatives thereof
    - **U** Source unknown (**must be justified**) **I** Confiscated or seized specimens
    - **O** Pre-Convention specimens (may be used with other source codes).

11. The quantity and units indicated should conform to the most recent version of the *Guidelines for the preparation and submission of CITES annual reports.*

11a. Indicate the total number of specimens exported in the current calendar year (1 January to 31 December) (including those covered by the present permit) and the current annual quota for the species concerned (for example 500/1000). This should be done for the national quotas as well as for those determined by the Conference of the Parties.

12. The country of origin is the country in which the specimens were taken from the wild, bred in captivity or artificially propagated, except in the case of plant specimens that cease to qualify for an exemption from the provisions of CITES. In such instances, the country of origin is deemed to be the country in which the specimens ceased to qualify for the exemption. Indicate the number of the permit or certificate of the exporting country and the date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re- exports;

12a. The country of last re-export is the country from which the specimens were re-exported before entering the country in which the present document is issued. Enter the number of the re-export certificate of the country of last re-export and its date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-export of specimens previously re-exported.

12b. The "No. of the operation" is the number of the registered captive-breeding or artificial propagation operation. The "date of acquisition" is defined in Resolution Conf. 13.6 (Rev. CoP16) and is required only for pre-Convention specimens.

13. To be completed by the official who issues the permit. The name of the official must be written in full. The security stamp must be affixed in this block and must be cancelled by the signature of the issuing official and a stamp or seal. The seal, signature and security-stamp number should be clearly legible.

14. To be completed by the official who inspects the shipment at the time of export or re-export. Enter the quantities of specimens actually exported or re-exported. Strike out the unused blocks.

15. Enter the number of the bill of lading or air way-bill if the method of transport used requires the use of such a document.

The document must be written in one of the three working languages of the Convention (English, Spanish or French) or must include a full translation into one of these three languages. Exported and re-exported specimens should not appear on the same document unless it is clearly indicated which specimens are being exported and which re-exported.

AFTER USE THIS DOCUMENT MUST BE RETURNED TO A MANAGEMENT AUTHORITY OF THE IMPORTING COUNTRY.

Annex 3 Model travelling-exhibition certificate

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

TRAVELLING-EXHIBITION CERTIFICATE

Original

1. Certificate no. | 2. Valid until

3. Owner of specimen(s) (name, permanent address and country of registration)

_____

Signature of owner

4. Name, address, national seal/stamp and country of issuing Management Authority

5. Special conditions:

a) **Valid for multiple cross-border movements. Owner to retain original form**

b) **The specimen/s covered by this certificate may not be sold or otherwise transferred in any State other than the State in which the exhibition is based and registered. This certificate is non-transferable. If the specimen/s dies/die, is/are stolen, destroyed, lost, sold or otherwise transferred, this certificate must be immediately returned by the owner to the issuing Management Authority**

c) **This certificate is not valid unless accompanied by a continuation sheet**

If for live animals, this certificate is valid only if the transport conditions comply with the *IATA Live Animals Regulations*, if for live plants, with the *IATA Perishable Cargo Regulations*

6. Country of import	7. Purpose of the transaction	8. Security stamp no.
Various	**Q**	

9. Scientific name (genus and species) and common name of species	10. Description of specimen/s, including identifying marks or numbers, age, sex	11. Quantity
		12. Appendix no. and source

13. Country of origin	14. Permit no. and date	15. Exhibition registration number	16. Date of acquisition, if pre-Convention

17. This certificate is issued by:

Place | Date | Security stamp, signature and official seal

18. Additional conditions

19. Customs endorsement (see Continuation sheet)

TRAVELLING-EXHIBITION CERTIFICATE No.

Sample

Resolution Conf. 12.3 (Rev. CoP18) – 22

Instructions and explanations

(These correspond to the block numbers on the form)

1. A unique number should be generated by the issuing Management Authority for the certificate.
2. The date of expiry of the document may not be more than three years after the date of issuance.
3. Complete the full name, permanent address and country of the owner of the specimen covered by the certificate. Absence of the signature of the owner renders the certificate invalid.
4. The name, address and country of the issuing Management Authority should already be pre-printed on the form.
5. This block has been pre-printed to indicate the validity of the certificate for multiple cross-border movements of the specimen/s with its/their exhibition for exhibition purposes only and to clarify that the certificate is not to be collected but is to remain with the specimen/owner. This block also can be used to justify the omission of certain information.
6. This block has been pre-printed to indicate that cross-border movement is permitted to any country accepting this certificate as a matter of national law.
7. This block has been pre-printed with the code Q for circuses and travelling exhibitions.
8. Indicate the number of the security stamp affixed in block 17.
9. Indicate the scientific name (genus and species, where appropriate subspecies) of the species as it appears in the Convention Appendices or the reference lists approved by the Conference of the Parties, and the common name as known in the country issuing the certificate.
10. Describe, as precisely as possible, the specimen/s covered by the certificate, including identifying marks (tags, rings, unique markings, etc.) sufficient to permit the authorities of the Party into which the exhibition enters to verify that the certificate corresponds to the specimen/s covered. The sex and age, at the time of the issuance of the certificate, should be recorded, where possible.
11. Indicate the total number of specimens. In the case of live animals it should normally be one. If more than one specimen, state "see attached inventory".
12. Enter the number of the Appendix of the Convention (I, II, or III) in which the species is listed. Use the codes below to indicate the source. This certificate may not be used for specimens with source code **W, R, F** or **U** unless they are pre-Convention specimens and the code **O** is also used.

    W Specimens taken from the wild

    X Specimens taken in "the marine environment not under the jurisdiction of any State".

    R Ranched specimens: specimens of animals reared in a controlled environment, taken as eggs or juveniles from the wild, where they would otherwise have had a very low probability of surviving to adulthood.

    A Plants that are artificially propagated in accordance with Resolution Conf. 11.11 (Rev. CoP18), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)

    C Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.) and exported under the provisions of Article VII, paragraph 5

    F Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of "bred in captivity" in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof

    Y Specimens of plants that fulfil the definition for 'assisted production' in Resolution Conf. 11.11 (Rev. CoP18) as well as parts and derivatives thereof

    U Source unknown (must be justified)

    O Pre-Convention specimens (may be used in conjunction with other source codes).
13. The country of origin is the country in which the specimens were taken from the wild or bred in captivity.
14. Indicate the number of the export permit of the country of origin and the date of issuance. If all or part of that information is not known, this should be justified in block 18.
15. This block must contain the exhibition registration number.
16. Enter the date of acquisition only for pre-Convention specimens.
17. To be completed by the official who issues the certificate. A certificate may only be issued by the Management Authority of the country where an exhibition is based and only when the owner of the exhibition has registered full details of the specimen with that Management Authority. The name of the issuing official must be written in full. The security stamp must be affixed in this block and must be cancelled by the signature of the issuing official and a stamp or seal. The seal, signature and security stamp number should be clearly legible.
18. This block may be used to refer to national legislation or additional special conditions placed on the cross-border movement by the issuing Management Authority.
19. This block has been pre-printed to refer to the attached Continuation Sheet, which should indicate all cross-border movements.

SUBJECT TO 5 ABOVE, UPON EXPIRATION, THIS DOCUMENT MUST BE RETURNED TO THE ISSUING MANAGEMENT AUTHORITY.

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA	TRAVELLING-EXHIBITION CERTIFICATE CONTINUATION SHEET Page _____ of _____
1. Original certificate no.	4. Name, address, national seal/stamp and country of Management Authority
8. Security stamp no.	

17. This certificate is issued by:

Place	Date	Security stamp, signature and official seal

Port of export or re-export	Date	Signature	Official stamp	Port of export or re-export	Date	Signature	Official stamp

Sample

Annex 4 Types of biological samples and their use

Type of sample	Typical size of sample	Use of sample
blood and its derivative components	5 ml maximum for liquid samples or dry blood sample on a microscope slide, filter paper or swab	biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis, including serology
internal tissues (botanical or zoological), fixed	tissues (5 mm^3-25 mm^3) in a fixative or histological glass slide containing a +/-5um section of fixed tissue	Histology and electon microscopy to detect organisms and poisons; taxonomic research; biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis
internal tissues (botanical or zoological), frozen	pieces of tissues (5 mm^3-25 mm^3)	biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis
internal tissues (botanical or zoological), fresh (excluding ova, sperm and embryos)	pieces of tissues (5 mm^3 - 25 mm^3)	biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis
external tissues including hair, skin, feathers, scales, bone, egg shell, teeth, ivory, horn, leaves, bark, seeds, fruit or flowers	Individual samples with or without fixative for ivory: pieces of ivory approximately 3 cm x 3 cm and 1 cm thick or less depending on analysis method, in accordance with *ICCWC Guidelines on methods and procedures for ivory and laboratory analysis*[1] for rhino horn: small amounts of powder/shavings sealed in a tamper proof sample bottle, in accordance with the *Procedure for Rhino horn DNA Sampling*[2]	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis; age analysis; biomedical research
buccal/cloacal/ mucus/nasal/urinar y tract/rectal swabs	small amounts of tissue or cells on a swab in a tube	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis, including serology; biomedical research

[1] https://www.unodc.org/documents/Wildlife/Guidelines_Ivory.pdf

[2] *Republic of South Africa, Department of Environmental Affairs, Procedures for Rhino horn DNA Sampling*

cell lines and tissue cultures	no limitation of sample size	biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis; age analysis
DNA or RNA (purified)	up to 0.5 ml volumes per individual specimen of purified DNA or RNA	biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis; age analysis
secretions, (saliva, venom, milk, plant secretions)	1-5 ml in vials	production of anti-venom; biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis, including serology; age analysis

Conf. 12.4 (Rev. CoP18)*

CITES与南极海洋生物资源养护委员会关于犬牙鱼贸易的合作

认识到 国际合作对保护某些野生动植物种、防止过度开发及国际贸易可能造成的其他不利影响至关重要；

意识到 海洋对地球生态系统的重要性，及所有国家保护海洋环境及其资源义务；

忆及 公约第十五条第2款 (b)项指出公约秘书处应就海洋物种同那些与这些物种有关的政府间组织进行协商；

认识到 渔业领域的若干组织和区域性协定正在采取一些养护措施，包括对一些需要恢复资源和可持续利用的捕捞鱼种签发来源证书的指南在内的一些保护措施。为保证这些措施能取得成效，所有的国家，包括那些尚未成为这些组织或协定成员或缔约方的国家在内，共同合作并实施这些措施将非常重要。

牢记 南极海洋生物资源养护委员会(CCAMLR)通过了一份行动计划，其中包括预防及消除过度捕捞的措施，及其他一些旨在确保其管制物种的国际贸易公开透明的措施，特别是小鳞犬牙南极鱼和鳞头犬牙南极鱼 (*Dissostichus* spp. 犬牙南极鱼属所有种)，以便贸易不影响渔业的可持续发展及南极海洋生物资源的负责任利用，；

注意到 CCAMLR加强同一些特定组织，及其他任何对该委员会及其下设科学委员会有关南极海洋生态系统保护方面工作予以帮助的组织开展合作；

关注到 非法、不管制及不报告的捕捞活动威胁并危害了一些包括小鳞犬牙南极鱼和鳞头犬牙南极鱼在内的鱼类物种的种群，并**敦促**所有国家配合国际努力，根除非法、不管制及不报告的捕捞活动；

注意到 CCAMLR已经对其所有成员国制定了关于商业开发所有南极海洋生物资源，特别是小鳞犬牙南极鱼和鳞头犬牙南极鱼的条例，以防止捕捞达到过度开发的水平；

进一步**认识到** CCAMLR在其第21次会议(2002年)上敦促CITES缔约方，根据CCAMLAR渔获量单证方案，要求所有犬牙鱼进口提供相应文件，并同意欢迎与CITES开展进一步合作；

进一步**指出**，CCAMLR第37次会议(2018年)为仅从事犬牙南极鱼进出口贸易的CCAMLR非签署缔约方建立了一种机制，通过CCAMLR保护措施10-05附件C第C4段(CCAMLR-XXXVII第3.11段)所定义的管理机制，仅为这些目的寻求永久有限参与CCAMLR渔获量单证方案 (CDS)；

又**认识到** CCAMLR和CITES需要密切合作，既交换有关小鳞犬牙南极鱼和鳞头犬牙南极鱼产品的国际贸易信息，又努力确保这些物种的国际贸易具有最大的合法性、严谨性和透明度；

关注到 CCAMLR所管制物种标本的非法国际贸易破坏了CCAMLR的效力及CITES的原则；

敦促 CITES各缔约方在其力所能及的范围内，采取一切措施，确保悬挂其国旗的渔船不被用来破坏已被CCAMLR采纳或该公约范畴外国家自愿采纳的，在其管辖水域捕捞犬牙鱼的养护措施；

* 在第十八次缔约方大会上修订。

公约缔约方大会

关于犬牙鱼的国际贸易

1. **建议** 关于这些物种，各缔约方采用CCAMLR对犬牙南极鱼使用的犬牙南极鱼捕捞文件，并在这些物种标本进口到本国辖区、从本国辖区出口或经本国辖区过境转运的所有情况下，执行查验要求；
2. 进一步**建议** 未签署CCAMLR，但仅从事犬牙鱼进出口的缔约方，遵守CCAMLR保护措施10-05的规定，并申请有限参与CDS。
3. **鼓励** CITES和CCAMLR秘书处就共同关心的事项保持定期的信息交流，例如渔获量单证方案的进一步完善，与渔获量单证方案有关的参与举措，及关于这些物种非法贸易的任何可用信息;

关于犬牙鱼产品的非法贸易

4. **欢迎** 并对CCAMLR在打击非法的、未管制及不报告的捕鱼活动中所做的工作表示满意，敦促CITES缔约方认真研究小鳞犬牙南极鱼和鳞头犬牙南极鱼标本的贸易问题，特别是其地理来源，并与CCAMLR秘书处，收集这方面资料；
5. **邀请** 所有感兴趣的国家、联合国粮食及农业组织 (FAO)及活跃在这一领域的其他政府间或国际组织通力合作，努力防止这些物种的非法贸易，并将任何相关的信息转交CCAMLR的秘书处；及

关于遵守南极海洋生物资源保护公约

6. **建议** 那些已经从事及尚未从事犬牙鱼捕捞或其产品贸易的缔约方遵守《南极海洋生物资源养护公约》，并在任何情况下自愿配合该公约的养护措施。

Conf. 12.4 (Rev. CoP18)*

Cooperation between CITES and the Commission for the Conservation of Antarctic Marine Living Resources regarding trade in toothfish

RECOGNIZING that international cooperation is essential for the protection of certain species of wild fauna and flora and prevention of overexploitation and other adverse effects that can be caused by international trade;

CONSCIOUS of the importance of oceans for the earth's ecosystem and of the obligation of all States to protect and preserve the marine environment and its resources;

RECALLING that Article XV, paragraph 2 (b), of the Convention, provides that the Secretariat, as regards marine species, shall consult with intergovernmental organizations having a function in relation to those species;

RECOGNIZING that several organizations and regional agreements in the field of fisheries are adopting conservation measures that include guidelines for the certification of the origin of capture for species whose recovery and sustainable use they wish to promote and that for the success of these efforts it is important that all States, including those that are not members of or parties to those organizations or agreements, cooperate with these conservation measures and implement them;

KEEPING IN MIND that the Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR) has adopted an action plan that includes, together with measures for preventing and eliminating excessive fishing, others aimed at ensuring transparency of international trade in the species that it regulates, especially the Patagonian toothfish and Antarctic toothfish (*Dissostichus* spp.) in order that that trade does not affect the sustainable development of fishing nor the responsible use of Antarctic marine living resources;

TAKING NOTE that CCAMLR promotes cooperation with specific organizations and with any other organization that contributes to the work of that Commission and its Scientific Committee in aspects related to the protection of the Antarctic marine ecosystem;

CONCERNED that illicit, unregulated and unreported fishing activities threaten to harm the populations of several fish species, including those of the Patagonian toothfish and Antarctic toothfish, and urging all countries to cooperate with international efforts to eradicate illicit, unregulated and unreported fishing;

TAKING NOTE that CCAMLR has established regulations on commercial exploitation of all Antarctic marine living resources, especially the Patagonian toothfish and Antarctic toothfish, for all member States in order to prevent fishing from reaching levels of overexploitation;

FURTHER NOTING that CCAMLR, at its 21st meeting (2002), urged CITES Parties to require a document under the CCAMLR Catch Documentation Scheme for all toothfish imports as well as agreeing that further cooperation with CITES would be welcome;

FURTHER NOTING that CCAMLR at its 37th meeting (2018) has created a mechanism for Non-Contracting Parties to CCAMLR engaged solely in the trade in *Dissostichus* spp. through imports and exports, to seek permanent limited access to the CCAMLR Catch Document Scheme solely for these purposes through the mechanisms defined in CCAMLR Conservation Measure 10-05 Annex C paragraph C4 (CCAMLR-XXXVII paragraph 3.11);

ALSO RECOGNIZING the need for CCAMLR and CITES to cooperate closely, both for the exchange of information concerning international trade in products of the Patagonian toothfish and Antarctic toothfish, and in their efforts to ensure that international trade in these species is carried out with the utmost legality, rigour and transparency;

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* *Amended at the 18th meeting of the Conference of the Parties.*

CONCERNED that illicit international trade in specimens of species regulated by CCAMLR undermines the effectiveness of CCAMLR and the principles of CITES;

URGING the Parties to CITES to use all measures within their power to ensure that ships flying their flag are not used to undermine conservation measures adopted by CCAMLR or adopted voluntarily outside the scope of that Convention by countries in whose jurisdictional waters specimens of *Dissostichus* spp. are captured;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

With regard to international trade in toothfish

1. RECOMMENDS that, regarding these species, the Parties adopt the *Dissostichus* Catch Document used by CCAMLR for *Dissostichus* spp. and implement requirements for verification in all cases where specimens of these species are introduced into or exported from or transit through the territory under their jurisdiction;

2. FURTHER RECOMMENDS that Parties who are non-contracting Parties to CCAMLR, but that are engaged solely in import and export of toothfish, comply with the provisions of CCAMLR Conservation Measure 10-05 and apply for limited access to the CDS;

3. ENCOURAGES the CITES and CCAMLR Secretariats to maintain a regular flow of information on matters of shared interest such as on further developments of the catch document scheme, engagement initiatives linked to the catch document scheme, and any information available on illicit trade in these species;

With regard to illicit trade in toothfish products

4. WELCOMES WITH SATISFACTION the work of CCAMLR in combating illicit, unregulated and unreported fishing and urges the Parties to CITES to study carefully the question of trade in specimens of Patagonian toothfish and Antarctic toothfish, especially their geographic origin, and to cooperate with the Secretariat of CCAMLR in gathering information in this regard;

5. INVITES all interested countries, the United Nations Food and Agriculture Organization (FAO) and other intergovernmental or international organizations active in this field to cooperate in efforts to prevent illicit trade in these species and transmit any relevant information to the Secretariat of CCAMLR; and

With regard to adhesion to the Convention for the Conservation of Antarctic Marine Living Resources

6. RECOMMENDS to the Parties that capture toothfish or that trade in toothfish products, and which have not yet done so, to adhere to the Convention for the Conservation of Antarctic Marine Living Resources and, in any case, to cooperate voluntarily with its conservation measures.

Conf. 12.5(Rev. CoP18)*

虎及其他附录Ⅰ亚洲大型猫科动物的保护与贸易

忆及 缔约方大会在其第11次会议(吉吉里，2000年)上通过的有关*虎的保护和贸易*的Conf. 11.5号决议；

注意到 虎及其他亚洲大型猫科动物(雪豹*Uncia uncia*、云豹*Neofelis nebulosa*、亚洲分布的所有豹*Panthera pardus*的亚种和亚洲狮*Panthera leo persica*)野外种群受到偷猎及干扰、片段化和破坏所致的栖息地丧失等共同作用的威胁；

认识到 所有虎及其他亚洲大型猫科动物均已列入附录Ⅰ，而且这些物种及其部分和衍生物的商业性国际贸易自1975年就已被公约禁止(亚洲狮和东北虎*Panthera tigris altaica*除外，两者分别于1977年和1987年列入)；

意识到 虎(*Panthera tigris*)的三个亚种已在过去的五十年内灭绝，也关切地注意到，尽管亚洲大型猫科动物已被列入了附录Ⅰ，但对几乎所有这些物种标本的非法贸易日益猖獗，而且进一步危害这些物种在野外的长期生存；

关注到 世界上许多国家仍在继续使用含有虎及其他亚洲大型猫科动物的部分和衍生物的药品和产品，其中一些物种的骨骼也许作为虎骨的代用品而被传统医药体系所使用；

进一步**关注到** 尽管取得了一些进展，虎及其他亚洲大型猫科动物皮张贸易仍在驱动导致野外灭绝的偷猎活动；

注意到 常委会已经号召所有公约缔约方和非缔约方按照要求采取措施，应对虎及其部分和衍生物的非法贸易；

赞扬 某些分布国和消费国采取的旨在应对虎标本非法贸易和推进缔约方之间合作的积极行动，但也**注意到**需要采取措施应对所有附录Ⅰ所列亚洲大型猫科动物标本的非法贸易；

意识到 驱动非法猎杀虎及其他亚洲大型猫科动物和非法贸易其标本的原动力因地而异，有的是为出售活体、部分和衍生物来获取经济利益，有的是为保护生活在亚洲大型猫科动物栖息地的居民，有的则是为防止家畜被捕食或者是因家畜被捕食而进行报复；

认识到 加强分布国和非分布国间的技术合作和财政支持有益于更有效地保护虎及其他亚洲大型猫科动物；

承认 一些分布国和消费国不断增加的政治承诺、财政支持和专家知识，会显著提高对非法猎杀亚洲大型猫科动物的控制力，改善亚洲大型猫科动物部分和衍生物的贸易，并强化对其栖息地的保护；

承认 CITES虎执法任务组取得的进展和2009年召开的第二次CITES执法专家组会议的成果，但也注意到虎保护难题的成因可能与其他亚洲大型猫科动物相近，减少非法贸易虎标本的解决方案同样适用于造福这些物种；

进一步**承认** 全球雪豹及其生态系统保护项目和全球虎论坛成员在回顾威胁有关物种在野外长期生存的因子方面所采取的行动和报告，及为应对这些威胁所建议的措施；

欢迎 国际打击野生动植物犯罪同盟（ICCWC）的建立；

意识到 ICCWC在为国家野生动植物执法机构及每天为保护自然资源而采取行动的次区域

*经第十五、十六、十七和十八次缔约方大会修订

和区域网络提供协调支持方面的重要作用；

鼓励 所有利益相关方关注2012年2月14日在泰国曼谷召开的“ICCWC警察和海关领导人关于虎犯罪研讨会”的最终报告；

关注到 以保护虎及其他亚洲大型猫科动物为目标所采取措施的定期详尽报告未能提交，已阻碍对所采取措施有效性开展充分评估；

还**认识到** 要长期解决虎和其他亚洲大型猫科动物及其栖息地的保护、保育和管理问题，必须基于充分的信息采取大胆、创新的行动；

忆及 在Conf. 9.6(Rev. CoP16)号关于可辨认部分和衍生物贸易决议中对术语“关于可辨认部分和衍生物”给出的解释；

也忆及 Conf. 17.4号打击CITES所列物种非法贸易的减少需求战略决议敦促有非法贸易野生动植物制品重要市场的缔约方，通过减少需求运动来制定战略以降低对非法贸易野生动物和植物制品的需求，如合适，加强相关政策、立法、执法，并强调，缔约方为亚洲大型猫科动物制定上述计划的重要性；

公约缔约方大会

1．敦促：

a) 所有缔约方和非缔约方，特别是亚洲大型猫科动物的分布国和消费国，制定全面的法规，或者在适用的情况下回顾现有法规，以确保有遏制力的处罚条款，并且能应对非法贸易或非法持有，对象是通过非法贸易所获的本土和非本土亚洲大型猫科动物标本及标识，或者声称含有亚洲大型猫科动物标本的制品；

b) 所有缔约方要采取严格执法控制措施，并且要在应对亚洲大型猫科动物标本非法贸易及任何相关的其他大型猫科动物标本非法贸易时要保持警惕；

c) 司法管辖区内存在会导致偷猎和非法贸易的虎及其他亚洲大型猫科动物标本国内市场的所有缔约方，采取一切必要的立法、管制、执法措施以关闭其虎及其他亚洲大型猫科动物标本商业贸易的国内市场；

d) 所有缔约方，尤其是分布国和消费国，应引入创新的执法方法，例如反洗钱手段、法庭分析技术、情报引领执法及与互联网公司和运输公司合作，优先在关键边境地区强化执法工作，并建立或者强化地区执法网络；

e) 所有分布国和其他相关国家实行亚洲大型猫科动物非法贸易信息记录制度，如果适宜，分享相关信息以确保开展协同的调查和执法；

f) 所有分布国应寻求确保执法部门和人员在反偷猎行动、获取和使用情报、确定违法者、野生动植物犯罪调查技术、采集证据、部门间联系与合作、移交起诉案件准备工作等方面获得相应的有效支持；

g) 各缔约方向分布国提供财政和技术援助，以增强执行本决议的能力，加强能力建设，改善保护措施和可持续生计，从而为保护亚洲大型猫科动物做出贡献；

h) 在其境内存有圈养虎及其他亚洲大型猫科动物设施的缔约方和非缔约方，确保相关管理和控制措施到位并严格执行，包括处置圈养大型猫科动物死体、防止部分和衍生物从这些设施或通过这些设施进入非法贸易渠道；

i) 在其境内有公约前所获标本之外的虎及其他亚洲大型猫科动物部分和衍生物库存

(如虎骨库存)的缔约方和非缔约方，应巩固和确保对上述库存的充分控制，如果可能的话，将其销毁，用作教育和科研的除外；

j) 虎及其他亚洲大型猫科动物的分布国和非分布国，支持和参与国际保护项目，例如全球虎论坛、全球雪豹及其生态系统保护项目、全球虎倡议议会等；

k) 所有尚未加入公约的分布国和消费国尽快加入公约，以改善对虎及其他亚洲大型猫科动物部分和衍生物国际贸易的控制；及

l) 所有在其境内查获虎皮的缔约方，在可能情况下，查获虎皮的图像分享给拥有虎图像鉴别数据库和具有通过虎皮鉴别虎能力的分布国的国家联络点或其他机构，以鉴定非法标本的来源。在拍摄图像时需要将虎皮摊平，从虎皮上方拍摄。对于虎皮未被剥去的虎完整尸体查获情况，则应从尸体两侧拍摄图像。

2．指示 秘书处：

a) 利用分布国提交的执行本决议和相关决定所采取措施的信息及相关国家提交的其他额外信息，由秘书处向常委会和缔约方大会报告亚洲大型猫科动物在野外、受保护及各缔约方现行贸易控制措施等方面的状况；并

b) 与ICCWC伙伴合作，推动执法机构提高对于非法贸易亚洲大型猫科动物严重性质和巨大影响的意识，在与这些物种相关的犯罪侦查、调查和起诉中，改善合作与多学科手段；

3．建议：

a) 虎及其他亚洲大型猫科动物的分布国确保设立反偷猎队伍和执法机构，为其打击非法猎杀和非法贸易亚洲大型猫科动物提供充足经费，并确保相关执法部门之间可以共享打击非法杀害和贸易的情报；

b) 虎及其他亚洲大型猫科动物的分布国应面向城市和乡村社区及其他目标人群，就亚洲大型猫科动物及其猎物和栖息地的生态、文化重要性和对生态旅游的重要性，开展适当的教育和意识提升运动；

c) 所有分布国和消费国，应采取措施，提高本国执法、检察和司法机构对野生动植物犯罪和非法野生动植物贸易的认识；

d) 虎及其他亚洲大型猫科动物分布国和消费国的执法机构做出双边和多边合作安排，尤其在管理共有物种和拥有共同边界的保护区等方面，以强化对亚洲大型猫科动物标本非法国际贸易的控制；

e) 在秘书处的技术支持下，如果可能，在感兴趣的政府和组织的财政支持下，缔约方和非缔约方召开与亚洲大型猫科动物及其部分和衍生物非法跨境转移有关的执法需求地区性研讨会，包括对活体、部分和衍生物的贸易规模、走私路线、方法及最终消费市场等内容进行研讨；及

f) 亚洲大型猫科动物分布国，如合适的话，研究以检视非法杀害亚洲大型猫科动物背后的动机，提出应对此类不良动机的适当措施；

4．要求：

a) 拥有相关经验的国家和组织鼓励和支持分布国和消费国作为紧急事项开发实用鉴别手册，以帮助检测和准确识别亚洲大型猫科动物部分和衍生物；及

b) 鉴于生物学和分布数据对履行本公约至关重要，捐赠国通过资助基础设施建设和提供关于计算机数据库和图谱开发及任何其他必要保护管理技术的专家知识，来提供帮助；

5. 建议 虎及其他亚洲大型猫科动物标本消费国：

a) 与传统医药社区和业界，共同制定和执行逐步减少并最终消除利用亚洲大型猫科动物部分和衍生物的战略；

b) 在必要和适宜的情况下，将附录 I 所列亚洲大型猫科动物的部分和衍生物从官方药典中剔除，并纳入不会危害其他野生物种的可接受的替代产品。除此之外，还应对制药界和用药人群引入教育项目，旨在消除使用附录 I 所列亚洲大型猫科动物衍生物和推动接受适当替代产品；及

c) 开展适当的教育和意识提升运动，消除非法贸易及非法利用亚洲大型猫科动物皮张，包括作为纪念物、装饰品、服装或用于生产其他物品等形式；

6. 号召 所有政府和政府间组织、国际援助机构和非政府组织，作为紧急事项，提供资金和其他援助，以制止对亚洲大型猫科动物标本的非法贸易，并确保亚洲大型猫科动物在野外的长期存续；并

7. 废除 Conf. 11.5号决议(吉吉里，2000)) – 虎的保护和贸易。

Conf. 12.5

(Rev. CoP18)

Conservation of and trade in tigers and other Appendix-I Asian big cat species

RECALLING Resolution Conf. 11.5, adopted by the Conference of the Parties at its 11th meeting (Gigiri, 2000), relating to *Conservation of and trade in tigers*;

NOTING that wild populations of tigers and other Asian big cat species (snow leopard, *Uncia uncia*, clouded leopard, *Neofelis nebulosa*, all subspecies of leopard *Panthera pardus* within its Asian range, and Asiatic lion, *Panthera leo persica*) are threatened by the combined effects of poaching and habitat loss caused by disturbance, fragmentation and destruction;

AWARE that all tigers and other Asian big cat species are included in Appendix I, and that commercial international trade in Asian big cat species and their parts and derivatives has been prohibited by the Convention since 1975 (with the exception of the Asiatic lion and the Amur tiger *Panthera tigris altaica*, which were included in 1977 and 1987, respectively);

CONSCIOUS that three subspecies of tiger, *Panthera tigris*, have become extinct within the last 50 years and NOTING with concern that, despite inclusion of Asian big cat species in Appendix I, illegal trade in specimens of nearly all these species has escalated and further threatens their long-term survival in the wild;

CONCERNED that the use of medicines and products containing parts and derivatives from the tiger and other Asian big cat species continues in many countries around the world and that the bones of some of these species may be used in traditional medicine systems as a substitute for tiger bone;

CONCERNED further that, despite some improvements, trade in skins from the tiger and other Asian big cat species continues to fuel poaching that could lead to extinction in the wild;

NOTING that the Standing Committee has called upon all Parties and non-Parties to the Convention to take such measures as are required to halt the illegal trade in tigers and tiger parts and derivatives;

COMMENDING the positive actions taken by some range and consumer States to address the illegal trade in tiger specimens and to facilitate cooperation with other Parties, but NOTING that measures are required to address illegal trade in specimens of all Appendix-I Asian big cat species;

CONSCIOUS that the driving forces behind the illegal killing of tigers and other Asian big cats and the illegal trade in specimens thereof vary from region to region and may include financial gain from the sale of live specimens, parts and derivatives, protection of people living in Asian big cat habitats and protection against or response to the predation of livestock;

RECOGNIZING that strengthened technical cooperation between range and non-range States and financial support, would contribute to more effective conservation of tigers and other Asian big cat species;

ACKNOWLEDGING that increased political commitment, financial resources and expertise in some range and consumer States will significantly improve control of the illegal killing of Asian big cat species, trade in their parts and derivatives and protection of their habitats;

ACKNOWLEDGING the progress made through the CITES Tiger Enforcement Task Force, and the results of the second CITES Enforcement Experts Group meeting in 2009, and NOTING that the causes of conservation problems could be relevant to other Asian big cat species and that the solutions to reduce illegal trade in tiger specimens could be applied to benefit these species;

ACKNOWLEDGING further the actions and reports of members of the Global Snow Leopard and Ecosystem Protection Programme and of the Global Tiger Forum in reviewing the threats to the long- term survival of the species in the wild and the recommended measures to address those threats;

WELCOMING the establishment of the International Consortium on Combating Wildlife Crime (ICCWC);

Amended at the 15th, 16th, 17th and 18th meetings of the Conference of the Parties.

AWARE of the important role of ICCWC in bringing coordinated support to the national wildlife law enforcement agencies and to the subregional and regional networks that, on a daily basis, act in defence of natural resources;

ENCOURAGING all stakeholders to take note of the final report of the ICCWC Seminar on Tiger Crime for Heads of Police and Customs, held on 14 February 2012 in Bangkok, Thailand;

CONCERNED that the failure to provide regular detailed reports on progress in implementing measures aimed at conserving tigers and other Appendix-I Asian big cats has prevented adequate assessment of the effectiveness of the measures taken;

RECOGNIZING also that long-term solutions to the protection, conservation and management of tigers and other Asian big cat species and their habitats requires the adoption of bold and innovative actions based on a sound base of information;

RECALLING the interpretation of the term "readily recognizable part or derivative'" as provided for in Resolution Conf. 9.6 (Rev. CoP16) on *Trade in readily recognizable parts and derivatives*; and

RECALLING also that Resolution Conf. 17.4 on *Demand reduction strategies to combat illegal trade in CITES-listed species* urges Parties where there is a significant market for illegally traded wildlife products to develop strategies to reduce the demand for illegal products of wild animals and plants through demand reduction campaigns and to enhance, as appropriate, policy, legislation and law enforcement in this regard, and EMPHASIZING the importance for Parties to develop such plans for Asian big cats;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. URGES:

   a) all Parties and non-Parties, especially range and consumer States of Asian big cat species, to adopt comprehensive legislation or, where applicable, review existing legislation to ensure that there are provisions for deterrent penalties and that it addresses illegal trade in and/or possession of illegally traded specimens of native and non-native Asian big cat species as well as products labelled as, or claiming to contain specimens of native and non-native Asian big cat species;

   b) all Parties to apply strict enforcement controls and to be vigilant in addressing illegal trade in Asian big cat specimens and any associated illegal trade in specimens of other big cat species;

   c) all Parties in whose jurisdiction there is a legal domestic market for specimens of tiger and other Asian big cats species that is contributing to poaching or illegal trade, take all necessary legislative, regulatory and enforcement measures to close their domestic markets for commercial trade in tiger and other Asian big cat specimens;

   d) all Parties, especially range and consumer States, to introduce innovative enforcement methods, for example anti-money laundering approaches, forensic analytical techniques, intelligence-led enforcement and working with internet and transportation companies, and, as a matter of priority, strengthen enforcement efforts in key border regions, and develop or improve implementation of regional enforcement networks;

   e) all range States and other relevant Parties to implement systems for the recording of information relating to illegal trade in Asian big cats and to share this information as appropriate to ensure coordinated investigations and enforcement;

   f) all range States shall seek to ensure enforcement units and personnel receive relevant and effective support in anti-poaching operations; the gathering and use of intelligence; targeting offenders; wildlife crime investigative techniques; collecting evidence; inter-agency liaison and cooperation; and preparing cases for prosecution;

   g) Parties to contribute financial and technical assistance to enable range States to comply with the implementation of this Resolution and enhance capacity building, improvement of conservation measures and sustainable livelihoods, so as to contribute towards the conservation of Asian big cats;

   h) those Parties and non-Parties in whose territories there are facilities keeping tigers and other Asian big cat species in captivity to ensure that adequate management practices and controls

are in place and strictly implemented, including for the disposal of Asian big cats that die in captivity, to prevent parts and derivatives from entering illegal trade from or through such facilities;

i) those Parties and non-Parties on whose territories there exist stocks of parts and derivatives of tiger and other Asian big cat species (such as tiger bone stocks), but not including pre- Convention specimens, to consolidate and ensure adequate control of such stocks, and where possible destroy the same, with the exception of those used for educational and scientific purposes;

j) range and non-range States of the tiger and other Asian big cat species to support and participate in international conservation programmes, such as the Global Tiger Forum and the Global Snow Leopard and Ecosystem Protection Programme and the Global Tiger Initiative Council;

k) all range and consumer States that are not party to CITES to accede to the Convention at the earliest possible date in order to improve control of international trade in parts and derivatives of tiger and other Asian big cat species; and

l) all Parties that make seizures of tiger skins within their territories, when possible, to share images of the seized tiger skins with the national focal points or agencies in tiger range States, which have photographic identification databases for tigers, and the capacity to identify tigers from photographs of tiger skins, so as to identify the origin of illegal specimens. The images should be taken from above with the skin spread. In the case of whole tiger carcasses seized with the skin intact, images should be taken of both sides of the carcass;

2. INSTRUCTS the Secretariat to:

a) report to the Standing Committee and the Conference of the Parties on the status of Asian big cats in the wild, their conservation, and trade controls in place in Parties, using information provided by the range States on measures taken to comply with this Resolution and related relevant Decisions and any relevant additional information provided by relevant countries; and

b) work with ICCWC partners to promote increased awareness amongst the law enforcement community of the serious nature and impact of illegal trade in Asian big cat species, and to improve cooperation and a multidisciplinary approach in the detection, investigation and prosecution of crimes related to these species;

3. RECOMMENDS that:

a) the range States of the tiger and other Asian big cat species ensure that anti-poaching teams and enforcement units are established and effectively resourced to counter the illegal killing of and trade in Asian big cat species, and that intelligence is shared between relevant enforcement agencies to counter illegal killing and trade;

b) range States of the tiger and other Asian big cat species carry out appropriate education and awareness campaigns directed at urban and rural communities and other targeted groups, on the ecological and cultural significance and the significance for ecotourism of Asian big cats, their prey and habitats;

c) all range and consumer States take measures to increase awareness of wildlife crime and illicit wildlife trade among their enforcement, prosecution and judicial authorities;

d) the enforcement agencies in range and consumer States of the tiger and other Asian big cat species establish cooperative bilateral and multilateral arrangements, especially for the management of shared wildlife species and protected habitats with common boundaries, in order to achieve more effective control of illegal international trade in specimens of Asian big cat species;

e) Parties and non-Parties convene regional workshops on law enforcement needs associated with illegal cross-border movement of specimens of Asian big cat species, including the extent of the trade, smuggling routes, methods and final consumer markets for live specimens and parts and derivatives, with technical assistance from the CITES Secretariat and, where available, financial support from interested governments and organizations; and

f) the range States of Asian big cat species conduct, where appropriate, studies to examine the motivation behind the illegal killing of these species and to recommend appropriate measures to address such motivation;

4. REQUESTS:

   a) countries and organizations with the relevant expertise to encourage and support range and consumer States, as a matter of urgency, in the development of practical identification manuals to aid the detection and accurate identification of parts and derivatives of Asian big cats; and

   b) that, since biological and distribution data are essential for the implementation of the Convention, donor nations assist in funding the infrastructure and the provision of expertise to develop computer databases and mapping as well as any other necessary conservation management techniques;

5. RECOMMENDS that the consumer States of specimens from the tiger and other Asian big cat species:

   a) work with traditional medicine communities and industries to develop and implement strategies for gradually reducing and eventually eliminating the use of Asian big cat parts and derivatives;

   b) where necessary and appropriate, remove references to parts and derivatives of Appendix-I Asian big cats from the official pharmacopoeia and include acceptable substitute products that do not endanger other wild species, and introduce programmes to educate the industry and user groups in order to eliminate the use of substances derived from Appendix-I Asian big cats and promote the adoption of appropriate alternatives; and

   c) carry out appropriate education and awareness campaigns to eliminate illegal trade in and use of Asian big cat skins as trophies, ornaments and items of clothing or for the production of other materials;

6. CALLS UPON all governments and intergovernmental organizations, international aid agencies, and non-governmental organizations to provide, as a matter of urgency, funds and other assistance to stop illegal trade in specimens of Asian big cat species, and to ensure the long-term survival of the Asian big cat species in the wild; and

7. REPEALS Resolution Conf. 11.5 (Gigiri, 2000) – *Conservation of and trade in tigers*.

Conf. 12.6 (Rev. CoP18)*

鲨鱼的养护和管理**

认识到 许多鲨鱼因其成熟晚、寿命长、生育力低，特别易受到过度开发的威胁；

认识到 存在着鲨鱼及其产品的大宗国际贸易；

认识到 不管制和不报告的贸易是许多鲨鱼不可持续捕捞的重要原因；

认识到 所有国家在鱼类资源养护保护和管理方面有直接或通过适当的区域或地区组织开展合作的责任；

忆及 许多鲨鱼物种已被列入附录Ⅰ或者附录Ⅱ；

注意到 实施CITES对鲨鱼贸易的贸易管制的复杂性，但在执行鲨鱼和鳐类清单方面也取得了显著成功；

忆及 按照公约的有关规定，只有在合法获得的，不危害该物种在野外生存和适当报告的情况下，才允许进行CITES所列鲨鱼及其部分和衍生物的国际贸易；

考虑到 需要解决突出、执行问题的挑战，使能确保按照公约的要求管理公约所列鲨鱼及其部分和衍生物的国际贸易；

欢迎 为公约所列鲨鱼物种贸易开展非致危性判定(NDFs)的一些指南和示例；

认识到 联合国粮食及农业组织 (FAO)在1999年准备了《国际鲨鱼养护管理行动计划》(IPOA-sharks)，及FAO的渔业委员会(COFI)鼓励所有国家，不论其渔船直接捕捞或定期从间接捕捞中获得鲨鱼，都制定《国家鲨鱼养护管理行动计划》(NPOA-Sharks)；

注意到 《国家鲨鱼养护管理行动计划》 (NPOA-Sharks)制定和实施进展缓慢；

考虑到 尽管有些国家已完成了综合性鲨鱼评估报告和《国家鲨鱼养护管理行动计划》(NPOA-Sharks)，但通过《国际鲨鱼养护管理行动计划》(IPOA-sharks)来促进鲨鱼保护的工作没有取得足够的进展；并

欢迎 FAO《关于防止，制止和消除非法，不报告和不管制捕鱼的港口国措施的协定》于2016年生效，并确认其为依据公约要求对附录鲨鱼和鳐的管理具有重要的作用，

公约缔约方大会

1. **指示** 秘书处与粮农组织、区域性渔业管理组织(RFMO)和区域渔业机构(RFB)，《保护迁徙野生动物物种公约》(CMS)及其他有关国际组织保持密切合作，使能更好的协调和协同对公约附录鲨鱼物种的管理；
2. **鼓励** 秘书处和各缔约方继续协助发展中国家，为其开展公约附录鲨鱼和鳐的管理，提供资金和技术方面的能力建设；
3. **鼓励** 缔约方改进数据收集和报告(在可能的情况下，按物种和渔具类型)，采取措施对鲨鱼物种进行管理和养护，并通过国内、双边、区域渔业管理组织或其他国际措施加强这些行动的实施；
4. **敦促** 对还没有开展上述工作的鲨鱼捕捞缔约方，应尽早制订NDFs和NPOA，或在没

*经第十五、十六、十七和十八次缔约方大会修订

** 就本决议而言，术语“鲨类”与联合国粮农组织（FAO）国际鲨类保护管理行动计划(IPOA-Sharks)相一致，包括鲨、鳐和银鲛。

有足够信息的情况下，首先采取措施在种的水平上围绕渔业和贸易，改善物种研究和数据收集，其目的是制订NPOA和开展NDFS，并建立鲨鱼和鳐种群采集状况的长期的数据；

5. **邀请** 从事对共享鲨鱼种群进行定向或非定向鲨鱼捕捞的缔约方，通过区域渔业管理组织，区域渔业机构或其他区域合作组织(如存在)收集和共享有关捕捞努力、捕捞量、活体释放量、丢弃量、上岸量和贸易量(在可能的情况下依种和渔具)的数据，达到物种水平和按装备类型区分)，并为研究和制订这些共享种群的NDFs的科学机构提供上述数据；

6. **鼓励** 相关国际组织(如RFMO，RFB或CMS)的成员国或缔约方在适当情况下改善各自国家关注点之间的协调，并通过这些国际组织各自的机制加强研究、培训和数据收集并改进与CITES相关措施活动的协调；

7. 进一步**鼓励** 缔约方分享国内更严格的有关鲨鱼渔业和贸易的措施信息，特别是零出口限额限额或贸易禁令；

8. **要求** 缔约方管理机构与其国内的海关合作，扩大现有货物分类系统，以收集和报告鲨鱼贸易的详细数据，如果可能，区别肉、软骨、皮和鳍的加工与非加工产品，并区别进口、出口和再出口，及在鱼鳍产品中划分干鳍、湿鳍、加工鳍和未加工鳍等。如果可能，这些数据应区分不同物种。

9. **指示** 秘书处跟踪世界海关组织有关海关数据模型的讨论，增加能够在种的水平上报告鲨鱼贸易的数据项，并就任何重大进展向缔约方发出通报；

10. **鼓励** 缔约方与粮农组织(FAO)和区域性渔业管理组织(RFMOs)密切合作，开展或促进持续性研究，以提高对对非法、不报告和不管制(IUU)渔业性质的理解，找出鲨鱼鳍、肉的国际贸易与IUU渔业之间的联系。

11. 进一步**鼓励** 缔约方、政府间组织和非政府组织开发尚不存在的有效且低成本的工具和系统，以确保在捕获/上岸的第一时间就能准确识别鲨鱼物种，尤其是CITES附录物种；鼓励开展对鲨鱼所有产品的贸易进行研究；

12. **邀请** 各缔约方通过秘书处分享CITES附录鲨鱼物种的管理经验，，特别是非致危性判定、合法来源判定和可追溯管理方面的经验；

13. **指示** 动物委员会定期审查分布国提供的有关附录鲨 鱼的履约及其他相关数据和信息；

14. **指示** 动物委员会在必要时提出针对特定物种的建议，以改善鲨鱼的养护状况及附录鲨和鳐的履约状况；

15. **指示** 常务委员会就与鲨鱼列入附录有关的管理事宜提出指引，包括但不限于合法获得，可追溯性和执行问题；及

16. **指示** 动物委员会和常委会在适当时向缔约方大会报告鲨鱼和鳐类活动的进展情况。

Conf. 12.6 (Rev. CoP18) Conservation and management of sharks†

RECOGNIZING that many sharks are particularly vulnerable to overexploitation owing to their late maturity, longevity and low fecundity;

RECOGNIZING that there is a significant international trade in sharks and their products;

RECOGNIZING that unregulated and unreported trade is contributing to unsustainable fishing of a number of shark species;

RECOGNIZING the duty of all States to cooperate, either directly or through appropriate sub-regional or regional organizations in the conservation and management of fisheries resources;

RECALLING that a number of shark species are included in Appendices I and II;

NOTING the complexity of the implementation of CITES trade controls for shark trade, but also the notable successes in the implementation of the shark and ray listings;

RECALLING that in accordance with the relevant provisions of the Convention, international trade in CITES-listed sharks and their parts and derivatives shall only take place if it is legally acquired, non- detrimental to the survival of the species in the wild and properly reported;

CONCERNED that outstanding implementation challenges need to be addressed to ensure that international trade in CITES-listed sharks and their parts and derivatives is conducted and managed in accordance with the provisions of the Convention;

WELCOMING the availability of several guidelines and examples for the making of non-detriment findings (NDFs) for trade in CITES-listed sharks;

RECOGNIZING that the International Plan of Action on the Conservation and Management of Sharks (IPOA-sharks) was prepared by the Food and Agriculture Organization of the United Nations (FAO) in 1999 and that all States whose vessels conduct directed fisheries or regularly take sharks in non- directed fisheries are encouraged by FAO's Committee on Fisheries (COFI) to adopt a National Plan of Action for the Conservation and Management of Shark Stocks (NPOA-Sharks);

NOTING that there has been slow progress with the development and implementation of NPOAs;

CONCERNED that insufficient progress has been made in achieving shark management through the implementation of IPOA-Sharks except in States where comprehensive shark assessment reports and NPOA-Sharks have been developed; and

WELCOMING the entry into force of the FAO Agreement on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing in 2016 and recognizing the value it offers to improve compliance with CITES provisions for listed shark and ray species;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. INSTRUCTS the Secretariat to maintain close collaboration with FAO, Regional Fisheries Management Organizations (RFMOs) and Regional Fisheries Bodies (RFBs), the Convention on the Conservation of Migratory Species of Wild Animals (CMS) and other relevant international organizations to improve coordination and synergies in the implementation of CITES provisions for CITES-listed shark species;
2. ENCOURAGES the Secretariat and Parties to continue to assist in building financial and technical capacity in developing countries for shark and ray activities under CITES;
3. ENCOURAGES Parties to improve data collection and reporting (where possible by species and gear type), adopt management and conservation measures for shark species, and enhance

Amended at the 15th, 16th, 17th and 18th meetings of the Conference of the Parties.

† *For the purposes of this Resolution, the term "shark" is taken to include all species of sharks, skates, rays and chimaeras, in alignment with the Food and Agriculture Organization (FAO)* International Plan of Action for the Conservation and Management of Sharks *(IPOA-Sharks).*

implementation and enforcement of these actions through domestic, bilateral, RFMOs or other international measures;

4. URGES Parties that are shark fishing States, that have not yet done so, to develop NDFs, as well as an NPOA, at the earliest opportunity or, when insufficient information is available, take steps to improve research and data collection at the species level on both fisheries and trade as a first step towards developing an NPOA Sharks and making NDFs, with a view to establishing long-term data collection on the status of shark and ray stocks;

5. INVITES Parties that engage in directed or non-directed shark fishing activities of shared stocks to collect and share, on a regional basis such as through RFMOs, RFBs or other regional collaborations, where they exist, data on effort, catches, live releases, discards, landings and trade (to species level and by gear type where possible), and make this information available to assist Scientific Authorities in the making of NDFs of such shared stocks;

6. ENCOURAGES Parties that are members of or Parties to other relevant international instruments, such as RFMOs, RFBs or CMS, to improve coordination between the respective national focal points, where appropriate, and work through the respective mechanisms of these instruments to strengthen research, training and data collection and improve coordination with activities under CITES;

7. FURTHER ENCOURAGES Parties to share information about stricter domestic measures pertaining to shark fisheries and trade, in particular zero export quotas or trade bans;

8. REQUESTS Management Authorities to collaborate with their national customs authorities to expand their current classification system to allow for the collection and reporting of detailed data on shark trade including, where possible, separate categories for processed and unprocessed products, for meat, cartilage, skin and fins, and to distinguish imports, exports and re-exports and between shark fin products that are dried, wet, processed and unprocessed fins. Wherever possible, these data should be species-specific;

9. INSTRUCTS the Secretariat to monitor discussions within the World Customs Organization regarding the development of a customs data model, and the inclusion therein of a data field to report trade in sharks at species level, and to issue Notifications to the Parties concerning any significant developments;

10. ENCOURAGES Parties, in close cooperation with FAO, RFBs and RFMOs, to undertake or facilitate continued research to improve understanding of the nature of illegal, unreported and unregulated (IUU) fishing concerning sharks, identify the linkages between international trade in shark fins and meat, and IUU fishing;

11. FURTHER ENCOURAGES Parties, intergovernmental and non-governmental bodies to develop robust, low-cost tools and systems, where not already existing, to ensure that shark species, in particular CITES-listed species, are identified accurately at the first point of capture/landing, and undertake studies of trade in all shark products;

12. INVITES Parties to share through the Secretariat their experiences in implementing CITES provisions for listed shark species, in particular NDFs, legal acquisition findings and traceability systems;

13. DIRECTS the Animals Committee to periodically examine new information provided by range States on the implementation of the shark listings and other available relevant data and information;

14. DIRECTS the Animals Committee to make species-specific recommendations, if necessary, on improving the conservation status of sharks and implementation of shark and ray listings;

15. DIRECTS the Standing Committee to provide guidance on regulatory matters in connection to the implementation of the shark listings, including but not limited to the determination of legal acquisition, traceability and enforcement issues, as appropriate; and

16. DIRECTS the Animals Committee and Standing Committee to report progress on shark and ray activities at the meetings of the Conference of the Parties, as appropriate.

Conf. 12.7 (Rev. CoP17)*

鲟鳇鱼的养护和贸易

忆及 在第十次缔约方大会（哈拉雷，1997)通过并经第十一次缔约方大会（吉吉里，2000)修订的Conf. 10.12 (Rev.)号决议，及在第十一次缔约方大会通过的Conf. 11.13号决议；

意识到 鲟鳇鱼 (鲟形目)作为一种有价值的可再生生物资源和经济资源，近年来已受到一些负面因素如盗捕和非法贸易、水流的调节、天然产卵场减少的影响；

注意到 进一步科学研究的必要性，以及作为可持续渔业管理的基础，科学监测种群状况和了解其遗传结构的重要性；

考虑到 一些鲟鳇鱼的分布国可能需要资金和技术支持，致力于养护、生境保护和打击非法捕捞和贸易；

忆及 公约第六条第 7 款提出，可以对附录所列物种的标本进行标记来协助鉴定，；

考虑到 对贸易中的所有鱼子酱进行标记是实现对鲟鳇鱼标本贸易有效管制的重要手段；

注意到 为帮助各缔约方鉴定合法贸易的鱼子酱，标记应该标准化。标签的专门设计是基本的，应受到广泛使用，同时要考虑现行的标记系统和预期的技术进步；

考虑到 来自水产养殖业的鱼子酱生产在全世界范围内稳步增长，管理机构和执法机构应特别关注其国内的鲟鱼水产养殖设施的发展；

认识到 圈养的鲟鳇鱼生产可能减缓对野外种群的压力；

意识到 有必要加强监测与初次出口相关的再出口，以及与年度出口限额相关的出口量；

认识到 缔约方在签发出口许可证、再出口证明书或设立出口限额时，应考虑国内市场和非法贸易情况；及

认识到 为来自共有鱼群的鲟鳇鱼标本设立出口限额需要透明度；

公约缔约方大会

1. **敦促** 鲟形目 Acipenseriformes 物种的分布国：
   a) 通过适当的管理计划，鼓励开展科学研究并确保对种群[1]状况进行监测，促进鲟鳇鱼渔业的可持续；
   b) 与 CITES 秘书处、国际刑警组织 ICPO-INTERPOL 和世界海关组织密切合作，以加强执行现有关于控制捕捞和出口的各种立法并改进法律条款，减少鲟鳇鱼标本的非法捕捞和贸易；
   c) 开创渠道以促进所有与这些物种的保护和可持续利用计划有关的机构的代表参与；及
   d) 促进鲟鳇鱼分布国间达成旨在促进鲟鳇鱼的适当管理和可持续利用的地区协议；
2. **建议** 就规范鲟鳇鱼产品的贸易：

*经第十三、十四、十六和十七次缔约方大会修订。
[1]本决议中的“stock”与“population”同义为种群。

a) 每个进口国、出口国和再出口国，应在与国内法律一致的条件下，为其境内生产鱼子酱的设施，包括加工和包装鱼子酱的水产养殖公司，及分装鱼子酱的设施建立一套注册系统，向秘书处提交这些工厂的名单及其官方注册号，并明确表述其为加工厂还是分装厂。在与国家注册系统一致的前提下，缔约方应加在“加工和包装机构”的注册数字前加“P”，在“分装机构”的注册数字前加“R”。在适当情况下，在自愿基础上，缔约方应在其加工鱼子酱的水产养殖厂通知中，包含各个加工厂所使用的鲟鳇鱼物种名。如该注册名单出现变化，应更新名单并及时通知秘书处。秘书处应将这些信息纳入 CITES 网站的注册名单中；

b) 进口国要特别注意控制有关鲟鳇鱼标本贸易的各个方面，包括鲟鳇鱼标本的卸货、转运、分装、再标记和再出口；

c) 缔约方对其海关免税区和免税港口，及航空和海运航线配餐上的鲟鳇鱼标本的储藏、加工和分装进行监测；

d) 缔约方确保其所有相关部门进行合作，建立执行公约关于鲟鳇鱼条款的必要的行政、管理、科研和控制机制；

e) 缔约方考虑使其国家立法在个人鱼子酱豁免方面能与公约第七条第 3 款关于个人财产豁免的规定保持一致，并考虑将这种豁免限制在每人不超过 125 克；

f) 所有从受出口限额限制的共同鲟鳇鱼种群所获鱼子酱，必须在它被捕获和加工的限额年度(3 月 1 日至次年 2 月的最后一天)出口。出于这一目的，这类鱼子酱出口许可证的有效期最长不得超过该限额年度的最后一天。缔约方不应进口在前一限额年度内收获或加工的鱼子酱；

g) 进行再出口的鱼子酱，原始出口许可证有效期最长为 18 个月；出于这一目的，超过 18 个月后签发的再出口许可证将不再有效；

h) 如果可行，缔约方对鱼子酱使用全部 8 位海关编码，取代不够精确的同时包含其他鱼类鱼子的 6 位编码；

i) 缔约方执行附件 1 和附件 2 的鱼子酱通用标记系统，进口方在满足这些规定的条件下，才接受这些鱼子酱装运，无论是商业还是非商业目的，或者符合个人和家庭财产的豁免条件；及

j) 除配制鱼子酱外，来自不同鲟鳇鱼物种的鱼子酱不能混装在一个初级容器内；

3. 针对捕捞和出口限额进一步**建议**[2]：

a) 缔约方不接受列入本决议附件 3 的不同分布国[3]共同拥有种群的鲟鳇鱼物种的鱼子酱和肉的进口，除非根据以下程序设立了出口限额：

i) 分布国已经制定了该限额年度的鲟鳇鱼物种鱼子酱和肉的出口限额，限额年度始自 3 月 1 日，终于次年 2 月的最后一天；

ii) 上述第 i) 条的出口限额应基于相关物种适当的地区性管理策略和监控体系的捕捞限额而设定，且不会危害该物种野外种群的生存；

[2]第十三次缔约方大会同意，不将本建议用于那些没有共有鱼群的鱼子酱商业性捕捞和出口的分布国。但同时又同意，一旦这类鱼群的鲟鳇鱼产品捕获或出口有任何重要变化，秘书处或任一缔约方可请常委会或缔约方大会予以关注。

[3]不需要为来自国内鱼群的标本建立限额，例如，不与其他国家共有的鱼群，及人工繁育或水产养殖单位的鱼群。为这类标本公布的限额是自愿的。

iii)上述第 i) 和 ii)条的捕捞和出口限额，应得到为鲟鳇鱼物种的同一种群提供栖息地的所有缔约方的同意。不过，当某一种群为两个以上国家所共有，且其中一国拒绝参加或未能参加依据所有这些国家同意的决定召集的关于共有种群限额协定的会议时，其余分布国可以同意关于共有种群的总限额和各国具体限额。这种情况必须经双方书面向秘书处证实，并告知缔约方。未参加协商的国家只有在通知秘书处其接受有关限额，且秘书处通报各缔约方之后，才能在其获分配的限额范围内出口鱼子酱和肉。如果拒绝参加或未能参加上述程序的缔约方多于一个，则不能设定该共有种群的总限额和各国具体限额。对于仅为两个分布国共有的种群，限额必须得到一致同意。如果未能达成一致，他们可以寻找一位调停人 (包括秘书处)以推动该进程。在达成一致之前，他们的限额为零。

iv) 分布国已经在上一年 12 月 31 日之前向秘书处提供了上述第 i) 条的出口限额，及用来建立上述第 ii)条和 iii)条捕捞和出口限额的的科学数据；

v) 如果没有在上述第 iv)条所述的截止日期之前向秘书处提交限额，相关分布国的限额为零，直至其向秘书处书面提交限额，且秘书处随后通知缔约方。缔约方应将任何延迟通报秘书处，秘书处随后通知缔约方；及

vi) 秘书处应在收到分布国的信息之后一个月内，通过其网站将已同意的限额通知各缔约方；

b) 如果各缔约方要求，秘书处应向其提供第 iv)条提到的所有信息；及

c) 如果某一鲟鳇鱼物种的共有鱼群的某个分布国在严格的国内措施之下，决定减少根据本决议确定的限额，这不影响该鱼群其他分布国的限额；

4. **指示** 秘书处在共享野生种群的分布国已经同意前一年出口限额的情况下，基于分布国在上述 3 a) iv)段要求下提交的信息的基础上，包括有关其鲟鳇鱼养护和贸易相关活动的文件的参考信息，向下一次动物委员会会议提供一份书面报告；

5. **指示** 动物委员会与秘书处、感兴趣的缔约方、国际组织和相关专家合作，监测本决议相关条款的进展，并经常委会要求，通知常委会新的进展或相关问题；

6. **敦促** 分布国与动物委员会和秘书处合作，以执行前述 3 a)和 5 段的条款；

7. **号召** 分布国、进口国和其他专家和合适的组织，如 IUCN/SSC 鲟鳇鱼专家组，通过与秘书处和动物委员会商榷，寻求建立一种统一的以 DNA 为基础的鉴定鲟鱼部分、衍生物及养殖种群的系统，以帮助进行贸易标本来源的后续鉴定，并寻求建立和应用一些方法，在基于 DNA 的方法无效时区别野生和养殖来源鱼子酱；

8. **号召** 鲟形目物种分布国：

a) 在制定和执行相关战略，包括行动方案上加强合作，以养护和管理共同鲟鳇鱼种群，确保可持续渔业，及

b) 寻求与缔约方、联合国专门机构、政府间组织、非政府组织、私营部门、学术机构和其他专家利益相关方合作，以支持这些战略；

9. **敦促** 缔约方、政府间的和非政府的组织、行业及其他捐赠方寻求资金和其他资源，以支持鲟鳇鱼分布国制定和执行战略，包括行动方案，以养护和管理共同鲟鱼种群；并

10. 废除 以下决议：

a) Conf. 10.12 (Rev.)号决议 (哈拉雷，1997，修改于吉吉里，2000)——鲟鳇鱼保护；及

b) Conf. 11.13 号决议 (吉吉里，2000)——鱼子酱鉴定的通用标记系统。

附件 1 公约关于鱼子酱贸易和鉴别的通用标签系统指南

a) 通用标签系统应用于所有为商业和非商业目的生产的鱼子酱，不论其是国内贸易或国际贸易；这一通用标签系统要在每个初级容器上使用不可重复使用的标签。

b) 下列定义应用于关于鱼子酱的贸易：

— 鱼子酱 (Caviar)：鲟形目物种的已加工的未受精鱼卵。

— 采集 (Harvest)：从鲟形目物种标本中移除未受精卵(鱼子)，以供加工成鱼子酱。

— 序列标识号 (Lot identification number)：在加工或分装工场中使用，以确定鱼子酱去向相关信息的对应跟踪号码。

— 不可重复使用标签 (Non-reusable label)：任何不能无损坏地移动或转移到另一容器上的标签或标记，可以封闭初级容器。如果该标签没有封闭初级容器，则应以无论怎样开启该容器都能明显见到标签的方式包装鱼子酱；

— 配制鱼子酱 (Pressed caviar)：由一种或几种鲟鳇鱼，或杂交鲟鳇鱼的未受精鱼卵混合，以加工和准备更高品质产品需要的鱼子酱。

— 初级容器 (Primary container)：直接与鱼子酱接触的听、罐或其他包装物。

— 加工工场 (Processing plant)：原产国将鱼子酱初次装入初级容器的场所。

— 分装工场 (Repackaging plant)：接收鱼子酱并将其再次分装，装进新初级容器的场所。

— 次级容器 (Secondary container)：装放初级容器或多组初级容器的包装物。

— 来源代码 (Source code)：对应于鱼子酱来源 (如 W、C、F)的由公约相关决议定义的字母代码。注意到在其他情况下，圈养环境下出生的雌体，或是至少父母一方来自野外所生产的鱼子酱，应使用代码 F。

c) 在原产国，不可重复使用标签应该由加工场贴在每一个初级容器上，标签至少必须包括以下内容：附件 2 中提供的标准物种代码；鱼子酱来源代码；原产国 ISO 双字母国家代码；采集年份；加工工场的官方注册代码 (如 xxxx)；鱼子酱的序列标识号 (如 yyyy)，例如：

HUS/W/RU/2000/xxxx/yyyy

d) 如果不发生再分装，则上述 c)款所指的不可重复使用标签应该仍保留在初级容器上，并被认为该标记是足够的 (包括再出口)。

e) 不可重复使用标签应该由分装工场在任何分装鱼子酱的初级容器上张贴，标签最少必须包含：附件 2 中提供的标准物种代码；鱼子酱来源代码；原产国 ISO 双字母国家代码；分装年份；分装工场的官方注册代码，如果其所在国不同于原产国，则需包含分

装国 ISO 双字母国家代码（如 IT-wwww）；序列标识号，或 CITES 出口许可证或再出口证明书的编号（如 zzzz），例如：

PER/W/IR/2001/IT-wwww/zzzz

f) 当出口或再出口鱼子酱时，除了根据国际海关法规的规定注明内容物，还应在任何次级容器上标明鱼子酱的准确数量。

g) 标签所示内容必须在出口许可证或再出口证明书上注明，或在随 CITES 出口许可证或再出口证明书的附件上注明。

h) 如果出现许可证或证明书与标签内容不一致，进口缔约方管理机构应该尽快与出口或再出口缔约方对应机构联系，以明确是否为这一指南的复杂要求导致的真实错误，如果属实，应该尽所有努力避免惩罚卷入其中的人员和单位。

i) 缔约方只接受具有包含 c)、d)或 e)款所述信息的适当文件的鱼子酱货物。

附件 2 鲟形目物种、杂种和混合种鉴别代码

种名	代码
Acipenser baerii 西伯利亚鲟	BAE
Acipenser baerii baicalensis 贝加尔鲟	BAI
Acipenser brevirostrum 短吻鲟	BVI
Acipenser dabryanus 达氏鲟	DAB
Acipenser fulvescens 湖鲟	FUL
Acipenser gueldenstaedtii 俄罗斯鲟	GUE
Acipenser medirostris 中吻鲟	MED
Acipenser mikadoi 米氏鲟	MIK
Acipenser naccarii 纳氏鲟	NAC
Acipenser nudiventris 裸腹鲟	NUD
*Acipenser oxyrhynchus*尖吻鲟	OXY
Acipenser oxyrhynchus desotoi 尖吻鲟	DES
Acipenser persicus 桃鲟	PER
*Acipenser ruthenus*小体鲟	RUT
Acipenser schrencki 史氏鲟	SCH
Acipenser sinensis 中华鲟	SIN
Acipenser stellatus 闪光鲟	STE
Acipenser sturio 鲟	STU
*Acipenser transmontanus*高首鲟	TRA
Huso dauricus 鳇	DAU
Huso huso 欧鳇	HUS
Polyodon spathula 匙吻鲟	SPA
Psephurus gladius 白鲟	GLA
Pseudoscaphirhynchus fedtschenkoi 锡尔河拟铲鲟	FED
*Pseudoscaphirhynchus hermanni*短尾拟铲鲟	HER

种名	代码
Pseudoscaphirhynchus kaufmanni 丝尾拟铲鲟	KAU
*Scaphirhynchus albus*密苏里铲鲟	ALB
Scaphirhynchus platorhynchus 密西西比铲鲟	PLA
Scaphirhynchus suttkusi 萨氏铲鲟	SUS
Mixed species (for “pressed” caviar exclusively) 混合种 (仅指“配制”鱼子酱)	MIX
Hybrid specimens: code for the species of the male x code for the species of the female 杂种：父本代码 x 母本代码	YYY x XXX

附件 3 分布国共享种群及相关物种概览

共享种群	分布国	物种
里海	阿塞拜疆、伊朗、哈萨克斯坦、俄罗斯、土库曼斯坦	*Acipenser gueldenstaedtii* 俄罗斯鲟 *Acipenser nudiventris*裸腹鲟 *Acipenser persicus* 桃鲟 *Acipenser stellatus*闪光鲟 *Huso huso*欧鳇
西北黑海和多瑙河下游	保加利亚、罗马尼亚、塞尔维亚、乌克兰	*Acipenser gueldenstaedtii*俄罗斯鲟 *Acipenser nudiventris*裸腹鲟 *Acipenser ruthenus* 小体鲟 *Acipenser stellatus*闪光鲟 *Huso huso*欧鳇
圣约翰河 / 芬迪湾	加拿大、美国	*Acipenser oxyrinchus*尖吻鲟
阿穆尔河/黑龙江	中国、俄罗斯	*Acipenser schrenckii* 史氏鲟 *Huso dauricus*鳇
亚述海	俄罗斯、乌克兰	*Acipenser gueldenstaedtii*俄罗斯鲟 *Acipenser nudiventris*裸腹鲟 *Acipenser stellatus*闪光鲟 *Huso huso*欧鳇

Conf. 12.7 (Rev. CoP17)

Conservation of and trade in sturgeons and paddlefish

RECALLING Resolution Conf. 10.12 (Rev.), adopted by the Conference of the Parties at its 10th meeting (Harare, 1997) and amended at its 11th meeting (Gigiri, 2000), and Resolution Conf. 11.13, adopted by the Conference of the Parties at its 11th meeting;

AWARE that sturgeons and paddlefish of the Order Acipenseriformes represent a valuable renewable biological and economic resource that in recent years has been affected by such negative factors as illegal fishing and illegal trade, regulation of water flow and decrease in natural spawning sites;

NOTING the need for further research and the importance of scientific monitoring of the status of stocks and an understanding of their genetic structure as the basis for sustainable fisheries management;

CONSIDERING that some range States of Acipenseriformes might need funds and technical assistance for conservation, habitat protection, and the combating of illegal fishing and trade;

RECALLING that Article VI, paragraph 7, of the Convention provides that specimens of species listed in the Appendices may be marked to assist in identifying them;

CONSIDERING that the labelling of all caviar in trade has proven to be a fundamental step towards the effective regulation of trade in caviar of sturgeons and paddlefish;

NOTING that, in order to assist the Parties in identifying legal caviar in trade, marking should be standardized and that particular specifications for the design of labels are fundamental, should be generally applied and should also take into account marking systems currently in place and anticipated technological advances in marking systems;

CONSIDERING that the trade in caviar from aquaculture operations is steadily increasing worldwide, Management and Enforcement Authorities should pay special attention to the development of sturgeon aquaculture facilities in their countries;

RECOGNIZING that the production of sturgeons in captivity may contribute to alleviating pressure on wild populations;

CONSCIOUS that there is a need for improvement of monitoring of caviar re-exports in relation to the original export and the level of exports in relation to annual export quotas;

RECOGNIZING that Parties take into account domestic markets and illegal trade when issuing export permits, re-export certificates or when setting export quotas; and

RECOGNIZING that the setting of export quotas for wild specimens of sturgeon from shared stocks requires transparency;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. URGES the range States of species in the Order Acipenseriformes to:

   a) encourage scientific research and ensure adequate monitoring of the status of stocks[1] to promote the sustainability of sturgeon and paddlefish fisheries through appropriate management programmes;
   b) curtail the illegal fishing of and trade in sturgeon and paddlefish specimens by improving the provisions in and enforcement of existing laws regulating fisheries and export, in close

Amended at the 13th, 14th, 16th and 17th meetings of the Conference of the Parties.

[1] *The term 'stock' is regarded, for the purposes of this Resolution, to be synonymous with 'population'.*

collaboration with the CITES Secretariat, ICPO-INTERPOL and the World Customs Organization;

c) explore ways of enhancing the participation of representatives of all agencies responsible for sturgeon and paddlefish fisheries in conservation and sustainable-use programmes for these species; and

d) promote regional agreements between range States of wild sturgeon and paddlefish aiming at proper management and sustainable utilization of these species;

2. RECOMMENDS, with regard to regulating trade in sturgeon products, that:

a) each importing, exporting and re-exporting Party establish, where consistent with national law, a registration system for facilities producing caviar, including aquaculture operations that process and package caviar and those facilities that re-package caviar in its territory and provide to the Secretariat the list of these facilities and their official registration codes and clearly state whether it is a processing or a repackaging plant. Where consistent with the national registration system, Parties should add 'P' to registration numbers for 'processing and packaging plants' and 'R' for 'repackaging plants'. Where appropriate, Parties should, on a voluntary basis, include, in their notification of caviar-processing aquaculture plants, the sturgeon or paddlefish species used in the respective processing plant. The list should be updated when changes occur and communicated to the Secretariat without delay. The Secretariat should include this information in its register on the CITES website;

b) importing countries be particularly vigilant in controlling all aspects of the trade in specimens of sturgeon and paddlefish species, including the unloading of sturgeon specimens, transit, re-packaging, re-labelling and re-exports;

c) Parties monitor the storage, processing and re-packaging of specimens of sturgeon and paddlefish species in Customs free zones and free ports, and for airline and cruise line catering;

d) Parties ensure that all their relevant agencies cooperate in establishing the necessary administrative, management, scientific and control mechanisms needed to implement the provisions of the Convention with respect to sturgeon and paddlefish species;

e) Parties consider the harmonization of their national legislation related to personal exemptions for caviar, to allow for the personal effects exemption under Article VII, paragraph 3, of the Convention and consider limiting this exemption to no more than 125 grams of caviar per person;

f) all caviar from shared wild stocks subject to export quotas be exported before the end of the quota year (1 March – last day of February) in which it was harvested and processed. For this purpose the export permits for such caviar should be valid until the last day of the quota year at the latest. Parties should not import caviar harvested or processed in the preceding quota year;

g) no re-export of caviar take place more than 18 months after the date of issuance of the relevant original export permit. For that purpose re-export certificates should not be valid beyond that 18-month period;

h) where available, Parties use the full eight-digit Customs code for caviar, instead of the less precise six-digit code which also includes roe from other fish species;

i) Parties implement the universal labelling system for caviar outlined in Annexes 1 and 2 and importing Parties not accept shipments of caviar whether for commercial or for non-commercial purposes or under the exemption for personal and household effects unless they comply with these provisions; and

j) caviar from different Acipenseriformes species not be mixed into a primary container, except in the case of pressed caviar;

3. RECOMMENDS[1] further, with regard to catch and export quotas, that:

   a) Parties not accept the import of caviar and meat of Acipenseriformes species from stocks shared between different range States[2], which are listed in Annex 3 to this Resolution, unless export quotas have been set in accordance with the following procedure:

      i) range States have established export quotas for caviar and meat of Acipenseriformes species for that quota year, which starts on 1 March and ends on the last day of February of the following year;

      ii) the export quotas referred to in subparagraph i) have been derived from catch quotas that are based on an appropriate regional conservation strategy and monitoring regime for the species concerned and are not detrimental to the survival of the species in the wild;

      iii) the catch and export quotas referred to in subparagraphs i) and ii) should be agreed amongst all States that provide habitat for the same stock of an Acipenseriformes species. However, where a stock is shared by more than two States, and if one of these States refuses to participate or does not participate in the shared-stock quota agreement meeting convened in accordance with the agreed decision of all these States, the total and country-specific quotas for the shared stock may be agreed by the remaining range States. This situation must be substantiated in writing by both sides to the Secretariat for information to the Parties. The State not having participated may only export caviar and meat from its allocated quotas after it has notified the Secretariat that it accepts them and the Secretariat has informed the Parties. If more than one range State refuses to participate or does not participate in the process mentioned above, the total and country specific quotas for the shared stock cannot be established. In case of a stock shared by only two range States, the quotas must be agreed by consensus. If consensus cannot be reached, they may call upon a mediator, including the CITES Secretariat, to facilitate the process. They shall have a zero quota until such time as they have reached consensus;

      iv) range States have provided to the Secretariat by 31 December of the previous year, the export quota referred to in subparagraph i) as well as the scientific data used to establish the catch and export quotas under subparagraphs ii) and iii);

      v) if the quotas have not been communicated to the Secretariat by the deadline indicated in subparagraph iv) above, the relevant range States have a zero quota until such time as they communicate their quotas in writing to the Secretariat and the Secretariat in turn informs the Parties. The Secretariat should be informed by the range States of any delay and shall in turn inform the Parties; and

      vi) the Secretariat shall communicate the agreed quotas to the Parties through its website within one month of receipt of the information from the range States;

   b) the Secretariat make all the information mentioned in subparagraph iv) available to Parties upon request; and

   c) if a range State of a shared wild stock of a species of Acipenseriformes decides to reduce its quotas established in accordance with this Resolution under stricter domestic measures, this shall not affect the quotas of the other range States of this stock;

4. DIRECTS the Secretariat, in cases where range States of shared wild stocks have agreed on export quotas in the previous year, to provide to the subsequent meeting of the Animals Committee a written report, based on information submitted by the range States concerned as requested in subparagraph 3 a) iv) above, including references to relevant documents, on its activities related to the conservation of and trade in sturgeons and paddlefish;

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[1] At CoP13 it was agreed that this recommendation would not apply to those range States where there is no commercial caviar harvest or export from shared stocks. It was also agreed, however, that the Secretariat or any Party would bring to the attention of the Standing Committee or Conference of the Parties any significant changes in the harvest or export of sturgeon products from such stocks.

[2] Quotas do not have to be established for specimens from endemic stocks, i.e. stocks not shared with other countries, and captive-breeding or aquaculture operations. Quotas communicated for such specimens are voluntary quotas.

5. DIRECTS the Animals Committee, in collaboration with the Secretariat, interested Parties, international organizations and relevant experts, to monitor progress on the relevant provisions of this Resolution and to inform the Standing Committee about new developments or problems as and when required;

6. URGES range States to cooperate with the Animals Committee and the Secretariat with a view to implementing the provisions under subparagraph 3 a) and paragraph 5 above;

7. CALLS UPON range States, importing countries and other experts and appropriate organizations, such as the IUCN/SSC Sturgeon Specialist Group, in consultation with the Secretariat and the Animals Committee, to continue to explore the development of a uniform DNA-based identification system for parts and derivatives and aquaculture stocks of Acipenseriformes species to assist in the subsequent identification of the origin of specimens in trade and the development and application of methods for differentiating wild from aquaculture origin caviar in cases where DNA- based methods are not useful;

8. CALLS UPON the range States of Acipenseriformes species:

   a) to collaborate in the development and implementation of strategies, including action plans, for the conservation and management of shared Acipenseriformes wild stocks and for ensuring sustainable fishing, and

   b) to seek cooperation with Parties, United Nations specialized agencies, intergovernmental organizations, non-governmental organizations, the private sector, academia and other expert stakeholders in supporting these strategies;

9. URGES Parties, intergovernmental and non-governmental organizations, the industry and other donors to assist with securing financial and other resources for the range States of Acipenseriformes to develop and implement strategies, including action plans, for the conservation and management of shared Acipenseriformes wild stocks; and

10. REPEALS the Resolutions listed hereunder:

    a) Resolution Conf. 10.12 (Rev.) (Harare, 1997, as amended at Gigiri, 2000) – *Conservation of sturgeons*; and

    b) Resolution Conf. 11.13 (Gigiri, 2000) – *Universal labelling system for the identification of caviar*.

Annex 1 CITES guidelines for a universal labelling system for the trade in and identification of caviar

a) The uniform labelling system applies to all caviar, from wild and aquaculture origin, produced for commercial and non-commercial purposes, for either domestic or international trade, and is based on the application of a non-reusable label on each primary container.

b) The following definitions apply in relation to trade in caviar:

   – Caviar: processed unfertilized eggs (roe) of Acipenseriformes species.

   – Harvest: removal of unfertilized eggs (roe) from specimens of Acipenseriformes species for further processing to become caviar.

   – Lot identification number: a number that corresponds to information related to the caviar tracking system used by the processing or repackaging plant.

– Non-reusable label: any label or mark that cannot be removed undamaged or transferred to another container, which may seal the container. If the non-reusable label does not seal the primary container, caviar should be packaged in a manner that permits visual evidence of any opening of the container.

– Pressed caviar: caviar composed of unfertilized eggs (roe) of one or more sturgeon or paddlefish species or sturgeon hybrids, remaining after the processing and preparation of higher quality caviar.

– Primary container: tin, jar or other receptacle that is in direct contact with the caviar.

– Processing plant: facility in the country of origin responsible for the first packaging of caviar into a primary container.

– Repackaging plant: facility responsible for receiving and repackaging caviar into new primary containers.

– Secondary container: receptacle into which primary containers or groups of primary containers are placed.

– Source code: letter corresponding to the source of the caviar (e.g. W, C, F), as defined in the relevant CITES Resolutions. Note that, among other situations, for caviar produced from a female born in captivity and where at least one parent originated in the wild, the "F" code should be used.

c) In the country of origin, the non-reusable label should be affixed by the processing plant to any primary container. This label must include, as a minimum: a standard species code as provided in Annex 2; the source code of the caviar; the ISO two-letter code for the country of origin; the year of harvest; the official registration code of the processing plant (e.g. xxxx); and the lot identification number for the caviar (e.g. yyyy), for instance:

HUS/W/RU/2000/xxxx/yyyy

d) When no repackaging takes place, the non-reusable label referred to in paragraph c) above should be maintained on the primary container and be considered sufficient, including for re-export.

e) A non-reusable label should be affixed by the repackaging plant to any primary container in which caviar is repackaged. This label must include, as a minimum: a standard species code as provided in Annex 2; the source code of the specimen; the ISO two-letter code of the country of origin; the year of repackaging; the official registration code of the repackaging plant, which incorporates the ISO two-letter code of the country of repackaging if different from the country of origin (e.g. IT- wwww); and the lot identification number, or CITES export permit or re-export certificate number (e.g. zzzz), for instance:

PER/W/IR/2001/IT-wwww/zzzz

f) When caviar is exported or re-exported, the exact quantity of caviar must be indicated on any secondary container in addition to the description of the content in accordance with international Customs regulations.

g) The same information that is on the label affixed to the container must be given on the export permit or re-export certificate, or in an annex attached to the CITES permit or certificate.

h) In the event of inconsistencies between information on a label and a permit or certificate, the Management Authority of the importing Party should contact its counterpart in the exporting or re- exporting Party as soon as possible to establish whether this was a genuine error arising from the complexity of information required by these guidelines. If this is the case, every effort should be made to avoid penalizing those involved in such transactions.

i) Parties should accept shipments of caviar only if they are accompanied by appropriate documents containing the information referred to in paragraph c), d) or e).

Annex 2 Codes for identification of Acipenseriformes species, hybrids and mixed species

Species	Code
Acipenser baerii	BAE
Acipenser baerii baicalensis	BAI
Acipenser brevirostrum	BVI
Acipenser dabryanus	DAB
Acipenser fulvescens	FUL
Acipenser gueldenstaedtii	GUE
Acipenser medirostris	MED
Acipenser mikadoi	MIK
Acipenser naccarii	NAC
Acipenser nudiventris	NUD
Acipenser oxyrhynchus	OXY
Acipenser oxyrhynchus desotoi	DES
Acipenser persicus	PER
Acipenser ruthenus	RUT
Acipenser schrenckii	SCH
Acipenser sinensis	SIN
Acipenser stellatus	STE
Acipenser sturio	STU
Acipenser transmontanus	TRA
Huso dauricus	DAU
Huso huso	HUS
Polyodon spathula	SPA
Psephurus gladius	GLA
Pseudoscaphirhynchus fedtschenkoi	FED
Pseudoscaphirhynchus hermanni	HER
Pseudoscaphirhynchus kaufmanni	KAU
Scaphirhynchus albus	ALB
Scaphirhynchus platorynchus	PLA
Scaphirhynchus suttkusi	SUS
Mixed species (for 'pressed' caviar exclusively)	MIX
Hybrid specimens: code for the species of the male x code for the species of thefemale	YYYxXXX

Annex 3 Overview about stocks shared by range States and the respective species

Shared stock	Range states	Species
Caspian Sea	Azerbaijan Islamic Republic of Iran Kazakhstan Russian Federation Turkmenistan	*Acipenser gueldenstaedtii* *Acipenser nudiventris* *Acipenser persicus* *Acipenser stellatus* *Huso huso*
North-West Black Sea and Lower Danube	Bulgaria Romania Serbia Ukraine	*Acipenser gueldenstaedtii* *Acipenser nudiventris* *Acipenser ruthenus* *Acipenser stellatus* *Huso huso*
Saint John River / Bay of Fundy	Canada United States of America	*Acipenser oxyrinchus*
Amur / Heilongjian River	China Russian Federation	*Acipenser schrenckii Huso dauricus*
Azov Sea	Russian Federation Ukraine	*Acipenser gueldenstaedtii* *Acipenser nudiventris* *Acipenser stellatus* *Huso huso*

Conf. 12.8 (Rev. CoP18)*

附录Ⅱ物种标本的大宗贸易回顾

忆及 公约第四条第2款 (a)项要求，作为签发出口许可证的条件，必须由出口国科学机构确认出口不会危害相关物种的生存；

忆及 公约第四条第3款要求每一个缔约方的科学机构对附录II物种在该国的出口进行监测，并建议其管理机构采取适当措施以限制此类出口，以使该物种在其分布区内能保持在与它在生态系统中的作用相一致的水平；

又**忆及** 公约第四条第6款 (a)项要求，作为签发海上引进证明书的条件，从海上引进物种的缔约方的科学机构应确认海上引进不会危害该物种的生存；

注意到 一些允许附录II物种出口的缔约方没有有效地执行公约第四条第2款 (a)项、第3款和第6款 (a)项的规定，在这种情况下，没有采取那些能确保附录II物种的出口处于不会危害该物种生存的水平上的必要措施，例如种群评估和监测项目，而且许多物种的生物学状况资料经常无从获得；

忆及 正确执行公约第四条对于保护和可持续利用附录II物种十分重要；

注意到 第八次缔约方大会 (京都，1992)通过并经第十一次缔约方大会 (吉吉里，2000)修订的Conf. 8.9 (Rev.)号决议所陈述的由动物和植物委员会对附录II物种标本贸易进行回顾，即所谓“大宗贸易回顾”的重要益处，及有必要进一步明确和简化回顾所遵循的程序；

忆及 第十二次缔约方大会 (圣地亚哥，2002) 授权动物和植物委员会开发评估大宗贸易回顾的参考条款，其目标为评价大宗贸易回顾对于履行公约文本第四条第2 (a) 、3和6 (a) 的作用，及随时间推移，其对被选为回顾并遭受建议物种的贸易和保护状况的影响；

注意到 在Conf. 16.7 (Rev. CoP17)号非致危性判定决议中，缔约方大会建议科学机构在判定贸易是否会对物种存续存在危害时考虑特定概念和指导原则；

承认 大宗贸易回顾进程的目的时为了确保附录Ⅱ物种的贸易遵照公约文本第四条并在可持续下开展，并找到所需的补救措施以最终达到增强履约的目的；

期望 大宗贸易回顾进程所产生的建议和行动，其执行会通过增进分布国科学保护和管理行动，及加强科学机构和管理机构在发放出口许可证上的协作和沟通来提升科学机构实施非致危性判定的能力；

重申 大宗贸易回顾进程应透明、及时并明确；

注意到 Conf. 14.3(Rev. CoP18)号CITES遵约程序决议中建立了CITES遵约程序指南，并进一步注意到Conf. 14.7 (Rev. CoP15)号国家建立的出口限额的管理决议详尽阐述了缔约方对出口限额的管理指南；并

注意到 Conf. 4.25 (Rev. CoP18)号保留决议建议对列入附录I的物种提出保留的任何缔约方，将该物种作为列入附录II对待，对所有贸易目的都需有文件要求和贸易控制；

*经第十三、十七和十八次缔约方大会修订。

公约缔约方大会

关于大宗贸易回顾的开展

1. **指示** 动物委员会和植物委员会在与秘书处和有关专家合作，并与分布国协商的基础上，对经受大宗贸易的附录II物种的生物学、贸易和其他相关信息进行回顾，从旨在确保公约第四条第2款 (a)项、第3款和第6款 (a)项得到执行这一角度出发，根据以下程序及在本决议附件1中的流程图确定存在的问题和解决办法：

第1阶段：选择要回顾的物种/国家组合

a) 秘书处应在每次缔约方大会之后的90天内，要求联合国环境规划署的世界保护监测中心(UNEP-WCMC)，根据CITES年度报告统计的CITES贸易数据库，着手或指派顾问着手准备一份汇总记录，显示附录II物种在最近五年的直接出口量，及通知物种/国家组合初步筛选的贸易拓展分析，留有足够时间在缔约方大会后动物或植物委员会第一次常规会议前完成 (见本决议附件2) ；

b) 根据直接出口的记录水平及动植物委员会、秘书处、缔约方或其他相关专家所掌握的信息，动植物委员会应在缔约方大会之后的其第一次常规会议上，将优先关注的一定数量物种/国家组合列入阶段2的回顾程序；并

c) 除上述阶段1 a) 和b)，作为例外，如果有信源向秘书处提供新信息揭示问题，需要快速行动以执行公约文本第四条 (对物种/国家组合) ，秘书处；

i) 将核实信源就例外情况提供了正当理由，包括支持信息等；

ii) 必要时，可能制作或要求顾问制作从CITES贸易数据库得来的有关物种/国家组合的贸易概况；并

iii)将尽快为动物或植物委员会提供正当理由，如果适当时，及贸易概况，以其在闭会期间回顾和决定是否将物种/国家组合列入回顾进程的阶段2；

第2阶段：与分布国商议及编纂信息

d) 秘书处应该：

i) 在动物或植物委员会完成物种/国家组合选择的当次会议30天内，或委员会在例外情况下选择了物种/国家组合的30天内，就被选定的物种、回顾进程的概况及选择的解释通知被选定国家。秘书处应要求分布国提供其遵照公约文本第四条2(a)、3和6 (a)段，从该国出口不危害有关物种生存的科学基础。在信中，秘书处应向分布国提供如何回应的指南，解释如不回应要求的后果，并告知分布国其回应将作为动物或植物委员会会议议程的一部分在CITES网站上可查。分布国有60天时间做出回应；并

ii) 编纂或指定顾问编纂有关包括所有分布国提供的相关信息的物种生物学、管理和贸易报告，为下一次动物或植物委员会会议使用。在编纂报告时，秘书处 (或顾问) 应积极与分布国和相关专家接洽；

e) 根据1 d) ii) 小段要求，报告应包含有关被选物种/国家组合国际贸易影响的结论、得出该结论的基础，及执行公约文本第四条的有关问题，并应暂时将被选到物种/国家组合划入三个级别：

i) “需要采取行动”，应包括可用信息显示未能执行公约文本第四条2(a)、3和6 (a)

段条款的物种/国家组合；

ii) “情况不明”，应包括秘书处 (或顾问) 无法判定这些条款是否被执行的物种/国家组合； 及

iii) “不关注”，应包括可用信息显示这些条款已经被满足的物种/国家组合； 并

f) 一旦完成报告，秘书处应促使相关分布国注意根据 d) ii) 小段要求所准备的报告，并邀请分布国提供更多信息，供缔约方大会后的第二次动物或植物委员会会议考虑；

阶段 3：动物或植物委员会的分级和建议

g) 动物或植物委员会应在其缔约方大会后的第二次会议上回顾秘书处或顾问的报告，及有关分布国提交的回应和补充信息。对于每个物种/国家组合，动物或植物委员会都应重新划入“情况不明”、“需要采取行动”或“不关注”级别，并提供划级依据。另外，在合适时，动物或植物委员会应修订被提议为“需要采取行动”或“不关注”的物种/国家组合的初步划级，并提供修订依据；

i) 应将被动物或植物委员会判定为不关注的物种/国家组合从回顾进程中移除，秘书处应相应在30天内通知分布国；在因建立了零出口限额而被判定为不关注的物种/国家组合情况下，分布国对该限额的任何改变都应与秘书处和相关委员会主席沟通，并提供理由； 及

ii) 应将被动物或植物委员会判定为“需要采取行动”的物种/国家组合保留在回顾进程中。经与秘书处磋商，动物或植物委员会应根据本决议附件3中的原则，对被保留在回顾进程中的分布国作出有时限、可行、可测、相称并透明的建议。建议旨在建设分布国执行公约文本第四条2(a)、3和6 (a)段的长期能力；

h) 秘书处应在动物或植物委员会会议之后30天内，将建议传达给有关分布国； 及

i) 动物和植物委员会应根据本决议附件3中的原则，就回顾中发现的，与执行公约文本第四条2(a)、3和6 (a)段没有直接关系的问题，对常务委员会作出单独建议；

第4阶段：就执行建议采取措施

j) 秘书处应根据建议，同时考虑到不同的最后期限，监测进展情况；

k) 一旦分布国就履行建议提交了报告，或者已经超出建议限期，无论孰前孰后，秘书处应及时通过动物或植物委员会主席与委员开展会间协商，判定前述建议是否已经被执行；

i) 如建议被满足，经与常务委员会主席协商，秘书处应从回顾进程中移除该物种/国家组合，通知有关分布国并涵盖其评估理由。从回顾进程中移除某个物种/国家组合时，在建立一个临时预防性出口限额 (包括零出口限额) 以替代执行建议的基础上，如有必要，注意所述分布国作出的承诺，该限额的任何变化，都应通知秘书处及相关委员会主席，为获得他们的同意要提供理由； 或

ii) 当建议被认为未被满足 (或没有提供新信息) 时，秘书处应通过主席与动物或植物委员会委员协商，建议常务委员会采取适当行动，可能包括对国家受影响物种实施贸易暂停作为最后裁决； 或

iii)在建议被认为未被满足或部分未满足，而新信息建议可能需要更新的情况下，秘书处应通过主席，及时要求动物或植物委员会委员准备一项修订建议，铭

记建议的原则应是有时限、可行、可测、相称、透明并促进能力建设。秘书处应在30天内将起草的修订建议提供给分布国；

l) 秘书处应向常务委员会汇报其执行建议的评估结果，包括评估的基本理由及，如果有的话，所述分布国作出的特别承诺，及动物或植物委员会表达观点的摘要等。一旦新信息形成修订建议，秘书处应额外报告动物或植物委员会对分布国采取的进一步行动；

m) 对于未满足建议的分布国，常务委员会应在其下一次常规会议，或酌情在会间决定对有关分布国或所有缔约方的必要行动和建议，并铭记建议的原则应是有时限、可行、可测、相称、透明并促进能力建设。在例外情况下，一旦所述分布国向常务委员会提供了执行建议的新信息常务委员会应通过秘书处，并及时通过动物或植物委员会主席，经与委员协商，优先作出决定或必要行动；

n) 秘书处应将常委会的任何建议和行动通知所有缔约方；

o) 只有经与秘书处，并应通过动物或植物委员会主席与其委员协商，证明分布国遵照公约文本第四条2(a)、3和6 (a)段令常委会满意，才可以撤销有关分布国受影响物种的贸易暂停建议； 并

p) 经与秘书处和动物或植物委员会主席协商，常委会应回顾现有超过两年的贸易暂停建议，与分布国协商评估问题元原因，如适当，采取措施处理这种状况；

关于被辨识为与执行公约文本第四条无关的问题

2. **指示** 常务委员会解决在回顾进程中被辨识为，遵照公约其他规定和相关决议，与执行公约文本第四条2(a)、3和6 (a)段无关的问题；

关于对分布国的支持

3. **敦促** 所有缔约方和对保护及可持续利用野生动植物感兴趣的组织和利益相关者，向那些需要帮助的缔约方提供必要的财政支持或技术帮助，以确保大宗国际贸易所涉及的动植物种的野生种群保持在不对其生存造成危害的水平。这些措施的例子包括：

a) 培训分布国的保护人员，包括组织区域性研讨会；

b) 向从事相关物种标本生产和出口的个人及机构提供工具、信息及指南；

c) 推动分布国包括区域水平之间的信息交流；

d) 提供技术设备、支持和建议；并

e) 对被确定为已经遭受大宗贸易影响的附录II物种的野外研究提供支持；并

4. **指示** 秘书处帮助确定和传达分布国的资金需求，并确定这类资金的潜在来源；

关于能力建设、监测、报告和评估回顾进程

5. **指示** 秘书处，为达到监测和推动本决议及公约第四条相关条款的履行之目的：

a) 向每一次动植物委员会会议报告相关分布国履行该委员会所制定建议的情况；并

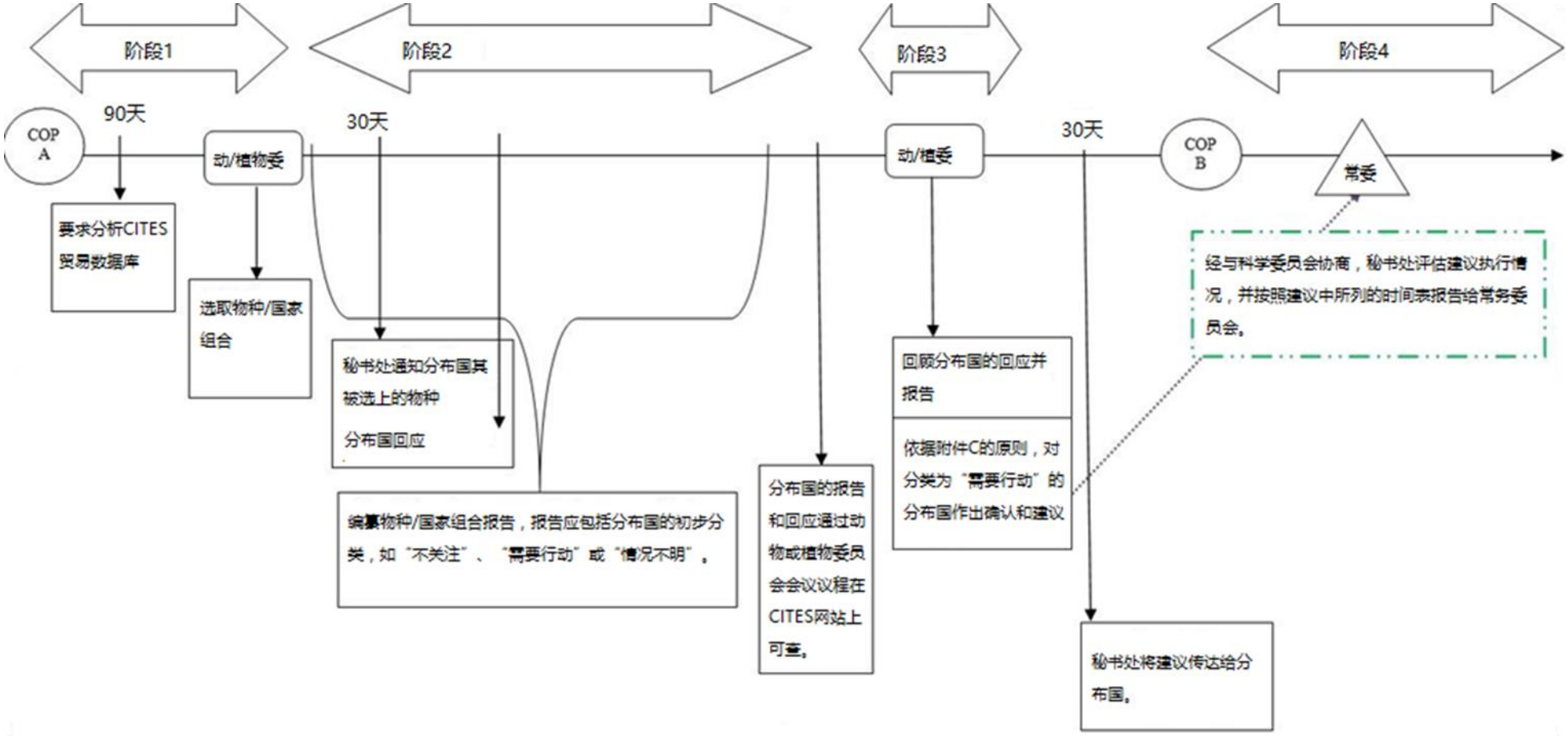
b) 保留一份列入本决议所述回顾过程的物种/国家组合数据库，包括执行建议的进展记录；

6. **指示** 秘书处将培训列入大宗贸易回顾进程，作为与开展非致危性判定相关的能力建设活动；

7. **指示** 动物或植物委员会，与秘书处协商，对大宗贸易回顾产出开展常规回顾，例如检测过去物种/国家组合样本，以评估公约文本第四条2(a)、3和6 (a)段执行的执行是否已改进。动物或植物委员会应考虑这一回顾的结果，必要时修订大宗贸易回顾进程。在这一过程中，应从已通过回顾进程的分布国 (包括其科学机构) 获取反馈； 并

8. **废除** Conf. 8.9 (Rev.)号决议 (1992年于京都通过，2000年于吉吉里修订)——来自野外的附录II物种标本的贸易。

附件 1 大宗贸易回顾进程时间线



附件 2 关于选取物种/国家组合的指南

Ⅰ. 摘要

有关本决议阶段1 a) 的摘要，应包括附录II物种近五年总出口 (直接贸易，来源代码为W、R、U或空白) ，并分分类单元，包括以下信息：

1. 在近五年中与之直接贸易的国家；

2. 与之直接贸易的每个国家的贸易水平*；

3. IUCN受威胁物种红色名录所发布的全球保护现状或者“未评估”；

4. 如IUCN受威胁物种红色名录上所发布的种群趋势；

5. 自前一次大宗贸易回顾选择进程以来，CITES贸易数据库中第一次报告贸易的物种 (注意可能受到命名变化的影响) ； 及

6. 指出物种/国家组合之前是否遭到了大宗贸易回顾。

可能的话，摘要产出应包括：

1. 是否有任何国家因大宗贸易回顾进程导致零限额或者贸易暂停；

2. 所包含的类群是否受到其他多边环境协议或区域性渔业管理组织或相关协议管制的信息； 及

3. 根据UNEP-WCMC维护的Species+数据库的特有物种。

Ⅱ.扩展分析

本决议阶段1要求的扩展分析应基于附录II物种，包括至少近五年的总出口量 (直接贸易、来源代码为W、R、U和空白) ，并应包括；

1. 确实满足“大规模”贸易标准的分类单元子集；

2. 经IUCN受威胁物种红色名录评估，相对全球威胁水平，确实满足“大规模”贸易的分类单元子集；

3. 确实满足贸易“急剧增加”标准的分类单元子集； 及

4. 上述子集也应包含近年报告的贸易。

将在提交给动物和植物委员会的产出中提供筛选满足选择标准的类群的完整方法。

附件 3 大宗贸易回顾进程制定建议的原则

引言

本附件提供了用于大宗贸易回顾进程中指定建议所需遵循的一般原则。

建议可以包括被考虑可以相对快速执行的短期行动 (比如临时性限额或出口量限制) ，或者被认可为执行时更复杂的，需要集中资源耗费时间的长期行动。短期行动的目的是提供相对快速的方法以解决当前关注的事项；而长期行动会有助于发展执行文本第四条更

* 为满足需要，将制作并提供excel电子版的摘要，并将以电子形式提供。

持久的解决方案。根据情况，单独或者两种都可采用。暂时性出口限额或者其他短期建议的结束一般不应晚于完成长期建议的日期。

在大宗贸易回顾过程中，筹划的建议应直接指示分布国，常务委员会或者其他缔约方。照此，建议应清晰指明被指示的对象。

作出建议的原则

作为大宗贸易回顾的一部分，对分布国的建议应坚持如下所有原则。

建议应：

1. 有时限

每项建议都应有一个明确规定的执行截止日期。这个截止日期一般不应少于传达给分布国日期的90天。在可能的情况下，建议的截止日期应与委员会会议相一致。

2. 可行

a) 设计建议应考虑到分布国能力，使之在指定的时间段可能执行。

b) 可以采用不止一个建议，但注意确保所有建议在给定的时间段内执行的可行性。

3. 可测

建议应带有一个可被客观评测的限定完成指标。

4. 与风险的特性和严重性相称

a) 建议应具体处理通过回顾进程辨识出，与执行公约文本第四条2(a)、3和6 (a)段有关的问题。

b) 建议应与物种的风险严重性相称。风险的评估应考虑物种增加灭绝风险的内禀敏感性或外在因素，及例如管理措施等可以降低灭绝风险的缓和因素。

5. 透明

相关委员会略述其选择建议如何与风险的特性和严重性相称，适用的话应引用顾问报告。

6. 以分布国能力建设为目标

建议应有助于分布国有效执行公约文本第四条的长期能力建设。

指示给常委会或其他缔约方的建议

指示常委会的建议应坚持有时限、可行、可测、与风险的特性和严重性相称、透明并促进分布国能力建设的原则。

Conf. 12.8

(Rev. CoP18)*

Review of Significant Trade in specimens of Appendix-II species

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

RECALLING also that Article IV, paragraph 6 (a), requires, as a condition for granting a certificate of introduction from the sea, that a Scientific Authority of the State of introduction from the sea has advised that the introduction will not be detrimental to the survival of the species concerned;

CONCERNED that some States permitting export of Appendix-II species are not effectively implementing Article IV, paragraphs 2 (a), 3 and 6 (a), and that, in such cases, measures necessary to ensure that the export of an Appendix-II species takes place at a level that will not be detrimental to the survival of that species, such as population assessments and monitoring programmes, are not being undertaken, and that information on the biological status of many species is frequently not available;

RECALLING that the proper implementation of Article IV is essential for the conservation and sustainable use of Appendix-II species;

NOTING the important benefits of the review of trade in specimens of Appendix-II species by the Animals and Plants Committees as set out in Resolution Conf. 8.9 (Rev.), adopted by the Conference of the Parties at its eighth meeting (Kyoto, 1992) and amended at its 11th meeting (Gigiri, 2000), referred to as the Review of the Significant Trade, and the need to clarify further and simplify the procedure to be followed;

RECALLING that, at its 12th meeting (Santiago, 2002), the Conference of the Parties mandated the Animals and Plants Committees to develop terms of reference for an evaluation of the Review of Significant Trade with the objective of assessing the contribution of the Review of Significant Trade to the implementation of Article IV, paragraphs 2 (a), 3 and 6 (a), and its impact over time on the trade and conservation status of species selected for review and subject to recommendations;

NOTING that, in Resolution Conf. 16.7 (Rev. CoP17) on *Non-detriment findings*, the Conference of the Parties recommended that Scientific Authorities take into account certain concepts and guiding principles in considering whether trade would be detrimental to the survival of the species;

ACKNOWLEDGING that the intent of the Review of Significant Trade process is to ensure that trade in Appendix II species is being conducted sustainably and in accordance with Article IV of the Convention, and to identify remedial action where it is needed with the ultimate intent of improving the implementation of the Convention;

EXPECTING that the implementation of recommendations and actions resulting from the Review of Significant Trade process will improve the capacity of the Scientific Authorities to carry out their non-detriment findings by improving range States' science-based conservation and management actions and improving coordination and communication between Scientific and Management Authorities on the issuance of export permits;

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* *Amended at the 13th, 17th and 18th meetings of the Conference of the Parties.*

AFFIRMING that the Review of Significant Trade process should be transparent, timely, and straightforward;

NOTING the *Guide to CITES compliance procedures* found in Resolution Conf. 14.3 (Rev. CoP18) on *CITES compliance procedures* and FURTHER NOTING the guidance for Parties regarding the management of export quotas elaborated in Resolution Conf. 14.7 (Rev. CoP15) on *Management of nationally established export quotas*; and

NOTING that Resolution Conf. 4.25 (Rev. CoP18) on *Reservations* recommends that any Party having entered a reservation with regard to any species included in Appendix I treat that species as if it were included in Appendix II for all purposes, including documentation and control;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

Regarding conduct of the Review of Significant Trade

1. DIRECTS the Animals and Plants Committees, in cooperation with the Secretariat and experts, and in consultation with range States, to review the biological, trade and other relevant information on Appendix-II species subject to significant levels of trade, to identify problems and solutions concerning the implementation of Article IV, paragraphs 2 (a), 3 and 6 (a), in accordance with the following procedure and as outlined in Annex 1 of this Resolution:

Stage 1: Selection of species/country combinations to be reviewed

a) the Secretariat shall, within 90 days after each meeting of the Conference of Parties, commence, or appoint consultants to commence, preparation of a summary from the CITES Trade Database of annual report statistics showing the recorded level of direct exports for Appendix-II species over the five most recent years, and an extended analysis of trade to inform the preliminary selection of species/country combinations, to be completed in sufficient time for the first regular meeting of the Animals or Plants Committee following that meeting of the Conference of the Parties (see Annex 2 of this Resolution);

b) on the basis of recorded levels of direct exports and information available to the Animals or Plants Committee, the Secretariat, Parties or other relevant experts, a limited number of species/country combinations of greatest concern shall be included in Stage 2 of the review process by the Animals or Plants Committee at their first regular meeting following a meeting of the Conference of the Parties; and

c) in exceptional cases, outside of steps 1 a) and b) above, and where new information provided to the Secretariat by a proponent indicates that rapid action may be needed concerning problems relating to the implementation of Article IV (for a species/country combination), the Secretariat:

i) will verify that the proponent has provided a justification for the exceptional case, including supporting information;

ii) may produce, or request a consultant produce a summary of trade from the CITES Trade Database in relation to the species/country combination concerned as necessary; and

iii) will, as soon as possible, provide the justification and, if appropriate, a trade summary to the Animals or Plants Committee for their intersessional review and decision on whether or not to include the species/country combination in Stage 2 of the review process;

Stage 2: Consultation with the range States and compilation of information

d) the Secretariat shall:

i) within 30 days after the meeting of the Animals or Plants Committee at which species/country combinations are selected, or within 30 days after the Committee has selected a species/country combination on an exceptional basis, notify selected range States that their species has been selected, providing an overview of the review process and an explanation for the selection. The Secretariat shall request range States to provide

the scientific basis by which it is established that exports from their country are not detrimental to the survival of the species concerned and are compliant with Article IV, paragraphs 2 (a), 3 and 6 (a) of the Convention. In its letter, the Secretariat shall provide guidance to range States on how to respond, explain the consequences of not responding to the request, and inform the range States that the responses will be made available on the CITES website as part of the agenda for meetings of the Animals or Plants Committee. Range States shall be given 60 days to respond; and

ii) compile, or appoint consultants to compile, a report about the biology and management of and trade in the species, including any relevant information provided by the range States, to be made available for the next meeting of the Animals or Plants Committee. In doing so, the Secretariat (or consultants) shall actively engage with the range States and relevant experts in the compilation of the report;

e) the report required under subparagraph 1 d) ii) shall include conclusions about the effects of international trade on the selected species/country combinations, the basis on which such conclusions are made and problems concerning the implementation of Article IV, and shall provisionally divide the selected species/country combinations into three categories:

i) 'action is needed' shall include species/country combinations for which the available information suggests that the provisions of Article IV, paragraph 2 (a), 3 or 6 (a), are not being implemented;

ii) 'unknown status' shall include species/country combinations for which the Secretariat (or consultants) could not determine whether or not these provisions are being implemented; and

iii) 'less concern' shall include species/country combinations for which the available information appears to indicate that these provisions are being met; and

f) once the report is completed, the Secretariat shall draw the attention of the relevant range States to the report prepared under subparagraph d) ii) and invite them to provide any additional information for consideration at the second meeting of the Animals or Plants Committee following the Conference of the Parties;

Stage 3: Categorization and Recommendations by the Animals or Plants Committee

g) the Animals or Plants Committee shall, at their second meeting following the Conference of the Parties, review the report of the Secretariat or the consultants, and the responses and additional information received from the range States concerned. For each selected species/country combination the Animals or Plants Committee shall recategorize species/country combinations of 'unknown status' as either 'action is needed' or 'less concern' and provide a justification for such recategorization. Additionally, if appropriate, the Animals and Plants Committee shall revise the preliminary categorization proposed for species/country combinations of those where 'action is needed' or those of 'less concern' and provide a justification for the revision;

i) species/country combinations determined by the Animals or Plants Committee to be of less concern shall be removed from the review process and the Secretariat shall notify the range States accordingly within 30 days; in cases where the species/country combination is of less concern due to the establishment of a zero export quota, any change to this quota should be communicated by the range State to the Secretariat and the Chair of the relevant Committee along with a justification; and

ii) species/country combinations determined by the Animals or Plants Committee to be those for which 'action is needed' shall be retained in the review process. The Animals or Plants Committee shall, in consultation with the Secretariat, formulate time-bound, feasible, measurable, proportionate, and transparent recommendations directed to the range States retained in the review process, using the principles outlined in Annex 3 of this Resolution. The recommendations should aim to build the range State's long term capacity to implement Article IV, paragraphs 2 (a), 3 and 6 (a) of the Convention;

h) the Secretariat shall, within 30 days of the meeting of the Animals or Plants Committee, transmit these recommendations to the range States concerned; and

i) the Animals or Plants Committee shall formulate separate recommendations directed to the Standing Committee for problems identified in the course of the review that are not directly related to the implementation of Article IV paragraph 2(a), 3 or 6(a), following the principles outlined in Annex 3 of this Resolution;

Stage 4: Measures to be taken regarding the implementation of recommendations

j) the Secretariat shall monitor progress against the recommendations, taking account of the different deadlines;

k) once the range State has reported on the implementation of recommendations or the deadlines have passed, whichever is first and, following timely intersessional consultation with members of the Animals or Plants Committee through the Chairs, the Secretariat shall determine whether the recommendations referred to above have been implemented;

   i) where the recommendations have been met, the Secretariat shall, following consultation with the Chair of the Standing Committee, notify the range States concerned that the species/country combination was removed from the review process and include the rationale for its evaluation, noting where relevant, specific commitments made by the range States in question and, in the case where a species/country combination was removed from the review process on the basis of the establishment of an interim precautionary export quota (including a zero export quota) in the place of implementing the recommendations, any change to this quota should be communicated to the Secretariat and Chair of the relevant Committee along with a justification, for their agreement; or

   ii) when the recommendations are not deemed to have been met (and no new information is provided), the Secretariat shall, in consultation with the members of the Animals or Plants Committee through the Chairs, recommend to the Standing Committee appropriate action, which may include, as a last resort, a suspension of trade in the affected species with that State; or

   iii) where the recommendations are not deemed to have been met or have been partially met, and there is new information suggesting the recommendation may require updating, the Secretariat shall, in a timely fashion, request the members of the Animals or Plants Committee, through the Chairs, to prepare a revised recommendation, keeping in mind the principles that recommendations should be time-bound, feasible, measurable, proportionate, transparent, and should promote capacity building. The Secretariat shall provide the revised recommendation to the range States within 30 days of its drafting;

l) the Secretariat shall report to the Standing Committee on its evaluation of the implementation of the recommendations, including the rationale for its evaluation and, where relevant, specific commitments made by the range States in question, and a summary of the views expressed by the Animals or Plants Committees. The Secretariat shall additionally report on any further actions taken by the Animals or Plants Committee in the case of range States where new information has resulted in revised recommendations;

m) for range States where recommendations are not deemed to have been met, the Standing Committee shall decide, at its next regular meeting or intersessionally as appropriate, on necessary action and make recommendations to the range State concerned, or to all Parties, keeping in mind that these recommendations should be time-bound, feasible, measurable, proportionate, transparent, and should promote capacity building. In exceptional circumstances, where the range State under consideration provides new information on the implementation of the recommendations to the Standing Committee, the Standing Committee through the Secretariat, shall consult in a timely fashion with the members of the Animals or Plants Committee through the Chair, prior to making a decision on necessary action;

n) the Secretariat shall notify all Parties of any recommendations or actions taken by the Standing Committee;

o) a recommendation to suspend trade in the affected species with the range State concerned should be withdrawn only when that range State demonstrates to the satisfaction of the Standing Committee, in consultation with the Secretariat and the members of the Animals or Plants Committee, through the relevant Chair, compliance with Article IV, paragraph 2 (a), 3 or 6 (a); and

p) the Standing Committee, in consultation with the Secretariat and the Chair of the Animals or Plants Committee, shall review recommendations to suspend trade that have been in place for longer than two years, evaluate the reasons why this is the case in consultation with the range State, and, if appropriate, take measures to address the situation;

Regarding problems identified not related to the implementation of Article IV

2. DIRECTS the Standing Committee to address problems identified in the course of the review process that are not related to the implementation of Article IV, paragraph 2 (a), 3 or 6 (a), in accordance with other provisions of the Convention and relevant Resolutions;

Regarding support to the range States

3. URGES the Parties, and all organizations and stakeholders interested in the conservation and sustainable use of wildlife, to provide the necessary financial support or technical assistance to those States in need of such assistance to ensure that wild populations of species of fauna and flora subject to significant international trade are not subject to trade that is detrimental to their survival. Examples of such assistance could include:

a) training of conservation staff in the range States, including by organizing regional workshops;

b) provision of tools, information and guidance to persons and organizations involved in the production and export of specimens of the species concerned;

c) facilitation of information exchange among range States, including at the regional level;

d) provision of technical equipment, support and advice; and

e) provision of support for field studies on Appendix-II species identified as being subject to significant levels of trade; and

4. DIRECTS the Secretariat to assist with identification and communication of funding needs in the range States and with identification of potential sources of such funding;

Regarding capacity building, monitoring, reporting, and evaluating the review process

5. DIRECTS the Secretariat, for the purpose of monitoring and facilitating the implementation of this Resolution and the relevant paragraphs of Article IV:

a) to report at each meeting of the Animals or Plants Committee on the implementation by the range States concerned of the recommendations made by the Committee; and
b) to maintain a database of species/country combinations that are included in the review process set out in this Resolution including a record of progress with the implementation of recommendations;

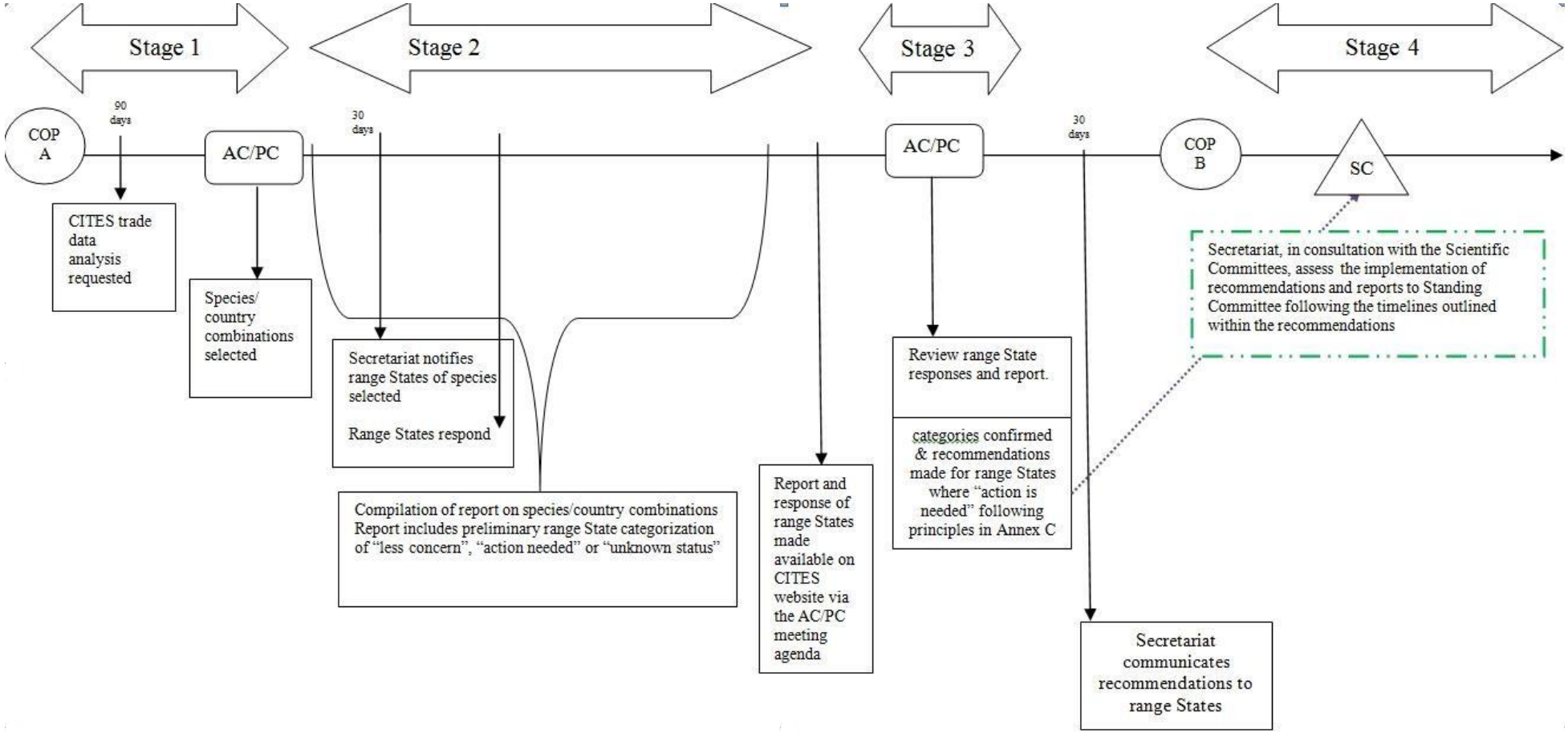
6. DIRECTS the Secretariat to include training on the Review of Significant Trade process as part of its capacity building activities related to the making of non-detriment findings;

7. DIRECTS the Animals or Plants Committee, in consultation with the Secretariat, to undertake a regular review of the outcomes of the Review of Significant Trade by, for example, examining a sample of past species/country combinations to assess whether implementation of Article IV paragraph 2 (a), 3 or 6 (a) was improved. The Animals or Plants Committee should consider the results of this review and revise the Review of Significant Trade process as necessary. In doing so, feedback should be obtained from range States (including their Scientific Authorities) who have been through the review process; and

8. REPEALS Resolution Conf. 8.9 (Rev.) (Kyoto, 1992, as amended at Gigiri, 2000) – *Trade in specimens of Appendix-II species taken from the wild*.

Annex 1

Timeline for the Review of Significant Trade Process



Annex 2 Guidance regarding the selection of species/country combinations

I. Summary

The summary referred to in Stage 1 a) of this Resolution shall include gross exports of Appendix II species over the five most recent years (direct trade, sources W, R, U, Y and blank), and include the following information, by taxon:

1. The countries with direct exports in any of the five most recent years;
2. Trade levels for each country with direct exports[1];
3. Global conservation status as published in The IUCN Red List of Threatened Species or otherwise noted as "Not Evaluated";
4. The population trend, as published in The IUCN Red List of Threatened Species;
5. Species reported in trade for the first time within the CITES Trade Database (noting those which have been subject to nomenclature changes) since the last Review of Significant Trade selection process; and
6. A note to indicate whether the species/ country combination has been previously subject to the Review of Significant Trade.

Where feasible, the summary output shall contain:

1. Whether there are any countries for which a zero quota or trade suspension has been implemented resulting from the Review of Significant Trade process;
2. Information on whether taxa included are subject to other Multi-lateral Environmental Agreements or Regional Fisheries Management Organisations, and the relevant agreements noted; and
3. Species that are endemic, according to the Species+ database, maintained by UNEP-WCMC.

II. Extended Analysis

The extended analysis requested in Stage 1 a) of this Resolution shall be based on gross exports of Appendix II species including at least the five most recent years (direct trade, sources W, R, U, Y and blank), and shall include;

1. A subset of taxa that meet clearly defined criteria for "High Volume" trade;
2. A subset of taxa that have been assessed by The IUCN Red List of Threatened Species, and that meet clearly defined criteria for "high volume" trade, dependent on the global threat status;
3. A subset of taxa which meet clearly defined criteria for "Sharp increase" in trade; and
4. The above subsets should also incorporate trade reported in the most recent year.

A full methodology for the selection of taxa which meet these selection criteria will be provided in the outputs submitted to the Animals and Plants Committees.

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[1] *To facilitate this requirement, an excel version of the summary will be produced and will be available in electronic format*

Annex 3

Principles for the development of Recommendations for the Review of Significant Trade Process

Introduction

This Annex provides general principles that should be followed when developing recommendations for the Review of Significant Trade process.

Recommendations can include short-term actions that are considered to be relatively rapid to implement (e.g., interim quotas or size restrictions for export), or longer-term actions that are recognized to be more complex, resource-intensive, and time-consuming to implement. The intent of short-term actions is to provide relatively rapid means to address issues of immediate concern; however, longer-term actions may promote the development of longer-lasting solutions towards implementation of Article IV. Depending on the situation, one or both types may be appropriate. The end-point for the interim export quota or other short-term recommendations should normally be no later than the date of fulfillment of the longer-term recommendations.

In the course of the Review of Significant Trade recommendations formulated may be directed to range States, to the Standing Committee or to other Parties. As such, recommendations should clearly indicate to whom the recommendation is directed.

Principles for making Recommendations

Recommendations to range States as part of the Review of Significant Trade should adhere to all of the following principles.

A recommendation should be:

1. Time-bound

Each recommendation should have a specified end-date for implementation. This end-date should not normally be less than 90 days after the date of transmission to the range State. Where possible, the end-dates for recommendations made at a Committee meeting should be aligned.

2. Feasible

a) A recommendation should be designed so that it will be possible to implement it in the time frame specified, in consideration of the range State's capacity.

b) More than one recommendation can be used but care should be taken to ensure the feasibility of the implementation of all recommendations within the given time frames.

3. Measureable

The recommendation should have a definitive indicator of completion that can be objectively measured.

4. Proportionate with the nature and severity of the risks

a) A recommendation should specifically address the problem related to the implementation of Article IV 2(a), 3 or 6(a) that has been identified through the review process.

b) A recommendation should be proportional to the severity of the risks to the species. Evaluation of risks should be undertaken in consideration of both the species' susceptibility to intrinsic or extrinsic factors that increase the risk of extinction, and the mitigating factors, such as management measures, that decrease the risk of extinction.

5. Transparent

   The relevant Committee should outline how its choice of recommendation is proportionate to the nature of and severity of the risks with reference to the consultant's report as applicable.

6. Aimed at building the capacity of the range State

   A recommendation should contribute to building of the long-term capacity of the range State to effectively implement Article IV of the Convention.

Recommendations directed to the Standing Committee or other Parties

Recommendations directed to the Standing Committee should also adhere to the principles of being time-bound, feasible, measurable, and proportionate with the nature and severity of the risks, transparent and aimed at building the capacity of the range State.

Conf. 12.10 (Rev. CoP15)*

为商业性目的人工繁育附录Ⅰ动物物种的设施的注册

忆及 第八次缔约方大会 (京都，1992)通过的 Conf. 8.15 号决议和第十一次缔约方大会 (吉吉里，2000)通过的 Conf. 11.14 号决议；

认识到 公约第七条第 4 款规定，以商业为目的而人工繁育的附录Ⅰ动物物种标本均应视为附录Ⅱ物种标本；

也**认识到** 对于不符合公约第七条第 4 款和第 5 款规定的豁免条件的附录Ⅰ动物物种标本，公约第三条的规定仍是允许其贸易的基础；

注意到 公约第三条第 3 款 (c)项排除了以建立商业性人工繁育设施为目的进口野外捕捉附录Ⅰ物种标本的可能，第五次缔约方大会 (布宜诺斯艾利斯，1985)通过并经第十五次缔约方大会 (多哈，2010)修订的 Conf. 5.10(Rev. CoP15)号决议对此已作了进一步的解释；

忆及 第十次缔约方大会 (哈拉雷，1997)通过并经第十一次缔约方大会修订的 Conf. 10.16 (Rev.)号决议，确定了“人工繁育”的定义，提供了确定一个设施是否具备注册资格的基础；

注意到 根据公约第七条第 5 款，为非商业性贸易目的进口人工繁育来源附录Ⅰ物种标本，当伴有人工繁育证明书，则并不要求签发进口许可证，因而无论是否属商业性目的，该进口均有可能得到批准；

公约缔约方大会

1. **确定** 公约第七条第 4 款中使用的“为商业性目的人工繁育”术语，应解释为指为获取经济利益而繁育的动物的任何标本，无论是以现金还是其他方式，其目的一般是销售、交换或提供服务或任何其他形式的经济用途或利益；
2. **同意** 公约第七条第 4 款所述的豁免，应通过为商业性目的而繁育附录Ⅰ物种的设施在秘书处注册来实现；
3. **同意** 使用下列程序来注册每个为商业性目的而人工繁育附录Ⅰ动物物种的设施；
4. **也同意** 确定为商业性目的人工繁育附录Ⅰ动物标本的出口是否适用公约第七条第 4 款的豁免规定，仍是出口国的管理机构的责任，其在科学机构确认有关设施遵守了 Conf. 10.16 (Rev.)号决议的规定之后做出决定；
5. **决定**：
   a) 只有当一个设施生产的标本符合 Conf. 10.16 (Rev.)号决议规定的“人工繁育”的标准时，方可根据本决议规定的程序进行注册；
   b) 各缔约方的管理机构对批准公约第七条第 4 款范畴内的人工繁育设施应该负有首要和主要责任，需咨询本国科学机构的意见；
   c) 管理机构应该向秘书处提供附件 1 规定的适当信息，以便获得并维持对每个人工繁育设施的注册；
   d) 秘书处应按照附件 2 规定的程序，将每个注册申请通知所有缔约方；

*经第十三、十四和十五次缔约方大会修订。

e) 对于为商业性目的而人工繁育动物设施所生产的附录Ⅰ物种标本，各缔约方应对其执行公约第四条的有关规定；

f) 业经注册的人工繁育设施应确保使用一种适当的、可靠的标记系统，以清晰识别所有繁殖基群和贸易用标本，并承诺今后还将采用新出现的更加先进的标记和识别方法；

g) 在科学机构的协作下，管理机构应监测其管辖范围内各个业经注册的人工繁育设施的管理，并在这些设施的状况发生较大变化或者用于出口的产品类型发生变动时向秘书处提出建议；

h) 任何缔约方无需征求他国意见即可直接通知秘书处，单方面要求将其管辖范围内业经注册的设施从注册名单中剔除，在这种情况下该设施应该立即被剔除；

i) 任何认为某一业经注册的设施没有遵守 Conf. 10.16 (Rev.)号决议的缔约方，经与秘书处和所涉缔约方协商后，可向公约常务委员会提议将该设施从注册名单中剔除。其后召开的常务委员会会议将考虑反对国的关注及注册国和秘书处提供的任何意见，确定是否应将有关设施从注册名单中剔除。一旦被剔除，该设施只能以符合本决议附件 2 规定的程序要求之后，才有可能重新获得注册；及

j) 管理机构应确保，该人工繁育设施将继续为满足该物种的保护需求做出有意义的贡献；

6. 敦促：

a) 各缔约方在建立外来物种的人工繁育设施前，应开展生态风险评估，以防止对当地的生态系统和本地物种产生任何负面影响；

b) 管理机构与人工繁育设施密切合作，准备本决议附件 1 要求的资料，或是成立一个由繁育机构代表和政府代表组成的支持工作组，促进该进程；及

c) 缔约方对人工繁育设施注册进行激励，如加快许可证申请处理程序，为国际注册的繁育机构签发正式证明，或在可能的前提下降低出口许可费用；

7. 鼓励：

a) 缔约方向希望注册的设施提供简明申请表和清晰的指示 (附件 3 提供了申请表样本)；及

b) 进口国为进口来自已注册的人工繁育设施的附录Ⅰ物种提供便利；

8. 进一步**同意：**

a) 对于 Conf. 5.10 (Rev. CoP15)决议所定义的以商业为根本目的人工繁育所获的附录Ⅰ标本的进口，各缔约方应仅允许与已在秘书处注册的设施开展。如果有关标本不是注册设施生产的，或者文件中没有描述每个标本采用的特定识别标记，缔约方应拒绝接受依据公约第七条第 4 款签发的任何文件；

b) 缔约方在与秘书处协商之前，不得接受非缔约方按照公约规定签发的相应文件；

9. 废除 以下所列决议：

a) Conf. 8.15 号决议 (京都，1992)——对以商业为根本目的而人工繁育附录Ⅰ动物物种的设施进行注册和监测的程序准则；及

b) Conf. 11.14 号决议 (吉吉里，2000)——对以商业为根本目的而人工繁育附录 I 动物物种的设施进行注册和监测的程序准则。

附件 1 管理机构需要向秘书处提供的拟注册设施的有关信息

1. 人工繁育设施的所有者和经营者的姓名和地址。
2. 建立日期。
3. 拟注册的附录 I 物种。
4. 组成亲本繁殖基群的雄体和雌体的数量和年龄 (如已知或适当)。
5. 能够证明亲本繁殖基群系依据国内措施和公约条款所获的证据 (如：带有日期的捕获许可证或发票，公约文件等)。
6. 现有基群 (除上述亲本繁殖基群以外其他个体按性别和年龄划分的数量)。
7. 死亡率信息，如有可能，应按年龄和性别报告。
8. 有关下列文件之一：
   a) 表明该设施至少已经繁殖出该物种子二代，并描述所使用的方法；
   b) 该设施如果只繁殖出该物种的子一代，应提交该设施使用的饲养方法与其他已经繁殖出子二代的设施所使用的饲养方法相同或相近的证明；
9. 过去、现在和预期的年繁殖量，如有可能，应提供以下信息：
   a) 每年繁殖后代的雌体数量；及
   b) 每年繁殖后代数量的异常波动 (包括对可能原因的解释)。
10. 说明为增加人工繁育种群的基因库以避免任何有害的近亲繁殖，估计需要补充多少标本来扩大繁殖基群，补充标本的来源如何。
11. 出口产品的类型 (如：活体标本、皮、皮革、其他身体部分等)。
12. 详细说明用于标记繁殖基群及其后代和出口类型标本 (如：皮、肉、活体动物等)的方法 (如：环志、标签、无线电发射器、烙印等)。
13. 描述管理机构为确认繁殖基群及其后代身份、及甄别未经批准而在注册设施掺杂饲养或被该设施出口或提供拟用于出口的标本而采用的检查和监测程序。
14. 描述用来饲养现在和预期人工繁育种群的设施情况，包括防止逃逸和/或偷窃的安全措施。应尽可能详尽地说明繁育和饲养圈舍、水槽、水塘的数量和大小、卵孵化能力、食物的生产或供应情况、兽医服务可用性及资料保管状况。
15. 说明该人工繁育设施从事的有利于提高该物种野生种群保护状况的战略或其他活动。
16. 确保该设施在任何阶段都会以人道的方式 (不残酷)对待动物。

附件 2 秘书处在注册新设施之前应遵守的程序

1. 对于所有申请：
   a) 对每个注册申请逐个进行审阅，核实该申请满足附件 1 的所有要求；

b) 向所有缔约方通报每一个注册申请，如果任一缔约方要求，秘书处应向其提供拟注册设施的完整资料 (附件 1 所列内容)；及

c) 在给缔约方的关于提出新注册人工繁育设施的通知中，详细说明该人工繁育设施使用的具体标记方法 (如可能，还包括识别代码或前缀)。

2. 任一希望对拟注册设施提出反对意见的缔约方，应在秘书处下发通知之日起 90 天内提出。如果意见直接与正在考虑的申请或物种相关，且提出了完整的文件，并包括支持引发关注的证据，则反对成立。

3. 如果任一缔约方反对某项注册，秘书处应该将有关文件提交动物委员会评估。动物委员会应在 60 天内对该反对意见提出意见。秘书处应把动物委员会提出的意见发送有关缔约方，并允许在 30 天之内解决被指出的问题。

4. 如果反对意见在 30 天之内没有被撤回或者已指出的问题没有被解决，该申请将被递交常务委员会，供其下次常规会议期间进行审议。

a) 如果委员会认为反对理由不充分或缺乏确实根据，将予以拒绝且注册申请将被接受。

b) 如果委员会认为反对理由成立，委员会将审议注册申请国提出的回应，并决定是否接受该注册申请。

5. 如果确认注册申请满足附件 1 的所有要求，则秘书处将该设施的名称和其他详情在注册清单上公布；

附件 3 申请表样本

1. 联系资料

给出人工繁育设施所有者和管理者的姓名和地址。

所有者姓名：		
管理者姓名 (如与所有者不同)		
人工繁育设施名称：		
街道与号码：		
城市：	**邮编：**	**州/省**
国家：		
电话：	**传真：**	**电邮：**
网址：		

2. 建立日期：

3. 繁育的物种

给出拟注册的附录Ⅰ物种。

学名	普通名 (如适用)

4. 亲本繁殖基群

组成亲本繁殖基群的雄体和雌体的数量和年龄 (如清楚或适当)。

物种	标本名称 (如适用)	标本的识别号码 (环志、标签、微芯片等)	性别	年龄 (如已知或适当)
总数：				

5. 合法来源的证据

能够证明亲本繁殖基群系依据国内措施或公约条款所获的证据 (如：带有日期的猎捕许可证或发票，公约文件等)。

(附上申请表格支持文件的复印件)

6. 其他基群

现有基群 (除上述亲本繁殖基群以外其他个体按性别和年龄划分的数量)

物种 (仅列出拟注册的)	标本名称 (如适用)	标本的识别号码 (环志、标签、微芯片等)	性别	年龄
总数：				

7. 死亡率

提供死亡率信息，如有可能，应按年龄和性别报告。

年份	死亡率 (%)	年龄或年龄组	性别

8. 繁殖

提供下列文件之一：

a) 表明该设施至少已经繁殖出该物种子二代，并描述所使用的方法；或	
b) 该设施如果只繁殖出该物种的子一代，应提交该设施使用的饲养方法与其他已经繁殖出子二代的设施所使用的饲养方法相同或相近的证明。	

(附上申请表必需的支持文件)

9. 年产量

提供过去、现在和预期的年繁殖量，如有可能，应提供以下信息：

a) 每年繁殖后代的雌体数量；及

b) 每年繁殖后代数量的异常波动 (包括对可能原因的解释)。

年	后代数量 (包括预期年产量)	繁育后代雌性数量	异常波动的解释

10. 补充标本需求

说明为增加人工驯养种群的基因库以避免任何有害的近亲繁殖，估计需要补充多少标本来扩大繁殖基群，补充标本的来源如何。	

11. 出口产品类型

说明出口产品的类型 (如：活体标本、皮、皮革、其他身体部分等)。	

12. 标记方法

详细说明用于标记繁殖基群及其后代和出口类型标本 (如：皮、肉、活体动物等)的方法 (如：环志、标签、无线电发射器、烙印等)。

标本	标记方法
繁殖基群	
后代	
出口的标本 (每行一种出口标本)	

13. 检查和监测程序

描述管理机构为确认繁殖基群及其后代身份、及甄别未经批准而在注册设施掺杂饲养或被该设施出口或提供拟用于出口的标本而采用的检查和监测程序。	

14. 设施

描述用来饲养现在和预期人工养殖种群的设施情况，包括防止逃逸和/或偷窃的安全措施。应尽可能详尽地说明繁育和饲养圈舍、水槽、水塘的数量和大小、卵孵化能力、食物的生产或供应情况、兽医服务可用性及记录保存状况。

用来饲养现在和预期人工养殖种群的设施情况	
安全措施	

繁育和饲养圈舍、水槽、水塘的数量和大小	
卵孵化能力 (如适用)	
食物的生产或供应	
兽医服务可用性	
记录保存	

15. 保护

说明该人工繁育设施从事的有利于提高该物种野生种群保护状况的战略或其他活动;	

16. 动物管护

说明该设施如何确保在任何阶段都会以人道的方式 (不残酷)对待动物。	

Conf. 12.10 (Rev. CoP15)*

Registration of operations that breed Appendix-I animal species in captivity for commercial purposes

RECALLING Resolution Conf. 8.15, adopted by the Conference of the Parties at its eighth meeting (Kyoto, 1992) and Resolution Conf. 11.14, adopted at its 11th meeting (Gigiri, 2000);

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 also that the provisions of Article III of the Convention remain the basis for permitting trade in specimens of Appendix-I species of animals that do not qualify for the exemptions of paragraphs 4 and 5 of Article VII;

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), as explained further in Resolution Conf. 5.10 (Rev. CoP15), adopted by the Conference of the Parties at its fifth meeting (Buenos Aires, 1985) and amended at its 15th meeting (Doha, 2010);

RECALLING that Resolution Conf. 10.16 (Rev.), adopted by the Conference of the Parties at its 10th meeting (Harare, 1997) and amended at its 11th meeting, establishes the definition of 'bred in captivity' and provides the basis for determining whether or not an operation is eligible to be considered for registration;

NOTING that, in accordance with Article VII, paragraph 5, the import of specimens of Appendix-I species bred in captivity not for commercial purposes that are covered by a certificate of captive breeding does not require the issuance of an import permit and may therefore be authorized whether or not the purpose is commercial;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. DETERMINES that the term 'bred in captivity for commercial purposes', as used in Article VII, paragraph 4, shall be interpreted as referring to any specimen of an animal bred to obtain economic benefit, whether in cash or otherwise, where the purpose is directed toward sale, exchange or provision of a service or any other form of economic use or benefit;

2. AGREES that the exemption of Article VII, paragraph 4, should be implemented through the registration by the Secretariat of operations that breed specimens of Appendix-I species in captivity for commercial purposes;

3. AGREES to the following procedure to register a captive-breeding operation for each Appendix-I listed animal species bred for commercial purposes;

4. AGREES also that determination of whether or not to apply the exemptions in Article VII, paragraph 4, for the export of specimens of Appendix-I animals bred in captivity for commercial purposes remains the responsibility of the Management Authority of the exporting Party on the advice of the Scientific Authority that each operation complies with the provisions of Resolution Conf. 10.16 (Rev.);

5. RESOLVES that:

   a) an operation may only be registered according to the procedure in this Resolution if specimens produced by that operation qualify as 'bred in captivity' according to the provisions of Resolution Conf. 10.16 (Rev.);

   b) 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;

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* *Amended at the 13th, 14th and 15th meetings of the Conference of the Parties.*

c) the Management Authority shall provide the Secretariat with appropriate information to obtain, and to maintain, the registration of each captive-breeding operation as set out in Annex 1;

d) the Secretariat shall notify all Parties of each application for registration following the procedure set out in Annex 2;

e) Parties shall 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;

f) registered captive-breeding operations shall ensure that an appropriate and secure marking system is used to clearly identify all breeding stock and specimens in trade, and shall undertake to adopt superior marking and identification methods as these become available;

g) the Management Authority, in collaboration with the Scientific Authority, shall monitor the management of each registered captive-breeding operation under its jurisdiction and advise the Secretariat in the event of any major change in the nature of an operation or in the type(s) of products being produced for export;

h) 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, and, in this case, the operation shall be removed immediately;

i) any Party believing that a registered operation does not comply with the provisions of Resolution Conf. 10.16 (Rev.) may, after consultation with the Secretariat and the Party concerned, propose to the Standing Committee that this operation be deleted from the Register. At its following meeting, the Standing Committee shall, considering the concerns raised by the objecting Party and any comments from the Registering Party and the Secretariat, determine whether the operation should be deleted from the register. If so deleted, such an operation may only be reinstated in the Register by satisfying the procedure outlined in Annex 2; and

j) the Management Authority shall satisfy itself that the captive-breeding operation will make a continuing meaningful contribution according to the conservation needs of the species concerned;

6. URGES that:

a) Parties, prior to the establishment of captive-breeding operations for exotic species, undertake an assessment of the ecological risks, in order to safeguard against any negative effects on local ecosystems and native species;

b) Management Authorities work closely with captive-breeding operations to prepare the information required in Annex 1 of this Resolution, or establish a support group with members representing breeders and government in order to facilitate the procedure; and

c) Parties provide incentives to their captive-breeding operations to register, such as faster processing of permit applications, issuance of a formal certificate of approval as an internationally registered breeding operation, or possibly reduced export permit fees;

7. ENCOURAGES:

a) Parties to provide simple application forms and clear instructions to operations that wish to be registered (a sample application form is provided in Annex 3); and

b) importing countries to facilitate import of Appendix-I species from registered captive-breeding operations;

8. AGREES further that:

a) Parties shall restrict imports for primarily commercial purposes, as defined in Resolution Conf. 5.10 (Rev. CoP15), of captive-bred specimens of Appendix-I species to those produced by operations included in the Secretariat's Register and shall reject any document granted under Article VII, paragraph 4, if the specimens concerned do not originate from such an operation and if the document does not describe the specific identifying mark applied to each specimen; and

b) comparable documentation granted in accordance with the Convention by States that are not Parties to the Convention shall not be accepted by Parties without prior consultation with the Secretariat; and

9. REPEALS the Resolutions listed hereunder:

   a) Resolution Conf. 8.15 (Kyoto, 1992) – *Guidelines for a procedure to register and monitor operations breeding Appendix-I animal species for commercial purposes;* and

   b) Resolution Conf. 11.14 (Gigiri, 2000) – *Guidelines for a procedure to register and monitor operations that breed Appendix-I animal species for commercial purposes.*

Annex 1

Information to be provided to the Secretariat by the Management Authority on operations to be registered

1. Name and address of the owner and manager of the captive-breeding operation.
2. Date of establishment.
3. Appendix-I species proposed for registration.
4. Numbers and ages (if known or appropriate) of males and females that comprise the parental breeding stock.
5. Evidence that the parental stock has been obtained in accordance with relevant national measures and the provisions of the Convention (e.g. dated capture permits or receipts, CITES documents, etc.).
6. Current stock (numbers, by sex and age, held in addition to the parental breeding stock above).
7. Information on the percentage mortalities, if possible reported by age and sex.
8. Documentation showing either:
   a) that the operation has bred at least two generations of the species and a description of the method used; or
   b) if the operation has only bred one generation of the species, that the husbandry methods used are the same as, or similar to, those that have resulted in second-generation offspring in other operations.
9. Past, current and expected annual production of offspring and, where possible, information on:
   a) the number of females producing offspring each year; and
   b) unusual fluctuations in the annual production of offspring (including an explanation of the probable cause).
10. An assessment of the anticipated need for, and source of, additional specimens to augment the breeding stock to increase the genetic pool of the captive population in order to avoid any deleterious inbreeding.
11. Type of product exported (e.g. live specimens, skins, hides, other body parts, etc.).
12. Detailed description of the marking methods (e.g. bands, tags, transponders, branding, etc.) used for the breeding stock and offspring and for the types of specimens (e.g. skins, meat, live animals, etc.) that will be exported.
13. Description of the inspection and monitoring 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 or exported by the operation, or being exported.

14. Description of the facilities to house the current and expected captive stock, including security measures to prevent escapes and/or thefts. Detailed information should be provided on the number and size of breeding and rearing enclosures, tanks, ponds, egg incubation capacity, food production or supply, availability of veterinary services and record-keeping.

15. Description of the strategies used or activities conducted by the breeding operation to contribute to the conservation of wild population(s) of the species.

16. Assurance that the operation shall be carried out at all stages in a humane (non-cruel) manner.

Annex 2 Procedure to be followed by the Secretariat before registering new operations

1. For all applications:

   a) review each application for registration to verify that it meets the requirements of Annex 1;

   b) notify all Parties of each application for registration and provide full information (specified in Annex 1) on the operation to any Party that requests it; and

   c) publish with the Notifications to the Parties proposing new captive-breeding operations to be added to the Register, details of the specific marking method (and the identifying codes or prefixes, where possible) used by the captive-breeding operation.

2. Any Party wishing to do so must object to the registration of an operation within a period of 90 days from the date of notification by the Secretariat. Objections may be made if they are directly related to the application or species under consideration, and if they are fully documented and include the supporting evidence that has given rise to concerns.

3. If any Party objects to the registration, the Secretariat shall refer the documentation to the Animals Committee to review the objection. The Animals Committee shall comment on the objection within 60 days. The Secretariat shall forward the comments made by the Animals Committee to the Parties concerned and allow a further 30 days for resolution of the identified problem(s).

4. If the objection is not withdrawn or the identified problem(s) not resolved within the 30-day period, the application shall be submitted to the Standing Committee at its following regular meeting.

   a) If the Committee considers the objection trivial or ill-founded, it shall reject it and the application shall be accepted.

   b) If the Committee considers the objection justified, it shall review the response of the applying Party and decide whether or not to accept the application.

5. When satisfied that an application meets all requirements in Annex 1, the Secretariat shall publish the name and other particulars of the operation in its Register.

Annex 3 Sample application form

1. CONTACT DETAILS

Indicate the name and address of the owner and manager of the captive-breeding operation.

Name of owner:		
Name of manager (if different from owner):		
Name of captive-breeding operation:		
Street and number:		
City:	**Postcode:**	**State / province:**
Country:		
Tel.:	**Fax:**	**Email:**
Website:		

2. DATE OF ESTABLISHMENT: .....

3. SPECIES BRED

Indicate the Appendix-I species proposed for registration.

Scientific name	Common name (if applicable)

4. PARENTAL BREEDING STOCK

Indicate the numbers and ages (if known or appropriate) of males and females that comprise the parental breeding stock.

Species	Name of specimen (if applicable)	Identification number of specimen (band, tag, microchip. etc.)	Sex	Age (if known or appropriate)
Total number(s):				

5. PROOF OF LEGAL ACQUISITION

Provide evidence that the parental stock has been obtained in accordance with relevant national measures and the provisions of the Convention (e.g. dated capture permits or receipts, CITES documents, etc.).

(Attach copies of supporting documents to the application form)

6. OTHER STOCK

Indicate the current stock (numbers, by sex and age, held in addition to the parental breeding stock above).

Species (only list those proposed for registration)	Name of specimen (if applicable)	Identification number of specimen (band, tag, microchip. etc.)	Sex	Age
Total number(s):				

7. MORTALITY RATE

Provide information on the mortality rate, if possible reported by age and sex.

Year	Mortality rate (%)	Age or age group	Sex

8. REPRODUCTION

Provide documentation showing either:

a) that the operation has bred at least two generations of the species and a description of the method used; **or**	
b) if the operation has only bred one generation of the species, that the husbandry methods used are the same as, or similar to, those that have resulted in second-generation offspring in other operations.	

(Attach supporting documentation to the application form as necessary)

9. ANNUAL PRODUCTION

Indicate the past, current and expected annual production of offspring and, where possible, information on:

a) the number of females producing offspring each year; and

b) unusual fluctuations in the annual production of offspring (including an explanation of the probable cause).

Year	Number of offspring (including expected annual production)	Number of females producing offspring	Explanation for unusual fluctuations

10. NEED FOR ADDITIONAL SPECIMENS

Provide an assessment of the anticipated need for, and source of, additional specimens to augment the breeding stock to increase the genetic pool of the captive population in order to avoid any deleterious inbreeding.	

11. TYPE OF PRODUCT EXPORTED

Indicate the type of product exported (e.g. live specimens, skins, hides, other body parts, etc.).	

12. MARKING METHODS

Describe in detail the marking methods (e.g. bands, tags, transponders, branding, etc.) used for the breeding stock and offspring and for the types of specimens (e.g. skins, meat, live animals, etc.) that will be exported.

Specimens	Marking methods
Breeding stock	
Offspring	
Exported specimen (one line per type of specimen)	

13. INSPECTION AND MONITORING PROCEDURES

Describe the inspection and monitoring 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 or exported by the operation, or being exported.	

14. FACILITIES

Describe the facilities to house the current and expected captive stock, including security measures to prevent escapes and/or thefts. Provide detailed information on the number and size of breeding and rearing enclosures, tanks, ponds, egg incubation capacity, food production or supply, availability of veterinary services and record-keeping.

Facilities to house the current and expected captive stock	
Security measures	
Number and size of breeding and rearing enclosures, tanks or ponds	
Egg incubation capacity (if applicable)	
Food production or supply	
Availability of veterinary services	
Record-keeping	

15. CONSERVATION

Describe the strategies used or activities conducted by the breeding operation to contribute to the conservation of wild population(s) of the species.	

16. ANIMAL TREATMENT

Describe how the operation is carried out at all stages to ensure that animals are treated in a humane (non-cruel) manner.	

Conf. 12.11 (Rev. CoP18)*

标准命名

忆及 第十一次缔约方大会 (吉吉里，2000)通过的Conf. 11.22号决议；

注意到 生物学命名是动态变化的；

意识到 一些科内的属名及种名需加以标准化，且目前因缺少资料充分的标准命名参考文献而削弱了CITES在保护其附录所列的许多物种方面的实施效果；

认识到 公约附录所采用的分类学如果按照命名文献加以标准化，将对各缔约方最为有用；

意识到 前命名委员会已经确定了哪些分类单元的名称应该加以变更，以反映生物学中的接受用法；

注意到 上述分类单元名称的改变应得到公约缔约方大会的批准；

认识到 公约附录中包含了一些存在家养型的分类单元，并且在某些情况下，缔约方选择对受保护的分类单元采用不同于标准命名中引用的名称来区别其野生型和家养型；

认识到 各缔约方在新的物种列入附录提案中，只要可用，应使用已被采纳的标准参考文献；

考虑到 当目前附录所列的很多亚种出现在贸易中时，对其进行识别存在大量实际困难，同时考虑到，为便于执法，应更看重亚种识别的容易性而非地理起源的可靠性；及

承认 希望在与生物多样性相关的多边环境协议中所采用的物种命名法的尽可能统一，并注意到，这一目标已得到与生物多样性相关的公约科学顾问团体主席的认可；

公约缔约方大会

1. **同意** 真菌类物种属公约管制范围；

2. **建议：**

   a) 一个亚种仅在其被普遍认为是一个有效的分类单元且在贸易中易于鉴别时，才能被建议列入附录；

   b) 如有鉴别困难，可以将整个物种列入附录I或附录II，或者通过圈定亚种的受保护范围并以国家为单位将上述范围的内的种群列入附录，以此解决所遇到的问题；

   c) 如果附录中所列的某个分类单元存在家化型，应由动植物委员会为该分类单元的野生型和家养型推荐命名；

   d) 当提交有关公约附录修订提案时，提案国应注明用来描述提案所涉对象所用的参考文献；

   e) 在收到有关公约附录修订提案后，如适当，秘书处应就如何对提案涉及的物种或其他分类单元进行命名适当地向动植物委员会征求意见；

   f) 当附录所列分类单元的名字修改提案提出时，秘书处应在同动物或植物委员会协商后，确定此次修改是否会改变公约对野生动植物种的保护范围。如果此次修改重新界定相应的分类单元，动物或植物委员会应评估接受此次修改是否会引起新的物种列入附录或附录物种被删除。 如果会造成这种后果，则应要求公约保存国

* 经第十三、十四、十五、十六、十七和十八次缔约方大会修订。

政府按照动植物委员会的建议提交一份附录修订提案，以便使原始提案的初衷得到保持。这种考虑到动植物委员会建议的提案应提交下一次缔约方大会例会讨论；

g) 如果动物或植物委员会对附录III的分类单元的提出命名修改，其应就该修改是否造成分布地的变化给秘书处提供建议，因为分布地的变化会影响哪些国家需要签署原产地证明书；

h) 如果因缔约方大会没有通过关于某个分类单元的标准命名参考文献，而在选择该分类单元的分类学典据时出现争议，则批准出口该分类单元的动植物 (或其部分或衍生物)的国家应将其使用的已公开出版的分类学典据通知公约秘书处及预期的进口国；“分类学典据”是指最近出版的论述该出口的分类单元的命名问题并经相关学科的专业人员审核过的论文或专题论著。当该分类单元的标本从多个国家出口，而这些出口国，或出口国和进口国不能就相应的分类学典据达成一致意见时，则由动物或植物委员会确定最适当的分类学典据，直至缔约方大会做出正式的决定。动物或植物委员会应在其提交缔约方大会的报告中包含这种过渡性的决定，以供缔约方大会决定。秘书处则应将动物或植物委员会的过渡性决定通告缔约方；

i) 如果某次缔约方大会要讨论命名目录，则秘书处至少应在该次大会召开6个月前获得那些将要被指定为标准命名参考文献的名录的引文出处 (和订阅信息)。秘书处应以通知的形式将这些信息转达给缔约方，以便缔约方能提前获得这些名录，在大会召开前进行相应的审议；

j) 应在每次缔约方大会的150天之前，给出关于更新现有的或采纳新的标准命名参考文献的最终建议；

k) 当动植物委员会建议对拟被列入附录的某一分类单元的命名进行修改时，也应提供一份分类单元修改对公约实施产生影响的评估报告。

3. **建议** 按以下程序更新现有的或采纳新的标准命名参考文献：

a) 关于更新现有的或采纳新的标准命名参考文献的程序，应由动植物委员会按其工作安排直接启动或是由以下各方提交给委员会的一份提案启动：

i) 由一个或多个缔约方提交；或

ii) 秘书处主动提交，或对其从缔约方收到的信息进行反馈；

b) 所提出的改变应基于被认可的分类学出版物。如果所提出的关于某分类单元命名地位的修订仍在讨论之中，则不能采纳该新的分类系统；

4. **决定** 秘书处在同动植物委员会协商后可以在不征求缔约方大会意见的情况下对公约附录所列物种的命名拼写进行修改，但应将这种修改通报各缔约方；

5. **指示** 秘书处与动植物委员会中的分类命名专家密切合作，在实施与其他生物多样性相关的多边环境协定的理解或合作备忘录或其他项目时，寻找途径，与这些协定相应条款中包含的物种分类与名称相统一；

6. **批准** 把本决议附件所列的分类学和命名文献作为公约附录所列物种的正式标准参考文献；

7. **认为** 应当把联合国环境规划署 (UNEP)世界保护监测中心 (WCMC)于2005年汇编的《CITES 物种清单》 (Checklist of CITES Species)及其更新部分作为标准参考文献所含科学名称的正式摘要，并认为这一目录及其更新部分充分反映了原始物种提案所

包含的分类学和命名旨意、动植物委员会的建议、及缔约方大会为附录所列物种而通过的标准参考文献所包括的全部可接受的分类单元名称；

8. **同意** 缔约方大会批准采用某个标准名录或参考文献并不意味着其本身会自动因此改变CITES同任何分类单元 (无论该分类单元是否已经被列入CITES的附录)之间的关系；任何已被列入CITES附录的分类单元仍将保持当初将其列入附录的提案所表达的含义，除非通过批准另外一份修订提案来专门予以改变，除非新的修订提案被采用来专门予以修改；

9. **敦促** 缔约方赋予其科学机构以下主要职责：

   a) 解释附录；

   b) 适当时与动、植物委员会商议；

   c) 确定哪些命名方面的问题有待CITES的某个恰当的委员会进一步审议；适当时，还可以起草有关附录修订的提案；及

   d) 向清单的编制和维护提供支持和合作；

10. **要求** 秘书处在完成每一份兰科标准命名参考文献后立即将其提供给各缔约方；及

11. **指示** 秘书处与动、植物委员会密切合作，促使生物多样性环境多边协议间分类和命名协调一致；及

12. **废除** Conf. 11.22号决议— 标准命名 (吉吉里，2000)。

附件　缔约方大会采纳的标准文献列表

动物			
		所涉类群	分类学文献
哺乳纲			
		所有哺乳纲类群，除以下物种野生型名称 (而非家养型名称) 外： Bos gaurus, Bos mutus, Bubalus arnee, Equus africanus, Equus przewalski 及除以下标注的哺乳纲类群外	WILSON, D. E. & REEDER, D. M. (ed.) (2005).Mammal Species of the World.A Taxonomic and Geographic Reference.Third edition, Vol. 1-2, xxxv + 2142 pp. Baltimore (John Hopkins University Press).
偶蹄目	牛科	*Ovis spp.*	VALDEZ, R. & WEINBERG, P.J. (2011).Species accounts 188-207 for Ovis spp., pp. 727-739 in WILSON, D.E., & MITTERMEIER, R.A. (eds.), Handbook of the Mammals of the World.Vol.2.Hoofed Mammals.Lynx Edicions, Barcelona. ISBN 978-84-96553-77-4.
	骆驼科	*Lama guanicoe*	WILSON, D. E. & REEDER, D. M. (1993):Mammal Species of the World: a Taxonomic and Geographic Reference. Second edition. xviii + 1207 pp., Washington (Smithsonian Institution Press).
食肉目	猫科	猫科所有种，	KITCHENER A. C., BREITENMOSER-WÜRSTEN CH., EIZIRIK E., GENTRY A., WERDELIN L., WILTING A., YAMAGUCHI N., ABRAMOV A. V., CHRISTIANSEN P., DRISCOLL C., DUCKWORTH J. W., JOHNSON W., LUO S.-J., MEIJAARD E., O'DONOGHUE P., SANDERSON J., SEYMOUR K., BRUFORD M., GROVES C., HOFFMANN M., NOWELL K., TIMMONS Z. & TOBE S. (2017). A revised taxonomy of the Felidae.The final report of the Cat Classification Task Force of the IUCN/SSC Cat Specialist Group.Cat News Special Issue 11, 80 pp.
鲸目	须鲸科	*Balaenoptera omurai*	WADA, S., OISHI, M. & YAMADA, T. K. (2003).A newly discovered species of living baleen whales. –Nature, 426: 278-281.
	海豚科	*Orcaella heinsohni*	BEASLY, I., ROBERTSON, K. M. & ARNOLD, P. W. (2005).Description of a new dolphin, the Australian Snubfin Dolphin, Orcaella heinsohni sp. n. (Cetacea, Delphinidae). -- Marine Mammal Science, 21 (3): 365-400.

	海豚科	*Sotalia fluviatilis* *Sotalia guianensis*	CABALLERO, S., TRUJILLO, F., VIANNA, J. A., BARRIOS-GARRIDO, H., MONTIEL, M. G., BELTRÁN-PEDREROS, S., MARMONTEL, M., SANTOS, M. C., ROSSI-SANTOS, M. R. & BAKER, C. S. (2007). Taxonomic status of the genus Sotalia: species level ranking for "tucuxi" (Sotalia fluviatilis) and "costero" (Sotalia guianensis) dolphins. -Marine Mammal Science, 23: 358-386.
	海豚科	*Sousa plumbea* *Sousa sahulensis*	JEFFERSON, T. A.& ROSENBAUM, H. C. (2014).Taxonomic revision of the humpback dolphins (Sousa spp.), and description of a new species from Australia.Marine Mammal Science, 30 (4): 1494-1541.
	海豚科	*Tursiops australis*	CHARLTON-ROBB, K., GERSHWIN, L.-A., THOMPSON, R., AUSTIN, J., OWEN, K. & MCKECHNIE, S. (2011).A new dolphin species, the Burrunan Dolphin Tursiops australis sp. nov., endemic to southern Australian coastal waters.PLoS ONE, 6 (9): e24047.
	亚马孙河豚科	*Inia araguaiaensis*	HRBEK, T., DA SILVA, V. M. F., DUTRA, N., GRAVENA, W., MARTIN, A. R. & FARIAS, I. P. (2014): A new species of river dolphin from Brazil or: How little do we know our biodiversity. PLoS ONE 83623: 1-12.
	鼠海豚科	*Neophocaena asiaeorientalis*	JEFFERSON, T. A.& ROSENBAUM, H. C.JEFFERSON, T. A. & WANG, J. Y. (2011).Revision of the taxonomy of finless porpoises (genus Neophocaena): The existence of two species.Journal of Marine Animals and their Ecology, 4 (1): 3-16.
	抹香鲸科	*Physeter macrocephalus*	RICE, D. W. (1998).Mammal Species of the World: Systematics and Distribution - Society of Marine Mammalogy Special Publication Number 4, The Society for Marine Mammalogy, Lawrence, Kansas.
	淡水豚科	*Platanista gangetica*	RICE, D. W., (1998).Mammal Species of the World: Systematics and Distribution - Society of Marine Mammalogy Special Publication Number 4, The Society for Marine Mammalogy, Lawrence, Kansas.
	喙鲸科	*Mesoplodon hotaula*	DALEBOUT, M. L., SCOTT BAKER, C., STEEL, D., THOMPSON, K., ROBERTSON, K. M., CHIVERS, S. J., PERRIN, W. F., GOONATILAKE, M., ANDERSON, C. R., MEAD, J. G., POTTER, C. W., THOMPSON, L., JUPITER, D. & YAMADA, T. K. (2014). Resurrection of Mesoplodon hotaula Deraniyagala 1963: A new species of beaked whale in the tropical Indo-Pacific.Marine Mammal Science, 30 (3): 1081-1108.
灵长目	蛛猴科	*Ateles geoffroyi*	RYLANDS, A. B., GROVES, C. P., MITTERMEIER, R. A., CORTES-ORTIZ, L. & HINES, J. J. (2006).Taxonomy and distributions of Mesoamerican primates. In: A. ESTRADA, P. GARBER, M. PAVELKA and L. LUECKE (eds), New Perspectives in the Study of Mesoamerican Primates: Distribution, Ecology, Behavior and Conservation, pp. 29–79.

			Springer, New York, USA.
	青猴科	Aotus jorgehernandezi	DEFLER, T. R. & BUENO, M. L. (2007). *Aotus* diversity and the species problem. – *Primate Conservation*, **22**: 55-70.
	悬猴科	*Callithrix manicorensis*	GARBINO, T. & SINICIATO, G. (2014). The taxonomic status of *Mico marcai* (Alperin 1993) and *Mico manicorensis* (van Roosmalen *et al.* 2000) (Cebidae, Callitrichinae) from Southwestern Brazilian Amazonia. *International Journal of Primatology*, **35** (2): 529-546. (for *Mico marcai* lumped with *Mico manicorensis* treated as *Callithrix manicorensis* under CITES]
	悬猴科	*Cebus flavius*	OLIVEIRA, M. M. DE & LANGGUTH, A. (2006). Rediscovery of Marcgrave's Capuchin Monkey and designation of a neotype for *Simia flava* Schreber, 1774 (Primates, Cebidae). – Boletim do Museu Nacional do Rio de Janeiro, N.S., *Zoologia*, **523**: 1-16.
	悬猴科	*Mico rondoni*	FERRARI, S. F., SENA, L., SCHNEIDER, M. P. C. & JÚNIOR, J. S. S. (2010). Rondon's Marmoset, *Mico rondoni* sp. n., from southwestern Brazilian Amazonia. *International Journal of Primatology*, **31**: 693-714.
	悬猴科	*Saguinus ursulus*	GREGORIN, R. & DE VIVO, M. (2013). Revalidation of *Saguinus ursula* Hoffmannsegg (Primates:悬猴科 Callitrichinae). *Zootaxa*, **3721** (2): 172-182.
	悬猴科	*Saimiri collinsi*	MERCES, M. P., ALFARO, J. W. L., FERREIRA, W. A. S., HARADA, M. L. & JÚNIOR, J. S. S. (2015). Morphology and mitochondrial phylogenetics reveal that the Amazon River separates two eastern squirrel monkey species: *Saimiri sciureus* and *S. collinsi*. *Molecular Phylogenetics and Evolution*, **82**: 426-435.
	猴科	*Cercopithecus lomamiensis*	HART, J.A., DETWILER, K.M., GILBERT, C.C., BURRELL, A.S., FULLER, J.L., EMETSHU, M., HART, T.B., VOSPER, A., SARGIS, E.J. & TOSI, A.J. (2012). Lesula: A new species of *Cercopithecus* monkey endemic to the Democratic Republic of Congo and implications for conservation of Congo's Central Basin. *PLoS ONE*, **7** (9): e44271.
	猴科	*Macaca munzala*	SINHA, A., DATTA, A., MADHUSUDAN, M. D. & MISHRA, C. (2005). *Macaca munzala*: A new species from western Arunachal Pradesh, northeastern India. *International Journal of Primatology*, **26** (4): 977-989: doi:10.1007/s10764-005-5333-3.
	猴科	*Rhinopithecus strykeri*	GEISMANN, T., LWIN, N., AUNG, S. S., AUNG, T. N., AUNG, Z. M., HLA, T. H., GRINDLEY, M. & MOMBERG, F. (2011). A new species of snub-nosed monkey, genus *Rhinopithecus* Milne-Edwards, 1872 (Primates, Colobinae), from Northern Kachin State, Northeastern Myanmar. – *American Journal of Primatology*, **73**: 96-107.
	猴科	*Rungwecebus kipunji*	DAVENPORT, T. R. B., STANLEY, W. T., SARGIS, E. J., DE LUCA, D. W., MPUNGA, N.

			E., MACHAGA, S. J. & OLSON, L. E. (2006). A new genus of African monkey, *Rungwecebus*: Morphology, ecology, and molecular phylogenetics. *Science*, **312**: 1378-1381.
	猴科	*Trachypithecus villosus*	BRANDON- JONES, D., EUDEY, A. A., GEISSMANN, T., GROVES, C. P., MELNICK, D. J., MORALES J. C., SHEKELLE, M. & STEWARD, C.-B. (2004). Asian primate classification. *International Journal of Primatology*, **25**: 97-163.
	猴科	*Cheirogaleus lavasoensis*	THIELE, D., RAZAFIMAHATRATRA, E. & HAPKE, A. (2013). Discrepant partitioning of genetic diversity in mouse lemurs and dwarf lemurs – biological reality or taxonomic bias? *Molecular Phylogenetics and Evolution*, **69**: 593-609.
	猴科	*Microcebus gerpi*	RADESPIEL, U., RATSIMBAZAFY, J. H., RASOLOHARIJAONA, S., RAVELOSON, H., ANDRIAHOLINIRINA, N., RAKOTONDRAVONY, R., RANDRIANARISON, R. M. & RANDRIANAMBININA, B. (2012). First indications of a highland specialist among mouse lemurs (Microcebus spp.) and evidence for a new mouse lemur species from eastern Madagascar.灵长目 157-170.
	猴科	*Microcebus marohita* *Microcebus tanosi*	RASOLOARISON, R. M., WEISROCK, D. W., YODER, A. D., RAKOTONDRAVONY, D. & KAPPELER, P. M. [2013]. Two new species of mouse lemurs (Cheirogaleidae: *Microcebus*) from Eastern Madagascar. - *International Journal of Primatology*, **34:** 455-469.
	长臂猿科	*Nomascus annamensis*	VAN NGOC THINH, MOOTNICK, A. R., VU NGOC THANH, NADLER, T. & ROOS, C. (2010). A new species of crested gibbon from the central Annamite mountain range. Vietnamese Journal of Primatology, **4**: 1- 12.
	懒猴科	*Nycticebus kayan*	MUNDS, R.A., NEKARIS, K.A.I. & FORD, S.M. (2013). Taxonomy of the bornean slow loris, with new species *Nycticebus kayan* (Primates, Lorisidae). *American Journal of Primatology*, **75**: 46-56.
	狐尾猴科	*Cacajao melanocephalus* *Cacajao oukary*	FERRARI, S. F., GUEDES, P. G., FIGUEIREDO-READY, W. M. B. & BARNETT, A. A. (2014). Reconsidering the taxonomy of the Black-faced Uacaris, *Cacajao melanocephalus* group (Mammalia: Pitheciidae), from the northern Amazon Basin. *Zootaxa*, **3866** (3): 353-370.
	狐尾猴科	*Callicebus aureipalatii*	WALLACE, R. B., GÓMEZ, H., FELTON, A. & FELTON, A. (2006). On a new species of titi monkey, genus *Callicebus* Thomas (Primates, Pitheciidae), from western Bolivia with preliminary notes on distribution and abundance. *Primate Conservation*, **20**: 29-39.
	狐尾猴科	*Callicebus caquetensis*	DEFLER, T. R., BUENO, M. L. & GARCÍA, J. (2010). *Callicebus caquetensis*: a new and Critically Endangered titi monkey from southern Caquetá, Colombia. *Primate Conservation*, **25**: 1-9.

	狐尾猴科	*Callicebus vieira*	GUALDA-BARROS, J., NASCIMENTO, F. O. & AMARAL, M. K. (2012). A new species of *Callicebus* Thomas, 1903 (Primates, Pitheciidae) from the states of Mato Grosso and Pará, Brazil. *Papéis Avulsos de Zoologia (São Paulo)*, **52**: 261-279.
	狐尾猴科	*Callicebus miltoni*	DALPONTE, J. C., SILVA, F. E. & SILVA JÚNIOR, J. S. (2014). New species of titi monkey, genus *Callicebus* Thomas, 1903 (Primates, Pitheciidae), from Southern Amazonia, Brazil. *Papéis Avulsos de Zoologia, São Paulo*, **54**: 457-472.
	狐尾猴科	*Pithecia cazuzai* *Pithecia chrysocephala* *Pithecia hirsuta* *Pithecia inusta* *Pithecia isabela* *Pithecia milleri* *Pithecia mittermeieri* *Pithecia napensis* *Pithecia pissinattii* *Pithecia rylandsi* *Pithecia vanzolinii*	MARSH, L.K. (2014). A taxonomic revision of the saki monkeys, *Pithecia* Desmarest, 1804. *Neotropical Primates*, **21**: 1-163.
	眼镜猴科	*Tarsius lariang*	MERKER, S. & GROVES, C.P. (2006). *Tarsius lariang*: A new primate species from Western Central Sulawesi. *International Journal of Primatology*, **27** (2): 465-485.
	眼镜猴科	*Tarsius tumpara*	SHEKELLE, M., GROVES, C., MERKER, S. & SUPRIATNA, J. (2010). *Tarsius tumpara:* A new tarsier species from Siau Island, North Sulawesi. *Primate Conservation*, **23**: 55-64.
长鼻目	象科	*Loxodonta africana*	WILSON, D. E. & REEDER, D. M. (1993).Mammal Species of the World: a Taxonomic and Geographic Reference. Second edition. xviii + 1207 pp., Washington (Smithsonian Institution Press).
树鼩目	树鼩科	*Tupaia everetti*	ROBERTS, T. E., LANIER, H. C., SARGIS, E. J. & OLSON, L. E. (2011). Molecular phylogeny of treeshrews (Mammalia: Scandentia) and the timescale of diversification in Southeast Asia. *Molecular Phylogenetics and Evolution*, **60** (3): 358-372.
	树鼩科	*Tupaia palawanensis*	SARGIS, E. J., CAMPBELL, K. K. & OLSON, L. E. (2014). Taxonomic boundaries and craniometric variation in the treeshrews (Scandentia, Tupaiidae) from the Palawan faunal region. *Journal of Mammalian Evolution*, **21** (1): 111-123.

鸟纲			
雨燕目		目和科水平的鸟类名称	MORONY, J. J., BOCK, W. J. & FARRAND, J., Jr. (1975). *Reference List of the Birds of the World.* American Museum of Natural History. 207 pp.
		所有鸟类物种——除以下所列分类类群	DICKINSON, E.C. (ed.) (2003). The Howard and Moore Complete Checklist of the Birds of the World. Revised and enlarged 3rd Edition. 1039 pp. London (Christopher Helm). in combination with DICKINSON, E.C. (2005). Corrigenda 4 (02.06.2005) to Howard & Moore Edition 3 (2003).
	蜂鸟科	*Chlorostilbon lucidus*	PACHECO, J. F. & WHITNEY, B. M. (2006). Mandatory changes to the scientific names of three Neotropical birds *Bull. Brit. Orn. Club*, **126**: 242-244.
	蜂鸟科	*Eriocnemis isabellae*	CORTÉS-DIAGO, A., ORTEGA, L. A., MAZARIEGOS-HURTADO, L. & WELLER, A.-A. (2007) A new species of *Eriocnemis* (Trochilidae) from southwest Colombia. *Ornitologia Neotropical*, **18**:161-170.
	蜂鸟科	*Phaethornis aethopyga*	PIACENTINI, V. Q., ALEIXO, A. & SILVEIRA, L. F. (2009). Hybrid, subspecies or species? The validity and taxonomic status of *Phaethornis longuemareus aethopyga* Zimmer, 1950 (Trochilidae). *Auk*,**126**: 604-612.
隼形目	鹰科	*Aquila hastata*	PARRY, S. J., CLARK, W. S. & PRAKASH, V. (2002). On the taxonomic status of the Indian Spotted Eagle Aquila hastata Ibis, 144: 665-675.
	鹰科	*Buteo socotraensis*	PORTER, R. F. & KIRWAN, G. M. (2010). Studies of Socotran birds VI. The taxonomic status of the Socotra Buzzard. *Bulletin of the British Ornithologists' Club*, **130** (2): 116–131.
	隼科	*Micrastur mintoni*	WHITTAKER, A. (2002). A new species of forest-falcon (Falconidae: *Micrastur*) from southeastern Amazonia and the Atlantic rainforests of Brazil. *Wilson Bulletin*, **114**: 421-445.
雀形目	鹎科	*Garrulax taewanus*	COLLAR, N. J. (2006). A partial revision of the Asian babblers (Timaliidae). *Forktail*, **22**: 85-112.
鹦形目	凤头鹦鹉科	*Cacatua goffiniana*	ROSELAAR, C. S. & MICHELS, J. P. (2004). Nomenclatural chaos untangled, resulting in the naming of the formally undescribed *Cacatua* species from the Tanimbar Islands, Indonesia (Psittaciformes:凤头鹦鹉科 *Zoologische Verhandelingen*, **350**: 183-196.
	吸蜜鹦鹉	*Trichoglossus haematodus*	COLLAR, N. J. (1997). Family Psittacidae (Parrots). In DEL HOYO, J., ELLIOT, A. AND SARGATAL, J. (eds.), *Handbook of the Birds of the World*, **4** (Sandgrouse to Cuckoos): 280-477. Barcelona (Lynx Edicions).

	鹦鹉科	*Aratinga maculata*	NEMESIO, A. & RASMUSSEN, C. (2009). The rediscovery of Buffon's "Guarouba" or "Perriche jaune": two senior synonyms of *Aratinga pintoi* SILVEIRA, LIMA & HÖFLING, 2005 (Aves:鹦形目 *Zootaxa*, **2013**: 1-16.
	鹦鹉科	*Forpus modestus*	PACHECO, J. F. & WHITNEY, B. M. (2006). Mandatory changes to the scientific names of three Neotropical birds. *Bulletin of the British Ornithologists' Club*, **126**: 242-244.
	鹦鹉科	*Pionopsitta aurantiocephala*	GABAN-LIMA, R., RAPOSO, M. A. & HOFLING, E. (2002). Description of a new species of *Pionopsitta* (Aves: Psittacidae) endemic to Brazil. *Auk*, **119**: 815-819.
	鹦鹉科	*Poicephalus robustus Poicephalus fuscicollis*	COETZER, W.G., DOWNS, C.T., PERRIN, M.R. & WILLOWS-MUNRO, S. (2015). Molecular Systematics of the Cape Parrot (*Poicephalus robustus*). Implications for Taxonomy and Conservation. *PLoS ONE*, 10(8): e0133376. doi: 10.1371/journal.pone.0133376.
	鹦鹉科	*Psittacula intermedia*	COLLAR, N. J. (1997) Family Psittacidae (Parrots). In DEL HOYO, J., ELLIOT, A. AND SARGATAL, J. (eds.), *Handbook of the Birds of the World*, **4** (Sandgrouse to Cuckoos): 280-477. Barcelona (Lynx Edicions).
	鹦鹉科	*Pyrrhura griseipectus*	OLMOS, F., SILVA, W. A. G. & ALBANO, C. (2005). Grey-breasted Conure *Pyrrhura griseipectus*, an overlooked endangered species. *Cotinga*, **24**: 77-83.
	鹦鹉科	*Pyrrhura parvifrons*	ARNDT, T. (2008). Anmerkungen zu einigen *Pyrrhura*-Formen mit der Beschreibung einer neuen Art und zweier neuer Unterarten. *Papageien*, **8:** 278-286.
鸮形目	鸱鸮科	*Glaucidium mooreorum*	DA SILVA, J. M. C., COELHO, G. & GONZAGA, P. (2002). Discovered on the brink of extinction: a new species of pygmy owl (Strigidae: Glaucidium) from Atlantic forest of northeastern Brazil. *Ararajuba*, **10**(2): 123-130.
	鸱鸮科	*Ninox burhani*	INDRAWAN, M. & SOMADIKARTA, S. (2004). A new hawk-owl from the Togian Islands, Gulf of Tomini, central Sulawesi, Indonesia. *Bulletin of the British Ornithologists' Club*, **124**: 160-171.
	鸱鸮科	*Otus thilohoffmanni*	WARAKAGODA, D. H. & RASMUSSEN, P. C. (2004). A new species of scops-owl from Sri Lanka. *Bulletin of the British Ornithologists' Club*, **124** (2): 85-105.
爬行纲			
CROCODYLIA & RHYNCHOCEPHALIA		Crocodylia & Rhynchocephalia except for the taxa listed below	WERMUTH, H. & MERTENS, R. (1996) (reprint).WERMUTH，H. & MERTENS，R. (1996) (reprint): Schildkröte，Krokodile，Brückenechsen. xvii + 506 pp. Jena (Gustav Fischer Verlag).

	鳄科	*Crocodylus johnstoni*	TUCKER, A. D. (2010). The correct name to be applied to the Australian freshwater crocodile, *Crocodylus johnstoni* [Krefft, 1873]. *Australian Zoologist*, **35** (2): 432-434.
	楔齿蜥科	*Sphenodon* spp.	HAY, J. M., SARRE, S. D., LAMBERT, D. M., ALLENDORF, F. W. & DAUGHERTY, C. H. (2010).一 减少的遗传多样性and taxonomy: a reassessment of species designation in tuatara (*Sphenodon*:爬行纲 *Conservation Genetics*, **11** (93): 1063-1081.
蜥蜴目		蜥蜴目内划分科用	POUGH, F. H., ANDREWS, R. M., CADLE, J. E., CRUMP, M. L., SAVITZKY, A. H. & WELLS, K. D. (1998).*Herpetology*. Upper Saddle River/New Jersey (Prentice Hall).
	鬣蜥科	*Saara* spp. *Uromastyx* spp.	WILMS, T. M., BÖHME, W., WAGNER, P., LUTZMANN, N. & SCHMITZ, A. (2009). On the phylogeny and taxonomy of the genus *Uromastyx* Merrem, 1820 (Reptilia: Squamata:鬣蜥科 Uromastycinae) – resurrection of the genus *Saara* Gray, 1845. *Bonner zool. Beiträge*, **56** (1-2): 55-99.
	蛇蜥科	*Abronia* spp.	UETZ, P., FREED, P. & HŎSEK, J. (eds.) (2016). Taxonomic checklist of the species of the genus *Abronia*. Species information extracted from "The Reptile Database", version of 15 August 2016, accessed 11 May 2017. See Annex 2 of AC29 Doc.35. at https://cites.org/sites/default/files/eng/com/ac/29/E-AC29-35- A2.pdf
	避役科	Chamaleonidae spp.	GLAW, F. (2015). Taxonomic checklist of chamaeleons (Squamata:避役科 *Vertebrate Zoology*, 65 (2): 167-246.
	绳蜥科	Iguanidae spp. 除以下所列分类类群	STANLEY, E. L., BAUER, A. M., JACKMAN, T. R., BRANCH, W. R. & P. LE F. N. (2011). Between a rock and a hard polytomy: rapid radiation in the rupicolous girdled lizards (Squamata:绳蜥科 *Molecular Phylogenetics and Evolution*, **58** (1): 53-70.
	绳蜥科	*Cordylus marunguensis*	GREENBAUM, E., STANLEY, E. L., KUSAMBA, C., MONINGA, W. M., GOLDBERG, S. R. & CHA (2012). A new species of *Cordylus* (Squamata: Cordylidae) from the Marungu Plateau of south-eastern Democratic Republic of the Congo. *African Journal of Herpetology*, **61** (1): 14-39.
	壁虎科	*Cnemaspis psychedelica*	GRISMER, L. L., NGO, V. T. & GRISMER, J. L. (2010). A colorful new species of insular rock gecko (*Cnemaspis* Strauch 1887) from southern Vietnam. *Zootaxa*, **58**: 46–58.
	壁虎科	*Dactylonemis* spp. *Hoplodactylus* spp. *Mokopirirakau* spp.	NIELSEN, S. V., BAUER, A. M., JACKMAN, T. R., HITCHMOUGH, R. A. & DAUGHERTY, C. H. (2011). New Zealand geckos (Diplodactylidae): Cryptic diversity in a post-Gondwanan lineage with trans-Tasman affinities. *Molecular Phylogenetics and Evolution*, **59** (1): 1-22.

	壁虎科	*Lygodactylus williamsi*	Species information extracted from UETZ, P., FREED, P. & HŎSEK, J. (eds.) (2016). The Reptile Database, version of 15 August 2016, accessed 11 May 2017. See Annex 2 of AC29 Doc.35 at https://cites.org/sites/default/files/eng/com/ac/29/E-AC29-35-A2.pdf
	壁虎科	*Nactus serpensinsula*	KLUGE, A.G. (1983). Cladistic relationships among gekkonid lizards. Copeia, **2**: 465-475.
	壁虎科	*Naultinus* spp.	NIELSEN, S. V., BAUER, A. M., JACKMAN, T. R., HITCHMOUGH, R. A. & DAUGHERTY, C. H. (2011). New Zealand geckos (Diplodactylidae): Cryptic diversity in a post-Gondwanan lineage with trans-Tasman affinities. *Molecular Phylogenetics and Evolution*, **59** (1): 1-22.
	壁虎科	*Paroedura masobe*	NUSSBAUM, R.A. & RAXWORTHY, C.J. (1994). A new rainforest gecko of the genus *Paroedura* GÜNTHER from Madagascar. *Herpetological Natural History*, **2** (1): 43-49.
	壁虎科	*Phelsuma* spp. *Rhoptropella* spp.	GLAW, F. & RÖSLER, H. (2015). Taxonomic checklist of the day geckos of the genera *Phelsuma* Gray, 1825 and *Rhoptropella* Hewitt, 1937 (Squamata:壁虎科 *Vertebrate Zoology*, **65** (2): 167-246.
	壁虎科	*Toropuku* spp. *Tukutuku* spp. *Woodworthia* spp.	NIELSEN, S. V., BAUER, A. M., JACKMAN, T. R., HITCHMOUGH, R. A. & DAUGHERTY, C. H. (2011). New Zealand geckos (Diplodactylidae): Cryptic diversity in a post-Gondwanan lineage with trans-Tasman affinities. *Molecular Phylogenetics and Evolution*, **59** (1): 1-22.
	壁虎科	平尾虎属除以下所列分类类群	RAXWORTHY, C.J. (2003). Introduction to the reptiles. In: Goodman, S.M. & Bernstead, J.P. (eds.), *The natural history of Madagascar*: 934-949. Chicago.
	壁虎科	*Uroplatus finiavana*	RATSOAVINA, F. M., LOUIS JR., E. E., CROTTINI, A., RANDRIANIAINA, R. -D., GLAW, F. & VENCES, M. (2011). A new leaf tailed gecko species from northern Madagascar with a preliminary assessment of molecular and morphological variability in the *Uroplatus ebenaui* group. *Zootaxa*, **3022**: 39-57.
	壁虎科	*Uroplatus giganteus*	GLAW, F., KOSUCH, J., HENKEL, W. F., SOUND, P. & BÖHME, W. (2006). Genetic and morphological variation of the leaf-tailed gecko *Uroplatus fimbriatus* from Madagascar, with description of a new giant species. *Salamandra*, **42**: 129-144.
	壁虎科	*Uroplatus pietschmanni*	BÖHLE, A. & SCHÖNECKER, P. (2003). Eine neue Art der Gattung *Uroplatus* Duméril, 1805 aus Ost- Madagaskar (Reptilia: Squamata:壁虎科 *Salamandra*, **39** (3/4): 129-138.
	壁虎科	*Uroplatus sameiti*	RAXWORTHY, C. J., PEARSON, R. G., ZIMKUS, B. M., REDDY, S., DEO, A. J., NUSSBAUM, R. A. & INGRAM, C. M. (2008). Continental speciation in the tropics: contrasting biogeographic patterns of divergence in the *Uroplatus* leaf-tailed gecko radiation

			of Madagascar. *Journal of Zoology*, **275**: 423–440.
	美洲鬣蜥科	Iguanidae spp. 除以下所列分类类群	HOLLINGSWORTH, B. D. (2004). The Evolution of Iguanas: An Overview of Relationships and a Checklist of Species. In: *Iguanas: Biology and Conservation* (Alberts, A. C., Carter, R. L., Hayes, W. K. & Martins, E. P., Eds): 19-44.. Berkeley (University of California Press).
	美洲鬣蜥科	*Brachylophus bulabula*	KEOGH, J. S., EDWARDS, D. L., FISHER, R. N. & HARLOW, P. S. (2008). Molecular and morphological analysis of the critically endangered Fijian iguanas reveals cryptic diversity and a complex biogeographic history. *Philosophical Transactions of the Royal Society B*, **363** (1508): 3413-3426.
	美洲鬣蜥科	*Conolophus marthae*	GENTILE, G. & SNELL, H. (2009).Conolophus marthae (Squamata, Iguanidae), a new species of land iguana from the Galápagos archipelago. Zootaxa, 2201: 1-10.
	美洲鬣蜥科	*Ctenosaura* spp.	Iguana Taxonomy Working Group (2016). A checklist of the iguanas of the world (Iguanidae; Iguaninae). In: *Iguanas: Biology, Systematics, and Conservation* (J. B. IVERSON, T.D. GRANT, C .R. KNAPP, and S. A. PASACHNIK, Eds.): 4–46. Herpetological Conservation and Biology 11(Monograph 6).
	美洲鬣蜥科	*Cyclura lewisi*	BURTON, F. J. (2004). Revision to Species *Cyclura nubila lewisi*, the Grand Cayman Blue Iguana. *Caribbean Journal of Science*, **40** (2): 198-203.
	美洲鬣蜥科	*Phrynosoma blainvillii*、*Phrynosoma cerroense*、*Phrynosoma wigginsi*	MONTANUCCI, R.R. (2004).MONTANUCCI， R.R. (2004): Geographic variation in Phrynosoma coronatum (Lacertilia， Phrynosomatidae): further evidence for a peninsular archipelago. – Herpetologica，60: 117. Herpetologica, 60: 117.
	婆罗蜥科	Lanthanotidae spp.	UETZ, P., FREED, P. & HŎSEK, J. (eds.) (2016). Family, genus and species information extracted from the Integrated Taxonomic Information Service (ITIS), an online reference; and species information extracted from *The Reptile Database*, version of 15 August 2016, accessed 11 May 2017. See Annex 2 of AC29 Doc.35 at https://cites.org/sites/default/files/eng/com/ac/29/E-AC29-35-A2.pdf
	美洲蜥蜴科	Teiidae spp.	HARVEY, M. B., UGUETO, G. N. & GUTBERLET, R. L. JR. (2012). Review of teiid morphology with a revised taxonomy and phylogeny of the Teiidae (Lepidosauria: Squamata). *Zootaxa*, **3459**: 1–156.
	巨蜥科	除以下所列分类类群	BÖHME, W. (2003). Checklist of the living monitor lizards of the world (family Varanidae) *Zoologische Verhandelingen, Leiden*, **341**: 1-43. in combination with KOCH, A., AULIYA, M. & ZIEGLER, T. (2010.: Updated Checklist of the living monitor lizards of the world

			(Squamata: Varanidae). - Bonn zoological Bulletin, **57** (2): 127-136.
	巨蜥科	*Varanus bangonorum*、*Varanus dalubhasa*	WELTON, L. J., TRAVERS, S. L., SILER, C. D. & BROWN, R. M. (2014). Integrative taxonomy and phylogeny- based species delimitation of Philippine water monitor lizards (*Varanus salvator* complex) with descriptions of two new cryptic species. *Zootaxa*, **3881** (3): 201–227.
	巨蜥科	*Varanus hamersleyensis*	MARYAN, B., OLIVER, P. M., FITCH, A. J. & O'CONNELL, M. (2014). Molecular and morphological assessment of *Varanus pilbarensis* (Squamata: Varanidae), with a description of a new species from the southern Pilbara, Western Australia. *Zootaxa*, **3768** (2): 139–158.
	巨蜥科	*Varanus nesterovi*	BÖHME, W., EHRLICH, K., MILTO, K. D., ORLOV, N. & SCHOLZ, S. (2015). A new species of desert monitor lizard (Varanidae: *Varanus*: *Psammosaurus*) from the western Zagros region (Iraq, Iran). *Russian Journal of Herpetology*, **22** (1): 41-52.
	巨蜥科	*Varanus samarensis*	KOCH, A., GAULKE, M. & BÖHME, W. (2010). Unravelling the underestimated diversity of Philippine water monitor lizards (Squamata: *Varanus salvator* complex), with the description of two new species and a new subspecies. *Zootaxa*, **2446**: 1–54.
	巨蜥科	*Varanus sparnus*	DOUGHTY, P., KEALLEY, L., FITCH, A. & DONNELLAN, S. C. (2014). A new diminutive species of *Varanus* from the Dampier Peninsula, western Kimberley region, Western Australia. *Records of the Western Australian Museum*, **29**: 128–140.
蛇目		Loxocemidae spp.美洲闪鳞蛇科 Pythonidae 蟒科 Boidae spp. 蚺科 Bolyeriidae spp.雷蛇科 Viperidae spp. 蝰科 除以下属*Acrantophis*, *Sanzinia*, *Calabaria*, *Lichanura*, *Epicrates maurus*被认定为有效种 除以下所列分类类群	MCDIARMID, R. W., CAMPBELL, J. A. & TOURÉ, T. A. (1999). *Snake Species of the World. A Taxonomic and Geographic Reference. Volume 1*, Washington, D.C. (The Herpetologists' League).

	蚺科	*Candoia paulsoni* *Candoia superciliosa*	SMITH, H. M., CHISZAR, D., TEPEDELEN, K. & VAN BREUKELEN, F. (2001). A revision of the bevelnosed boas (*Candoia carinata* complex) (Reptilia:蛇目 *Hamadryad*, **26** (2): 283-315.
	蚺科	*Corallus batesii*	HENDERSON, R. W., PASSOS, P. & FEITOSA, D. (2009). Geographic variation in the Emerald Treeboa, *Corallus caninus* (Squamata:蚺科 *Copeia*, **2009** (3): 572-582.
	蚺科	*Epicrates crassus* 、*Epicrates assisi* 、*Epicrates alvarezi*	PASSOS, P. & FERNANDES, R. (2008). Revision of the Epicrates cenchria complex (Serpentes:蚺科 *Herpetological Monographs*, **22**: 1-30.
	蚺科	*Eryx borrii*	LANZA, B. & NISTRI, A. (2005). Somali Boidae (genus *Eryx* Daudin 1803) and Pythonidae (genus *Python* Daudin 1803) (Reptilia Serpentes). *Tropical Zoology*, **18** (1): 67-136.
	蚺科	*Eunectes beniensis*	DIRKSEN, L. (2002). *Anakondas*. NTV Wissenschaft.
	游蛇科	*Xenochrophis piscator* 、*Xenochrophis schnurrenbergeri* 、*Xenochrophis tytleri*	VOGEL, G. & DAVID, P. (2012). A revision of the species group of *Xenochrophis piscator* (Schneider, 1799) (Squamata: Natricidae). *Zootaxa*, **3473**: 1-60.
	眼镜蛇科	*Micrurus ruatanus*	MCCRANIE, J. R. (2015). A checklist of the amphibians and reptiles of Honduras, with additions, comments on taxonomy, some recent taxonomic decisions, and areas of further studies needed. *Zootaxa*, **3931** (3): 352–386.
	眼镜蛇科	*Naja atra* *Naja kaouthia*	WÜSTER, W. (1996). Taxonomic change and toxinology: systematic revisions of the Asiatic cobras (*Naja naja* species complex). *Toxicon*, **34**: 339-406.
	眼镜蛇科	*Naja mandalayensis*	SLOWINSKI, J. B. & WÜSTER, W. (2000). A new cobra (Elapidae: Naja) from Myanmar (Burma). *Herpetologica*, **56**: 257-270.
	眼镜蛇科	*Naja oxiana* *Naja philippinensis* *Naja sagittifera* *Naja samarensis* *Naja siamensis* *Naja sputatrix*	WÜSTER, W. (1996). Taxonomic change and toxinology: systematic revisions of the Asiatic cobras (*Naja naja* species complex). *Toxicon*, **34**: 339-406.

		Naja sumatrana	
	蟒科	*Leiopython bennettorum* *Leiopython biakensis* *Leiopython fredparkeri* *Leiopython huonensis* *Leiopython hoserae*	SCHLEIP, W. D. (2008). Revision of the genus *Leiopython* Hubrecht 1879 (Serpentes: Pythonidae) with the redescription of taxa recently described by Hoser (2000) and the description of new species. *Journal of Herpetology*, **42** (4): 645–667.
	蟒科	*Morelia clastolepis* 、*Morelia kinghorni* 、*Morelia nauta*、*Morelia tracyae*	HARVEY, M. B., BARKER, D. B., AMMERMAN, L. K. & CHIPPINDALE, P. T. (2000). Systematics of pythons of the *Morelia amethistina* complex (Serpentes: Boidae) with the description of three new species. *Herpetological Monographs*, **14**: 139-185.
	蟒科	*Python bivittatus*	JACOBS, H. J., AULIYA, M. & BÖHME, W. (2009).JACOBS，H. J.，AULIYA，M. & BÖHME，W. (2009): Zur Taxonomie des Dunklen Tigerpythons，Python molurus bivittatus KUHL，1820，speziell der Population von Sulawesi. – Sauria，31: 5-16. Sauria, 31: 5-16.
	蟒科	*Python breitensteini* 、*Python brongersmai*	KEOGH, J. S., BARKER, D. G. & SHINE, R. (2001). Heavily exploited but poorly known: systematics and biogeography of commercially harvested pythons (*Python curtus* group) in Southeast Asia. *Biological Journal of the Linnean Society*, **73**: 113-129.
	蟒科	*Python kyaiktiyo*	ZUG, G.R., GROTTE, S. W. & JACOBS, J. F. (2011). Pythons in Burma: Short-tailed python (Reptilia: Squamata). *Proceedings of the biological Society of Washington*, **124** (2): 112-136.
	蟒科	*Python natalensis*	BROADLEY, D. G. (1999). The southern African python, *Python natalensis* A. Smith 1840, is a valid species. *African Herp News*, **29**: 31-32.
	林蚺科	林蚺属除以下所列分类类群	HEDGES, S.B. (2002). Morphological variation and the definition of species in the snake genus *Tropidophis* (Serpentes, Tropidophiidae). *Bulletin of the Natural History Museum, London (Zoology)*, **68** (2): 83-90.
	林蚺科	*Tropidophis celiae*	HEDGES, B. S., ESTRADA, A. R. & DIAZ, L. M. (1999): New snake (*Tropidophis*) from western Cuba. *Copeia*, **1999** (2): 376-381.
	林蚺科	*Tropidophis grapiuna*	CURCIO, F. F., SALES NUNES, P. M., SUZART ARGOLO, A. J., SKUK, G. & RODRIGUES, M. T. (2012).1． Taxonomy of the South American dwarf boas of the genus *Tropidophis* Bibron, 1840, with the description of two new species from the Atlantic forest (Serpentes:林蚺科 *Herpetological Monographs*, **26** (1): 80-121.

	林蚺科	*Tropidophis hendersoni*	HEDGES, B. S. & GARRIDO, O. (2002).HEDGES，B. S. & GARRIDO，O. (2002): A new snake of the genus Tropidophis (Tropidophiidae) from Eastern Cuba – Journal of Herpetology，36:157-161.
	林蚺科	*Tropidophis morenoi*	HEDGES, B. S., GARRIDO, O. & DIAZ, L. M. (2001). A new banded snake of the genus *Tropidophis* (Tropidophiidae) from north-central Cuba. *Journal of Herpetology*, **35**: 615-617.
	林蚺科	*Tropidophis preciosus*	CURCIO, F. F., SALES NUNES, P. M., SUZART ARGOLO, A. J., SKUK, G. & RODRIGUES, M. T. (2012).1． Taxonomy of the South American dwarf boas of the genus *Tropidophis* Bibron, 1840, with the description of two new species from the Atlantic forest (Serpentes:林蚺科 *Herpetological Monographs*, **26** (1): 80-121.
	林蚺科	*Tropidophis spiritus*	HEDGES, B. S. & GARRIDO, O. (1999). A new snake of the genus *Tropidophis* (Tropidophiidae) from central Cuba. *Journal of Herpetology*, **33**: 436-441.
	林蚺科	*Tropidophis xanthogaster*	DOMÍNGUEZ, M., MORENO, L. V. & HEDGES, S. B. (2006). A new snake of the genus *Tropidophis* (Tropidophiidae) from the Guanahacabibes Peninsula of Western Cuba. *mphibia-Reptilia*, **27** (3): 427-432.
	蝰科	*Atheris desaixi* *Bitis worthingtoni*	UETZ, P., FREED, P. & HŎSEK, J. (eds.) (2016). Species information extracted from *The Reptile Database*, version of 15 August 2016, accessed 11 May 2017. See Annex 2 of AC29 Doc.35 at https://cites.org/sites/default/files/eng/com/ac/29/E-AC29-35-A2.pdf
龟鳖目		龟鳖目名称	WERMUTH, H. & MERTENS, R. (1996) (reprint).WERMUTH，H. & MERTENS，R. (1996) (reprint): Schildkröte，Krokodile，Brückenechsen. xvii + 506 pp. Jena (Gustav Fischer Verlag).
		物种和科名－除保留以下名*Mauremys iversoni*、*Mauremys pritchardi*、*Ocadia glyphistoma*、*Ocadia philippeni*、*Sacalia pseudocellata*并除以下所列分类类群	FRITZ, U. & HAVAŠ, P. (2007): Checklist of Chelonians of the World. *Vertebrate Zoology*, **57** (2): 149-368. Dresden. ISSN 1864-5755 [without its appendix]
	龟科	*Graptemys pearlensis*	ENNEN, J. R., LOVICH, J. E., KREISER, B. R., SELMAN, W. & QUALLS, C. P. (2010). Genetic and morphological variation between populations of the Pascagoula Map Turtle

			(*Graptemys gibbonsi*) in the Pearl and Pascagoula Rivers with description of a new species. *Chelonian Conservation and Biology*, **9** (1): 98-113.
	地龟科	*Batagur affinis*	PRASCHAG, P., SOMMER, R. S., MCCARTHY, C., GEMEL, R. & FRITZ, U. (2008). Naming one of the world's rarest chelonians, the southern Batagur. *Zootaxa*, **1758**: 61-68.
	地龟科	*Batagur borneoensis*、*Batagur dhongoka*、*Batagur kachuga*、*Batagur trivittata*	PRASCHAG, P., HUNDSDÖRFER, A. K. & FRITZ, U. (2007). Phylogeny and taxonomy of endangered South and South-east Asian freshwater turtles elucidates by mtDNA sequence variation (Testudines:地龟科 *Batagur, Callagur, Hardella, Kachuga, Pangshura*). *Zoologica Scripta*, **36**: 429-442.
	地龟科	*Cuora bourreti* *Cuora picturata*	SPINKS, P. Q., THOMSON, R. C., ZHANG, Y.P., CHE, J., WU, Y. & SHAFFER, H. B. (2012). Species boundaries and phylogenetic relationships in the critically endangered Asian box turtle genus *Cuora*. *Molecular Phylogenetics and Evolution*, **63**: 656–667. doi:10.1016/j.ympev.2012.02.014.
	地龟科	*Cyclemys enigmatica*、*Cyclemys fusca*、*Cyclemys gemeli*、*Cyclemys oldhamii*	FRITZ, U., GUICKING, D., AUER, M., SOMMER, R. S., WINK, M. & HUNDSDÖRFER, A. K. (2008). Diversity of the Southeast Asian leaf turtle genus *Cyclemys*: how many leaves on its tree of life? *Zoologica Scripta*, **37**: 367-390.
	地龟科	*Mauremys reevesii*	BARTH, D., BERNHARD, D., FRITZSCH, G. & U. FRITZ (2004). The freshwater turtle genus *Mauremys* (Testudines, Geoemydidae) – a textbook example of an east-west disjunction or a taxonomic misconcept? *Zoologica Scripta*, **33**: 213-221.
	陆龟科	*Centrochelys sulcata*	Turtle Taxonomy Working Group [van DIJK, P. P., IVERSON, J. B., RHODIN, A. G. J., SHAFFER, H. B. & BOUR, R.]. (2014): Turtles of the world, 7TH edition: Annotated checklist of taxonomy, synonymy, distribution with maps, and conservation status. 000.v7. *Chelonian Research Monographs*, **5** doi: 10.3854/crm.5.000.checklist.v7.2014.
	陆龟科	*Chelonoidis carbonarius* *Chelonoidis denticulatus* *Chelonoidis niger*	OLSON, S .L. & DAVID, N. (2014). The gender of the tortoise genus *Chelonoidis* Fitzinger, 1835 (Testudines: Testudinidae). - Proceedings of the Biological Society of Washington, **126**(4): 393-394.
	陆龟科	*Gopherus morafkai*	MURPHY, R. W., BERRY, K. H., EDWARDS, T., LEVITON, A. E., LATHROP, A. & RIEDLE, J. D. (2011). The dazed and confused identity of Agassiz's land tortoise, *Gopherus agassizii* (Testudines, Testudinidae) with the description of a new species, and its consequences for conservation. *Zookeys*, **113**: 39-71.
	陆龟科	*Homopus solus*	BRANCH, W. R. (2007). A new species of tortoise of the genus *Homopus* (Chelonia:

			Testudinidae) from southern Namibia. *African Journal of Herpetology*, **56** (1): 1-21.
	陆龟科	*Kinixys nogueyi*、 *Kinixys zombensis*	KINDLER, C., BRANCH, W. R., HOFMEYR, M. D., MARAN, J., ŠIROKÝ, P., VENCES, M., HARVEY, J., HAUSWALDT, J. S., SCHLEICHER, A., STUCKAS, H. & FRITZ, U. (2012). Molecular phylogeny of African hinge-back tortoises (*Kinixys*): implications for phylogeography and taxonomy (Testudines:陆龟科 *Journal of Zoological Systematics and Evolutionary Research*, **50**: 192–201.
	鳖科	*Lissemys ceylonensis*	PRASCHAG, P., STUCKAS, H., PÄCKERT, M., MARAN, J. & FRITZ, U. (2011). Mitochondrial DNA sequences suggest a revised taxonomy of Asian flapshell turtles (*Lissemys* Smith, 1931) and the validity of previously unrecognized taxa (Testudines:鳖科 *Vertebrate Zoology*, **61** (1): 147-160.
	鳖科	*Nilssonia gangeticus* 、*Nilssonia hurum* 、*Nilssonia nigricans*	PRASCHAG, P., HUNDSDÖRFER, A.K., REZA, A.H.M.A. & FRITZ, U. (2007). Genetic evidence for wild-living *Aspideretes nigricans* and a molecular phylogeny of South Asian softshell turtles (Reptilia:鳖科 *Aspideretes*, *Nilssonia*). *Zoologica Scripta*, **36**:301-310.
两栖纲			
		除以下所列分类类群	FROST, D. R. (ed.) (2015). Taxonomic Checklist of Amphibian Species listed in the CITES Appendices and the Annexes of EC Regulation 338/97. Species information extracted from *Amphibian Species of the World: a taxonomic and geographic reference*, an online reference, version 6.0 as of May2015 with additional comments by the Nomenclature Specialist of the CITES Animals Committee. See Annex 5 of CoP17 Doc. 81.1 at https://cites.org/sites/default/files/eng/cop/17/WorkingDocs/E-CoP17-81-01-A5.pdf
		Anura: Microhylidae: *Dyscophus* spp and *Scaphiophryne* spp.; Telmatobiidae: *Telmatobius culeus;* and Caudata: Salamandridae: *Paramesotriton hongkongensis*	FROST, D. R. (ed.) (2017). Species information extracted from *Amphibian Species of the World: a taxonomic and geographic reference*, an online reference, version 6.0, accessed 12 May 2017. See Annex 3 of AC29 Doc.35 at https://cites.org/sites/default/files/eng/com/ac/29/E-AC29-35-A3.pdf
板鳃亚纲、辐鳍亚纲、腔棘亚纲和肺鱼亚纲			
		除下列类群外的所有鱼类物种	ESCHMEYER, W.N. & FRICKE, R. (eds.) (2015). Taxonomic Checklist of Fish species

			listed in the CITES Appendices and the Annexes of EC Regulation 338/97 (Elasmobranchii, Actinopteri, Coelacanthi, and Dipneusti, except the genus *Hippocampus*). Information extracted from *Catalog of Fishes*, an online reference, version update from 3 February 2015. See Annex 6 of CoP17 Doc. 81.1 at https://cites.org/sites/default/files/eng/cop/17/WorkingDocs/E-CoP17-81-01-A6.pdf
		Elasmobranchii: Carcharhiniformes: Carcharhinidae: *Carcharhinus falciformis;* Lamniformes*:* *Alopiidae: Alopias* spp.; Myliobatiformes: Myliobatidae: *Mobula* spp.; Potamotrygonidae: *Potamotrygon* spp.; Actinopteri: Perciformes: Pomacanthidae: *Holacanthus clarionensis*	ESCHMEYER, W. N., FRICKE, R., & VAN DER LAAN, R. (eds.) (2017). Information extracted from *Catalog of Fishes: Genera, Species, References*, an online reference, version of 28 April 2017, accessed 12 May 2017. See Annex 4 of AC29 Doc.35 at https://cites.org/sites/default/files/eng/com/ac/29/E-AC29-35-A4.pdf
海龙鱼目	海龙鱼科	*Hippocampus* spp.	LOURIE, S. A., POLLOM, R. A. and FOSTER, S. J. (2016). A global revision of the Seahorses *Hippocampus* Rafinesque 1810 (Actinopterygii: Sygnathiformes): Taxonomy and biogeography with recommendations for further research. *Zootaxa*, 4146 (1): 1-066.
蛛形纲			
蛛形目	捕鸟蛛科	*Aphonopelma albiceps* 、*Aphonopelma pallidum* 、*Brachypelma* spp.除以下所列分类类群	PLATNICK, N. (2006). Taxonomic Checklist of CITES listed Spider Species. Information extracted from *The World Spider Catalog*, an online reference, Version 6.5 as of 7 April 2006. [available at http://www.cites.org/common/docs/Res/12_11/spider_checklist.pdf]
	捕鸟蛛科	*Brachypelma ruhnaui* 与 *Brachypelma albiceps*在CITES下被作为 *Aphonopelma albiceps*	PLATNICK, N. I. (2014).PLATNICK，N. I. (2014): The World Spider Catalogue，V15. http://platnick.sklipkani.cz/html/

	捕鸟蛛科	*Brachypelma kahlenbergi*	RUDLOFF, J.-P. (2008). Eine neue *Brachypelma*-Art aus Mexiko (Araneae: Mygalomorphae: 捕鸟蛛科 Theraphosinae). *Arthropoda*, **16** (2): 26-30.
蝎形目	蝎科	*Pandinus* spp. 除以下所列分类类群	LOURENÇO, W. R. & CLOUDSLEY-THOMPSON, J. C. (1996).LOURENÇO，W. R. & CLOUDSLEY-THOMPSON，J. C. (1996): Recognition and distribution of the scorpions of the genus Pandinus Thorell，1876 accorded protection by the Washington Convention – Biogeographica，72(3): 133-143. *Biogeographica*, **72** (3): 133-143.
	蝎科	*Pandinus camerounensis* *Pandinus roeseli*	LOURENÇO, W. R. (2014). Further considerations on the identity and distribution of *Pandinus imperator* (C.L. Koch, 1841) and description of a new species from Cameroon (Scorpiones:蝎科 *Entomologische Mitteilungen aus dem Zoologischen Museum Hamburg*, **17** (192): 139-151.
昆虫纲			
鞘翅目	锹甲科	*Colophon* spp.	BARTOLOZZI, L. (2005). Description of two new stag beetle species from South Africa (Coleoptera:锹甲科 *African Entomology*, **13** (2): 347-352.
鳞翅目	凤蝶科	*Achillides* spp. [only the species of the Philippines]	PAGE, M. G. P. & TREADAWAY, C. G. (2004). Papilionidae of the Philippine Island. In: E. BAUER, and T. FRANKENBACH, Eds.). *Butterflies of the world, Supplement 8.* Goecke & Evers, Keltern. 58 pp.
	凤蝶科	*Ornithoptera* spp. *Trogonoptera* spp. *Troides* spp.	MATSUKA, H. (2001). *Natural History of Birdwing Butterflies*. 367 pp. Tokyo (Matsuka Shuppan).(ISBN 4- 9900697-0-6).
蛭纲			
无吻蛭目	医蛭科	*Hirudo medicinalis* *Hirudo verbana*	NESEMANN, H. & NEUBERT, E. (1999). Annelida: Clitellata: Branchiobdellida, Acanthobdellea, Hirudine..*Süßwasserfauna von Mitteleuropa*, **6** (2), 178 pp., Berlin (Spektrum Akad. Verlag). ISBN 3-8274-0927-6.
双壳纲			

帘蛤目	砗磲科	*Tridacna ningaloo*	PENNY, S. & WILLAN, R. C. (2014). Description of a new species of giant clam (Bivalvia: Tridacnidae) from Ningaloo Reef, Western Australia. *Molluscan Research*, **34** (3): 201-211.
	砗磲科	*Tridacna noae*	SU, Y., HUNG, J.-H., KUBO, H. & LIU, L.-L. (2014). *Tridacna noae* (Röding, 1798) – a valid giant clam species separated from *T. maxima* (Röding, 1798) by morphological and genetic data. *Raffles Bulletin of Zoology*, **62**: 124-135.
头足纲			
	鹦鹉螺科	Nautilidae spp.	Family, genus and species information extracted from the Integrated Taxonomic Information Service (ITIS), an online reference. See Annex 5 of AC29 Doc.35 at https://cites.org/sites/default/files/eng/com/ac/29/E-AC29-35-A5.pdf
珊瑚虫纲和水螅纲		所有CITES所列物种	Taxonomic Checklist of all CITES listed Coral Species, based on information compiled by UNEP-WCMC 2012.

植物			
		所涉类群	分类学文献
石蒜科、报春花科		*Cyclamen* 、 *Galanthus* 和 *Sternbergia*	Davis, A.P. et al. (1999).CITES Bulb Checklist (A. P. Davis et al.，1999，compiled by the Royal Botanic Gardens，Kew，United Kingdom of Great Britain and Northern Ireland) as a guideline when making reference to the names of species of Cyclamen and Galanthus and Sternbergia .
夹竹桃科		*Pachypodium* spp.	*CITES* Aloe *and* Pachypodium *Checklist* (U. Eggli *et al.*, 2001, compiled by Städtische Sukkulenten- Sammlung, Zurich, Switzerland, in collaboration with the Royal Botanic Gardens, Kew, United Kingdom of Great Britain and Northern Ireland) and its update: *An Update and Supplement to the CITES* Aloe & Pachypodium *Checklist* [J. M. Lüthy (2007), CITES Management Authority of Switzerland, Bern, Switzerland] as a guideline when making reference to the names of species of *Aloe* and *Pachypodium.*
		Hoodia spp.	*Plants of Southern Africa: an annotated checklist.* Germishuizen, G. & Meyer N. L. (eds.) (2003). Strelitzia 14: 150-151. National Botanical Institute, Pretoria, South Africa as a guideline when making reference to the names of species of *Hoodia.*
仙人掌科		所有Cactaceae.	*CITES Cactaceae Checklist* third edition (2016, compiled by D. Hunt) as a guideline when making reference to names of species of Cactaceae, and the amendments and updates outlined in *A Supplement to the CITES Cactaceae Checklist* Third Edition 2016 (Hunt, D. 2018). The checklist and its supplement can be found on the website of the Royal Botanic Gardens, Kew, UK at "goo.gl/M26yL8".
桫椤科、蕨苏铁科和泽米科		所 有 Cycadaceae 、Stangeriaceae 和 Zamiaceae.	The World List of Cycads**:** CITES and Cycads: Checklist 2013 (Roy Osborne, Michael A. Calonje, Ken D. Hill, Leonie Stanberg and Dennis Wm. Stevenson) in *CITES and Cycads a user's guide* (Rutherford, C. *et al.*, Royal Botanic Gardens, Kew. UK 2013), as a guideline when making reference to names of species of Cycadaceae, Stangeriaceae and Zamiaceae.
蚌壳蕨科		美国的Dicksonia植物物种	Dicksonia species of the Americas (2003，compiled by Bonn Botanic Garden and the Federal Agency for Nature Conservation，Bonn，Germany) as a guideline when making reference to the names of species of Dicksonia.
茅膏菜科、猪笼草科		*Dionaea*, *Nepenthes* and	CITES Carnivorous Plant Checklist，(B. von Arx et al.，2001，Royal Botanic Gardens，

和瓶子草科,		*Sarracenia.*	Kew，United Kingdom of Great Britain and Northern Ireland) as a guideline when making reference to names of species of Dionaea，Nepenthes and Sarracenia.
柿树科		Diospyros spp.马达加斯加种群	The genus Diospyros in Madagascar: a Preliminary Checklist for CITES Parties (CVPM 2016) based on the Catalogue of the Vascular Plants of Madagascar is available on the Catalogue website. This reference is to be used as a guideline when making reference to the names of species of Diospyros from Madagascar. See http://www.tropicos.org/ProjectWebPortal.aspx? This reference is to be used as a guideline when making reference to the names of species of Diospyros from Madagascar. See http://www.tropicos.org/ProjectWebPortal.aspx?pagename=Diospyros&projectid=17 .There is a link to the page here: http://www.tropicos.org/Name/40031908?projectid=17 and the pdf download is here: http://www.tropicos.org/docs/MadCat/Diospyros%20checklist%2028.03.2016.pdf For information only: Updates on new names will be regularly made available on the online database "Catalogue of the Vascular Plants of Madagascar" (http://www.tropicos.org/Project/Madagascar).
大戟科		*Euphorbia* 的肉质物种	U. Eggli，2003，published by the Federal Agency for Nature Conservation，Bonn，Germany) as a guideline when making reference to the names of species of succulent euphorbias.
豆科		Dalbergia spp. – 马达加斯加种群	*A Preliminary Dalbergia checklist for Madagascar for CITES* (CVPM 2014) based on the Catalogue of the Vascular Plants of Madagascar is available as a pdf on the CITES website as SC65 Inf. 21. This reference is to be used as a guideline when making reference to the names of species of *Dalbergia* from Madagascar. See: https://cites.org/sites/default/files/eng/com/sc/65/Inf/E-SC65-Inf-21.pdf For information only: Updates on new names will be regularly made available on the online database "Catalogue of the Vascular Plants of Madagascar". (http://www.tropicos.org/Project/Madagascar).
豆科		*Paubrasilia echinata*	Gagnon, E., Bruneau, A., Hughes, C.E., de Queiroz, L. P. & Lewis, G.P. (2016). *A new generic system for the pantropical* Caesalpinia *group (Leguminosae)* as a guideline making reference to the name of this taxon. This reference can be found on "https://phytokeys.pensoft.net/articles.php?id=9203", with free access, and additional information on the taxon can be found at "http://floradobrasil.jbrj.gov.br/reflora/listaBrasil"

豆科		*Platymiscium pleiostachyum*	Bente B. Klitgraard (2005). *Platymiscium* (*Leguminosae*: *Dalbergieae*); biogeography, systematics, morphology, taxonomy and uses. Kew Bulletin. Vol. 60, No. 3 (2005), pp. 321 – 400 be used as a guideline when making reference to the name of this taxon. This reference is available online at "https://www.jstor.org/stable/4111062?seq=1#page_scan_tab_contents". Free access is possible to this reference.
百合科		Aloe spp.	*CITES* Aloe *and* Pachypodium *Checklist* (U. Eggli *et al.*, 2001, compiled by Städtische Sukkulenten- Sammlung, Zurich, Switzerland, in collaboration with the Royal Botanic Gardens, Kew, United Kingdom of Great Britain and Northern Ireland) and its update: *An Update and Supplement to the CITES* Aloe & Pachypodium *Checklist* [J. M. Lüthy (2007), CITES Management Authority of Switzerland, Bern, Switzerland] as a guideline when making reference to the names of species of *Aloe* and *Pachypodium.*
兰科		*Laelia*, *Phalaenopsis*, *Pleione* and *Sophronitis* (Volume 1, 1995) and *Cymbidium*, *Dendrobium*, *Disa*, *Dracula* and *Encyclia* (Volume 2, 1997), and *Aerangis*, *Angraecum*, *Ascocentrum*, *Bletilla*, *Brassavola*, *Calanthe*, *Catasetum*, *Miltonia*, *Miltonioides* and *Miltoniopsis*, *Renanthera*, *Renantherella*, *Rhynchostylis*, *Rossioglossum*, *Vanda and Vandopsis* (Volume 3, 2001); and *Aerides*, *Coelogyne*, *Comparettia* and *Masdevallia*	*CITES Orchid Checklist*, (compiled by the Royal Botanic Gardens, Kew, United Kingdom) as a guideline when making reference to the names of species of *Cattleya* (not *C. jongheana*), *Cypripedium*, *Laelia* (not *Laelia jongheana/Cattleya jongheana*), *Phalaenopsis*, *Pleione* and *Sophronitis* (Volume 1, 1995) and *Cymbidium*, *Dendrobium* (not *D. cruentum*), *Disa*, *Dracula* and *Encyclia* (Volume 2, 1997), and *Aerangis* (not *A. ellisii*), *Angraecum*, *Ascocentrum*, *Bletilla*, *Brassavola*, *Calanthe*, *Catasetum*, *Miltonia*, *Miltonioides* and *Miltoniopsis*, *Renanthera*, *Renantherella*, *Rhynchostylis*, *Rossioglossum*, *Vanda* and *Vandopsis* (Volume 3, 2001); and *Aerides*, *Coelogyne*, *Comparettia* and *Masdevallia* (Volume 4, 2006).
兰科		*Paphiopedilum* spp., *Phragmipedium* spp., *Aerangis ellisii*, *Cattleya jongheana*, *Cattleya lobata*, *Dendrobium cruentum*, *Mexipedium xerophyticum*, *Peristeria elata* and	Govaerts, R., Caromel, A., Dhanda, S., Davis, F., Pavitt, A., Sinovas, P., & Vaglica, V. (2019). *CITES Appendix I Orchid Checklist*. Second Version, Royal Botanic Gardens, Kew, Surrey, and UNEP-WCMC, Cambridge. This reference should be used as a guideline when making reference to the names of *Paphiopedilum* spp., *Phragmipedium* spp., *Aerangis ellisii*, *Cattleya jongheana*, *Cattleya lobata*, *Dendrobium cruentum*, *Mexipedium xerophyticum*, *Peristeria elata* and *Renanthera imschootiana*. This reference can be found on the website of the Royal Botanic Gardens, Kew, UK at

		Renanthera imschootiana	"goo.gl/M26yL8".
兰科		*Bulbophyllum* spp.	*CITES checklist for* Bulbophyllum *and allied taxa (Orchidaceae)*. Sieder, A., Rainer, H., Kiehn, M. (2007): Address of the authors: Department of Biogeography and Botanical Garden of the University of Vienna; Rennweg 14, A-1030 Vienna (Austria) as a guideline when making reference to the names of species of *Bulbophyllum*.
棕榈科		*Dypsis decipiens* 和 *Dypsis decaryi.*	Proposed Standard Reference for two CITES-listed palms endemic to Madagascar (CVPM 2016) based on the Catalogue of the Vascular Plants of Madagascar can be found as a pdf on the US Fish & Wildlife Service website. This is to be used as a guideline when making reference to Dypsis decipiens and Dypsis decaryi. See: http://www.fws.gov/international/ This is to be used as a guideline when making reference to Dypsis decipiens and Dypsis decaryi. See: http://www.fws.gov/international/
紫杉科		*Taxus* spp.	World Checklist and Bibliography of Conifers (A. Farjon，2001) as a guideline when making reference to the names of species of Taxus.
蒺藜科		*Guaiacum* spp.	Lista de especies, nomenclatura y distribución en el genero Guaiacum. Davila Aranda. P. & Schippmann, U. (2006):World Checklist and Bibliography of Conifers (A. Farjon，2001) as a guideline when making reference to the names of species of Taxus.

Conf. 12.11

Standard nomenclature

(Rev. CoP18)

RECALLING Resolution Conf. 11.22, adopted by the Conference of the Parties at its 11th meeting (Gigiri, 2000);

NOTING that biological nomenclature is dynamic;

AWARE that the names of the genera and species of several families 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 species that are listed in the Appendices;

RECOGNIZING that the taxonomy used in the Appendices to the Convention will be most useful to the Parties if standardized by nomenclatural references;

AWARE that the former Nomenclature Committee identified names of taxa used in the Appendices to the Convention that should be changed to reflect accepted use in biology;

NOTING that these changes should be adopted by the Conference of the Parties to the Convention;

RECOGNIZING that there are several taxa included in the Appendices of which domesticated forms exist, and that in several cases the Parties have chosen to discriminate between the wild form and the domesticated form by applying a name that differs from the name cited in the standard nomenclature for the protected form;

RECOGNIZING that, in the case of new proposals for listing in the Appendices, the Parties should use adopted standard references whenever available;

CONSIDERING the great practical difficulties involved in recognizing many of the subspecies at present listed in the Appendices when they appear in trade, and the need to weigh ease of subspecies identification against reliability of information on geographic source, for enforcement purposes; and

ACKNOWLEDGING the desirability of harmonizing, to the extent possible, the species nomenclature used by the biodiversity-related multilateral environmental agreements and noting the endorsement of this objective by the chairs of the scientific advisory bodies of biodiversity-related conventions;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. AGREES that species of fungi are covered by the Convention;

2. RECOMMENDS that:

   a) a subspecies be proposed for inclusion in the Appendices only if it is generally recognized as a valid taxon, and easily identifiable in the traded form;

   b) where there are identification difficulties, the problem be approached by either including the entire species in Appendix I or Appendix II or by circumscribing the range of the subspecies warranting protection and listing the populations within this area on a country basis;

   c) where there are domesticated forms of listed taxa, the Animals and Plants Committees recommend names for the wild and domestic forms;

   d) when submitting a proposal to amend the Appendices to the Convention, the proponent identify the reference used to describe the entity being proposed;

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* *Amended at the 13th, 14th, 15th, 16th, 17th and 18th meetings of the Conference of the Parties.*

e) upon receiving proposals to amend the Appendices to the Convention, the Secretariat seek, where appropriate, the advice of the Animals and Plants Committees on the correct names to use for the species or other taxa in question;

f) whenever a change in the name of a taxon included in the Appendices is proposed, the Secretariat, in consultation with the Animals or Plants Committee, determine whether this change would alter the scope of protection for fauna or flora under the Convention. In the case where the scope of a taxon is redefined, the Animals or Plants Committee shall evaluate whether acceptance of the taxonomic change would cause additional species to be included in the Appendices or listed species to be deleted from the Appendices and, if that is the case, the Depositary Government should be requested to submit a proposal to amend the Appendices in accordance with the recommendation of the Animals or Plants Committee, so that the original intent of the listing is retained. Such proposals should be submitted for consideration at the next regular meeting of the Conference of the Parties, at which the recommendations of the Animals and Plants Committees will be considered;

g) if the Animals or Plants Committee proposes nomenclatural changes relating to taxa included in Appendix-III, they should advise the Secretariat whether these changes would also result in changes in distribution that would affect the determination of which countries would be required to issue certificates of origin;

h) if there is conflict regarding the choice of taxonomic authority for taxa for which no standard references have been adopted by the Conference of the Parties, countries authorizing export of animals or plants (or parts or derivatives thereof) of such taxa inform the CITES Secretariat and prospective importing countries of their preferred published taxonomic authority. 'Taxonomic authority' means a recent published paper or monograph that reviews the nomenclature of the taxon being exported and that has been reviewed by professionals in the pertinent discipline. In cases where specimens of the taxon are exported from several countries and the exporting countries do not agree, or the exporting and importing countries do not agree, on the taxonomic authority, the Animals or Plants Committee should determine the most appropriate taxonomic authority, until a formal recommendation to the Conference of the Parties is made. The Animals or Plants Committee shall include this interim decision in its report to the Conference of the Parties, for adoption. The Secretariat shall notify the Parties about the interim decision;

i) the Secretariat be provided with the citations (and ordering information) of checklists that will be nominated for standard references at least six months before the meeting of the Conference of the Parties at which such checklists will be considered. The Secretariat shall include such information in a Notification to the Parties so that Parties can obtain copies to review if they wish before the meeting;

j) final recommendations to update current or adopt new standard nomenclatural references should be made available 150 days prior to every meeting of the Conference of the Parties; and

k) when the Animals or Plants Committee recommends a change in the name of a taxon to be used in the Appendices, it also provide an evaluation of the implications for the implementation of the Convention;

3. RECOMMENDS the following procedure for updating current standard nomenclatural references and adoption of new ones:

a) the process for updating current standard nomenclatural references and adoption of new ones shall be initiated directly by the Animals or Plants Committee on their own initiative or by the submission of a proposal to the Committees by:

i) one or more Parties; or

ii) the Secretariat, on its own initiative or in response to information it has received from the Parties; and

b) proposed changes shall be based on recognized taxonomic publications. In the case where a proposed amendment to the nomenclatural status of a taxon is still under discussion, the new taxonomy should not be adopted;

4. RESOLVES that the Secretariat, in consultation with the Animals or Plants Committee, may make orthographical changes in the lists of species included in the Appendices to the Convention, without consulting the Conference of the Parties, and shall inform the Parties of those changes;

5. DIRECTS the Secretariat, in close cooperation with the nomenclature specialists of the Animals and Plants Committees, and in the implementation of its memoranda of understanding or cooperation, or programmes of work with other biodiversity-related multilateral environmental agreements, to consider ways of harmonizing the taxonomy and nomenclature of species included in their respective provisions;

6. ADOPTS the taxonomic and nomenclatural references listed in the Annex to this Resolution as the official standard references for species included in the Appendices;

7. RECOGNIZES the *Checklist of CITES species*, compiled by the UNEP World Conservation Monitoring Centre, 2005, and its updates, as an official digest of scientific names contained in the standard references, that fully reflects the taxonomy and nomenclature contained in the original species proposals, the recommendations of the Animals or Plants Committee and all accepted names included in the standard references that have been adopted by the Conference of the Parties for species included in the Appendices;

8. AGREES that the adoption of a standard checklist or reference by the Conference of the Parties does not by itself change the status vis-à-vis CITES of any entity, whether it is listed in the Appendices or not, and the status of the entity remains as intended in the proposal adopted by the Conference unless specifically changed by the adoption of a further amendment proposal;

9. URGES Parties to assign to their Scientific Authorities the principal responsibility for:

   a) interpretation of the listings;

   b) consultation with the Animals or Plants Committee as appropriate;

   c) identification of nomenclatural issues that may warrant further review by the appropriate CITES committee and preparation of proposals to amend the Appendices if appropriate; and

   d) supporting and cooperating in the development and maintenance of the checklists;

10. REQUESTS the Secretariat to make each standard reference for Orchidaceae available to the Parties immediately after its completion;

11. DIRECTS the Secretariat, in close cooperation with the nomenclature specialists of the Animals and Plants Committees, to promote harmonization of the taxonomy and nomenclature used by biodiversity-related multilateral environmental agreements; and

12. REPEALS Resolution Conf. 11.22 (Gigiri, 2000) – *Standard nomenclature.*

Annex List of standard references adopted by the Conference of the Parties

FAUNA			
		Taxon concerned	Taxonomic reference
MAMMALIA			
		All MAMMALIA taxa - with the exception of the recognition of the following names for wild forms of species (in preference to names for domestic forms): *Bos gaurus*, *Bos mutus*, *Bubalus arnee*, *Equus africanus*, *Equus przewalskii*, and - with the exception of the taxa noted under the different Mammalia orders below	WILSON, D. E. & REEDER, D. M. (ed.) (2005*). Mammal Species of the World. A Taxonomic and Geographic Reference*. Third edition, Vol. 1-2, xxxv + 2142 pp. Baltimore (John Hopkins University Press).
ARTIODACTYLA	Bovidae	*Ovis spp.*	VALDEZ, R. & WEINBERG, P.J. (2011). Species accounts 188-207 for *Ovis* spp., pp. 727-739 in WILSON, D.E., & MITTERMEIER, R.A. (eds.), *Handbook of the Mammals of the World. Vol.2. Hoofed Mammals.* Lynx Edicions, Barcelona. ISBN 978-84-96553-77-4.
	Camelidae	*Lama guanicoe*	WILSON, D. E. & REEDER, D. M. (1993): *Mammal Species of the World: a Taxonomic and Geographic Reference*. Second edition. xviii + 1207 pp., Washington (Smithsonian Institution Press).

		Taxon concerned	Taxonomic reference
CARNIVORA	Felidae	Felidae spp.,	KITCHENER A. C., BREITENMOSER-WÜRSTEN CH., EIZIRIK E., GENTRY A., WERDELIN L., WILTING A., YAMAGUCHI N., ABRAMOV A. V., CHRISTIANSEN P., DRISCOLL C., DUCKWORTH J. W., JOHNSON W., LUO S.-J., MEIJAARD E., O'DONOGHUE P., SANDERSON J., SEYMOUR K., BRUFORD M., GROVES C., HOFFMANN M., NOWELL K., TIMMONS Z. & TOBE S. (2017). A revised taxonomy of the Felidae. The final report of the Cat Classification Task Force of the IUCN/SSC Cat Specialist Group. *Cat News* Special Issue 11, 80 pp.
CETACEA	Balaenopteridae	*Balaenoptera omurai*	WADA, S., OISHI, M. & YAMADA, T. K. (2003). A newly discovered species of living baleen whales. – *Nature*, **426**: 278-281.
	Delphinidae	*Orcaella heinsohni*	BEASLY, I., ROBERTSON, K. M. & ARNOLD, P. W. (2005). Description of a new dolphin, the Australian Snubfin Dolphin, *Orcaella heinsohni* sp. n. (Cetacea, Delphinidae). -- *Marine Mammal Science*, **21** (3): 365-400.
	Delphinidae	*Sotalia fluviatilis* *Sotalia guianensis*	CABALLERO, S., TRUJILLO, F., VIANNA, J. A., BARRIOS-GARRIDO, H., MONTIEL, M. G., BELTRÁN-PEDREROS, S., MARMONTEL, M., SANTOS, M. C., ROSSI-SANTOS, M. R. & BAKER, C. S. (2007). Taxonomic status of the genus *Sotalia*: species level ranking for "tucuxi" (*Sotalia fluviatilis*) and "costero" (*Sotalia guianensis*) dolphins. - *Marine Mammal Science*, **23**: 358-386.
	Delphinidae	*Sousa plumbea* *Sousa sahulensis*	JEFFERSON, T. A. & ROSENBAUM, H. C. (2014). Taxonomic revision of the humpback dolphins (*Sousa* spp.), and description of a new species from Australia. *Marine Mammal Science*, **30** (4): 1494-1541.
	Delphinidae	*Tursiops australis*	CHARLTON-ROBB, K., GERSHWIN, L.-A., THOMPSON, R., AUSTIN, J., OWEN, K. & MCKECHNIE, S. (2011). A new dolphin species, the Burrunan Dolphin *Tursiops australis* sp. nov., endemic to southern Australian coastal waters. *PLoS ONE*, **6** (9): e24047.
	Iniidae	*Inia araguaiaensis*	HRBEK, T., DA SILVA, V. M. F., DUTRA, N., GRAVENA, W., MARTIN, A. R. & FARIAS, I. P. (2014): A new species of river dolphin from Brazil or: How little do we know our biodiversity. *PLoS ONE* **83623**: 1-12.
	Phocoenidae	*Neophocaena asiaeorientalis*	JEFFERSON, T. A. & WANG, J. Y. (2011). Revision of the taxonomy of finless porpoises (genus *Neophocaena*): The existence of two species. *Journal of Marine Animals and their Ecology*, **4** (1): 3-16.
	Physeteridae	*Physeter macrocephalus*	RICE, D. W. (1998). Marine Mammals of the World: Systematics and Distribution - *Society of Marine Mammalogy* Special Publication Number **4**, The Society for Marine Mammalogy, Lawrence, Kansas.
	Platanistidae	*Platanista gangetica*	RICE, D. W., (1998). Marine Mammals of the World: Systematics and Distribution - *Society of Marine Mammalogy* Special Publication Number **4**, The Society for Marine Mammalogy, Lawrence, Kansas.

		Taxon concerned	Taxonomic reference
	Ziphiidae	*Mesoplodon hotaula*	DALEBOUT, M. L., SCOTT BAKER, C., STEEL, D., THOMPSON, K., ROBERTSON, K. M., CHIVERS, S. J., PERRIN, W. F., GOONATILAKE, M., ANDERSON, C. R., MEAD, J. G., POTTER, C. W., THOMPSON, L., JUPITER, D. & YAMADA, T. K. (2014). Resurrection of *Mesoplodon hotaula* Deraniyagala 1963: A new species of beaked whale in the tropical Indo-Pacific. *Marine Mammal Science*, **30** (3):1081-1108.
PRIMATES	Atelidae	*Ateles geoffroyi*	RYLANDS, A. B., GROVES, C. P., MITTERMEIER, R. A., CORTES-ORTIZ, L. & HINES, J. J. (2006). Taxonomy and distributions of Mesoamerican primates. In: A. ESTRADA, P. GARBER, M. PAVELKA and L. LUECKE (eds), *New Perspectives in the Study of Mesoamerican Primates: Distribution, Ecology, Behavior and Conservation,* pp. 29–79. Springer, New York, USA.
	Aotidae	*Aotus jorgehernandezi*	DEFLER, T. R. & BUENO, M. L. (2007). *Aotus* diversity and the species problem. – *Primate Conservation*, **22**: 55-70.
	Cebidae	*Callithrix manicorensis*	GARBINO, T. & SINICIATO, G. (2014). The taxonomic status of *Mico marcai* (Alperin 1993) and *Mico manicorensis* (van Roosmalen *et al.* 2000) (Cebidae, Callitrichinae) from Southwestern Brazilian Amazonia. *International Journal of Primatology*, **35** (2): 529-546. (for *Mico marcai* lumped with *Mico manicorensis* treated as *Callithrix manicorensis* under CITES]
	Cebidae	*Cebus flavius*	OLIVEIRA, M. M. DE & LANGGUTH, A. (2006). Rediscovery of Marcgrave's Capuchin Monkey and designation of a neotype for *Simia flava* Schreber, 1774 (Primates, Cebidae). – Boletim do Museu Nacional do Rio de Janeiro, N.S., *Zoologia*, **523**: 1-16.
	Cebidae	*Mico rondoni*	FERRARI, S. F., SENA, L., SCHNEIDER, M. P. C. & JÚNIOR, J. S. S. (2010). Rondon's Marmoset, *Mico rondoni* sp. n., from southwestern Brazilian Amazonia. *International Journal of Primatology*, **31**: 693-714.
	Cebidae	*Saguinus ursulus*	GREGORIN, R. & DE VIVO, M. (2013). Revalidation of *Saguinus ursula* Hoffmannsegg (Primates: Cebidae: Callitrichinae). *Zootaxa*, **3721** (2): 172-182.
	Cebidae	*Saimiri collinsi*	MERCES, M. P., ALFARO, J. W. L., FERREIRA, W. A. S., HARADA, M. L. & JÚNIOR, J. S. S. (2015). Morphology and mitochondrial phylogenetics reveal that the Amazon River separates two eastern squirrel monkey species: *Saimiri sciureus* and *S. collinsi*. *Molecular Phylogenetics and Evolution*, **82**: 426-435.
	Cercopithecidae	*Cercopithecus lomamiensis*	HART, J.A., DETWILER, K.M., GILBERT, C.C., BURRELL, A.S., FULLER, J.L., EMETSHU, M., HART, T.B., VOSPER, A., SARGIS, E.J. & TOSI, A.J. (2012). Lesula: A new species of *Cercopithecus* monkey endemic to the Democratic Republic of Congo and implications for conservation of Congo's Central Basin. *PLoS ONE*, **7** (9): e44271.
	Cercopithecidae	*Macaca munzala*	SINHA, A., DATTA, A., MADHUSUDAN, M. D. & MISHRA, C. (2005). *Macaca munzala*: A new species from western Arunachal Pradesh, northeastern India. *International Journal of Primatology*, **26** (4): 977-989: doi:10.1007/s10764-005-5333-3.

		Taxon concerned	Taxonomic reference
	Cercopithecidae	*Rhinopithecus strykeri*	GEISMANN, T., LWIN, N., AUNG, S. S., AUNG, T. N., AUNG, Z. M., HLA, T. H., GRINDLEY, M. & MOMBERG, F. (2011). A new species of snub-nosed monkey, genus *Rhinopithecus* Milne-Edwards, 1872 (Primates, Colobinae), from Northern Kachin State, Northeastern Myanmar. – *American Journal of Primatology*, **73**: 96-107.
	Cercopithecidae	*Rungwecebus kipunji*	DAVENPORT, T. R. B., STANLEY, W. T., SARGIS, E. J., DE LUCA, D. W., MPUNGA, N. E., MACHAGA, S. J. & OLSON, L. E. (2006). A new genus of African monkey, *Rungwecebus*: Morphology, ecology, and molecular phylogenetics. *Science*, **312**: 1378-1381.
	Cercopithecidae	*Trachypithecus villosus*	BRANDON-JONES, D., EUDEY, A. A., GEISSMANN, T., GROVES, C. P., MELNICK, D. J., MORALES J. C., SHEKELLE, M. & STEWARD, C.-B. (2004). Asian primate classification. *International Journal of Primatology*, **25**: 97-163.
	Cercopithecidae	*Cheirogaleus lavasoensis*	THIELE, D., RAZAFIMAHATRATRA, E. & HAPKE, A. (2013). Discrepant partitioning of genetic diversity in mouse lemurs and dwarf lemurs – biological reality or taxonomic bias? *Molecular Phylogenetics and Evolution*, **69**: 593-609.
	Cercopithecidae	*Microcebus gerpi*	RADESPIEL, U., RATSIMBAZAFY, J. H., RASOLOHARIJAONA, S., RAVELOSON, H., ANDRIAHOLINIRINA, N., RAKOTONDRAVONY, R., RANDRIANARISON, R. M. & RANDRIANAMBININA, B. (2012). First indications of a highland specialist among mouse lemurs (*Microcebus* spp.) and evidence for a new mouse lemur species from eastern Madagascar. *Primates*, **53**: 157-170.
	Cercopithecidae	*Microcebus marohita* *Microcebus tanosi*	RASOLOARISON, R. M., WEISROCK, D. W., YODER, A. D., RAKOTONDRAVONY, D. & KAPPELER, P. M. [2013]. Two new species of mouse lemurs (Cheirogaleidae: *Microcebus*) from Eastern Madagascar. - *International Journal of Primatology*, **34:** 455-469.
	Hylobatidae	*Nomascus annamensis*	VAN NGOC THINH, MOOTNICK, A. R., VU NGOC THANH, NADLER, T. & ROOS, C. (2010). A new species of crested gibbon from the central Annamite mountain range. Vietnamese Journal of Primatology, **4**: 1- 12.
	Lorisidae	*Nycticebus kayan*	MUNDS, R.A., NEKARIS, K.A.I. & FORD, S.M. (2013). Taxonomy of the bornean slow loris, with new species *Nycticebus kayan* (Primates, Lorisidae). *American Journal of Primatology*, **75**: 46-56.
	Pitheciidae	*Cacajao melanocephalus* *Cacajao oukary*	FERRARI, S. F., GUEDES, P. G., FIGUEIREDO-READY, W. M. B. & BARNETT, A. A. (2014). Reconsidering the taxonomy of the Black-faced Uacaris, *Cacajao melanocephalus* group (Mammalia: Pitheciidae), from the northern Amazon Basin. *Zootaxa*, **3866** (3): 353-370.
	Pitheciidae	*Callicebus aureipalatii*	WALLACE, R. B., GÓMEZ, H., FELTON, A. & FELTON, A. (2006). On a new species of titi monkey, genus *Callicebus* Thomas (Primates, Pitheciidae), from western Bolivia with preliminary notes on distribution and abundance. *Primate Conservation*, **20**: 29-39.

		Taxon concerned	Taxonomic reference
	Pitheciidae	*Callicebus caquetensis*	DEFLER, T. R., BUENO, M. L. & GARCÍA, J. (2010). *Callicebus caquetensis*: a new and Critically Endangered titi monkey from southern Caquetá, Colombia. *Primate Conservation*, **25**:1-9.
	Pitheciidae	*Callicebus vieira*	GUALDA-BARROS, J., NASCIMENTO, F. O. & AMARAL, M. K. (2012). A new species of *Callicebus* Thomas, 1903 (Primates, Pitheciidae) from the states of Mato Grosso and Pará, Brazil. *Papéis Avulsos de Zoologia (São Paulo)*, **52**: 261-279.
	Pitheciidae	*Callicebus miltoni*	DALPONTE, J. C., SILVA, F. E. & SILVA JÚNIOR, J. S. (2014). New species of titi monkey, genus *Callicebus* Thomas, 1903 (Primates, Pitheciidae), from Southern Amazonia, Brazil. *Papéis Avulsos de Zoologia, São Paulo*, **54**: 457-472.
	Pitheciidae	*Pithecia cazuzai* *Pithecia chrysocephala* *Pithecia hirsuta* *Pithecia inusta Pithecia isabela Pithecia milleri* *Pithecia mittermeieri* *Pithecia napensis* *Pithecia pissinattii* *Pithecia rylandsi* *Pithecia vanzolinii*	MARSH, L.K. (2014). A taxonomic revision of the saki monkeys, *Pithecia* Desmarest, 1804. *Neotropical Primates*, **21**: 1-163.
	Tarsiidae	*Tarsius lariang*	MERKER, S. & GROVES, C.P. (2006). *Tarsius lariang*: A new primate species from Western Central Sulawesi. *International Journal of Primatology*, **27** (2): 465-485.
	Tarsiidae	*Tarsius tumpara*	SHEKELLE, M., GROVES, C., MERKER, S. & SUPRIATNA, J. (2010). *Tarsius tumpara:* A new tarsier species from Siau Island, North Sulawesi. *Primate Conservation*, **23**: 55-64.
PROBOSCIDEA	Elephantidae	*Loxodonta africana*	WILSON, D. E. & REEDER, D. M. (1993). *Mammal Species of the World: a Taxonomic and Geographic Reference*. Second edition. xviii + 1207 pp., Washington (Smithsonian Institution Press).

		Taxon concerned	Taxonomic reference
SCANDENTIA	Tupaiidae	*Tupaia everetti*	ROBERTS, T. E., LANIER, H. C., SARGIS, E. J. & OLSON, L. E. (2011). Molecular phylogeny of treeshrews (Mammalia: Scandentia) and the timescale of diversification in Southeast Asia. *Molecular Phylogenetics and Evolution*, **60** (3): 358-372.
	Tupaiidae	*Tupaia palawanensis*	SARGIS, E. J., CAMPBELL, K. K. & OLSON, L. E. (2014). Taxonomic boundaries and craniometric variation in the treeshrews (Scandentia, Tupaiidae) from the Palawan faunal region. *Journal of Mammalian Evolution*, **21** (1): 111-123.
AVES			
APODIFORMES		Order- and family-level names for birds	MORONY, J. J., BOCK, W. J. & FARRAND, J., Jr. (1975). *Reference List of the Birds of the World.* American Museum of Natural History. 207 pp.
		All bird species – with the exception of the taxa mentioned below	DICKINSON, E.C. (ed.) (2003). The Howard and Moore Complete Checklist of the Birds of the World. Revised and enlarged 3rd Edition. 1039 pp. London (Christopher Helm). in combination with DICKINSON, E.C. (2005). Corrigenda 4 (02.06.2005) to Howard & Moore Edition 3 (2003).
	Trochilidae	*Chlorostilbon lucidus*	PACHECO, J. F. & WHITNEY, B. M. (2006). Mandatory changes to the scientific names of three Neotropical birds *Bull. Brit. Orn. Club*, **126**: 242-244.
	Trochilidae	*Eriocnemis isabellae*	CORTÉS-DIAGO, A., ORTEGA, L. A., MAZARIEGOS-HURTADO, L. & WELLER, A.-A. (2007) A new species of *Eriocnemis* (Trochilidae) from southwest Colombia. *Ornitologia Neotropical,* **18**:161-170.
	Trochilidae	*Phaethornis aethopyga*	PIACENTINI, V. Q., ALEIXO, A. & SILVEIRA, L. F. (2009). Hybrid, subspecies or species? The validity and taxonomic status of *Phaethornis longuemareus aethopyga* Zimmer, 1950 (Trochilidae). *Auk*,**126**: 604-612.
FALCONIFORMES	Accipitridae	*Aquila hastata*	PARRY, S. J., CLARK, W. S. & PRAKASH, V. (2002). On the taxonomic status of the Indian Spotted Eagle *Aquila hastata*. *Ibis*, **144**: 665-675.
	Accipitridae	*Buteo socotraensis*	PORTER, R. F. & KIRWAN, G. M. (2010). Studies of Socotran birds VI. The taxonomic status of the Socotra Buzzard. *Bulletin of the British Ornithologists' Club*, **130** (2): 116–131.
	Falconidae	*Micrastur mintoni*	WHITTAKER, A. (2002). A new species of forest-falcon (Falconidae: *Micrastur*) from southeastern Amazonia and the Atlantic rainforests of Brazil. *Wilson Bulletin*,**114**: 421-445.
PASSERIFORMES	Muscicapidae	*Garrulax taewanus*	COLLAR, N. J. (2006). A partial revision of the Asian babblers (Timaliidae). *Forktail*, **22**: 85-112.
PSITTACIFORMES	Cacatuidae	*Cacatua goffiniana*	ROSELAAR, C. S. & MICHELS, J. P. (2004). Nomenclatural chaos untangled, resulting in the naming of the formally undescribed *Cacatua* species from the Tanimbar Islands, Indonesia (Psittaciformes: Cacatuidae). *Zoologische Verhandelingen*, **350**: 183-196.

		Taxon concerned	Taxonomic reference
	Loriidae	*Trichoglossus haematodus*	COLLAR, N. J. (1997). Family Psittacidae (Parrots). In DEL HOYO, J., ELLIOT, A. AND SARGATAL, J. (eds.), *Handbook of the Birds of the World*, **4** (Sandgrouse to Cuckoos): 280-477. Barcelona (Lynx Edicions).
	Psittacidae	*Aratinga maculata*	NEMESIO, A. & RASMUSSEN, C. (2009). The rediscovery of Buffon's "Guarouba" or "Perriche jaune": two senior synonyms of *Aratinga pintoi* SILVEIRA, LIMA & HÖFLING, 2005 (Aves: Psittaciformes). *Zootaxa*, **2013**: 1-16.
	Psittacidae	*Forpus modestus*	PACHECO, J. F. & WHITNEY, B. M. (2006). Mandatory changes to the scientific names of three Neotropical birds. *Bulletin of the British Ornithologists' Club*, **126**: 242-244.
	Psittacidae	*Pionopsitta aurantiocephala*	GABAN-LIMA, R., RAPOSO, M. A. & HOFLING, E. (2002). Description of a new species of *Pionopsitta* (Aves: Psittacidae) endemic to Brazil. *Auk*, **119**: 815-819.
	Psittacidae	*Poicephalus robustus* *Poicephalus fuscicollis*	COETZER, W.G., DOWNS, C.T., PERRIN, M.R. & WILLOWS-MUNRO, S. (2015). Molecular Systematics of the Cape Parrot (*Poicephalus robustus*). Implications for Taxonomy and Conservation. *PLoS ONE*, 10(8): e0133376. doi: 10.1371/journal.pone.0133376.
	Psittacidae	*Psittacula intermedia*	COLLAR, N. J. (1997) Family Psittacidae (Parrots). In DEL HOYO, J., ELLIOT, A. AND SARGATAL, J. (eds.), *Handbook of the Birds of the World*, **4** (Sandgrouse to Cuckoos): 280-477. Barcelona (Lynx Edicions).
	Psittacidae	*Pyrrhura griseipectus*	OLMOS, F., SILVA, W. A. G. & ALBANO, C. (2005). Grey-breasted Conure *Pyrrhura griseipectus*, an overlooked endangered species. *Cotinga*, **24**: 77-83.
	Psittacidae	*Pyrrhura parvifrons*	ARNDT, T. (2008). Anmerkungen zu einigen *Pyrrhura*-Formen mit der Beschreibung einer neuen Art und zweier neuer Unterarten. *Papageien*, **8:** 278-286.
STRIGIFORMES	Strigidae	*Glaucidium mooreorum*	DA SILVA, J. M. C., COELHO, G. & GONZAGA, P. (2002). Discovered on the brink of extinction: a new species of pygmy owl (Strigidae: Glaucidium) from Atlantic forest of northeastern Brazil. *Ararajuba*, **10**(2): 123-130.
	Strigidae	*Ninox burhani*	INDRAWAN, M. & SOMADIKARTA, S. (2004). A new hawk-owl from the Togian Islands, Gulf of Tomini, central Sulawesi, Indonesia. *Bulletin of the British Ornithologists' Club*, **124**: 160-171.
	Strigidae	*Otus thilohoffmanni*	WARAKAGODA, D. H. & RASMUSSEN, P. C. (2004). A new species of scops-owl from Sri Lanka. *Bulletin of the British Ornithologists' Club*, **124** (2): 85-105.

		Taxon concerned	Taxonomic reference
REPTILIA			
CROCODYLIA & RHYNCHOCEPHALIA		Crocodylia & Rhynchocephalia except for the taxa listed below	WERMUTH, H. & MERTENS, R. (1996) (reprint). *Schildkröte, Krokodile, Brückenechsen*. xvii + 506 pp. Jena (Gustav Fischer Verlag).
	Crocodylidae	*Crocodylus johnstoni*	TUCKER, A. D. (2010). The correct name to be applied to the Australian freshwater crocodile, *Crocodylus johnstoni* [Krefft, 1873]. *Australian Zoologist*, **35** (2): 432-434.
	Sphenodontidae	*Sphenodon* spp.	HAY, J. M., SARRE, S. D., LAMBERT, D. M., ALLENDORF, F. W. & DAUGHERTY, C. H. (2010). Genetic diversity and taxonomy: a reassessment of species designation in tuatara (*Sphenodon*: Reptilia). *Conservation Genetics*, **11** (93): 1063-1081.
SAURIA		For delimitation of families within the Sauria	POUGH, F. H., ANDREWS, R. M., CADLE, J. E., CRUMP, M. L., SAVITZKY, A. H. & WELLS, K. D. (1998). *Herpetology.* Upper Saddle River/New Jersey (Prentice Hall).
	Agamidae	*Saara* spp. *Uromastyx* spp.	WILMS, T. M., BÖHME, W., WAGNER, P., LUTZMANN, N. & SCHMITZ, A. (2009). On the phylogeny and taxonomy of the genus *Uromastyx* Merrem, 1820 (Reptilia: Squamata: Agamidae: Uromastycinae) – resurrection of the genus *Saara* Gray, 1845. *Bonner zool. Beiträge*, **56** (1-2): 55-99.
	Anguidae	*Abronia* spp.	UETZ, P., FREED, P. & HOŠEK, J. (eds.) (2016). Taxonomic checklist of the species of the genus *Abronia.* Species information extracted from "The Reptile Database", version of 15 August 2016, accessed 11 May 2017. See Annex 2 of AC29 Doc.35. at https://cites.org/sites/default/files/eng/com/ac/29/E-AC29-35- A2.pdf
	Chamaeleonidae	Chamaleonidae spp.	GLAW, F. (2015). Taxonomic checklist of chamaeleons (Squamata: Chamaeleonidae). *Vertebrate Zoology*, 65 (2): 167-246.
	Cordylidae	Cordylidae spp. except the taxon mentioned below	STANLEY, E. L., BAUER, A. M., JACKMAN, T. R., BRANCH, W. R. & P. LE F. N. (2011). Between a rock and a hard polytomy: rapid radiation in the rupicolous girdled lizards (Squamata: Cordylidae). *Molecular Phylogenetics and Evolution*, **58** (1): 53-70.
	Cordylidae	*Cordylus marunguensis*	GREENBAUM, E., STANLEY, E. L., KUSAMBA, C., MONINGA, W. M., GOLDBERG, S. R. & CHA (2012). A new species of *Cordylus* (Squamata: Cordylidae) from the Marungu Plateau of south-eastern Democratic Republic of the Congo. *African Journal of Herpetology*, **61** (1): 14-39.

		Taxon concerned	Taxonomic reference
	Gekkonidae	*Cnemaspis psychedelica*	GRISMER, L. L., NGO, V. T. & GRISMER, J. L. (2010). A colorful new species of insular rock gecko (*Cnemaspis* Strauch 1887) from southern Vietnam. *Zootaxa*, **58**: 46–58.
	Gekkonidae	*Dactylonemis* spp. *Hoplodactylus* spp. *Mokopirirakau* spp.	NIELSEN, S. V., BAUER, A. M., JACKMAN, T. R., HITCHMOUGH, R. A. & DAUGHERTY, C. H. (2011). New Zealand geckos (Diplodactylidae): Cryptic diversity in a post-Gondwanan lineage with trans-Tasman affinities. *Molecular Phylogenetics and Evolution*, **59** (1): 1-22.
	Gekkonidae	*Lygodactylus williamsi*	Species information extracted from UETZ, P., FREED, P. & HOŠEK, J. (eds.) (2016). The Reptile Database, version of 15 August 2016, accessed 11 May 2017. See Annex 2 of AC29 Doc.35 at https://cites.org/sites/default/files/eng/com/ac/29/E-AC29-35-A2.pdf
	Gekkonidae	*Nactus serpensinsula*	KLUGE, A.G. (1983). Cladistic relationships among gekkonid lizards. Copeia, **2**: 465-475.
	Gekkonidae	*Naultinus* spp.	NIELSEN, S. V., BAUER, A. M., JACKMAN, T. R., HITCHMOUGH, R. A. & DAUGHERTY, C. H. (2011). New Zealand geckos (Diplodactylidae): Cryptic diversity in a post-Gondwanan lineage with trans-Tasman affinities. *Molecular Phylogenetics and Evolution*, **59** (1): 1-22.
	Gekkonidae	*Paroedura masobe*	NUSSBAUM, R.A. & RAXWORTHY, C.J. (1994). A new rainforest gecko of the genus *Paroedura* GÜNTHER from Madagascar. *Herpetological Natural History*, **2** (1):43-49.
	Gekkonidae	*Phelsuma* spp. *Rhoptropella* spp.	GLAW, F. & RÖSLER, H. (2015). Taxonomic checklist of the day geckos of the genera *Phelsuma* Gray, 1825 and *Rhoptropella* Hewitt, 1937 (Squamata: Gekkonidae). *Vertebrate Zoology*, **65** (2): 167-246.
	Gekkonidae	*Toropuku* spp. *Tukutuku* spp. *Woodworthia* spp.	NIELSEN, S. V., BAUER, A. M., JACKMAN, T. R., HITCHMOUGH, R. A. & DAUGHERTY, C. H. (2011). New Zealand geckos (Diplodactylidae): Cryptic diversity in a post-Gondwanan lineage with trans-Tasman affinities. *Molecular Phylogenetics and Evolution*, **59** (1): 1-22.
	Gekkonidae	*Uroplatus* spp. except for the taxa mentioned below	RAXWORTHY, C.J. (2003). Introduction to the reptiles. In: Goodman, S.M. & Bernstead, J.P. (eds.), *The natural history of Madagascar*: 934-949. Chicago.
	Gekkonidae	*Uroplatus finiavana*	RATSOAVINA, F. M., LOUIS JR., E. E., CROTTINI, A., RANDRIANIAINA, R. -D., GLAW, F. & VENCES, M. (2011). A new leaf tailed gecko species from northern Madagascar with a preliminary assessment of molecular and morphological variability in the *Uroplatus ebenaui* group. *Zootaxa*, **3022**: 39-57.
	Gekkonidae	*Uroplatus giganteus*	GLAW, F., KOSUCH, J., HENKEL, W. F., SOUND, P. & BÖHME, W. (2006). Genetic and morphological variation of the leaf-tailed gecko *Uroplatus fimbriatus* from Madagascar, with description of a new giant species. *Salamandra*, **42**: 129-144.

		Taxon concerned	Taxonomic reference
	Gekkonidae	*Uroplatus pietschmanni*	BÖHLE, A. & SCHÖNECKER, P. (2003). Eine neue Art der Gattung *Uroplatus* Duméril, 1805 aus Ost- Madagaskar (Reptilia: Squamata: Gekkonidae). *Salamandra*, **39** (3/4): 129-138.
	Gekkonidae	*Uroplatus sameiti*	RAXWORTHY, C. J., PEARSON, R. G., ZIMKUS, B. M., REDDY, S., DEO, A. J., NUSSBAUM, R. A. & INGRAM, C. M. (2008). Continental speciation in the tropics: contrasting biogeographic patterns of divergence in the *Uroplatus* leaf-tailed gecko radiation of Madagascar. *Journal of Zoology*, **275**: 423–440.
	Iguanidae	Iguanidae spp. except for the taxa mentioned below	HOLLINGSWORTH, B. D. (2004). The Evolution of Iguanas: An Overview of Relationships and a Checklist of Species. In: *Iguanas: Biology and Conservation* (Alberts, A. C., Carter, R. L., Hayes, W. K. & Martins, E. P., Eds): 19-44.. Berkeley (University of California Press).
	Iguanidae	*Brachylophus bulabula*	KEOGH, J. S., EDWARDS, D. L., FISHER, R. N. & HARLOW, P. S. (2008). Molecular and morphological analysis of the critically endangered Fijian iguanas reveals cryptic diversity and a complex biogeographic history. *Philosophical Transactions of the Royal Society B*, **363** (1508):3413-3426.
	Iguanidae	*Conolophus marthae*	GENTILE, G. & SNELL, H. (2009). *Conolophus marthae* sp. nov. (Squamata, Iguanidae), a new species of land iguana from the Galápagos archipelago. *Zootaxa*, **2201**: 1-10.
	Iguanidae	*Ctenosaura spp.*	Iguana Taxonomy Working Group (2016). A checklist of the iguanas of the world (Iguanidae; Iguaninae). In: *Iguanas: Biology, Systematics, and Conservation* (J. B. IVERSON, T.D. GRANT, C .R. KNAPP, and S. A. PASACHNIK, Eds.): 4–46. Herpetological Conservation and Biology 11(Monograph 6).
	Iguanidae	*Cyclura lewisi*	BURTON, F. J. (2004). Revision to Species *Cyclura nubila lewisi*, the Grand Cayman Blue Iguana. *Caribbean Journal of Science*, **40** (2): 198-203.
	Iguanidae	*Phrynosoma blainvillii* *Phrynosoma cerroense* *Phrynosoma wigginsi*	MONTANUCCI, R.R. (2004). Geographic variation in *Phrynosoma coronatum* (Lacertilia, Phrynosomatidae): further evidence for a peninsular archipelago. *Herpetologica*, **60**: 117.
	Lanthanotidae	Lanthanotidae spp.	UETZ, P., FREED, P. & HOŠEK, J. (eds.) (2016). Family, genus and species information extracted from the Integrated Taxonomic Information Service (ITIS), an online reference; and species information extracted from *The Reptile Database*, version of 15 August 2016, accessed 11 May 2017. See Annex 2 of AC29 Doc.35 at https://cites.org/sites/default/files/eng/com/ac/29/E-AC29-35-A2.pdf
	Teiidae	Teiidae spp.	HARVEY, M. B., UGUETO, G. N. & GUTBERLET, R. L. JR. (2012). Review of teiid morphology with a revised taxonomy and phylogeny of the Teiidae (Lepidosauria: Squamata). *Zootaxa*, **3459**: 1–156.

		Taxon concerned	Taxonomic reference
	Varanidae	Varanidae spp. except for the taxa mentioned below	BÖHME, W. (2003). Checklist of the living monitor lizards of the world (family Varanidae) *Zoologische Verhandelingen*, *Leiden*, **341**: 1-43. in combination with KOCH, A., AULIYA, M. & ZIEGLER, T. (2010.: Updated Checklist of the living monitor lizards of the world (Squamata: Varanidae). - Bonn zoological Bulletin, **57** (2): 127-136.
	Varanidae	*Varanus bangonorum* *Varanus dalubhasa*	WELTON, L. J., TRAVERS, S. L., SILER, C. D. & BROWN, R. M. (2014). Integrative taxonomy and phylogeny- based species delimitation of Philippine water monitor lizards (*Varanus salvator* complex) with descriptions of two new cryptic species. *Zootaxa*, **3881** (3):201–227.
	Varanidae	*Varanus hamersleyensis*	MARYAN, B., OLIVER, P. M., FITCH, A. J. & O'CONNELL, M. (2014). Molecular and morphological assessment of *Varanus pilbarensis* (Squamata: Varanidae), with a description of a new species from the southern Pilbara, Western Australia. *Zootaxa*, **3768** (2):139–158.
	Varanidae	*Varanus nesterovi*	BÖHME, W., EHRLICH, K., MILTO, K. D., ORLOV, N. & SCHOLZ, S. (2015). A new species of desert monitor lizard (Varanidae: *Varanus*: *Psammosaurus*) from the western Zagros region (Iraq, Iran). *Russian Journal of Herpetology*, **22** (1): 41-52.
	Varanidae	*Varanus samarensis*	KOCH, A., GAULKE, M. & BÖHME, W. (2010). Unravelling the underestimated diversity of Philippine water monitor lizards (Squamata: *Varanus salvator* complex), with the description of two new species and a new subspecies. *Zootaxa*, **2446**: 1–54.
	Varanidae	*Varanus sparnus*	DOUGHTY, P., KEALLEY, L., FITCH, A. & DONNELLAN, S. C. (2014). A new diminutive species of *Varanus* from the Dampier Peninsula, western Kimberley region, Western Australia. *Records of the Western Australian Museum*, **29**: 128–140.

		Taxon concerned	Taxonomic reference
SERPENTES		Loxocemidae spp. Pythonidae spp. Boidae spp. Bolyeriidae spp. Tropidophiidae spp. Viperidae spp. except for the retention of the genera *Acrantophis, Sanzinia, Calabaria, Lichanura,* the recognition of *Epicrates maurus* as valid species and except for the species mentioned below	McDiarmid, R. W., Campbell, J. A. & Touré, T. A. (1999). *Snake Species of the World. A Taxonomic and Geographic Reference. Volume 1*, Washington, D.C. (The Herpetologists' League).
	Boidae	*Candoia paulsoni* *Candoia superciliosa*	Smith, H. M., Chiszar, D., Tepedelen, K. & van Breukelen, F. (2001). A revision of the bevelnosed boas (*Candoia carinata* complex) (Reptilia: Serpentes). *Hamadryad*, **26** (2): 283-315.
	Boidae	*Corallus batesii*	Henderson, R. W., Passos, P. & Feitosa, D. (2009). Geographic variation in the Emerald Treeboa, *Corallus caninus* (Squamata: Boidae). *Copeia*, **2009** (3): 572-582.
	Boidae	*Epicrates crassus* *Epicrates assisi* *Epicrates alvarezi*	Passos, P. & Fernandes, R. (2008). Revision of the *Epicrates cenchria* complex (Serpentes: Boidae). *Herpetological Monographs*, **22**: 1-30.
	Boidae	*Eryx borrii*	Lanza, B. & Nistri, A. (2005). Somali Boidae (genus *Eryx* Daudin 1803) and Pythonidae (genus *Python* Daudin 1803) (Reptilia Serpentes). *Tropical Zoology*, **18** (1): 67-136.
	Boidae	*Eunectes beniensis*	Dirksen, L. (2002). *Anakondas*. NTV Wissenschaft.

		Taxon concerned	Taxonomic reference
	Colubridae	*Xenochrophis piscator* *Xenochrophis schnurrenbergeri* *Xenochrophis tytleri*	VOGEL, G. & DAVID, P. (2012). A revision of the species group of *Xenochrophis piscator* (Schneider, 1799) (Squamata: Natricidae). *Zootaxa*, **3473**: 1-60.
	Elapidae	*Micrurus ruatanus*	MCCRANIE, J. R. (2015). A checklist of the amphibians and reptiles of Honduras, with additions, comments on taxonomy, some recent taxonomic decisions, and areas of further studies needed. *Zootaxa*, **3931** (3): 352–386.
	Elapidae	*Naja atra* *Naja kaouthia*	WÜSTER, W. (1996). Taxonomic change and toxinology: systematic revisions of the Asiatic cobras (*Naja naja* species complex). *Toxicon*, **34**: 339-406.
	Elapidae	*Naja mandalayensis*	SLOWINSKI, J. B. & WÜSTER, W. (2000). A new cobra (Elapidae: Naja) from Myanmar (Burma). *Herpetologica*, **56**: 257-270.
	Elapidae	*Naja oxiana* *Naja philippinensis* *Naja sagittifera* *Naja samarensis* *Naja siamensis Naja sputatrix* *Naja sumatrana*	WÜSTER, W. (1996). Taxonomic change and toxinology: systematic revisions of the Asiatic cobras (*Naja naja* species complex). *Toxicon*, **34**: 339-406.
	Pythonidae	*Leiopython bennettorum* *Leiopython biakensis* *Leiopython fredparkeri* *Leiopython huonensis* *Leiopython hoserae*	SCHLEIP, W. D. (2008). Revision of the genus *Leiopython* Hubrecht 1879 (Serpentes: Pythonidae) with the redescription of taxa recently described by Hoser (2000) and the description of new species. *Journal of Herpetology*, **42** (4): 645–667.

		Taxon concerned	Taxonomic reference
	Pythonidae	*Morelia clastolepis* *Morelia kinghorni* *Morelia nauta* *Morelia tracyae*	HARVEY, M. B., BARKER, D. B., AMMERMAN, L. K. & CHIPPINDALE, P. T. (2000). Systematics of pythons of the *Morelia amethistina* complex (Serpentes: Boidae) with the description of three new species. *Herpetological Monographs*, **14**: 139-185.
	Pythonidae	*Python bivittatus*	JACOBS, H. J., AULIYA, M. & BÖHME, W. (2009). Zur Taxonomie des Dunklen Tigerpythons, *Python molurus bivittatus* KUHL, 1820, speziell der Population von Sulawesi. *Sauria*, **31**: 5-16.
	Pythonidae	*Python breitensteini* *Python brongersmai*	KEOGH, J. S., BARKER, D. G. & SHINE, R. (2001). Heavily exploited but poorly known: systematics and biogeography of commercially harvested pythons (*Python curtus* group) in Southeast Asia. *Biological Journal of the Linnean Society*, **73**: 113-129.
	Pythonidae	*Python kyaiktiyo*	ZUG, G.R., GROTTE, S. W. & JACOBS, J. F. (2011). Pythons in Burma: Short-tailed python (Reptilia: Squamata). *Proceedings of the biological Society of Washington*, **124** (2): 112-136.
	Pythonidae	*Python natalensis*	BROADLEY, D. G. (1999). The southern African python, *Python natalensis* A. Smith 1840, is a valid species. *African Herp News*, **29**: 31-32.
	Tropidophiidae	*Tropidophis* spp. except for the taxa mentioned below	HEDGES, S.B. (2002). Morphological variation and the definition of species in the snake genus *Tropidophis* (Serpentes, Tropidophiidae). *Bulletin of the Natural History Museum, London (Zoology)*, **68** (2): 83-90.
	Tropidophiidae	*Tropidophis celiae*	HEDGES, B. S., ESTRADA, A. R. & DIAZ, L. M. (1999): New snake (*Tropidophis*) from western Cuba. *Copeia*, **1999** (2): 376-381.
	Tropidophiidae	*Tropidophis grapiuna*	CURCIO, F. F., SALES NUNES, P. M., SUZART ARGOLO, A. J., SKUK, G. & RODRIGUES, M. T. (2012). Taxonomy of the South American dwarf boas of the genus *Tropidophis* Bibron, 1840, with the description of two new species from the Atlantic forest (Serpentes: Tropidophiidae). *Herpetological Monographs*, **26** (1):80-121.
	Tropidophiidae	*Tropidophis hendersoni*	HEDGES, B. S. & GARRIDO, O. (2002). A new snake of the genus *Tropidophis* (Tropidophiidae) from Eastern Cuba *Journal of Herpetology*, **36**:157-161.
	Tropidophiidae	*Tropidophis morenoi*	HEDGES, B. S., GARRIDO, O. & DIAZ, L. M. (2001). A new banded snake of the genus *Tropidophis* (Tropidophiidae) from north-central Cuba. *Journal of Herpetology*, **35**: 615-617.
	Tropidophiidae	*Tropidophis preciosus*	CURCIO, F. F., SALES NUNES, P. M., SUZART ARGOLO, A. J., SKUK, G. & RODRIGUES, M. T. (2012). Taxonomy of the South American dwarf boas of the genus *Tropidophis* Bibron, 1840, with the description of two new species from the Atlantic forest (Serpentes: Tropidophiidae). *Herpetological Monographs*, **26** (1):80-121.

		Taxon concerned	Taxonomic reference
	Tropidophiidae	*Tropidophis spiritus*	HEDGES, B. S. & GARRIDO, O. (1999). A new snake of the genus *Tropidophis* (Tropidophiidae) from central Cuba. *Journal of Herpetology*, **33**:436-441.
	Tropidophiidae	*Tropidophis xanthogaster*	DOMÍNGUEZ, M., MORENO, L. V. & HEDGES, S. B. (2006). A new snake of the genus *Tropidophis* (Tropidophiidae) from the Guanahacabibes Peninsula of Western Cuba. *mphibia-Reptilia*, **27** (3): 427-432.
	Viperidae	*Atheris desaixi Bitis worthingtoni*	UETZ, P., FREED, P. & HŎSEK, J. (eds.) (2016). Species information extracted from *The Reptile Database*, version of 15 August 2016, accessed 11 May 2017. See Annex 2 of AC29 Doc.35 at https://cites.org/sites/default/files/eng/com/ac/29/E-AC29-35-A2.pdf
TESTUDINES		Testudines order names	WERMUTH, H. & MERTENS, R. (1996) (reprint). *Schildkröte, Krokodile, Brückenechsen*. xvii + 506 pp. Jena (Gustav Fischer Verlag).
		Species and family names – with the exception of the retention of the following names *Mauremys iversoni, Mauremys pritchardi, Ocadia glyphistoma, Ocadia philippeni, Sacalia pseudocellata*, and except for the taxa mentioned below	FRITZ, U. & HAVAŠ, P. (2007): Checklist of Chelonians of the World. *Vertebrate Zoology*, **57** (2): 149-368. Dresden. ISSN 1864-5755 [without its appendix]
	Emydidae	*Graptemys pearlensis*	ENNEN, J. R., LOVICH, J. E., KREISER, B. R., SELMAN, W. & QUALLS, C. P. (2010). Genetic and morphological variation between populations of the Pascagoula Map Turtle (*Graptemys gibbonsi*) in the Pearl and Pascagoula Rivers with description of a new species. *Chelonian Conservation and Biology*, **9** (1): 98-113.
	Geoemydidae	*Batagur affinis*	PRASCHAG, P., SOMMER, R. S., MCCARTHY, C., GEMEL, R. & FRITZ, U. (2008). Naming one of the world's rarest chelonians, the southern Batagur. *Zootaxa*, **1758**: 61-68.
	Geoemydidae	*Batagur borneoensis, Batagur dhongoka, Batagur kachuga, Batagur trivittata*	PRASCHAG, P., HUNDSDÖRFER, A. K. & FRITZ, U. (2007). Phylogeny and taxonomy of endangered South and South-east Asian freshwater turtles elucidates by mtDNA sequence variation (Testudines: Geoemydidae: *Batagur, Callagur, Hardella, Kachuga, Pangshura*). *Zoologica Scripta*, **36**: 429-442.

	Geoemydidae	*Cuora bourreti* *Cuora picturata*	SPINKS, P. Q., THOMSON, R. C., ZHANG, Y.P., CHE, J., WU, Y. & SHAFFER, H. B. (2012). Species boundaries and phylogenetic relationships in the critically endangered Asian box turtle genus *Cuora*. *Molecular Phylogenetics and Evolution*, **63**: 656–667. doi:10.1016/j.ympev.2012.02.014.

		Taxon concerned	Taxonomic reference
	Geoemydidae	*Cyclemys enigmatica,* *Cyclemys fusca* *Cyclemys gemeli* *Cyclemys oldhamii*	FRITZ, U., GUICKING, D., AUER, M., SOMMER, R. S., WINK, M. & HUNDSDÖRFER, A. K. (2008). Diversity of the Southeast Asian leaf turtle genus *Cyclemys*: how many leaves on its tree of life? *Zoologica Scripta*, **37**: 367-390.
	Geoemydidae	*Mauremys reevesii*	BARTH, D., BERNHARD, D., FRITZSCH, G. & U. FRITZ (2004). The freshwater turtle genus *Mauremys* (Testudines, Geoemydidae) – a textbook example of an east-west disjunction or a taxonomic misconcept? *Zoologica Scripta*, **33**: 213-221.
	Testudinidae	*Centrochelys sulcata*	Turtle Taxonomy Working Group [van DIJK, P. P., IVERSON, J. B., RHODIN, A. G. J., SHAFFER, H. B. & BOUR, R.]. (2014): Turtles of the world, 7TH edition: Annotated checklist of taxonomy, synonymy, distribution with maps, and conservation status. 000.v7. *Chelonian Research Monographs*, **5** doi: 10.3854/crm.5.000.checklist.v7.2014.
	Testudinidae	*Chelonoidis carbonarius* *Chelonoidis denticulatus* *Chelonoidis niger*	OLSON, S .L. & DAVID, N. (2014). The gender of the tortoise genus *Chelonoidis* Fitzinger, 1835 (Testudines: Testudinidae). - Proceedings of the Biological Society of Washington, **126**(4): 393-394.
	Testudinidae	*Gopherus morafkai*	MURPHY, R. W., BERRY, K. H., EDWARDS, T., LEVITON, A. E., LATHROP, A. & RIEDLE, J. D. (2011). The dazed and confused identity of Agassiz's land tortoise, *Gopherus agassizii* (Testudines, Testudinidae) with the description of a new species, and its consequences for conservation. *Zookeys*, **113**: 39-71.
	Testudinidae	*Homopus solus*	BRANCH, W. R. (2007). A new species of tortoise of the genus *Homopus* (Chelonia: Testudinidae) from southern Namibia. *African Journal of Herpetology,* **56** (1): 1-21.
	Testudinidae	*Kinixys nogueyi Kinixys zombensis*	KINDLER, C., BRANCH, W. R., HOFMEYR, M. D., MARAN, J., ŠIROKÝ, P., VENCES, M., HARVEY, J., HAUSWALDT, J. S., SCHLEICHER, A., STUCKAS, H. & FRITZ, U. (2012). Molecular phylogeny of African hinge-back tortoises (*Kinixys*): implications for phylogeography and taxonomy (Testudines: Testudinidae). *Journal of Zoological Systematics and Evolutionary Research*, **50**: 192–201.
	Trionychidae	*Lissemys ceylonensis*	PRASCHAG, P., STUCKAS, H., PÄCKERT, M., MARAN, J. & FRITZ, U. (2011). Mitochondrial DNA sequences suggest a revised taxonomy of Asian flapshell turtles (*Lissemys* Smith, 1931) and the validity of previously unrecognized taxa (Testudines: Trionychidae). *Vertebrate Zoology*, **61** (1): 147-160.

	Trionychidae	*Nilssonia gangeticus* *Nilssonia hurum* *Nilssonia leithii* *Nilssonia nigricans*	PRASCHAG, P., HUNDSDÖRFER, A.K., REZA, A.H.M.A. & FRITZ, U. (2007). Genetic evidence for wild-living *Aspideretes nigricans* and a molecular phylogeny of South Asian softshell turtles (Reptilia: Trionychidae: *Aspideretes, Nilssonia*). *Zoologica Scripta*, **36**:301-310.
AMPHIBIA			
		Amphibia spp. except for the taxa listed below	FROST, D. R. (ed.) (2015). Taxonomic Checklist of Amphibian Species listed in the CITES Appendices and the Annexes of EC Regulation 338/97. Species information extracted from *Amphibian Species of the World: a taxonomic and geographic reference*, an online reference, version 6.0 as of May2015 with additional comments by the Nomenclature Specialist of the CITES Animals Committee. See Annex 5 of CoP17 Doc. 81.1 at https://cites.org/sites/default/files/eng/cop/17/WorkingDocs/E-CoP17-81-01-A5.pdf
		Anura: Microhylidae: *Dyscophus* spp and *Scaphiophryne* spp.; Telmatobiidae: *Telmatobius culeus;* and Caudata: Salamandridae: *Paramesotriton hongkongensis*	FROST, D. R. (ed.) (2017). Species information extracted from *Amphibian Species of the World: a taxonomic and geographic reference*, an online reference, version 6.0, accessed 12 May 2017. See Annex 3 of AC29 Doc.35 at https://cites.org/sites/default/files/eng/com/ac/29/E-AC29-35-A3.pdf

		Taxon concerned	Taxonomic reference
ELASMOBRANCHII, ACTINOPTERI, COELACANTHI, and DIPNEUSTI			
		All fish species, except the taxa listed below	ESCHMEYER, W.N. & FRICKE, R. (eds.) (2015). Taxonomic Checklist of Fish species listed in the CITES Appendices and the Annexes of EC Regulation 338/97 (Elasmobranchii, Actinopteri, Coelacanthi, and Dipneusti, except the genus *Hippocampus*). Information extracted from *Catalog of Fishes*, an online reference, version update from 3 February 2015. See Annex 6 of CoP17 Doc. 81.1 at https://cites.org/sites/default/files/eng/cop/17/WorkingDocs/E-CoP17-81-01-A6.pdf
		Elasmobranchii: Carcharhiniformes: Carcharhinidae: *Carcharhinus falciformis;* Lamniformes*:* *Alopiidae: Alopias* spp.; Myliobatiformes: Myliobatidae: *Mobula* spp.; Potamotrygonidae: *Potamotrygon* spp.; Actinopteri: Perciformes: Pomacanthidae: *Holacanthus clarionensis*	ESCHMEYER, W. N., FRICKE, R., & VAN DER LAAN, R. (eds.) (2017). Information extracted from *Catalog of Fishes: Genera, Species, References*, an online reference, version of 28 April 2017, accessed 12 May 2017. See Annex 4 of AC29 Doc.35 at https://cites.org/sites/default/files/eng/com/ac/29/E-AC29-35-A4.pdf
SYNGNATHIFORMES	Syngnathidae	*Hippocampus* spp.	LOURIE, S. A., POLLOM, R. A. and FOSTER, S. J. (2016). A global revision of the Seahorses *Hippocampus* Rafinesque 1810 (Actinopterygii: Sygnathiformes): Taxonomy and biogeography with recommendations for further research. *Zootaxa*, 4146 (1): 1-066.
ARACHNIDA			
ARANEAE	Theraphosidae	*Aphonopelma albiceps* *Aphonopelma pallidum* *Brachypelma* spp. except for the taxa mentioned below	PLATNICK, N. (2006). Taxonomic Checklist of CITES listed Spider Species. Information extracted from *The World Spider Catalog*, an online reference, Version 6.5 as of 7 April 2006. [available at http://www.cites.org/common/docs/Res/12_11/spider_checklist.pdf]

		Taxon concerned	Taxonomic reference
	Theraphosidae	*Brachypelma ruhnaui* lumped with *Brachypelma albiceps* treated as *Aphonopelma albiceps* under CITES	PLATNICK, N. I. (2014). *The World Spider Catalogue, V15*. http://platnick.sklipkani.cz/html/
	Theraphosidae	*Brachypelma kahlenbergi*	RUDLOFF, J.-P. (2008). Eine neue *Brachypelma*-Art aus Mexiko (Araneae: Mygalomorphae: Theraphosidae: Theraphosinae). *Arthropoda*, **16** (2): 26-30.
SCORPIONES	Scorpionidae	*Pandinus* spp. except for the taxa mentioned below	LOURENÇO, W. R. & CLOUDSLEY-THOMPSON, J. C. (1996). Recognition and distribution of the scorpions of the genus Pandinus Thorell, 1876 accorded protection by the Washington Convention. *Biogeographica*, **72** (3): 133-143.
	Scorpionidae	*Pandinus camerounensis* *Pandinus roeseli*	LOURENÇO, W. R. (2014). Further considerations on the identity and distribution of *Pandinus imperator* (C. L. Koch, 1841) and description of a new species from Cameroon (Scorpiones: Scorpionidae). *Entomologische Mitteilungen aus dem Zoologischen Museum Hamburg*, **17** (192): 139-151.
INSECTA			
COLEPTERA	Lucanidae	*Colophon* spp.	BARTOLOZZI, L. (2005). Description of two new stag beetle species from South Africa (Coleoptera: Lucanidae). *African Entomology*, **13** (2): 347-352.
LEPIDOPTERA	Papilionidae	*Achillides* spp. [only the species of the Philippines]	PAGE, M. G. P. & TREADAWAY, C. G. (2004). Papilionidae of the Philippine Island. In: E. BAUER, and T. FRANKENBACH, Eds.). *Butterflies of the world, Supplement 8*. Goecke & Evers, Keltern. 58 pp.
	Papilionidae	*Ornithoptera* spp. *Trogonoptera* spp. *Troides* spp.	MATSUKA, H. (2001). *Natural History of Birdwing Butterflies*. 367 pp. Tokyo (Matsuka Shuppan).(ISBN 4-9900697-0-6).
HIRUDINOIDEA			
ARHYNCHOBDELLID A	Hirudinidae	*Hirudo medicinalis* *Hirudo verbana*	NESEMANN, H. & NEUBERT, E. (1999). Annelida: Clitellata: Branchiobdellida, Acanthobdellea, Hirudine.. *Süßwasserfauna von Mitteleuropa*, **6** (2), 178 pp., Berlin (Spektrum Akad. Verlag). ISBN 3-8274-0927-6.

		Taxon concerned	Taxonomic reference
BIVALVIA			
VENEROIDA	Tridacnidae	*Tridacna ningaloo*	PENNY, S. & WILLAN, R. C. (2014). Description of a new species of giant clam (Bivalvia: Tridacnidae) from Ningaloo Reef, Western Australia. *Molluscan Research*, **34** (3):201-211.
	Tridacnidae	*Tridacna noae*	SU, Y., HUNG, J.-H., KUBO, H. & LIU, L.-L. (2014). *Tridacna noae* (Röding, 1798) – a valid giant clam species separated from *T. maxima* (Röding, 1798) by morphological and genetic data. *Raffles Bulletin of Zoology*, **62**: 124-135.
CEPHALOPODA			
	Nautilidae	Nautilidae spp.	Family, genus and species information extracted from the Integrated Taxonomic Information Service (ITIS), an online reference. See Annex 5 of AC29 Doc.35 at https://cites.org/sites/default/files/eng/com/ac/29/E-AC29-35-A5.pdf
ANTHOZOA & HYDROZOA		All CITES listed species	Taxonomic Checklist of all CITES listed Coral Species, based on information compiled by UNEP-WCMC 2012.

Flora			
		Taxon concerned	Taxonomic reference
AMARYLLIDACEAE, PRIMULACEAE		*Cyclamen, Galanthus* and *Sternbergia*	Davis, A.P. *et al*. (1999). *CITES Bulb Checklist*, compiled by the Royal Botanic Gardens, Kew, United Kingdom of Great Britain and Northern Ireland) as a guideline when making reference to the names of species of *Cyclamen* and *Galanthus* and *Sternbergia*
APOCYNACEAE		*Pachypodium* spp.	*CITES* Aloe *and* Pachypodium *Checklist* (U. Eggli *et al.,* 2001, compiled by Städtische Sukkulenten-Sammlung, Zurich, Switzerland, in collaboration with the Royal Botanic Gardens, Kew, United Kingdom of Great Britain and Northern Ireland) and its update: *An Update and Supplement to the CITES* Aloe *&* Pachypodium *Checklist* [J. M. Lüthy (2007), CITES Management Authority of Switzerland, Bern, Switzerland] as a guideline when making reference to the names of species of *Aloe* and *Pachypodium.*
		Hoodia spp.	*Plants of Southern Africa: an annotated checklist.* Germishuizen, G. & Meyer N. L. (eds.) (2003). Strelitzia 14: 150-151. National Botanical Institute, Pretoria, South Africa as a guideline when making reference to the names of species of *Hoodia.*
CACTACEAE		All *Cactaceae.*	*CITES Cactaceae Checklist* third edition (2016, compiled by D. Hunt) as a guideline when making reference to names of species of Cactaceae, and the amendments and updates outlined in *A Supplement to the CITES Cactaceae Checklist* Third Edition 2016 (Hunt, D. 2018). The checklist and its supplement can be found on the website of the Royal Botanic Gardens, Kew, UK at "goo.gl/M26yL8".
CYCADACEAE, STANGERIACEAE and ZAMIACEAE		All Cycadaceae, Stangeriaceae and Zamiaceae.	The World List of Cycads**:** CITES and Cycads: Checklist 2013 (Roy Osborne, Michael A. Calonje, Ken D. Hill, Leonie Stanberg and Dennis Wm. Stevenson) in *CITES and Cycads a user's guide* (Rutherford, C. *et al.,* Royal Botanic Gardens, Kew. UK 2013), as a guideline when making reference to names of species of Cycadaceae, Stangeriaceae and Zamiaceae.
DICKSONIACEAE		*Dicksonia* species of the Americas.	*Dicksonia species of the Americas* (2003, compiled by Bonn Botanic Garden and the Federal Agency for Nature Conservation, Bonn, Germany) as a guideline when making reference to the names of species of *Dicksonia*.
DROSERACEAE, NEPHENTACEAE, SARRACENIACEAE		*Dionaea, Nepenthes* and *Sarracenia.*	*CITES Carnivorous Plant Checklist* (B. von Arx *et al*., 2001, Royal Botanic Gardens, Kew, UK) as a guideline when making reference to names of species of *Dionaea, Nepenthes* and *Sarracenia*.

		Taxon concerned	Taxonomic reference
EBANACEAE		*Diospyros* spp. – populations of Madagascar.	*The genus Diospyros in Madagascar: a Preliminary Checklist for CITES Parties* (CVPM 2016) based on the Catalogue of the Vascular Plants of Madagascar is available on the Catalogue website. This reference is to be used as a guideline when making reference to the names of species of *Diospyros* from Madagascar. See http://www.tropicos.org/ProjectWebPortal.aspx?pagename=Diospyros&projectid=17 .There is a link to the page here: http://www.tropicos.org/Name/40031908?projectid=17 and the pdf download is here: http://www.tropicos.org/docs/MadCat/Diospyros%20checklist%2028.03.2016.pdf For information only: Updates on new names will be regularly made available on the online database "Catalogue of the Vascular Plants of Madagascar" (http://www.tropicos.org/Project/Madagascar).
EUPHORBIACEAE		Succulent species of *Euphorbia.*	*The CITES Checklist of Succulent* Euphorbia *Taxa (Euphorbiaceae),* Second edition (S. Carter and U. Eggli, 2003, published by the Federal Agency for Nature Conservation, Bonn, Germany) as a guideline when making reference to the names of species of succulent euphorbias.
LEGUMINOSAE		*Dalbergia* spp. – populations of Madagascar	*A Preliminary Dalbergia checklist for Madagascar for CITES* (CVPM 2014) based on the Catalogue of the Vascular Plants of Madagascar is available as a pdf on the CITES website as SC65 Inf. 21. This reference is to be used as a guideline when making reference to the names of species of *Dalbergia* from Madagascar. See: https://cites.org/sites/default/files/eng/com/sc/65/Inf/E-SC65-Inf-21.pdf For information only: Updates on new names will be regularly made available on the online database "Catalogue of the Vascular Plants of Madagascar". (http://www.tropicos.org/Project/Madagascar).
LEGUMINOSAE		*Paubrasilia echinata*	Gagnon, E., Bruneau, A., Hughes, C.E., de Queiroz, L. P. & Lewis, G.P. (2016). *A new generic system for the pantropical* Caesalpinia *group (Leguminosae)* as a guideline making reference to the name of this taxon. This reference can be found on "https://phytokeys.pensoft.net/articles.php?id=9203", with free access, and additional information on the taxon can be found at "http://floradobrasil.jbrj.gov.br/reflora/listaBrasil"
LEGUMINOSAE		*Platymiscium pleiostachyum*	Bente B. Klitgraard (2005). *Platymiscium* (*Leguminosae*: *Dalbergieae*); biogeography, systematics, morphology, taxonomy and uses. Kew Bulletin. Vol. 60, No. 3 (2005), pp. 321 – 400 be used as a guideline when making reference to the name of this taxon. This reference is available online at "https://www.jstor.org/stable/4111062?seq=1#page_scan_tab_contents". Free access is possible to this reference.
LILIACEAE		*Aloe* spp.	*CITES* Aloe *and* Pachypodium *Checklist* (U. Eggli *et al.,* 2001, compiled by Städtische Sukkulenten-Sammlung, Zurich, Switzerland, in collaboration with the Royal Botanic Gardens, Kew, United Kingdom of Great Britain and Northern Ireland) and its update: *An Update and Supplement to the CITES* Aloe *&* Pachypodium *Checklist* [J. M. Lüthy (2007), CITES Management Authority of Switzerland, Bern, Switzerland] as a guideline when making reference to the names of species of *Aloe* and *Pachypodium.*

		Taxon concerned	Taxonomic reference
ORCHIDACEAE		*Laelia, Phalaenopsis, Pleione* and *Sophronitis* (Volume 1, 1995) and *Cymbidium, Dendrobium, Disa, Dracula* and *Encyclia* (Volume 2, 1997), and *Aerangis, Angraecum, Ascocentrum, Bletilla, Brassavola, Calanthe, Catasetum, Miltonia, Miltonioides* and *Miltoniopsis, Renanthera, Renantherella, Rhynchostylis, Rossioglossum, Vanda and Vandopsis* (Volume 3, 2001); and *Aerides*, *Coelogyne*, *Comparettia* and *Masdevallia*	*CITES Orchid Checklist*, (compiled by the Royal Botanic Gardens, Kew, United Kingdom) as a guideline when making reference to the names of species of *Cattleya* (not *C. jongheana*), *Cypripedium, Laelia* (not *Laelia jongheana/Cattleya jongheana*), *Phalaenopsis, Pleione* and *Sophronitis* (Volume 1, 1995) and *Cymbidium, Dendrobium* (not *D. cruentum*), *Disa, Dracula* and *Encyclia* (Volume 2, 1997), and *Aerangis* (not *A. ellisii*), *Angraecum, Ascocentrum, Bletilla, Brassavola, Calanthe, Catasetum, Miltonia, Miltonioides* and *Miltoniopsis, Renanthera, Renantherella, Rhynchostylis, Rossioglossum, Vanda* and *Vandopsis* (Volume 3, 2001); and *Aerides*, *Coelogyne*, *Comparettia* and *Masdevallia* (Volume 4, 2006).
ORCHIDACEAE		*Paphiopedilum* spp., *Phragmipedium* spp., *Aerangis ellisii, Cattleya jongheana, Cattleya lobata, Dendrobium cruentum, Mexipedium xerophyticum, Peristeria elata* and *Renanthera imschootiana*	Govaerts, R., Caromel, A., Dhanda, S., Davis, F., Pavitt, A., Sinovas, P., & Vaglica, V. (2019). *CITES Appendix I Orchid Checklist*. Second Version, Royal Botanic Gardens, Kew, Surrey, and UNEP-WCMC, Cambridge. This reference should be used as a guideline when making reference to the names of *Paphiopedilum* spp., *Phragmipedium* spp., *Aerangis ellisii, Cattleya jongheana, Cattleya lobata, Dendrobium cruentum, Mexipedium xerophyticum, Peristeria elata* and *Renanthera imschootiana*. This reference can be found on the website of the Royal Botanic Gardens, Kew, UK at "goo.gl/M26yL8".
ORCHIDACEAE		*Bulbophyllum* spp.	*CITES checklist for* Bulbophyllum *and allied taxa (Orchidaceae)*. Sieder, A., Rainer, H., Kiehn, M. (2007): Address of the authors: Department of Biogeography and Botanical Garden of the University of Vienna; Rennweg 14, A-1030 Vienna (Austria) as a guideline when making reference to the names of species of *Bulbophyllum*.
PALMAE		*Dypsis decipiens* and *Dypsis decaryi.*	Proposed Standard Reference for two CITES-listed palms endemic to Madagascar (CVPM 2016) based on the Catalogue of the Vascular Plants of Madagascar can be found as a pdf on the US Fish & Wildlife Service website. This is to be used as a guideline when making reference to *Dypsis decipiens* and *Dypsis decaryi*. See: http://www.fws.gov/international/
TAXACEAE		*Taxus* spp.	*World Checklist and Bibliography of Conifers* (A. Farjon, 2001) as a guideline when making reference to the names of species of *Taxus.*

ZYGOPHYLLACEAE		*Guaiacum* spp.	*Lista de especies, nomenclatura y distribución en el genero* Guaiacum. Davila Aranda. P. & Schippmann, U. (2006): Medicinal Plant Conservation 12:50 as a guideline when making reference to the names of species of *Guaiacum*.

Conf. 13.2 (Rev. CoP14)*

生物多样性可持续利用：亚的斯亚贝巴原则与指南

欢迎 《生物多样性公约》第七次缔约方大会(CBD COP7)通过的VⅡ.12号决定：《生物多样性可持续利用的亚的斯亚贝巴原则与指南》(其摘要见附件)；

注意到 这些原则和指南可以用于CITES缔约方履行公约的第四条和其他相关条款；

认识到 CBD及其科学技术建议辅助团体(SBSTTA)将会通过案例分析对这些可持续利用原则和指南进行检验；

进一步**认识到** CBD在其第二条中，将用语“可持续利用”定义为“使用生物多样性组成部分的方式和速度不会导致生物多样性的长期衰落，从而保持其满足今世及后代需要和期望的潜力”；

进一步**注意到** 在第十四次缔约方大会召开期间，大部分CITES缔约方为CBD缔约方；

进一步**欢迎** 《战略计划》之目标4.3：对CBD进展的未来评估(VⅡ.30号决定，附件2，目标4)，其中声明“没有任何野生动植物种因国际贸易而濒危”，并因而与CITES的《战略计划》完全一致；

忆及 公约第Conf. 10.4(Rev. CoP14)号决议及《CITES与CBD合作备忘录》；

公约缔约方大会

1. **敦促** 缔约方：

a) 在采用“不产生危害程序”和开展 CITES 非致危性判定时，应用《关于生物多样性可持续利用的原则和指南》，并考虑由国内环境所决定的科学、贸易和执法需求；

b) 在国家层面上，特别是 CITES 管理和科学机构及 CBD 主管部门之间分享关于可持续利用的经验；及

c) 通过努力，确保 CITES 管理机构和科学机构通过该国 CBD 主管部门参与 CBD 及其科学技术建议辅助团体有关这些原则和指南的工作。

2. **敦促** 那些也是CBD成员的缔约方，从政策和制度水平采取有效措施，确保其在国家水平上协同履行CITES和CBD。

附件 1 生物多样性可持续利用的亚的斯亚贝巴原则与指南

摘要

关于《生物多样性可持续利用的亚的斯亚贝巴原则与指南》由14条相互关联的实用原则、操作指南和少量实施工具组成，指导对生物多样性组成部分的利用，以确保这些利用是可持续的。该原则提供了一个框架，以协助政府、资源管理者、土著居民和当地社区、私有部门及其他共同利益者，确保其利用不会导致生物多样性的长期衰落。这些原则力求全面恰当，尽管并非所有原则都会在所有情况下得到同等使用，使用时也不会一样严格。对这些原则的使用将随着生物多样性本身状况、利用时的条件及制度和文化状况而有所不同。

*经第十四次缔约方大会修订。

应用以下实用原则及相关操作指南，将加强对生物多样性组成部分的可持续利用：

实用原则1 各级政府均有支持性的政策、法律和制度，且在各级之间存在有效联系；

实用原则2 认识到一套管理体系需与国际国内法律保持一致，生物多样性组成部分的当地利用者应被赋予足够的权力，并对利用相关资源负有责任和义务；

实用原则3 应当确定并去除或弱化那些导致市场失灵，使栖息地退化，或是产生负面影响，破坏对生物多样性的保护和可持续利用的国际、国内政策、法律和规章；

实用原则4 依据以下几项，开展适应性管理：

a) 科学的、传统的及乡土的知识；

b) 通过对利用、环境与社会经济影响，及被使用资源的状况进行监测，予以反复、及时和透明的反馈；

c) 根据来自监测过程的适时反馈调整管理对策。

实用原则5 可持续利用的管理目标和实践应避免或最小化对生态系统的服务、结构和功能及生态系统其他组成部分的负面影响。

实用原则6 鼓励和支持就利用和保护生物多样性的各个方面开展跨学科研究。

实用原则7 管理在空间和时间尺度上应与利用活动及其影响的生态学和社会经济尺度保持一致。

实用原则8 当需要多国间的决策制定与协调时，应就国际合作做出安排。

实用原则9 在适当水平的与利用活动相关的经营与管理工作中，应采用多学科和共享的方法。

实用原则10 国际与国内政策应考虑以下方面：

a) 来自生物多样性利用的现有与潜在价值；

b) 生物多样性的内在价值与其他非经济价值；及

c) 影响价值与利用的市场力量；

实用原则11 生物多样性组成部分的使用者应寻求最小化浪费和负面环境影响，并最大化利用获得的益处。

实用原则12 那些与生物多样性共处并会受到利用与保护活动影响的土著和当地社区的需求，及他们对保护与可持续利用的贡献，应当通过公正分配利用资源所获利益得到反映。

实用原则13 管理与保护生物多样性的成本应当在管理地区内部化，并反映在利用活动所获利益的分配中。

实用原则14 应实施关于保护和可持续利用的教育和公众意识项目，并应在共同利益者和管理者之间建立更有效的联络方法。

附件 2 动物和植物委员会关于《生物多样性可持续利用的亚的斯亚贝巴原则与指南》的建议

1. CBD 给缔约方提供了如何通过国内履约来处理宏观范畴生物多样性事宜的一般性指南，而 CITES 则是调整自然、特定物种，并以国际野生动植物贸易为重点的法规。

2. 尽管 CITES 并没有关于可持续利用的定义，案例研究表明，《生物多样性可持续利用的亚的斯亚贝巴原则与指南》中那些与 CITES 普遍相关的要素，要么已在 CITES 的文字中体现出来，要么受到 CITES 促进。这方面的例子包括实用原则 1、2、4、7、9 和 12，其要素包含在《帮助对附录 II 物种出口做出非致危性判定的文献清单》中。

3. 根据提交给第 16 次植物委员会和 22 次动物委员会联席会议(利马，2006 年 7 月)的案例研究，显然《亚的斯亚贝巴原则与指南》并不总是能立即用于 CITES 范畴的决策过程，特别是关于非致危性判定 (NDF)方面。

4. 会议认识到，《亚的斯亚贝巴原则与指南》在基于具体案例时与 CITES 的工作相关(除第 3 段提到的原则，还包括原则 5、6、8、11)，并可在或许会进一步制定的关于特定分类单元的非致危性判定指南时予以考虑。

5. 动植物委员会建议修改 Conf. 10.4 (Rev. CoP14)号决议，以承认在做出非致危性判定时，可将《生物多样性可持续利用的亚的斯亚贝巴原则与指南》作为一个自愿的附加工具。

6. 此外，会议还提出了科学委员会应就本事宜继续开展的工作，及在做出非致危性判定时使用《亚的斯亚贝巴原则与指南》的社会经济要素有可能导致问题复杂化。

7. 会议进一步注意到，《亚的斯亚贝巴原则与指南》可以支持现有的 IUCN 关于做出非致危性判定的指南，并可能在制定关于特定分类单元(如树木物种)的这类指南方面颇有价值。

8. 最后，会议认识到，经过多年才制定完成并受到广泛国际支持的《亚的斯亚贝巴原则与指南》具有全球重要性，但并非所有原则均与 CITES 相关。

Conf. 13.2

(Rev. CoP14)*

Sustainable use of biodiversity: Addis Ababa Principles and Guidelines

WELCOMING the adoption at the seventh meeting of the Conference of the Parties to the Convention on Biological Diversity (CBD COP7), in Decision VII.12, of the *Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity*, a summary of which is contained in Annex 1;

NOTING that these Principles and Guidelines can be utilized in the implementation by CITES Parties of Article IV and other relevant provisions of the Convention;

RECOGNIZING that CBD and its Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) will be working on case studies to test these Sustainable Use Principles and Guidelines;

RECOGNIZING further that CBD defines, in its Article 2, the term 'sustainable use' as "the use of components of biological diversity in a way and at a rate that does not lead to the long-term decline of biological diversity, thereby maintaining the potential to meet the needs and aspirations of present and future generations";

NOTING further that the vast majority of CITES Parties are Parties to CBD at the time of the 14th meeting of the Conference of the Parties;

WELCOMING further Target 4.3 of the *Strategic Plan: future evaluation of progress* of CBD (Decision VII.30, Annex 2, Goal 4), which states that "No species of wild flora or fauna is endangered by international trade", and therefore is fully consistent with the CITES Strategic Plan;

RECALLING Resolution Conf. 10.4 (Rev. CoP14) and the Memorandum of Cooperation between CITES and CBD;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. URGES the Parties to:

a) make use of the *Principles and Guidelines for the Sustainable Use of Biodiversity*, also taking into account scientific, trade and enforcement considerations determined by national circumstances, as well as the recommendations of the Animals and Plants Committees (see Annex 2) when adopting non-detriment-making processes and making CITES non-detriment findings;

b) share experiences on sustainable use at the national level, particularly between CITES Management and Scientific Authorities, and their CBD Focal Points; and

c) endeavour to ensure that their CITES Management and Scientific Authorities participate, through their national CBD Focal Points, in the work of CBD and its Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) on these Principles and Guidelines; and

2. URGES the Parties that are also Parties to the CBD, to take effective measures at policy and institutional level to ensure synergy between their implementation of CITES and CBD at the national level.

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* *Amended at the 14th meeting of the Conference of the Parties.*

Annex 1 Sustainable Use of Biodiversity Addis Ababa Principles and Guidelines

Summary

The *Addis Ababa Principles and Guidelines for the Sustainable use of Biodiversity* consist of 14 interdependent practical principles, operational guidelines and a few instruments for their implementation that govern the uses of components of biodiversity to ensure the sustainability of such uses. The principles provide a framework to assist Governments, resource managers, indigenous and local communities, the private sector and other stakeholders on how to ensure that their use of the components of biodiversity will not lead to the long-term decline of biological diversity. The principles are intended to be of general relevance, although not all principles will apply equally to all situations, nor will they apply with equal rigour. Their application will vary according to the biodiversity being used, the conditions under which they are being used, and the institutional and cultural context in which the use is taking place.

Sustainability of use of biodiversity components will be enhanced if the following practical principles and related operational guidelines are applied:

Practical principle 1 Supportive policies, laws, and institutions are in place at all levels of governance and there are effective linkages between these levels.

Practical principle 2 Recognizing the need for a governing framework consistent with international / national laws, local users of biodiversity components should be sufficiently empowered and supported by rights to be responsible and accountable for use of the resources concerned.

Practical principle 3 International, national policies, laws and regulations that distort markets which contribute to habitat degradation or otherwise generate perverse incentives that undermine conservation and sustainable use of biodiversity, should be identified and removed or mitigated.

Practical principle 4 Adaptive management should be practiced, based on:

a) Science and traditional and local knowledge;
b) Iterative, timely and transparent feedback derived from monitoring the use, environmental, socio-economic impacts, and the status of the resource being used; and
c) Adjusting management based on timely feedback from the monitoring procedures.

Practical principle 5 Sustainable use management goals and practices should avoid or minimize adverse impacts on ecosystem services, structure and functions as well as other components of ecosystems.

Practical principle 6 Interdisciplinary research into all aspects of the use and conservation of biological diversity should be promoted and supported.

Practical principle 7 The spatial and temporal scale of management should be compatible with the ecological and socio-economic scales of the use and its impact.

Practical principle 8 There should be arrangements for international cooperation where multinational decision-making and coordination are needed.

Practical principle 9 An interdisciplinary, participatory approach should be applied at the appropriate levels of management and governance related to the use.

Practical principle 10 International, national policies should take into account:

a) Current and potential values derived from the use of biological diversity;
b) Intrinsic and other non-economic values of biological diversity; and
c) Market forces affecting the values and use.

Practical principle 11 Users of biodiversity components should seek to minimize waste and adverse environmental impact and optimize benefits from uses.

Practical principle 12 The needs of indigenous and local communities who live with and are affected by the use and conservation of biological diversity, along with their contributions to its conservation and sustainable use, should be reflected in the equitable distribution of the benefits from the use of those resources.

Practical principle 13 The costs of management and conservation of biological diversity should be internalized within the area of management and reflected in the distribution of the benefits from the use.

Practical principle 14 Education and public awareness programmes on conservation and sustainable use should be implemented and more effective methods of communications should be developed between and among stakeholders and managers.

Annex 2 Recommendations of the Animals and Plants Committees concerning the Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity

1. Whereas CBD provides general guidance to Parties on how to address a broad range of biodiversity issues through national implementation, CITES is regulatory in nature, species- specific, and focuses on international trade in wildlife.

2. Although CITES does not have a definition of sustainable use, the case studies show that the elements of the *Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity* that are generally relevant to CITES are either already implicit in the language of CITES or are promoted by CITES. This for instance, refers to practical Principles 1, 2, 4, 7, 9 and 12, elements of which are incorporated in the *Checklist to assist in making non-detriment findings for Appendix- II exports*.

3. From the case studies presented at the joint session of the 16th meeting of the Plants Committee and 22nd meeting of the Animals Committee (Lima, July 2006), it is evident that the Addis Ababa Principles and Guidelines are not always immediately applicable to the decision-making process under CITES, particularly with respect to making non-detriment findings (NDF).

4. It is recognized that the Addis Ababa Principles and Guidelines are, on a case-by-case basis, relevant to the work of CITES (in addition to the Principles referred to in paragraph 3, e.g. Principles 5, 6, 8, 11), and may be considered for possible development of further taxa-specific NDF guidelines.

5. The Animals and Plants Committees propose the amendment of Resolution Conf. 10.4 (Rev. CoP14) to acknowledge the use of the *Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity* as a voluntary additional tool that can be used in making NDFs.

6. Additionally, questions were raised concerning the work still required by the scientific committees on this matter, and the possible complications of using socio-economic aspects of the Addis Ababa Principles and Guidelines in the making of non-detrimental findings.

7. It was further noted that the Addis Ababa Principles and Guidelines could support the existing IUCN guidance for the making of non-detrimental findings, and would be valuable for the development of taxa-specific guidelines in this regard, for instance for tree species.

8. Finally it was recognized that the Addis Ababa Principles and Guidelines, which had been developed over many years and received broad international support, were of global importance but that not all principles were of relevance to CITES.

Conf. 13.3

同保护迁徙野生动物物种公约(CMS)的合作与协同

忆及 第十二次缔约方大会(圣地亚哥，2002)通过的 12.5 和 12.6 号决定；

表达 对CITES和CMS两个公约秘书处之间业已建立的合作与热诚关系的赞赏；

公约缔约方大会

1. **指示** 常委会对 CITES 和 CMS 两个公约秘书处于 2002 年 9 月 18 日签定的合作备忘录着重从以下几个角度进行定期回顾：

a) 就秘书处为执行其与 CMS 秘书处联合制定的更为详细工作计划而采取的步骤，听取秘书处报告；及

b) 确保 CITES 关于下列物种或分类单元的行动同 CMS 框架中已经开展或设想开展的地区性协作活动相互补充、相互加强，并尽可能从中受益：

i) 赛加羚(*Saiga tatarica*)、雪豹(*Uncia uncia*)及西部和中部非洲的非洲象(*Loxodonta africana*)种群；

ii) 非洲大西洋海岸、印度洋、东南亚及太平洋的海龟；

iii) 南亚和东南亚的鲸鲨(*Rhincodon typus*)及嗜人鲨(*Carcharodon carcharias*)；及

iv) 鲟鳇鱼(Acipenseriformes)；并

2. **指示** 秘书处根据上述谅解备忘录的精神，邀请 CMS 及其相关协定参加有关双方共同关心的物种和议题的会议。

Conf. 13.3 Cooperation and synergy with the Convention on the Conservation of Migratory Species of Wild Animals (CMS)

RECALLING Decisions 12.5 and 12.6 adopted by the Conference of the Parties at its 12th meeting (Santiago, 2002);

EXPRESSING appreciation of the cooperation and cordial relationship that have developed between the Secretariats of CITES and CMS;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. DIRECTS the Standing Committee to keep under regular review the Memorandum of Understanding concluded between the Secretariats of CITES and CMS on 18 September 2002, in particular with a view to:

   a) seeking reports from the CITES Secretariat on steps taken to implement a more detailed work programme to be developed jointly with CMS; and

   b) ensuring that CITES initiatives in respect of the following species or taxonomic groups complement, reinforce and, as far as possible, benefit from the regional collaboration already being undertaken or envisaged in the framework of CMS:

      i) the saiga antelope (*Saiga tatarica*), the snow leopard (*Uncia uncia*) and the west and central African populations of the African elephant (*Loxodonta africana*);

      ii) marine turtles of the Atlantic coast of Africa, the Indian Ocean, Southeast Asia and the Pacific Ocean;

      iii) the whale shark (*Rhincodon typus*) of south and Southeast Asia, as well as the great white shark (*Carcharodon carcharias*); and

      iv) sturgeons (Acipenseriformes); and

2. DIRECTS the Secretariat, in keeping with the spirit of the above-mentioned Memorandum of Understanding, to extend invitations to CMS and its related Agreements to participate in meetings pertaining to species and issues of common concern.

Conf. 13.4(Rev. CoP18)*

大型类人猿的保护和贸易

意识到 大型类人猿，不仅从文化、生态和科学的角度，及作为我们自然遗产的一部分，而且作为人类近亲的特殊重要性；

关注到 非洲和亚洲大型类人猿 [所有种类的大猩猩(*Gorilla* spp.)、黑猩猩(*Pan troglodytes*)、倭黑猩猩(*Pan paniscus*)和猩猩(Pongo spp.)] 的野生种群受到包括为获取野生肉†的偷猎或冲突，疾病和因干扰、片段化和破坏造成的生境丧失，及活体动物贸易等综合因素构成的威胁；

关注到 几乎所有大型类人猿种群都在持续急剧减少；

意识到 大型类人猿面临着巨大的保护威胁，在IUCN受威胁物种红色名录(IUCN, 2018)中，所有的物种都被列为濒危或极危；

忆及 所有的大型类人猿物种都被列入了公约附录I；

关注到 森林栖息地的开通、不断增加的猿肉需求(特别是来自分布国和非分布国城市居民的需求)，及对活体标本特别是幼体的持续性全球需求，刺激了国际和国家层面的非法贸易；

注意到 由于所有的大型类人猿物种在世界各地的动物园都得到了相当好的展示，于是这些地方可能无法作为特例来证明从野外抓走更多的大型类人猿具有正当性；

认识到 其他多边环境协定，特别是《生物多样性公约》(CBD)和《保护迁徙野生动物物种公约》(CMS)在应对大型类人猿面临的一些主要威胁，包括栖息地丧失、退化和片段化及为国内野生肉贸易进行的偷猎方面，扮演的角色和任务；

忆及 Conf. 17.6号决议《*禁止、预防、侦查和打击助长违约活动的腐败*》，其就如何解决破坏CITES有效性的腐败问题提供了建议，这与大型类人猿特别相关；

注意到 Conf. 13.11(Rev. CoP18)号决议《*野生肉*》，其对以野生肉进行贸易的物种(包括大型类人猿)的保护和贸易提供了建议；

注意到 《CMS大猩猩及其栖息地保护协定》(《大猩猩协定》)，其旨在通过实施具有法律约束力的行动计划来解决与大猩猩有关的跨境问题，实施的地理范围涵盖了所有大猩猩物种的分布区；

赞扬 在许多分布国和非分布国为解决偷猎和非法贸易问题所做的努力，包括将查获的活体标本遣返回原产国；

认识到 需要国际支持以协助23个分布国保护大型类人猿种群及其栖息地和相关的生物多样性资源；

也认识到 需要技术指导，以帮助所有缔约方防止大型类人猿活体及其部分和衍生物的非法贸易，包括活体动物的没收和随后的处理；

注意到 由联合国环境规划署(UNEP)和教科文组织(UNESCO)领导的可持续发展世界峰会大型类人猿生存伙伴关系(WSSD GRASP)利用了GRASP科学委员会的科学专长，该委员

* 经第十六和十八次缔约方大会修订。

† 术语“野生肉”定义，为食物和非食物，包括药用目的捕获野生动物，在特带和亚热带地区，通常指“丛林肉”。

会由IUCN SSC灵长类动物专家组(大型类人猿部门)和国际灵长类动物学会(IPS)的成员及与大型类人猿保护相关的其他领域的专家组成，并汇聚了分布国和非分布国、国际公约(包括CITES和CBD)及一系列全球性和国家性非政府组织；

认识到 ICCWC及其合作伙伴在为国家野生动植物执法机构及其区域网络提供协调支持方面的作用，并注意到现有资源可帮助缔约方理解和解决野生动植物及森林犯罪的复杂性，特别是大型类人猿；

注意到 部长们、代表团团长们和所有GRASP合作伙伴于2005年9月9日通过了《大型类人猿金沙萨宣言》，其中特别是，他们承诺加强努力以确保所有大型类人猿物种的长期未来，强调需要激励和强化分布国及其邻国之间的合作，以确保有效执行保护大型类人猿的法律，并协调一致共同制止对大型类人猿种群不利的活动；及

注意到 GRASP理事会通过的经修订的《大型类人猿全球战略》(《全球战略》)和《GRASP组织管理规则》(《GRASP规则》)；

公约缔约方大会

1. 敦促 所有缔约方：

a) 通过、审查和实施全面的法律来保护大型类人猿，包括：

i) 禁止一切主要用于商业目的的国际贸易，包括出售、展示、购买、提供商业目的购买和获取大型类人猿野生标本的机会；及

ii) 旨在消除大型类人猿及其部分和衍生物非法贸易的威慑性处罚；

b) 加强执法控制，包括在大型类人猿栖息地采取反偷猎措施和在国际边界采取反走私措施；

c) 在可行情况下，确定没收的大型类人猿标本的来源，例如，通过使用法庭鉴定技术；

d) 根据秘书处制定的指南，及时在CITES年度非法贸易报告中提供大型类人猿非法贸易的准确最新信息，并酌情考虑为GRASP类人猿缉获数据库和IUCN SSC的A.P.E.S数据库提供信息；

e) 促进大型类人猿栖息地保护，包括毗邻的分布国之间为管理连续的栖息地而进行的跨境合作，并采取适当措施恢复或连接已变得破碎或质量下降的栖息地；

f) 根据公约规定并在可行情况下，支持将查获的活体动物退还其原产国(如果有适当的饲养设施的话)；及

g) 对于任何拟开展的来自野捕或者据称为人工繁育来源的大型类人猿的活体标本贸易，应特别警惕并严格遵守公约的规定；

2. 指示 秘书处：

a) 与各缔约方紧密合作，并作为GRASP的一员，协助各缔约方制定和实施措施，包括立法和执法措施及区域和次区域行动，以制止或减少并最终消除大型类人猿非法贸易；

b) 与ICCWC伙伴密切合作支持执行本决议，特别是通过向分布国提供技术援助的方式；及

c) 协助分布国执行国家和区域保护计划，其中包括旨在消除非法贸易的措施；

d) 提请动物委员会注意与大型类人猿国际贸易有关的任何科学或技术问题；及

e) 向常委会每次例会报告本决议的执行情况；

3. 指示 常委会：

a) 根据秘书处的报告，在其每次例会上审查本决议的执行情况；及

b) 在缔约方大会每次会议上报告本决议的执行情况，并提出进一步行动的建议；

4. 敦促 秘书处、常委会和动物委员会与GRASP密切合作，并探索和实施其他措施，以使公约能够有助于大型类人猿保护并提高公众对非法贸易给予大型类人猿种群威胁的认识；

5. 敦促 能源、采掘和农业部门的所有行为体遵守相关的国内法和国际法，并鼓励他们在最大程度地减少对大型类人猿种群和栖息地影响的工作中，应用适当的最佳实践指南；

6. 呼吁 其他相关多边环境协定的所有缔约方，例如CBD和CMS，在制定一项共同战略以保护大型类人猿种群的工作中，与GRASP和其他适当的伙伴关系合作；

7. 呼吁 所有政府、政府间组织、国际援助机构、非政府组织和其他捐助者，作为一项紧急事务，以一切可能的方式帮助分布国支持大型类人猿保护工作，包括通过：

a) 提供资金；

b) 在执法、培训、能力建设和教育方面给予帮助；

c) 种群监测，收集和交流科学、技术与法律信息和专业知识；

d) 栖息地管理和恢复；

e) 以保护就地可维持类人猿种群及栖息地的方式，减轻人与类人猿之间的冲突；及

f) 开发能够为当地社区带来切实利益的项目，例如对蛋白质替代来源的研究及监测此类替代品的功效；

并制止这些物种标本的非法贸易，以确保所有野外种群的长期生存，特别是通过GRASP和其他适当的伙伴关系及为执行本决议而采取的措施；及

8. 呼吁 秘书处加强与其他多边环境协定(包括与大型类人猿保护有关的CBD和CMS)秘书处的合作与协同，并向常委会提出与CITES有关的建议供审议。

Conf. 13.4 (Rev. CoP18)

Conservation of and trade in great apes

CONSCIOUS of the special importance of great apes, not only from a cultural, ecological and scientific point of view and as part of our natural heritage, but also as mankind's closest living relatives;

CONCERNED that wild populations of great apes [all species of gorilla (*Gorilla* spp.), chimpanzee (*Pan troglodytes*), bonobos (*Pan paniscus*) and orang-utan (*Pongo* spp.)] in Africa and Asia are threatened by the combined effects of poaching for wild meat[1] or conflicts, disease and habitat loss caused by disturbance, fragmentation and destruction, and trade in live animals;

CONCERNED that almost all great ape populations continue to decline drastically;

AWARE that the great apes face significant conservation threats and are all listed as either Endangered or Critically Endangered on the IUCN Red List of Threatened Species (IUCN, 2018);

RECALLING that all great ape species are included in Appendix I of the Convention;

CONCERNED that illegal trade at international and national levels has been stimulated by opening up of forest habitats, increasing demand for ape meat, especially from urban populations both in range and non-range States and continuing global demand for live specimens, particularly juveniles;

NOTING that, as all great ape species are well represented in zoos worldwide, there consequently may not be exceptional circumstances for which the removal of further great apes from the wild would be justified;

RECOGNIZING the roles and mandates of other multilateral environmental agreements, in particular the Convention on Biological Diversity (CBD) and the Convention on the Conservation of Migratory Species (CMS) to address some of the main threats facing great apes, including habitat loss, degradation and fragmentation, as well as poaching for domestic wild meat trade;

RECALLING Resolution Conf. 17.6 on *Prohibiting, preventing, detecting and countering corruption, which facilitates activities conducted in violation of the Convention*, which provides recommendations on ways to tackle instances of corruption that undermine the effectiveness of CITES is of particular relevance in relation to great apes;

NOTING Resolution Conf. 13.11 (Rev. CoP18) on *Wild meat*, which provides recommendations on the conservation of and trade in species that are traded as wild meat, including great apes;

NOTING the CMS Agreement on the Conservation of Gorillas and Their Habitats (Gorilla Agreement), which aims to address transboundary issues concerning gorillas through the implementation of legally binding action plans and whose geographic scope covers the distribution range of all gorilla species;

COMMENDING efforts already made in a number of range and non-range States to tackle poaching and illegal trade, including repatriation of seized live specimens to the country of origin;

RECOGNIZING the need for international support to assist the 23 range States in protecting great ape populations, their habitats and related biodiversity resources;

RECOGNIZING also the need for technical guidance to assist all Parties in preventing illegal trade in live specimens and parts and derivatives of great apes, including the confiscation and subsequent treatment of live animals;

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* *Amended at the 16th and the 18th meetings of the Conference of the Parties.*

[1] *The term "wild meat" is defined as "the harvesting of wild animals for food and for non-food purposes, including for medicinal use". In tropical and subtropical regions, it is often referred to as "bushmeat".*

NOTING that the World Summit on Sustainable Development Great Ape Survival Partnership (WSSD GRASP) led by UNEP and UNESCO draws on the scientific expertise of the GRASP Scientific Commission, which includes members of both the IUCN SSC Primate Specialist Group (Section on Great Apes) and the International Primatological Society (IPS), and experts in other fields relevant to great ape conservation, and brings together range and non-range States, international conventions (including CITES and the Convention on Biological Diversity), and a range of global and national non- governmental organizations;

RECOGNIZING the role of the International Consortium on Combating Wildlife Crime (ICCWC) and its partners in bringing coordinated support to national wildlife law enforcement agencies and their regional networks, and noting that resources are available to assist Parties in understanding and addressing the complexity of wildlife and forest crime, particularly for great apes;

NOTING that Ministers, heads of delegations, and all GRASP partners adopted the Kinshasa Declaration on Great Apes on 9 September 2005, under which, *inter alia*, they committed to enhance efforts to ensure the long-term future of all great ape species, and emphasized the need to stimulate and enhance cooperation among range States and their neighbours to ensure the effective enforcement of legislation protecting great apes and the coordination of efforts to halt activities that have a detrimental effect upon populations of great apes; and

NOTING the revised Global Strategy for Great Apes (the Global Strategy) and the Rules for the Organization and Management of GRASP (the GRASP Rules) adopted by the GRASP Council;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. URGES all Parties to:

   a) adopt, review and implement comprehensive legislation to protect great apes, which includes:

      i) a prohibition of all international trade for primarily commercial purposes, including sale, display, purchase, offer to purchase and acquisition for commercial purposes of wild-caught specimens of great apes; and

      ii) deterrent penalties aimed at eliminating illegal trade in great apes and parts and derivatives thereof;

   b) strengthen enforcement controls, including anti-poaching measures in great ape habitats and anti-smuggling measures at international borders;

   c) where feasible, establish the origin of confiscated specimens of great apes, e.g. through the use of forensic applications",

   d) provide accurate and up-to-date information on illegal trade in great apes in the CITES Annual Illegal Trade report in a timely manner, following the guidelines developed by the Secretariat and, as appropriate, consider contributing to the GRASP Apes Seizure database and the IUCN SSC A.P.E.S. database.

   e) promote the protection of great ape habitats, including cross-border cooperation between neighbouring range States for the management of contiguous habitat, and to take appropriate action to restore or connect such habitats where they have become fragmented or diminished in quality;

   f) support, in accordance with the Convention and where feasible, the repatriation of seized live animals to their countries of origin, if suitable facilities for keeping them exist; and

   g) be particularly vigilant and strictly adhere to the provisions of the Convention regarding any proposed trade in wild-caught or allegedly captive-bred live specimens of great apes;

2. DIRECTS the Secretariat to:

a) work closely with Parties, and as a member of GRASP, assist Parties in ~~to~~ developing and implementing measures, including legislative and enforcement measures and regional and sub-regional initiatives, to halt or reduce and ultimately eliminate illegal trade in great apes;

b) work closely with ICCWC partners to support the implementation of this Resolution *inter alia* through the provision of technical assistance to range States; and

c) assist range States in the implementation of national and regional conservation plans, where these include measures aimed at eliminating illegal trade;

d) draw the attention of the Animals Committee to any scientific or technical issues related to international trade in great apes; and

e) report to the Standing Committee on the implementation of this Resolution at each of its regular meetings;

3. DIRECTS the Standing Committee to:

a) review the implementation of this Resolution at each of its regular meetings on the basis of the Secretariat's reports; and

b) report at each meeting of the Conference of the Parties on the implementation of this Resolution, with any recommendations for further action;

4. URGES the Secretariat, the Standing Committee and the Animals Committee to work closely with GRASP, and to explore and implement other measures through which the Convention can contribute to the conservation of great apes and to the promotion of public awareness of the threat posed to great ape populations by illegal trade;

5. URGES all actors in the energy, extractives and agricultural sectors to comply with relevant national and international laws and encourages them to apply appropriate best practice guidelines in minimising impacts on great ape populations and habitats;

6. CALLS UPON all Parties to other relevant multilateral environmental agreements, such as the Convention on Biological Diversity and the Convention on the Conservation of Migratory Species of Wild Animals, to cooperate with GRASP and other appropriate partnerships in developing a common strategy to conserve great ape populations;

7. CALLS UPON all governments, intergovernmental organizations, international aid agencies, non-governmental organizations and other donors, as a matter of urgency, to assist the range States in any way possible in supporting the conservation of great apes including through:

a) the provision of funding;

b) assistance with enforcement, training, capacity building and education;

c) population monitoring, and the gathering and exchange of scientific, technical and legal information and expertise;

d) habitat management and restoration;

e) mitigation of conflict between humans and apes in a manner that conserves *in situ* viable ape populations and habitat; and

f) the development of projects which deliver tangible benefits to local communities such as studies on alternative sources of protein and monitoring the efficacy of such alternatives;

and to stop illegal trade in specimens of these species in order to ensure the long-term survival of all populations in the wild, particularly by working through GRASP and other appropriate partnerships and through measures taken to implement this Resolution; and

8. CALLS UPON the Secretariat to strengthen collaboration and develop synergies with the Secretariats of other multilateral environmental agreements including the Convention on Biological Diversity (CBD) and the Convention on the Conservation of Migratory Species (CMS) in relation to the conservation of great apes and to make recommendations relevant to CITES to the Standing Committee for consideration.

Conf. 13.5(Rev. CoP18)*

黑犀狩猎纪念物出口限额的设立

忆及 黑犀1977年被列入公约附录I；

认识到 黑犀在部分分布区受到了非法狩猎、栖息地片段化和丧失的威胁；

也认识到 在其他分布区该物种正在恢复并得到有效管理；

忆及 根据公约缔约方大会第9次会议(劳德代尔堡，1994)通过并在第11次、13次、14次、15次和17次会议(吉吉里，2000；曼谷，2004；海牙，2007；多哈，2010；约翰内斯堡，2016)上作了修订的Conf. 9.14(Rev. CoP17)号决议[1]，犀牛物种的分布国应利用所有可用的专业知识和资源，制定并实施有关物种的保护管理计划；

认识到 许多黑犀分布国都制定了有效的保护管理监测计划和方案，有些黑犀种群正在恢复，并能承受有限数量的纪念物狩猎；

也**认识到** 如果是在国家保护管理计划和方案的框架内进行此类狩猎，则有限数量的纪念物狩猎所获资金将直接惠益于该物种的保护，并为物种和栖息地保护提供额外的激励措施；

认识到 一些分布国在该物种的保护管理和种群恢复方面取得了重大进展，但需要额外的激励措施和手段来资助这种保护管理；

忆及 出口国可根据公约缔约方大会第2次会议(圣何塞，1979年)通过并在第9次会议上修订的Conf. 2.11(Rev.)号决议批准狩猎纪念物贸易，并可根据公约第三条第2款签发出口许可证；

也忆及 公约第三条第3款(c)项规定，只有在进口国管理机构确信该标本不会主要用于商业目的时，方可签发进口许可证，第三条第2款(a)项规定，只有在出口国科学机构认为此项出口不会有害于该物种生存时，方可签发出口许可证；

进一步忆及 在由公约缔约方大会在其第9次会议上通过并在第13次会议上修订的Conf. 9.21(Rev. CoP18)号决议中，缔约方大会同意，由缔约方大会为某一附录I物种设定的出口限额要满足公约第三条第2款(a)项和第3款(a)项的要求，即，只要不超过限额并且没有出现新的科学或管理数据表明有关分布国的该物种种群不再能够承受商定的限额，则出口和进口目的就不会损害该物种的生存；

公约缔约方大会

1. **批准** 纳米比亚的年度出口限额是5头成年雄性黑犀狩猎纪念物，南非的年度出口限额是成年雄性黑犀狩猎纪念物总数不超过该出口年份全国黑犀总数的0.5％(适用于所有三个亚种，即，三个亚种的每个亚种总数的0.5％)；南非将为黑犀种群设定一个科学的最低门槛，低于该门槛则上述限额就不应适用了；
2. **同意** 黑犀的狩猎纪念物定义为角或身体其他任何经久耐用的部分，固定的或松散的，并且所有要出口的部分都要单独注明原产国、物种、限额数量和出口年份；及
3. **建议：**

    a) 在根据公约第三条第3款(a)项和Conf. 9.21(Rev. CoP18)号决议第b)款的规定审查进口黑犀狩猎纪念物的许可证申请时，如果进口国科学机构确信所审议的纪念物来自某个分布国，该国已获得作为国家黑犀保护管理计划或方案一部分的出口限

额并会按照本决议的规定开展贸易时，则应批准许可证；

b) 在根据公约第三条第3款(c)项审查进口黑犀狩猎纪念物的许可证申请时，进口国管理机构应确信该纪念物不是主要用于商业目的，如果：

   i) 纪念物是所有者在出口国获得，作为个人用品进口，不会在进口国出售；及

   ii) 每个所有者在一个公历年(1月1日至12月31日)内进口纪念物数量不超过一件；

c) 对该物种的出口限额进行修正或建立额外的出口限额，要依照Conf. 9.21(Rev. CoP18)号决议进行；及

d) 南非应在与出口限额有关的期限开始至少30天之前，将黑犀的出口限额通知秘书处，以便在CITES网站上发布该信息。

Conf. 13.5
(Rev. CoP18)*

Establishment of export quotas for black rhinoceros hunting trophies

RECALLING that the black rhinoceros *(Diceros bicornis)* was included in Appendix I in 1977;

RECOGNIZING that the black rhinoceros is threatened in parts of its range by illegal hunting, and fragmentation and loss of its habitat;

RECOGNIZING also that the species is recovering and effectively managed in other parts of its range;

RECALLING that, in accordance with Resolution Conf. 9.14 (Rev. CoP17)[1] adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994) and revised at its 11th, 13th, 14th, 15th and 17th meetings (Gigiri, 2000; Bangkok, 2004; The Hague, 2007; Doha, 2010; Johannesburg, 2016), range States of rhinoceros species should develop and implement conservation and management plans for the species concerned, utilizing all available expertise and resources;

RECOGNIZING that effective conservation, management and monitoring plans and programmes are in place in a number of range States of the black rhinoceros and that some populations are recovering and can sustain limited offtakes through trophy hunting;

RECOGNIZING also that the financial benefits derived from trophy hunting of a limited number of specimens will benefit the conservation of the species directly and provide additional incentives for conservation and habitat protection, when such hunting is done within the framework of national conservation and management plans and programmes;

RECOGNIZING that some range States have made significant advances in the conservation and management of this species and the restoration of their national populations but require additional incentives and means to finance such conservation and management;

RECALLING that countries of export may authorize trade in hunting trophies in accordance with Resolution Conf. 2.11 (Rev.), adopted by the Conference of the Parties at its second meeting (San José, 1979) and revised at its ninth meeting, and may grant export permits in accordance with Article III, paragraph 2, of the Convention;

RECALLING also that Article III, paragraph 3 (c), 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 Article III, paragraph 2 (a), 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;

RECALLING furthermore that, with Resolution Conf. 9.21 (Rev. CoP18), adopted by the Conference of the Parties at its ninth meeting and revised at its 13th meeting, the Conference of the Parties agreed that the establishment of an export quota by the Conference of the Parties for a species included in Appendix I satisfies the requirements of Article III, paragraphs 2 (a) and 3 (a), of the Convention that the export and the purpose of the import will not be detrimental to the survival of the species provided that the quota is not exceeded and that no new scientific or management data have emerged to indicate that the species population in the range State concerned can no longer sustain the agreed quota;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. APPROVES the establishment of an annual export quota of five hunting trophies of adult male black rhinoceros from Namibia and a total number of hunting trophies of adult male black rhinoceros not exceeding 0.5% of the current total black rhinoceros populations in South Africa in the year of the export (equally applied to all three subspecies, i.e. 0.5% of the total population of

* *Amended at the 14th and 18th meetings of the Conference of the Parties and corrected by the Secretariat following the 15th meeting.*

[1] *Corrected by the Secretariat following the 15th and 17th meetings of the Conference of the Parties: originally referred to Resolution Conf. 9.14 (Rev. CoP14).*

each of the three subspecies); South Africa will set a minimum science-based threshold for black rhinoceros populations, below which the above quota shall not apply;

2. AGREES that hunting trophies of the black rhinoceros are defined as the horns or any other durable part of the body, mounted or loose and that all parts to be exported should be individually marked with reference to the country of origin, species, quota number and year of export; and

3. RECOMMENDS that:

   a) in reviewing applications for permits to import black rhinoceros hunting trophies, in accordance with Article III, paragraph 3 (a), of the Convention, and Resolution Conf. 9.21 (Rev. CoP18), paragraph b), the Scientific Authority of the State of import approve permits if it is satisfied that the trophies being considered are from a range State to which an export quota has been granted as part of a national black rhinoceros conservation and management plan or programme and will be traded in accordance with the provisions of the present Resolution;

   b) in reviewing applications for permits to import black rhinoceros hunting trophies, in accordance with Article III, paragraph 3 (c), of the Convention, the Management Authority of the State of import be satisfied that such trophies are not to be used for primarily commercial purposes if:

      i) the trophies were acquired by the owners in the country of export and are being imported as personal items that will not be sold in the country of import; and

      ii) each owner imports no more than one trophy in any calendar year (1 January to 31 December);

   c) amendments to export quotas or the establishment of additional export quotas for this species be done in accordance with Resolution Conf. 9.21 (Rev. CoP18); and

   d) South Africa should inform the Secretariat of their export quota for black rhinoceros at least 30 days before the start of the period to which the export quota relates in order for this information to be published on the CITES website.

Conf. 13.6 (Rev. CoP18)*

履行关于“公约前标本”的第七条第2款

忆及 公约第七条第2款规定，标本出口或再出口国管理机构确认该标本是在公约规定对其生效前获得的，并签发相应的证明后，可以豁免公约第三、四、五条的要求；

注意到 在执行该条规定时，已遇到了技术上和基本原则两方面的一系列困难；

进一步注意到 第五次缔约方大会(布宜诺斯艾利斯，1985)通过的Conf. 5.11号决议，关于术语“公约前标本”的定义，仅部分解决了在履行第七条第2款时遇到的问题；及

认识到 进口缔约方在执行公约第七条第2款规定中的关键作用，及进口缔约方根据公约第十四条第1款规定，有权对进口公约前标本采取更严格的国内措施；

公约缔约方大会

1. **建议** 为履行第七条第2款：
    a) 公约条款对某一标本生效的日期为该标本第一次被列入附录的日期；
    b) 如系部分或衍生物，某一标本的获得日期可以考虑采用获得此动物或植物的日期，如下：
        i) 从野外移出的日期；或是
        ii) 在控制环境中人工繁育或人工培植出生的日期；或是
        如果上述日期未知或是无法证实，则应是可以证实的被某人拥有的最早日期；及
    c) 只有在有关物种首次被列入附录之日之前获得的标本才有资格获得此项豁免；
2. 进一步**建议**：
    a) 缔约方在颁发的所有公约前所获证明书上，要与以上b)段相一致，注明获得有关标本的准确日期，或者证明该标本是在一个特定日期前获得的，并建议这类证书的持有者与潜在的进口者或是意向到达国的管理机构核实，后者能否接受用该证明书实施进口；及
    b) 缔约方只接受遵照本决议签发的公约前证明书；
3. **呼吁** 各缔约方采取一切必要的措施，防止在公约缔约方大会同意把某物种列入附录Ⅰ到该列入生效之间，过多获取该物种的标本；并
4. **废止** Conf. 5.11号决议(布宜诺斯艾利斯，1985)——术语“公约前标本”的定义。

*经第十六和第十八次缔约方大会修订。

Conf. 13.6 (Rev. CoP18)*

Implementation of Article VII, paragraph 2, concerning 'pre-Convention specimens

RECALLING that Article VII, paragraph 2, of the Convention provides an exemption from the provisions of Articles III, IV and V where a Management Authority of the State of export or re-export is satisfied that a specimen was acquired before the provisions of the Convention applied to that specimen and issues a certificate to that effect;

NOTING that the implementation of this provision has given rise to a series of difficulties, both of a technical and of a more fundamental nature;

NOTING further that Resolution Conf. 5.11, on *Definition of the term 'pre-Convention specimen'* adopted by the Conference of the Parties at its fifth meeting (Buenos Aires, 1985), has been found to solve only partly the problems related to the implementation of Article VII, paragraph 2; and

RECOGNIZING the crucial role of importing Parties in implementing Article VII, paragraph 2, and the right of Parties, under Article XIV, paragraph 1, of the Convention to apply stricter domestic measures to the import of specimens covered by pre-Convention certificates;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that, for the purposes of Article VII, paragraph 2:

   a) the date from which the provisions of the Convention apply to a specimen be the date on which the species concerned was first included in the Appendices;

   b) the date on which a specimen is acquired be considered as the date on which the animal or plant or, in the case of parts or derivatives, the animal or plant from which they were taken, was known to be:

      i) removed from the wild; or

      ii) born in captivity or artificially propagated in a controlled environment; or

      if such date is unknown or cannot be proved, the date on which the specimen was acquired shall be the earliest provable date on which it was first possessed by any person; and

   c) only specimens acquired before the date on which the species concerned was first included in the Appendices qualify for this exemption;

2. RECOMMENDS further that:

   a) Parties include on all pre-Convention certificates issued either the precise date of acquisition of the specimens concerned or a certification that the specimens were acquired before a specific date, in accordance with paragraph b) above, and advise the holder of such a certificate to check with potential importers or with the Management Authority of the intended country of destination whether the latter will accept the certificate for import; and

   b) Parties accept pre-Convention certificates only if they have been issued in compliance with this Resolution;

3. CALLS on Parties to take any necessary measures in order to prevent excessive acquisition of specimens of a species between the date on which the Conference of the Parties approves the inclusion of that species in Appendix I and the date on which the inclusion takes effect; and

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* *Amended at the 16th and 18th meetings of the Conference of the Parties*

4. REPEALS Resolution Conf. 5.11 (Buenos Aires, 1985) – *Definition of the term 'pre-Convention specimen'*.

Conf. 13.7 (Rev. CoP17)*

个人和家庭财产贸易的控制

忆及 第十次缔约方大会(哈拉雷，1997)通过的关于旅游纪念品标本贸易控制的Conf. 10.6号决议和第十二次缔约方大会(圣地亚哥，2002)通过的关于个人和家庭财产的Conf. 12.9号决议；

注意到 公约第三条第3款 (c)项要求附录Ⅰ物种标本在进口国不得以商业为根本目的进行利用；

考虑到 公约第七条第3款设定了作为个人或家庭财产的标本免受公约第三条、第四条和第五条管制的条件；

进一步**考虑到** 公约并未就“个人或家庭财产”的术语做出定义；

考虑到 公约第七条第3款的豁免规定不适用于返回常住国的个人进口作为纪念品的附录Ⅰ物种标本；

进一步**考虑到** 公约第七条第3款的豁免规定也不适用于返回常住国的个人进口作为纪念品的附录Ⅱ物种标本，如果该标本是在一个国家野外获得的，且这个国家要求出口此类标本前必须获得出口许可证；

认识到 出口国往往不要求办理出口许可证；

注意到 对于出口国和进口国以外的缔约方，此类附录Ⅱ物种标本可根据公约第七条的规定享受豁免；

认识到 当前各缔约方以不同的方式执行公约第七条第3款，因此应该对个人或家庭财产的豁免做出统一规定；

忆及 第十一次缔约方大会(吉吉里，2000)通过的并经第十三、十四和十五次缔约方大会(曼谷，2004；海牙，2007；多哈，2010)修订的Conf. 11.11(Rev. CoP15)号关于植物贸易规定的决议，建议了每人可携带按个人财产对待的响雨木的数量限制；

忆及 第十二次缔约方大会通过的并经第十三、十四、十六和十七次缔约方大会(曼谷，2004；海牙，2007；曼谷，2013；约翰内斯堡，2016)修订的Conf. 12.7(Rev. CoP17)号关于鲟鱼和匙吻鲟保护和贸易的决议，建议了每人可携带按个人财产对待的鱼子酱的数量限制；

忆及 公约没有对机场候机室(包括免税店)、自由港或非海关区做出专门规定，因为每个缔约方对其整个领土均拥有主权，这些地方自然也适用公约；

认识到 附录Ⅰ和Ⅱ物种的部分和衍生物继续作为旅游纪念品标本被广泛售卖，附录Ⅰ物种标本仍然在有些国家的国际机场和其他地方(包括免税区)的礼品店里摆卖，主要销售给国际旅客；

认识到 在国际出港处售卖附录Ⅰ物种标本，可能会有意或无意地刺激此类标本的非法出口，并且此类出口成为相应物种保护方面关切的一个问题；

承认 售卖附录Ⅰ物种旅游纪念品标本，有时形成了可能威胁该物种生存的贸易的实质部分；

*经第十四次缔约方大会修订，由秘书处在第十五次缔约方大会后修正，经第十六和十七次缔约方大会进一步修订。

认识到 公众仍广泛缺乏对公约和本国濒危物种贸易相关立法的目的与要求的认识；

进一步**认识到** 国际机场、海港和陆路关卡是向游客宣传公约要求的绝佳教育场所，在这些地方售卖旅游纪念品标本会严重贬损宣传教育效果；

承认 公约第十四条第1款允许进口国和出口国双方采取更为严厉的国内措施；并

考虑到 这些规定的有效执行，将随着缔约方根据第十四条第1款所采取措施的明晰而得到强化；

公约缔约方大会

1. **决定** 公约第七条第3款中的术语“个人或家庭财产”所称的标本是指：

a） 个人因非商业性目的而拥有或持有的；

b） 合法获得的；及

c） 在进口、出口或再出口时，或者

i） 被穿戴、携带或放置在个人行李中；或者

ii） 作为搬家物品中的一部分；

2. **也决定** 出于履行本决议的目的，术语“旅游纪念品标本”仅适用于在拥有者常住国以外的国家获得的个人和家庭财产，但不适用于活体标本；

3. **同意** 各缔约方应：

a） 根据 Conf. 10.20 号决议的规定，对个人拥有合法获得的公约附录物种的活体动物的跨境运输实施管制；

b） 属于个人或家庭财产性质的附录 II 物种的死体标本、部分或衍生物，不要求出口许可证或再出口证明书，除非：

i） 通过秘书处通知或公约网站获知，涉及此类标本的其他缔约方要求出具这样的文件；或者

ii） 为狩猎纪念物获得犀角或象牙的出口和再出口；或者

iii） 出口和再出口其他所有狩猎纪念物，除非作为邻国的缔约方已经签订了跨境贸易的书面双边安排，将公约第四条规定的判定和其他监测狩猎纪念物贸易的方式囊括其中，并已正式通知公约秘书处，且标本在进口、出口或再出口时被穿戴、携带或放置在猎人的个人行李中；或者

iv） 对于以下情况，其数量超过了特定的限制：

— 鲟鳇鱼物种(Acipenseriformes spp.)的鱼子酱——每人最多 125 克，且依照 Conf. 12.7(Rev. CoP16)号决议的要求容器必须进行标记；

— 仙人掌(Cactaceae spp.)响雨木——每人最多 3 件标本；

— 鳄鱼物种标本——每人最多 4 个标本；

— 大凤螺(*Strombus gigas*)贝壳——每人最多 3 个标本；

— 海马(*Hippocampus* spp.)——每人最多 4 个标本；

— 砗磲(Tridacnidae spp.)贝壳——每人最多 3 个标本且不超过 3 公斤，每个

标本可以是一个完整贝壳或者两块可以闭合的单壳；及

— 沉香标本——每人最多 1 千克木片、24 毫升香精油和 2 副手串或念珠串或项链或手镯；

c） 将公约有关个人或家庭财产的管理规定通知海关部门；

d） 采取一切必要的措施，包括对贸易商进行检查和向其提供相关信息，以阻止在国际出港处，如国际机场、海港和陆路关卡，特别是海关控制区外的免税商店等地，售卖附录Ⅰ物种的旅游纪念品标本；

e） 在国际出港处和入港处，使用所有相关的语言，通过展示牌和其他途径，向旅客宣传公约的目的和要求，及遵守进出口野生动植物种标本方面的国际和国内法律应承担的义务；及

f） 与国内和国际旅行社、承运商、宾馆及其他相关团体协作，采取一切可能的措施，以确保海外旅行的旅客和享有外交特权的人士能了解到正在实行或将要实行的针对公约物种标本的进出口控制措施；

4. **建议** 缔约方在解释和执行个人或家庭持有物品豁免时，使用本决议附件1中的指南；

5. 进一步**建议** 各缔约方如果拟对以上b)款iii)项的名单进行修订，遵从本决议附件中的指南；

6. **敦促**：

a） 所有缔约方全面遵守公约第三条关于附录Ⅰ物种旅游纪念品标本的要求；

b） 进口国将所遇到的进口旅游纪念品标本的问题通告相关出口国和公约秘书处；

7. **指示** 常委会考虑为通告其在执行本决议中遇到困难的任何缔约方提供支持；

8. **鼓励** 各缔约方将本决议的相关规定纳入其国内立法；

9. **废除** 下列决议：

a） Conf. 10.6 号决议(哈拉雷，1997)——旅游纪念品标本贸易的控制；及

b） Conf. 12.9 号决议(圣地亚哥，2002)——个人和家庭财产。

附件 1 个人和家庭财产的说明指南

公约第七条第3款的说明

1. 公约第七条第3款从公约第三、四和五条中免除了作为个人和家庭财产的标本。

2. 第七条第3款(a)取消了当其是从常住国外获得的附录Ⅰ标本时的豁免。从其他国家获得的附录Ⅰ标本，必须按照第三条和第七条中其他条款的规定进口。

3 第七条第3款(b)取消了当其是从常住国外野外获得的附录Ⅱ标本时的豁免，且需要出口许可证。

4. 缔约方可以执行诸如对任何国家的个人和家庭财产标本进口或出口不予豁免、设立限额或彻底不予豁免等更严格的国内措施。

5. Conf. 13.7 (Rev. CoP16)号决议建议缔约方报告在其是否在国内法规中执行第七条第3款。
6. 应从秘书处网站上查知执行豁免的缔约方。
7. 缔约方可以按照Conf. 13.7 (Rev. CoP16)号决议附件2的指南为附录II物种设立数量限额。

“个人和家庭财产”的定义

8. 必须是个人所有或非商业目的的拥有，即不包括商业性目的的获取、销售和展示等使用及为销售的持有、馈赠或运输。
9. 必须是合法获得的。
10. 两类个人所有或拥有的标本应考虑为个人和家庭财产：(1)个人财产——进口和出口或再出口时，作为个人行李被穿着、随带或包括的标本；(2)家庭财产——进口和出口或再出口时，作为家庭物品一部分搬运的标本。

可以考虑作为“个人和家庭财产”的标本类型

11. 在特定条件下有几类标本可以作为个人和家庭财产予以豁免。
12. 个人所有和拥有的标本是其在常住国期间获得的附录Ⅰ、Ⅱ、Ⅲ物种标本。有多种且符合国家法律的方式获得某件标本。实例包括但不局限于：
    - 在常住国从野外直接获得的；
    - 在常住国所得的赠品或按CITES规定从另一个国家进口的；
    - 作为遗产在常住国获得或按CITES规定从另一个国家进口的；
    - 标本购买自常住国的商贩，其要么是在常住国合法得到的，要么是按CITES规定从另一个国家进口的；
    - 国外运转和进口中的礼物，其要么属于豁免的个人和家庭财产，要么随带合适的CITES文件；及
    - 在国外猎获和进口的狩猎纪念物，其要么属于豁免的个人和家庭财产，要么随带合适的CITES文件。
13. 个人所有或拥有的标本，在进口、出口和再出口时，如该标本是作为个人行李被穿着、携带或包括，且进口和出口国都对该物种和标本予以个人和家庭财产豁免，将作为个人财产予以豁免。
14. 个人所有或拥有的标本，在进口、出口和再出口时，如该标本是作为家庭物品的一部分在运转，且进口和出口国都对该物种和标本予以个人和家庭财产豁免，将作为家庭财产予以豁免。
15. 在国外旅行获得的附录Ⅱ、Ⅲ旅游纪念品标本，在进口、出口和再出口时，如该标本是作为个人行李被穿着、随带或包括，且进口和出口国都对该物种和标本予以个人和家庭财产豁免，将作为个人财产予以豁免。
16. 符合Conf. 12.3 (Rev. CoP16) 号“狩猎纪念物”决议的附录Ⅱ、Ⅲ狩猎纪念物标本，在进口、出口和再出口时，如该标本是作为个人行李被穿着、随带或包括，且进口和出口

国都对该物种和标本予以个人和家庭财产豁免，将作为个人财产予以豁免。注意，从狩猎纪念物得到的犀角和象牙不被予以个人和家庭财产豁免。

17. 如首饰和皮草之类等由多件受保护标本组合而成的日用品(通常由多件组合，象一双鞋和一副耳环)，可以当作1件标本处置。

附件 2 修订具有数量限制的附录Ⅱ物种个人和家庭财产名单的指南

1. 任何增加、删除或者其他修订具有数量限制的附录Ⅱ物种个人和家庭财产名单的提案，包括数量限制的设定，应当由缔约方提出。
2. 该提案应包含支持信息和正当理由，包括要指出提案的拟定主要出于执法或保护等何种目的。
3. 缔约方应当尽力避免不必要地扩展具有数量限制的个人和家庭财产名单。
4. 为使此类提案在提交到缔约方大会讨论和决定时获得支持，建议将下列内容纳入提案：
   a) 经过同分布国、生产国和消费国磋商，所获得的该提案的影响评估；及
   b) 该提案可执行性的评估。

Conf. 13.7 (Rev. CoP17)

Control of trade in personal and household effects

RECALLING Resolution Conf. 10.6 on *Control of trade in tourist souvenir specimens*, adopted by the Conference of the Parties at its 10th meeting (Harare, 1997) and Resolution Conf. 12.9 on *Personal and household effects*, adopted at its 12th meeting (Santiago, 2002);

OBSERVING that Article III, paragraph 3 (c), of the Convention requires that specimens of Appendix-I species not be used for primarily commercial purposes in the importing country;

CONSIDERING that Article VII, paragraph 3, of the Convention lays down the conditions under which specimens that are personal or household effects are exempt from the provisions of Articles III, IV and V of the Convention;

CONSIDERING further that the Convention does not define the term 'personal or household effects';

CONSIDERING that the exemption in Article VII, paragraph 3, of the Convention does not apply to specimens of Appendix-I species that are souvenirs being imported by a person returning to his State of usual residence;

CONSIDERING further that the exemption in Article VII, paragraph 3, of the Convention does not apply to specimens of Appendix-II species that are souvenirs being imported by a person returning to his State of usual residence if the specimens were taken from the wild in a State requiring the granting of export permits before the export of such specimens;

RECOGNIZING however that export permits are frequently not required by exporting countries;

NOTING that for Parties other than the exporting and importing Parties such specimens of Appendix-II species are, under Article VII, exempt from CITES provisions;

RECOGNIZING that Parties currently implement Article VII, paragraph 3, in varying ways and that there should be uniform application of the exemption for personal or household effects;

RECALLING Resolution Conf. 11.11 (Rev. CoP18), on *Regulation of trade in plants*, adopted by the Conference of the Parties at its 11th meeting (Gigiri, 2000) and revised at its 13th, 14th, 15th and 18th meetings (Bangkok, 2004; The Hague, 2007; Doha, 2010; Geneva, 2019), which recommends a limit on the number of rainsticks per person to be considered as personal effects;

RECALLING Resolution Conf. 12.7 (Rev. CoP17), on *Conservation of and trade in sturgeons and paddlefish*, adopted by the Conference of the Parties at its 12th meeting and revised at its 13th, 14th, 16th and 17th meetings (Bangkok, 2004; The Hague, 2007; Bangkok, 2013; Johannesburg, 2016), which recommends a limit on the quantity of caviar per person to be considered as personal effects;

RECALLING that the Convention does not make special provision for airport lounges (including duty- free shops), free ports or non-customs zones, because each Party is deemed to have sovereignty over the whole of its territory, and to apply the Convention accordingly;

RECOGNIZING that parts and derivatives of species listed in Appendices I and II continue to be widely sold as tourist souvenir specimens and that specimens of Appendix-I species continue, in some countries, to be offered for sale at gift shops at international airports and other places (including duty- free areas) catering largely to international travellers;

RECOGNIZING that the sale of specimens of Appendix-I species in places of international departure may encourage, either intentionally or unintentionally, the illegal export of such items, and that such export is an issue of concern with respect to the conservation of such species;

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* *Amended at the 14th meeting of the Conference of the Parties, corrected by the Secretariat following the 15th and 18th meetings, and further amended at the 16th and 17th meetings of the Conference of the Parties*

ACKNOWLEDGING that sale of tourist souvenir specimens of Appendix-I species can in some cases form a substantial part of a trade which could threaten the survival of such species;

RECOGNIZING that there is still widespread public ignorance of the purpose and requirements of the Convention and of domestic legislation relating to trade in endangered species;

RECOGNIZING further that international airports, seaports and border crossings provide an excellent opportunity for educational displays informing travellers about the requirements of the Convention, and that sales of tourist souvenir specimens in such places may seriously detract from that educational message;

ACKNOWLEDGING that Article XIV, paragraph 1, of the Convention allows both importing and exporting Parties to take stricter domestic measures; and

CONSIDERING that effective implementation of these provisions will be strengthened by a clarification of the measures taken by Parties in accordance with Article XIV, paragraph 1;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. DECIDES that the term 'personal or household effects' contained in Article VII, paragraph 3, means specimens that are:

   a) personally owned or possessed for non-commercial purposes;

   b) legally-acquired; and

   c) at the time of import, export or re-export either:

      i) worn, carried or included in personal baggage; or

      ii) part of a household move;

2. DECIDES also that, for the purposes of this Resolution, the term 'tourist souvenir specimen' shall apply only to personal and household effects acquired outside the owner's State of usual residence and not be applied to live specimens;

3. AGREES that Parties shall:

   a) regulate the cross-border movements of legally acquired, personally owned live animals of species listed in the Appendices of CITES in accordance with Resolution Conf. 10.20;

   b) not require export permits or re-export certificates, for personal or household effects which are dead specimens, parts or derivatives of Appendix-II species except:

      i) where they have been advised through a Notification from the Secretariat or on the CITES website that the other Party involved in the trade requires such documents; or

      ii) for the export and re-export of rhino horn or elephant ivory contained in hunting trophies; or

      iii) for the export and re-export of all other hunting trophies unless Parties have entered into bilateral written arrangements for cross-border trade between neighbouring countries that include the required findings in Article IV of the Convention and other means of monitoring trade in hunting trophies, provided that such arrangements have been duly notified to the CITES Secretariat, and with the condition that the specimen at the time of import, export or re-export was worn, carried or included in the hunter's personal baggage; or

      iv) for the following, where the quantity exceeds the specified limits:

         – caviar of sturgeon species (Acipenseriformes spp.) – up to a maximum of 125 grams per person whereby the container has to be labelled in accordance with Resolution Conf. 12.7 (Rev. CoP17);

– rainsticks of Cactaceae spp. – up to three specimens per person;

– specimens of crocodilian species – up to four specimens per person;

– queen conch (*Strombus gigas*) shells – up to three specimens per person;

– seahorses (*Hippocampus* spp.) – up to four specimens per person;

– giant clam (Tridacnidae spp.) shells – up to three specimens, each of which may be one intact shell or two matching halves, not exceeding 3 kg per person; and

– specimens of agarwood – up to 1 kg of woodchips, 24 ml of oil and two sets of beads or prayer beads (or two necklaces or bracelets) per person;

c) advise their customs administrations of the treatment of personal or household effects under CITES;

d) take all necessary steps, including inspection and provision of information to merchants, to prohibit the sale of tourist souvenir specimens of Appendix-I species in places of international departure, such as international airports, seaports and border crossings and particularly in duty-free areas beyond customs control points;

e) provide information through displays and by other means, in all relevant languages, in places of international departure and arrival, informing travellers about the purpose and requirements of the Convention, and of their responsibilities with respect to international and domestic laws relating to the export and import of specimens of wild fauna and flora; and

f) in collaboration with national and international tourist agencies, carriers, hotels and other relevant bodies, take all possible steps to ensure that tourists and persons with diplomatic privileges travelling abroad are made aware of the import and export controls that are or may be in force with respect to items derived from CITES species;

4. RECOMMENDS that the Parties use the Guidelines contained in Annex 1 to this Resolution when interpreting and implementing the personal or household effects exemption;

5. FURTHER RECOMMENDS that the Parties follow the Guidelines contained in Annex 2 to this Resolution, if they wish to amend the list contained in subparagraph 3 b) iv) above;

6. URGES that:

   a) all Parties comply fully with the requirements of Article III of the Convention with respect to tourist souvenir specimens of Appendix-I species; and

   b) importing countries experiencing problems with imports of tourist souvenir specimens notify the relevant exporting countries and the CITES Secretariat accordingly;

7. DIRECTS the Standing Committee to consider ways of assisting any Party which informs the Committee of difficulties in the application of this Resolution;

8. ENCOURAGES Parties to harmonize their national legislation with regard to this Resolution; and

9. REPEALS the Resolutions listed hereunder:

   a) Resolution Conf. 10.6 (Harare, 1997) – *Control of trade in tourist souvenir specimens*; and

   b) Resolution Conf. 12.9 (Santiago, 2002) – *Personal and household effects*.

Annex 1 Guidelines for interpretation of personal and household effects

Interpretation of Article VII, paragraph 3, of the Convention

1. Article VII, paragraph 3, excludes specimens that are personal or household effects from the provisions of Article III, IV or V of the Convention.

2. Article VII, paragraph 3 (a), excludes Appendix-I specimens from this exemption when they have been acquired outside the person's country of usual residence. Appendix-I specimens may be acquired from other countries, but they must be imported home under the conditions of Article III or other paragraphs in Article VII.

3. Article VII, paragraph 3 (b), excludes Appendix-II specimens from this exemption when the specimen has been acquired outside the person's country of usual residence, in a country where removal from the wild occurred AND where that country requires an export permit.

4. Parties can choose to apply stricter domestic measures such that any country of import or export can exclude specimens from the personal and household effects exemption, establish quantitative restrictions or choose not to implement the exemption at all.

5. It is recommended in Resolution Conf. 13.7 (Rev. CoP17) that Parties report whether or not they implement Article VII, paragraph 3, in domestic legislation.

6. Parties should consult the Secretariat's website for Parties that implement the exemption.

7. Parties may establish quantitative limits for Appendix-II species by following the guidelines in Annex 2 to Resolution Conf. 13.7 (Rev. CoP17).

Definition of 'personal and household effects'

8. Specimens must be personally owned or possessed for non-commercial purposes. This excludes use for commercial gain, sale, and display for commercial purposes, keeping for sale, offering for sale or transport for sale.

9. Specimens must be legally acquired.

10. There are two types of personally owned or possessed specimens that could be considered personal and household effects. These are: (1) Personal effects – specimens that, at the time of import, export or re-export, were worn, carried or included in personal baggage; or (2) Household effects – specimens that, at the time of import, export or re-export, were part of a household move.

Types of specimens that may be considered as 'personal and household effects'

11. There are several categories of specimens which under certain conditions, can be exempted as personal and household effects (such as personally owned items, tourist souvenirs or hunting trophies).

12. Personally owned or possessed specimens are Appendix-I, -II or -III specimens that have been acquired while a person resides in his country of usual residence. There are many different ways in which a specimen may be acquired as long as the acquisition was in accordance with domestic law. Examples include, but are not limited to:

    – Direct removal from the wild in the person's country of usual residence;

    – As a gift acquired within the country of usual residence or imported under CITES provisions from another country;

    – As an inheritance acquired either within the country of usual residence or imported under CITES provisions from another country;

– Purchase from a vendor who has either obtained the specimen legally from within the country of usual residence or who has imported the specimens under CITES provisions from another country;

– A souvenir acquired while travelling abroad and imported either under the personal and household effects exemption or with the appropriate CITES documents; and

– A hunting trophy that has been legally hunted abroad and imported either under the personal and household effects exemption or with the appropriate CITES documents.

13. Personally owned or possessed specimens will be exempted as personal effects if both the countries of import and export implement the personal and household effects exemption for the species and the specimen at the time of import, export or re-export was worn, carried or included in personal baggage.

14. Personally owned or possessed specimens will be exempted as household effects if both the countries of import and export implement the personal and household effects exemption for the species and the specimen at the time of import, export or re-export was part of a household move.

15. Tourist souvenirs are Appendix-II or -III specimens acquired while travelling abroad. They will be exempted as personal effects if both the countries of import and export implement the personal and household effects exemption for the species and the specimens at the time of import, export or re-export were worn, carried or included in personal baggage.

16. Hunting trophies are Appendix II or III specimens that meet the definition of 'hunting trophy' in Resolution Conf. 12.3 (Rev. CoP18)[1]. Note that the export or re-export of rhino horn and elephant ivory contained in hunting trophies does not qualify for the personal and household effects exemption.

17. Where a commodity (typically consisting of multiple pieces, such as a pair of shoes or a pair of earrings), such as jewellery or leather goods, is composed of multiple pieces of protected specimens and other items, it should be treated as one specimen.

Annex 2 Guidelines for amending the list of personal and household effects of Appendix-II species with quantitative limits

1. Any proposal for adding to, deleting from or otherwise amending the list of personal and household effects of Appendix-II species with quantitative limits, including the quantitative limit set, should be initiated by a Party.

2. The proposal should contain supporting information and a justification, including an indication of whether the proposal is being made primarily for enforcement or conservation purposes.

3. Parties should make every effort not to lengthen unnecessarily the list of personal and household effects with quantitative limits.

4. In support of such proposals submitted to the Parties to the Conference of the Parties for discussion and decision, it is recommended that the following information be contained in any such proposal:

   a) an assessment of the impact of the proposal, drawn from consultations with range States, producer countries and consumer countries; and

[1] *Corrected by the Secretariat following the 18th meeting of the Conference of the Parties.*

b) an assessment of the enforceability of the proposal.

Conf. 13.9

鼓励拥有迁地繁育机构的缔约方和拥有就地保护项目的缔约方开展合作

忆及 第八次缔约方大会(京都，1992)通过并经第十三次缔约方大会(曼谷，2004)修订的Conf. 8.3(Rev. CoP13)号决议，该决议承认对野生动植物的可持续利用，无论其是消耗性的还是非消耗性的，提供了一种经济竞争性的土地利用选择，且来自合法利用的回报可能会为支持管理野生动植物并去除非法贸易提供资金和动力；

认识到 公约第七条第4款规定，附录Ⅰ所列的某一动物物种的标本，系为了商业目的而人工繁育的，或附录Ⅰ所列的某一植物物种的标本，系为了商业目的而人工培植的，均应视为附录Ⅱ内所列的物种标本；

忆及 第12.11号决定第I段，指示植物委员会分析植物的就地保护和迁地生产之间的关系；

忆及 第11.102号决定(Rev. CoP12)，指示动物委员会继续调查关于繁殖基群来源及该物种的迁地繁育单位和就地保护之间关系的复杂问题，并确定那些使注册的迁地繁育机构会有益于加强该物种在原产国恢复和/或保护的可能策略和其他机制；

进一步**忆及** 第12.22号决定，指示秘书处与缔约方合作，对其关于CITES所列物种的利用和贸易方面的国内政策开展回顾，并考虑经济刺激、生产体系、消费类型、市场获取策略、价格结构、证书机制、与CITES相关的税额和补贴机制、财产权、利益分享及再投入保护的机制，并撰写一份报告，分析野生动植物贸易政策的经济影响，涉及社会经济学、保护收益与成本、经济价值、合法与非法贸易水平、改善当地社区的生活，及私营部门在野生动植物贸易中的角色等；

也忆及 在《生物多样性公约》第七次缔约方大会上通过的关于遗传资源获取和利益分享的ⅤⅡ/19号决定；

意识到 附录Ⅰ物种的迁地人工繁育机构可能会对就地保护产生积极影响；

公约缔约方大会

1. 敦促：

a) 各缔约方鼓励迁地人工繁育附录Ⅰ动物种或人工培植附录Ⅰ植物种的单位，寻求依托这些人工繁育机构获得的资源来支持就地保护的合作措施；

b) 各缔约方鼓励在分布国内的迁地人工繁育或人工培植附录Ⅰ物种的单位，支持就地保护项目；这些支持可以包括技术支持、贡献资金、交换用于再引入野外的标本、能力建设和培训、技术转让、投资、基础设施和其他措施。

Conf. 13.9

Encouraging cooperation between Parties with *ex situ* breeding operations and those with *in situ* conservation programmes

RECALLING Resolution Conf. 8.3 (Rev. CoP13), adopted by the Conference of the Parties at its eighth meeting (Kyoto, 1992) and revised at its 13th meeting (Bangkok, 2004), which recognizes that the sustainable use of wild fauna and flora, whether consumptive or non-consumptive, provides an economically competitive land-use option, and 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;

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

RECALLING Decision 12.11, paragraph l), which directed the Plants Committee to analyse the relationship between *in situ* conservation and *ex situ* production of plants;

RECALLING Decision 11.102 (Rev. CoP12), which directed the Animals Committee to continue to examine the complex issues related to the origin of founder breeding stock and the relationship between *ex situ* breeding operations and *in situ* conservation of the species, and to identify possible strategies and other mechanisms by which registered *ex situ* breeding operations may contribute to enhancing the recovery and/or conservation of the species within the countries of origin;

RECALLING further Decision 12.22, which directed the Secretariat to conduct, in cooperation with the Parties, a review of their national policy regarding the use of and trade in CITES-listed species, taking into account economic incentives, production systems, consumption patterns, market access strategies, price structures, certification schemes, CITES-relevant taxation and subsidy schemes, property rights, mechanisms for benefit sharing and reinvestment in conservation, and to produce a report analysing the economic impacts of wildlife trade policies in terms of socio-economic and conservation benefits and costs, economic value, levels of legal and illegal trade, improvement of the livelihood of local communities, and the role of the private sector involved in wildlife trade;

RECALLING also Decision VII/19 adopted at the seventh meeting of the Conference of the Parties to the Convention on Biological Diversity on access and benefit sharing, as they related to genetic resources;

AWARE that *ex situ* captive-breeding operations of Appendix-I species may have a positive impact on *in situ* conservation;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. URGES:

   a) Parties to encourage *ex situ* operations that breed Appendix-I animal species or that artificially propagate Appendix-I plant species to seek cooperative measures that would support *in situ* conservation based on resources generated by those captive-breeding operations; and

   b) Parties to encourage *ex situ* operations that breed or artificially propagate Appendix-I species within the range State, to support *in situ* conservation programmes; such support could consist of, *inter alia*, technical support, contribution of funds, exchange of specimens for reintroduction into the wild, capacity building and training, technology transfer, investment, infrastructure and other measures.

Conf. 13.10 (Rev. CoP14)*

外来入侵种的贸易

考虑到 外来物种严重威胁生物多样性，而贸易中的动植物则很可能会因国际贸易被引入到一个新的栖息地；

忆及 第十次缔约方大会(哈拉雷，1997)通过的第10.54、10.76 和10.86号决定；

公约缔约方大会

1. **建议** 各缔约方：

a) 在制定涉及到活体动植物的国家立法和规章的时候，要考虑入侵种问题；

b) 在考虑出口潜在入侵种时，如可能和适当的话，应咨询拟进口此类物种的国家的管理机构，确定该国是否已经采取了控制进口此类物种的国内措施；及

c) 考虑协调执行 CITES 和《生物多样性公约》(CBD)的可能性。在处理潜在的外来入侵种引进问题时，在两个公约间要探索建立适当的合作和协作机制。

* 经第十四次缔约方大会修订。

Conf. 13.10

(Rev. CoP14)*

Trade in alien invasive species

CONSIDERING that alien species can pose significant threats to biodiversity, and that species of fauna and flora in commercial trade are likely to be introduced to new habitat as a result of international trade;

RECALLING Decisions 10.54, 10.76 and 10.86 adopted by the Conference of the Parties at its 10th meeting (Harare, 1997);

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that the Parties:

   a) consider the problems of invasive species when developing national legislation and regulations that deal with the trade in live animals or plants;

   b) consult with the Management Authority of a proposed country of import, when possible and when applicable, when considering exports of potentially invasive species, to determine whether there are domestic measures regulating such imports; and

   c) consider the opportunities for synergy between CITES and the Convention on Biological Diversity (CBD) and explore appropriate cooperation and collaboration between the two Conventions on the issue of introductions of alien species that are potentially invasive.

* *Amended at the 14th meeting of the Conference of the Parties.*

Conf. 13.11 (Rev. CoP18)*

野生肉†

关注到 非法或不可持续获取的野生肉的国际贸易可能会对CITES所列物种的野生种群构成威胁，也会对粮食安全和依赖野生动植物的生计构成威胁；

认识到 CITES旨在确保保护所列野生动植物物种免受国际贸易造成的过度开发；

注意到 野生肉的国际贸易涉及到公约附录中的很多物种，但也涉及到不受CITES管制的物种；

关注到 CITES所列物种野生肉的非法贸易破坏了公约的宗旨；

认识到 野生肉的获取和贸易可能不利于某个物种的当前生存，并且可能是影响甚至更多物种的众多压力之一；

注意到 Conf. 13.4(Rev. CoP18)号决议《*大型类人猿的保护与贸易*》、Conf. 11.9(Rev. CoP18)号决议《*陆龟和淡水龟鳖的保护与贸易*》、Conf. 17.10号决议《*穿山甲的保护与贸易*》及其他提供了建议以更好地管理可能受到野生肉供求影响物种的保护与贸易的CITES决议；

认识到 间接压力，例如森林破碎化、道路或其他通道的改善、自然资源的开发，及对野生肉的需求和商业供应的增加，都有可能将野生肉的获取水平和贸易水平提高到不可持续的水平；

进一步认识到 撒哈拉以南非洲的许多国家尤其受到野生肉获取和贸易规模，及确保这种贸易合法、可持续和可追溯所面临挑战的影响，尽管该问题在世界许多国家都普遍存在；

忆及 Conf. 16.6(Rev. CoP18)号决议《*CITES与生计*》，在该决议中，缔约方大会认识到，乡村社区的参与，尤其是传统上依靠CITES所列物种为生的乡村社区的参与，可以使CITES得到更好的履行；

忆及 Conf. 13.2(Rev. CoP14)号决议《*生物多样性可持续利用：亚的斯亚贝巴原则与指南*》提供了《生物多样性可持续利用的亚的斯亚贝巴原则与指南》的摘要，并敦促缔约方使用《生物多样性可持续利用的原则与指南》，也敦促缔约方在采用非致危性判定程序和做出CITES非致危性判定结论时，考虑国情决定的科学、贸易和执法因素及动物委员会和植物委员会的建议；

忆及 Conf. 8.3(Rev. CoP13)号决议《*认可野生动植物贸易的益处*》，该决议认识到，商业贸易当在不损害所涉物种生存的水平上进行时，可能有益于物种和生态系统的保护，并有益于当地人民的发展；

忆及 Conf. 16.7(Rev. CoP17)号决议《*非致危性判定*》，在该决议中，缔约方大会提供了建议和非约束性指导原则，以支持CITES科学机构审议贸易是否会损害物种的生存；

注意到 合法、可持续利用野生肉有满足粮食安全需求的潜质，同时能激励当地社区保护生物多样性和打击非法获取及贸易；

欢迎 《生物多样性公约》缔约方大会第11次、第12次会议分别通过了XI/25号决定(2012

* 经第十七和十八次缔约方大会修订。
† 之前指丛林肉（bushmeat）

年10月)和XII/18号决定(2014年10月)《*生物多样性可持续利用：丛林肉和可持续野生动植物管理*》；

进一步欢迎 在《生物多样性公约》缔约方大会第14次会议上通过了XIV/7号决定《*可持续野生动植物管理*》；

欢迎 可持续野生动植物管理合作伙伴关系(CPW)和ICCWC在野生肉上的工作；

也认识到 CITES可以按照公约的要求，通过贸易促进野生肉涉及的CITES所列物种的保护和可持续利用；

公约缔约方大会

1. **认识到** 需要采取行动，确保作为野生肉消费的野生动物利用活动是合法和可持续的，其中许多行动，在范围上是国家层面的；因而

2. **鼓励** 所有相关缔约方：

a) 在适当的情况下，执行《生物多样性公约》丛林肉联络小组修订后的建议，该建议见于《生物多样性公约》缔约方大会第11次会议(海得拉巴，2012年10月)通过的XI/25号决定《*生物多样性可持续利用：丛林肉和可持续野生动植物管理*》；

b) 在适当的情况下，执行《生物多样性公约》缔约方大会第12次会议(平昌，2014年10月)通过的XII/18号决定《*生物多样性可持续利用：丛林肉和可持续野生动植物管理*》的相关建议，例如，特别是旨在区分生计用途、物种的非法狩猎和贸易及评估和减轻非法获取对野生动物生计用途的影响方面的建议；及

c) 在适当的情况下，利用热带和亚热带地区可持续野生肉部门自愿指南，该指南见于在《生物多样性公约》缔约方大会第14次会议(沙姆沙伊赫，2018年11月)上通过的XIV/7号决定《*可持续野生动植物管理*》；

3. **敦促** 所有相关缔约方利用CPW提供的有关野生动植物可持续管理和利用的指南和其他材料，及利用ICCWC为加强与野生肉获取和贸易有关的国家执法工作而向国家野生动植物执法机构提供的协调一致的支持；

4. **也敦促** 所有相关缔约方审查或建立战略、政策、计划或管理制度(包括国家生物多样性战略和行动计划)，以支持用于野生肉的CITES所列物种的合法可持续获取和国际贸易，并促进当地社区参与此类政策和计划的设计与实施；

5. **进一步鼓励** 所有相关缔约方确定野生肉国际贸易涉及的物种、地理区域或社区，并合作制定适当的制度以监测为野生肉而遭到猎捕的野生动物种群的状况及这些物种的猎捕水平和贸易状况，尤其是跨国际边界的，并特别注意CITES所列物种；

6. **鼓励** 缔约方，酌情：

a) 提高海关官员对CITES所列物种野生肉产品国际贸易的认识；

b) 支持开发和传播鉴定工具，以识别野生肉贸易涉及的CITES所列物种；

c) 修改《*CITES与生计*》手册，针对城乡社区开展适当的教育活动以提高人们的认识，并就确保野生肉贸易根据CITES的规定合法、可持续和可追溯地进行提供方法指导；

d) 加强缔约方之间的合作和信息共享，以更好地了解和监测野生肉的国际贸易；

e) 在人口及野生动植物资源和生态系统面临的压力不断增长的背景下，提高科学知

识并增进对商业和生计目的将CITES所列物种作为野生肉来源对这些物种生存和繁衍影响的理解；及

f) 提供充足的资金、技术和能力支持，以确保CITES所列物种野生肉的获取和国际贸易合法且可持续；

7. **呼吁** 所有缔约方和相关国际组织认识到，在规范野生肉贸易并解决贫困、生境退化、人口增长和自然资源过度开发利用等相关问题方面，他们提供援助，特别是向分布国提供援助，可以发挥重要作用；

8. **指示** 秘书处定期审查本决议的执行情况，并提请常委会和动物委员会注意与野生肉国际贸易有关的任何问题；及

9. **建议** CITES秘书处继续与CPW和ICCWC的其他合作伙伴合作，以确保CITES所列物种野生肉的获取和国际贸易合法、可持续和可追溯。

Conf. 13.11 (Rev. CoP18)* Wild meat**

CONCERNED that international trade in illegally or unsustainably harvested wild meat may pose a threat to wild populations of CITES-listed species as well as to food security and livelihoods of wildlife- dependent communities;

RECOGNIZING that CITES aims to ensure the protection of listed species of wild fauna and flora against overexploitation due to international trade;

NOTING that the international trade in wild meat involves many species included in the Appendices of the Convention, but also species in which trade is not regulated by CITES;

CONCERNED that the illegal trade in CITES-listed species for wild meat undermines the aim of the Convention;

RECOGNIZING that the harvest of and trade in wild meat may be detrimental to the immediate survival of certain species and may be one of a number of pressures impacting an even greater number of species;

NOTING Resolution Conf. 13.4 (Rev. CoP18) on *Conservation of and trade in great apes,* Resolution Conf. 11.9 (Rev. CoP18) on *Conservation of and trade in tortoises and freshwater turtles,* Resolution Conf. 17.10 on *Conservation of and trade in pangolins* and other CITES Resolutions providing recommendations to better manage the conservation of and trade in species that may be impacted by the supply of and demand for wild meat;

RECOGNIZING that indirect pressures such as forest fragmentation, improved road or other access, and natural resource exploitation, as well as increasing demand for and commercial supply of wild meat, have the potential to increase levels of wild meat harvest and trade to unsustainable levels;

FURTHER RECOGNIZING that many countries in sub-Saharan Africa are particularly impacted by the scale of the harvest of and trade in wild meat, and the challenges in ensuring that this trade is legal, sustainable and traceable, although the problem is prevalent in many countries around the world;

RECALLING Resolution Conf. 16.6 (Rev. CoP18) on *CITES and livelihoods*, where the Conference of the Parties recognized that the implementation of CITES is better achieved with the engagement of rural communities, especially those which are traditionally dependent on CITES-listed species for their livelihood;

RECALLING that Resolution Conf. 13.2 (Rev. CoP14) on *Sustainable use of biodiversity; Addis Ababa Principles and Guidelines* provides a summary of the Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity and urges the Parties to make use of the Principles and Guidelines for the Sustainable Use of Biodiversity, also taking into account scientific, trade and enforcement considerations determined by national circumstances, as well as the recommendations of the Animals and Plants Committees when adopting non-detriment making processes and making CITES non- detriment findings;

RECALLING Resolution Conf. 8.3 (Rev. CoP13) on *Recognition of the benefits of trade in wildlife* which recognizes that commercial trade may be beneficial to the conservation of species and ecosystems, and to the development of local people when carried out at levels that are not detrimental to the survival of the species in question;

RECALLING Resolution Conf.16.7 (Rev. CoP17) on *Non-detriment findings*, where the Conference of the Parties provides recommendations and non-binding guiding principles to support CITES Scientific Authorities in considering whether trade would be detrimental to the survival of a species;

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* *Amended at the 17th and 18th meetings of the Conference of the Parties.*

** *Previously referred to as "bushmeat"*

NOTING that legal, sustainable use of wild meat has the potential to meet food security needs, while providing incentives for local communities to conserve biodiversity and combat illegal harvest and trade;

WELCOMING the adoption of Decision XI/25 (October, 2012) and Decision XII/18 (October, 2014) on Sustainable use of biodiversity: bushmeat and sustainable wildlife management by the 11th and 12th meetings of Conference of the Parties to the Convention on Biological Diversity respectively;

FURTHER WELCOMING the adoption of Decision XIV/7 on Sustainable wildlife management at the 14th meeting of the Conference of the Parties to the Convention on Biological Diversity;

WELCOMING the work on wild meat by the Collaborative Partnership on Sustainable Wildlife Management (CPW) and the International Consortium on Combating Wildlife Crime (ICCWC); and

ALSO RECOGNIZING that CITES can promote the conservation and sustainable use of CITES-listed species for wild meat through trade in accordance with the requirements of the Convention;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOGNIZES that many of the actions needed to ensure that the use of wildlife consumed as wild meat is legal and sustainable are national in scope; and thus,

ENCOURAGES all relevant Parties to:

where appropriate, implement the Revised recommendations of the Convention on Biological Diversity Liaison Group on Bushmeat as found in Decision XI/25 on Sustainable use of biodiversity: bushmeat and sustainable wildlife management adopted by the 11th Meeting of the Conference of the Parties to the Convention on Biological Diversity (Hyderabad, October 2012);

where appropriate, implement the relevant recommendations of Decision XII/18 on Sustainable use of biodiversity: bushmeat and sustainable wildlife management adopted by the 12th Meeting of Conference of the Parties to the Convention on Biological Diversity (Pyeongchang, October 2014) such as, inter alia, recommendations aimed at differentiating among subsistence use, illegal hunting and trade of species as well as assessing and mitigating the impacts of illegal harvest on subsistence use of wildlife; and

where appropriate, make use of the voluntary guidance for a sustainable wild meat sector in the tropics and subtropics, found in the Annex to Decision XIV/7 on Sustainable wildlife management adopted at the 14th Meeting of Conference of the Parties to the Convention on Biological Diversity (Sharm El Sheikh, November 2018);

URGES all relevant Parties to take advantage of the guidance and other materials provided by the CPW in relation to the sustainable management and use of wildlife, and the coordinated support offered by ICCWC to national wildlife law enforcement agencies in order to strengthen national law enforcement efforts relating to the harvest and trade of wild meat;

ALSO URGES all relevant Parties to review or establish strategies, policies, programmes or management systems (including National Biodiversity Strategies and Action Plans) that support the legal and sustainable harvest and international trade of CITES-listed species used for wild meat and facilitate participation of local communities in the design and implementation of such policies and programmes;

FURTHER ENCOURAGES all relevant Parties to identify the species and geographical areas or communities concerned by international trade in wild meat and to cooperatively develop appropriate systems to monitor the status of wildlife populations harvested for wild meat and the levels of harvest and the trade in these species, particularly across international borders, with special consideration given to CITES-listed species;

ENCOURAGES Parties to, as appropriate:

raise the awareness of customs officials on the international trade in wild meat products derived from CITES-listed species;

a) support the development and dissemination of identification tools for identifying CITES-listed species traded as wild meat;

b) adapt the *CITES and Livelihood* handbook and carry out appropriate education campaigns directed at both urban and rural communities to raise awareness of and provide guidance on means to ensure that trade in wild meat is legal, sustainable and traceable under CITES;

c) increase collaboration and information sharing among Parties to better understand and monitor the international trade in wild meat;

d) increase scientific knowledge and understanding of the impacts of commercial and subsistence use of CITES-listed species as wild meat on the survival and regeneration of these species, in the context of growing human populations and pressures on wildlife resources and ecosystems; and

e) provide adequate financial, technical and capacity support to ensure that the harvest of and international trade in CITES-listed species for wild meat is legal and sustainable;

2. CALLS UPON all Parties and relevant international organizations to recognize the important role they can play in providing assistance, especially to range States, in regulating the trade in wild meat and tackling the associated issues of poverty, habitat degradation, human population growth and overexploitation of natural resources;

3. DIRECTS the Secretariat to regularly review the implementation of this Resolution and draw the attention of the Standing Committee and Animals Committee to any issues concerning international trade in wild meat; and

4. RECOMMENDS that the CITES Secretariat continue working with other partners in CPW and ICCWC to ensure that the harvest of and international trade in wild meat products derived from CITES-listed species is legal, sustainable and traceable.

Conf. 14.3*（Rev. CoP18）

CITES遵约程序

忆及 第12.84号决定，缔约方大会指示秘书处起草一套履行公约的遵约指南提交常委会考虑；

进一步**忆及** 常委会在第50次会议(2004年3月，日内瓦)上决定建立一个不限成员名额工作组起草这份指南；

公约缔约方大会

1. **注意到** 附在本决议后的CITES遵约程序指南；及
2. **建议** 在处理遵约事项时，参考此指南。

附件　CITES 遵约程序指南

目标和范围

1. 本指南的目标是通知各缔约方和其他有关方面关于促进、推动和实现遵守公约义务的CITES程序，尤其是帮助各缔约方就此类遵约尽其义务。

   特别地，考虑到相关决议和决定中的专门的和一般的遵约事项，本指南描述了现有的程序，以推动连续地和有效地处理有关公约义务的遵约事项。

   本指南不具法律约束力。

2. 本指南考虑到相关的决议和决定，指出有关公约义务的遵约事项。尤其应当注意以下义务：

   a) 指定管理机构和科学机构(第九条)；

   b) 仅在与公约规定的程序相一致的程度内许可CITES所列标本的贸易 (第三、四、五、六、七和十五条)；

   c) 采取适当的国内措施执行公约规定和禁止违反公约规定的贸易(第八条第1款)；

   d) 维护贸易记录并提交定期报告(第八条第7款和第8款)；及

   e) 尽快回复秘书处关于附录I或附录II物种受到了该物种标本贸易负面影响或者关于公约规定未得到有效执行的通信 (第十三条)。

3. 本指南所述的程序无损于公约下的任何权利、义务及任何争端解决程序。

基本原则

4. 以确保长期遵约为目标，以支持的、非对抗的方式处理遵约事项。
5. 尽快处理遵约事项。重视这些事项并确保以公平、一致和透明的方式应用遵约措施。
6. 一般地，有关遵约事项的结论、报告、通信不做保密处理。

   但是，秘书处与某一缔约方间就特定遵约事项的通信通常是保密的。

* 由秘书处在第十五、十六和十七次缔约方大会后进行更正，并在第十八次缔约方大会进行修改。

7. 关于是否终止或者保持公开辩论遵约事项的决定，依考虑该事项的实体的议事规则做出，并通常给出理由。

8. 秘书处将有关遵约的决定通报相关机构。

不同实体及其遵约相关职责

9. 遵约事项由以下相关CITES实体处理。其与遵约相关的主要任务如下。

10. 缔约方大会：

    a) 提供关于遵约问题的总体政策指导；

    b) 指导和监督遵约事项的处理，特别是通过识别关键义务和程序；

    c) 在需要的情况下审查常委会有关特定遵约事项所做的决定；及

    d) 可以根据公约的规定委托给常委会或其他CITES实体以一定的权限。

11. 当缔约方大会决定自己来承担委托给常委会的职责时，它按照下述为常委会规定的程序进行。

12. 常委会根据缔约方大会的指示和缔约方大会的委托权限处理一般的和特定的遵约事项，包括：

    a) 监测和评估对公约义务的总体遵约情况；

    b) 建议和协助各缔约方遵守公约义务；

    c) 核实信息；及

    d) 采取下述遵约措施。

13. 动物和植物委员会，根据缔约方大会的指示和缔约方大会的委托权限工作，建议和协助常委会和缔约方大会有关遵约事项的工作，除其他外，承担必要的回顾、咨询、评估和报告工作。这两个委员会受委托处理有关大宗贸易回顾事项的特定任务。

14. 秘书处。

    a) 协助和支持动物和植物委员会、常委会和缔约方大会承担其在本指南中有关遵约事项的职能，在适用的情况下，根据相关决议和决定中规定的程序进行；

    b) 接收、评估和向各缔约方通报遵约事项的信息；

    c) 建议和协助各缔约方遵守公约义务；

    d) 做出实现遵约的建议；及

    e) 监测遵约相关决定的执行。

处理特定遵约事项

A. 识别潜在的遵约事项

15. 年度和双年度报告、法律文本及其他专门报告和对信息征询的答复，例如在大宗贸易回顾或国家立法项目中，提供主要的但非排它的监测遵守公约义务的方式。

16. 秘书处向某一相关缔约方提供它所收到的有关该缔约方遵约的信息，并就此事项与该

缔约方通讯。

17. 作为回应，该缔约方尽快告知秘书处任何相关事实，只要是其法律允许的，并在适当的情况下提出补救方案。当该缔约方认为需要开展调查时，该调查可以由该缔约方明示授权的一人或多人进行。

18. 任何相关缔约方涉及另一缔约方提出的与CITES附录物种标本贸易相关事项时，可以直接与该缔约方协商该事项，和/或要求秘书处协助。

19. 鼓励各缔约方自己向秘书处提供任何遵约事项的早期预警，包括不能在某一截止日期前提交信息，并指明原因和是否需要任何协助。

20. 当遵约事项已经识别，给予该相关缔约方一切机会在合理的期限内进行纠正，如果必要秘书处提供协助。

B. 审议遵约事项

21. 如果该缔约方没能在合理的期限内采取足够的补救措施，秘书处与该相关缔约方直接联系，由秘书处将该遵约事项提交常委会。

22. 另外，如果某一遵约事项根据议事规则提交常委会，常委会：

a) 将该事项交秘书处根据前述第16-20条的程序采取行动；或者

b) 认为它不重要或者是恶意地而不接受；或者

c) 在特殊情形下，经与该相关缔约方协商，采取下述程序。

23. 当遵约事项提交常委会，通常以书面方式提交，并列明相关特定义务的细节和关于该相关缔约方可能未履行这些义务的原因评估。

24. 当某一遵约事项提交到常委会，秘书处立即通知相关的一个或多个缔约方。

25. 常委会否决其认为不重要的或恶意的遵约事项。

当常委会已判定该提请事项并非不重要的或恶意的，该相关缔约方会得到在合理的期限内提出评论的机会。

26. 常委会决定是否收集或者征询有关某一遵约事项的更多信息，只要这些信息能找到；决定是否寻求该相关缔约方发出邀请在该缔约方的领土内或是在任何可能找到这些信息的地方开展信息收集和信息核实。

27. 该相关缔约方有权按照相应实体的议事规则参加有关其自身遵约情况的讨论。

28. 如果某一缔约方不能获得所需的资金资源来参加关于其自身的遵约的CITES会议，它可要求秘书处或常委会协助寻求这些资源。

C. 实现遵约的措施

29. 如果某一遵约事项没有解决，常委会决定采取下述一项或多项措施：

a) 为该相关缔约方提供建议、信息和适当地促进援助，及其他能力建设支持；

b) 要求该相关缔约方提供专门报告；

c) 发布书面劝告，要求答复并提供帮助；

d) 建议由该相关缔约方采取特定的能力建设的行动；

e) 经该相关缔约方邀请，提供在该国内的援助、技术评估和派出核查团；

f) 通过秘书处向全体缔约方发出关于某一遵约事项的公告，建议该遵约事项已提请某一缔约方注意，但目前仍没有满意的答复或者行动；

g) 向该相关缔约方发布它正处于未遵约状态的警告，例如，有关国家报告和/或国家立法项目；及

h) 要求由该相关缔约方向常委会提供一份遵约行动计划，列出适当的步骤、何时应当完成这些步骤的时间表和评估圆满完成计划的方式。

30. 在一定情况下，常委会依公约规定决定建议暂停CITES附录的一个或多个物种标本的商业性贸易或全部贸易。这样的建议可以在某一缔约方遵约事项未解决并持续存在且该缔约方没有表现出实现遵约的意愿的情况下或者某一非缔约方不按照公约第十条规定签发文件的情况下做出。这样的建议总是特别地和明示地以公约和任何可适用的缔约方大会决议和决定†为基础。

31. 上述所列措施未必完备列举了目前应用的全部措施。

32. 当常委会决定上述一个或者多个措施时，它考虑以下因素：

a) 该相关缔约方的能力，尤其是发展中国家，特别是最不发达国家和小岛发展中国家，及经济转型国家；

b) 诸如遵约事项的原因、类型、程度和频率等因素；

c) 措施的适当性，与遵约事项的严重程度相称；及

d) 对保护和可持续利用的可能产生影响，以避免负面结果。

常委会的建议中明确陈述这些因素。

D. 监测和执行遵约措施以实现遵约

33. 常委会，在秘书处的协助下，监测该相关缔约方采取的执行遵约措施的行动。在这点上，除其他外，常委会可以：

a) 要求该相关缔约方根据进度计划提交进展报告；及

b) 经该相关缔约方的邀请，安排赴该国开展技术评估及安排核查团。

根据进展，常委会决定是否调整其已采取的遵约措施，或者采取其他措施。

34. 通常在每次常委会会议上进行回顾现有的关于暂停贸易的建议。秘书处也在闭会期间进行监测。一旦遵约事项已经解决或者已经有了充分的进展，暂停贸易的建议就被撤回。秘书处尽快将撤回的情况通知各缔约方。

35. 上述第33条和第34条的一般性指南在某些情况下由有关特定类型的遵约事项的更准确

† 这些目前包括
- Conf. 17.5(Rev. CoP18)号决议《国家报告》
- Conf. 8.4(Rev. CoP15)号决议《履行公约的国家法律》
- Conf. 12.8(Rev. CoP18)号决议《附录Ⅱ物种标本的大宗贸易回顾》
- 公约第十三条和Conf. 11.3 (Rev. CoP18)号决议《遵约和执法》；
- Conf. 18.2号决议《委员会的建立》
- Conf. 10.10(Rev. CoP18)号决议《象标本贸易》中关于《国家象牙行动计划程序》的内容
- Conf. 17.7(Rev. CoP18)《对被报告为人工繁育所得的动物标本的贸易回顾》

秘书处备注：这些引用在第十三、十四、十五、十六、十八次缔约方大会后修正。

的规定予以补充，例如：在附录II物种标本大宗贸易的情况下，相关的决议和决定做出了规定。

报告和回顾

36. 常委会向缔约方大会报告遵约事项。秘书处向常委会和缔约方大会报告遵约事项。

37. 缔约方大会可定期回顾本文件并在适当的情况下进行修改。

Conf. 14.3 (Rev. CoP18) CITES compliance procedures

RECALLING Decision 12.84, whereby the Conference of the Parties instructed the Secretariat to draft a set of guidelines on compliance with implementation of the Convention for consideration by the Standing Committee;

RECALLING FURTHER that the Standing Committee at its 50th meeting (Geneva, March 2004) decided to establish an open-ended working group to draft such guidelines;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. TAKES NOTE of the *Guide to CITES compliance procedures* annexed to this Resolution; and
2. RECOMMENDS that the Guide be referred to, when dealing with compliance matters.

Annex Guide to CITES compliance procedures

Objective and scope

1. The objective of this Guide is to inform Parties and others of CITES procedures concerning promoting, facilitating and achieving compliance with obligations under the Convention and, in particular, assisting Parties in meeting their obligations regarding such compliance.

Specifically, the Guide describes existing procedures in order to facilitate consistent and effective handling of compliance matters relating to obligations under the Convention, taking into account relevant Resolutions and Decisions, in both specific and general compliance matters.

This Guide is non-legally binding.

2. This Guide addresses compliance matters relating to the obligations under the Convention, taking into account relevant Resolutions and Decisions. Particular attention should be paid to the following:
   a) designating Management Authority(ies) and Scientific Authority(ies) (Article IX);
   b) permitting trade in CITES-listed specimens only to the extent consistent with the procedures laid down in the Convention (Articles III, IV, V, VI, VII and XV);
   c) taking appropriate domestic measures to enforce the provisions of the Convention and prohibit trade in violation thereof (Article VIII, paragraph 1);
   d) maintaining records of trade and submitting periodic reports (Article VIII, paragraphs 7 and 8); and
   e) responding as soon as possible to communications of the Secretariat related to information that a species included in Appendix I or II is being adversely affected by trade in specimens of that species or that the provisions of the Convention are not being effectively implemented (Article XIII).
3. The procedures described in this Guide are without prejudice to any rights and obligations and to any dispute settlement procedure under the Convention.

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* *Corrected by the Secretariat following the 15th, 16th and 17th meetings of the Conference of the Parties and amended at the 18th meeting of the Conference of the Parties.*

General principles

4. A supportive and non-adversarial approach is taken towards compliance matters, with the aim of ensuring long-term compliance.

5. Compliance matters are handled as quickly as possible. Such matters are considered and ensuing compliance measures are applied in a fair, consistent and transparent manner.

6. Generally, findings, reports and communications in compliance matters are not treated confidentially.

However, communications between the Secretariat and individual Parties on specific compliance matters are generally confidential.

7. Decisions on whether to close or keep open debates in compliance matters are taken according to the Rules of Procedure of the body considering the matter and generally reasons are given.

8. The Secretariat communicates compliance-related decisions to the relevant authorities.

The various bodies and their compliance-related tasks

9. Compliance matters are handled by the following CITES bodies. Their main compliance-related tasks are listed below.

10. The Conference of the Parties:

    a) provides general policy guidance on compliance issues;

    b) directs and oversees the handling of compliance matters particularly through the identification of key obligations and procedures;

    c) reviews as needed decisions of the Standing Committee related to specific compliance matters; and

    d) may delegate certain authority to the Standing Committee or other CITES bodies in accordance with the Convention.

11. When the Conference of the Parties decides to carry out itself the tasks delegated to the Standing Committee, it follows the same procedures as those described below for the Standing Committee.

12. The Standing Committee, acting in accordance with instructions from and authority delegated by the Conference of the Parties, handles general and specific compliance matters, including:

    a) monitoring and assessing overall compliance with obligations under the Convention;

    b) advising and assisting Parties in complying with obligations under the Convention;

    c) verifying information; and

    d) taking compliance measures as described below.

13. The Animals and Plants Committees, acting in accordance with instructions from and authority delegated by the Conference of the Parties, advise and assist the Standing Committee and the Conference of the Parties with regard to compliance matters, *inter alia*, by undertaking necessary reviews, consultations, assessments and reporting. These Committees are entrusted with specific tasks in the handling of matters related to the Review of Significant Trade.

14. The Secretariat:

    a) assists and supports the Animals and Plants Committees, the Standing Committee and the Conference of the Parties in carrying out their functions concerning compliance matters as described in this Guide and, where applicable, according to the procedures set out in relevant Resolutions and Decisions;
    b) receives, assesses and communicates to the Parties information on compliance matters;
    c) advises and assists Parties in complying with obligations under the Convention;
    d) makes recommendations for achieving compliance; and
    e) monitors the implementation of compliance-related decisions.

Handling of specific compliance matters

A. Identification of potential compliance matters

15. Annual and biennial reports, legislative texts as well as other special reports and responses to information requests, for example within the Review of Significant Trade or the National Legislation Project, provide the primary, but not exclusive, means of monitoring compliance with obligations under the Convention.

16. The Secretariat provides a Party concerned with information it receives about that Party's compliance, and communicates with the Party regarding this matter.

17. In response, the Party informs the Secretariat as soon as possible of any relevant facts in so far as its laws permit and, where appropriate, proposes remedial action. Where the Party considers that an inquiry is desirable, such inquiry may be carried out by one or more persons expressly authorized by the Party.

18. Any Party concerned over matters related to trade in specimens of CITES-listed species by another Party may bring the matter up directly with that Party and/or call upon the Secretariat for assistance.

19. Parties themselves are encouraged to give the Secretariat early warning of any compliance matter, including the inability to provide information by a certain deadline, and indicate the reasons and any need for assistance.

20. Where compliance matters are identified, the Parties concerned are given every opportunity to correct them within reasonable time limits, if necessary with the assistance of the Secretariat.

B. Consideration of compliance matters

21. If the Party fails to take sufficient remedial action within a reasonable time limit, the compliance matter is brought to the attention of the Standing Committee by the Secretariat, in direct contact with the Party concerned.

22. If a compliance matter is otherwise brought to the attention of the Standing Committee in accordance with the Rules of Procedure, the Standing Committee:

    a) refers the matter to the Secretariat for action according to the procedure in paragraphs 16-20 above; or

    b) rejects it as trivial or ill-founded; or

    c) in exceptional circumstances, after consultation with the Party concerned, follows the procedures as described below.

23. When compliance matters are brought to the attention of the Standing Committee, it is generally done in writing and includes details as to which specific obligations are concerned and an assessment of the reasons why the Party concerned may be unable to meet those obligations.

24. When a compliance matter is brought to the attention of the Standing Committee, the Secretariat immediately informs the Party or Parties concerned.

25. The Standing Committee rejects compliance matters which it considers are trivial or ill-founded.

Where the Standing Committee has decided that the submission is not trivial or ill-founded, the Party concerned is given the opportunity to provide comments within a reasonable time limit.

26. The Standing Committee decides whether to gather or request further information on a compliance matter whenever such information may be found and whether to seek an invitation from the Party concerned to undertake the gathering and verification of information in the territory of that Party or wherever such information may be found.

27. The Party concerned has the right to participate in discussions with respect to its own compliance, in accordance with the Rules of Procedure of the relevant body.

28. If a Party cannot access the financial resources needed to participate in CITES meetings where its own compliance is being considered, it is able to request assistance from the Secretariat or the Standing Committee in identifying such resources.

C. Measures to achieve compliance

29. If a compliance matter has not been resolved, the Standing Committee decides to take one or more of the following measures:

    a) provide advice, information and appropriate facilitation of assistance and other capacity-building support to the Party concerned;

    b) request special reporting from the Party concerned;

    c) issue a written caution, requesting a response and offering assistance;

    d) recommend specific capacity-building actions to be undertaken by the Party concerned;

    e) provide in-country assistance, technical assessment and a verification mission, upon the invitation of the Party concerned;

    f) send a public notification of a compliance matter through the Secretariat to all Parties advising that compliance matters have been brought to the attention of a Party and that, up to that time, there has been no satisfactory response or action;

    g) issue a warning to the Party concerned that it is in non-compliance, e.g. in relation to national reporting and/or the National Legislation Project; and

    h) request a compliance action plan to be submitted to the Standing Committee by the Party concerned identifying appropriate steps, a timetable for when those steps should be completed and means to assess satisfactory completion.

30. In certain cases, the Standing Committee decides to recommend the suspension of commercial or all trade in specimens of one or more CITES-listed species, consistent with the Convention. Such a recommendation may be made in cases where a Party's compliance matter is unresolved and persistent and the Party is showing no intention to achieve compliance or a State not a Party is not issuing the documentation referred to in Article X of the Convention. Such a recommendation is always specifically and explicitly based on the Convention and on any applicable Resolutions and Decisions of the Conference of the Parties[1].

31. The list of measures above is not necessarily an exhaustive list of measures applied to date.

32. When the Standing Committee decides upon one or more of the measures mentioned above, it takes into account:

    a) the capacity of the Party concerned, especially developing countries, and in particular the least developed and small island developing States and Parties with economies in transition;

    b) such factors as the cause, type, degree and frequency of the compliance matters;

    c) the appropriateness of the measures so that they are commensurate with the gravity of the compliance matter; and

    d) the possible impact on conservation and sustainable use with a view to avoiding negative results.

These considerations are clearly set out in the Standing Committee's recommendations.

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[1] *These currently include:*
- *Resolution Conf. 11.17 (Rev. CoP18) (*National reports*);*
- *Resolution Conf. 8.4 (Rev. CoP15) (*National laws for implementation of the Convention*);*
- *Resolution Conf. 12.8 (Rev. CoP18) (*Review of Significant trade in specimens of Appendix-II species*);*
- *Convention Article XIII and Resolution Conf. 11.3 (Rev. CoP18) (*Compliance and enforcement*);*
- *Resolution Conf. 18.2 (*Establishment of committees*);*
- *Resolution Conf. 10.10 (Rev. CoP18) (*Trade in elephant specimens*) with respect to the provisions on the National Ivory Action Plans process; and*
- *Resolution Conf. 17.7 (Rev. CoP18) (*Review of trade in animal specimens reported as produced in captivity*).*

Note from the Secretariat: these references were corrected following the 15th,16th and 18th meetings of the Conference of the Parties.

D. Monitoring and implementation of measures to achieve compliance

33. The Standing Committee, with the assistance of the Secretariat, monitors the actions taken by the Party concerned to implement measures taken. In this regard, the Standing Committee may, *inter alia*:

    a) request the Party concerned to submit progress reports in accordance with a schedule; and

    b) arrange, upon the invitation of the Party concerned, for an in-country technical assessment and for a verification mission.

In the light of progress, the Standing Committee decides whether to adjust the measures it has taken, or to take other measures.

34. Existing recommendations to suspend trade are generally reviewed at each Standing Committee meeting. They are also monitored intersessionally by the Secretariat. A recommendation to suspend trade is withdrawn as soon as the compliance matter has been resolved or sufficient progress has been made. The Secretariat notifies Parties of any such withdrawal as soon as possible.

35. The general guidelines in paragraphs 33 and 34 above are in some cases supplemented by more precise provisions regarding specific categories of compliance matters, e.g. in the case of significant trade in specimens of Appendix-II species, as laid out in the Resolutions and Decisions related thereto.

Reporting and reviews

36. The Standing Committee reports to the Conference of the Parties on compliance matters. The Secretariat reports to the Standing Committee and the Conference of the Parties on compliance matters.

37. The Conference of the Parties may review this document periodically and revise it where appropriate.

Conf. 14.4*

CITES与ITTO关于热带木材贸易的合作

认识到 CITES的目的是保护某些野生动植物种不至于因国际贸易而受到过度开发；

还认识到 依照公约第三条、第四条和第五条的要求开展贸易，CITES可以在木材物种的保护方面起积极的促进作用；

进一步**认识到** 1994年国际热带木材协定(ITTA)的目标是为各成员国就世界木材经济的所有有关方面开展磋商、国际合作和政策制定工作提供一个有效的论坛，并且促进可持续来源的热带木材的国际贸易；

注意到 国际热带木材组织(ITTO)在热带木材物种国际贸易上已经起到和即将起到的重要作用；

欢迎 CITES与ITTO之间的不断增强的合作，特别是ITTO为大叶桃花心木(*Swietenia macrophylla*)工作组会议、大叶桃花心木非致危性判定国际专家研讨会、有效执行拉敏木(*Gonystylus* spp.) 升列入CITES附录Ⅱ的专家会议等提供的支持，及为其成员国在CITES列入热带木材物种方面增强履约能力所提供的帮助；

欢迎 ITTO用于支持分布国能力建设以执行拉敏木、高大花檀（*Pericopsis elata*）、大叶桃花心木列入CITES附录的项目，它可作为增强CITES和 ITTO之间合作的一种重要工具；

也欢迎 1994年国际热带木材协定(ITTA)的后续协定磋商会的成功结论；

公约缔约方大会

1. **敦促** 那些同时也是1994年国际热带木材协定或者其后续协定成员的、和准备提出将热带木材物种列入附录提案的缔约方，根据关于木材物种执行公约问题的Conf. 10.13 (Rev. CoP18)号决议[1]，应该把向ITTO咨询作为磋商过程的一部分；
2. **建议** 那些同时也是1994年国际热带木材协定或者其后续协定成员的缔约方，应留意国际热带木材理事会对热带木材物种国际贸易的任何关注；
3. **欢迎** ITTO推进透明市场，促进来自可持续经营的热带森林的木材贸易，并由此促进森林法执行；
4. **鼓励** 缔约方支持和推动ITTO和CITES的工作，来增强其能力建设，并改进附录所列木材物种方面的履约能力；
5. **敦促** 各缔约方在公约植物委员会的指导下，以可获得的最佳科学知识为基础，提出适当的附录提案，保护木材物种，确保不会因为贸易而威胁其生存；
6. **指示** 公约秘书处在受到国际贸易威胁的热带木材物种和热带木材森林的可持续经营等事务上与ITTO 秘书处要密切合作；
7. **鼓励** 各缔约方、CITES、ITTO 和其他相关的政府间组织共同促进森林法执行能力的提高。

*由秘书处在第十五、十七和十八次缔约方大会后修正。
[1]由秘书处在第十五和十八次缔约方大会后修正，原指Conf. 10.13 (Rev. CoP14)号决议。

Conf. 14.4 Cooperation between CITES and ITTO regarding trade in tropical timber

RECOGNIZING that CITES aims to ensure the protection of certain species of wild fauna and flora against over-exploitation through international trade;

ALSO RECOGNIZING that CITES can play a positive role in promoting the conservation of timber species through trade in accordance with the requirements of Articles III, IV and V of the Convention;

FURTHER RECOGNIZING that the objectives of the International Tropical Timber Agreement (ITTA), 1994, include providing an effective forum for consultation, international cooperation and policy development with regard to all relevant aspects of the world timber economy and promoting trade in tropical timber from sustainable sources;

NOTING the important role that the International Tropical Timber Organization (ITTO) has played and continues to play with respect to international trade in tropical timber species;

WELCOMING the increase in cooperation between CITES and ITTO and especially the support provided by ITTO for meetings of the Bigleaf Mahogany (*Swietenia macrophylla*) Working Group, the International Experts Workshop on Non-detriment Findings for Bigleaf Mahogany, the Expert Meeting on the Effective Implementation of the Uplisting of Ramin (*Gonystylus* spp.) to Appendix II of CITES, as well as the assistance provided by ITTO to its members to enhance their capacity to implement CITES listings of tropical timber species;

WELCOMING the ITTO project to support capacity building in range States for the implementation of CITES timber listings for *Gonystylus* spp., *Pericopsis elata* and *Swietenia macrophylla* as an important tool for increased cooperation between CITES and ITTO;

ALSO WELCOMING the successful conclusion to the negotiation of a successor agreement to the International Tropical Timber Agreement, 1994;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. URGES Parties that are also party to ITTA, 1994, or its successor agreement, and that intend to submit proposals for listing of tropical timber species, to consult ITTO as part of the consultation process recommended in Resolution Conf. 10.13 (Rev. CoP18)[1] on *Implementation of the Convention for tree species*;
2. RECOMMENDS that CITES Parties that are also party to ITTA, 1994, or its successor agreement, bring to the attention of the International Tropical Timber Council any concerns regarding the effects of international trade on tropical timber species;
3. WELCOMES the work of ITTO in promoting transparent markets, trade in tropical timber from sustainably managed tropical forests and, in that context, promoting forest law enforcement;
4. ENCOURAGES Parties to support and facilitate the work of ITTO and CITES to build increased capacity and improve implementation of CITES timber listings;
5. URGES Parties to support and contribute to work, guided by the CITES Plants Committee, to develop appropriate listing proposals based on the best available science to ensure the conservation of timber species and help ensure that trade does not threaten their survival**;**
6. DIRECTS the CITES Secretariat to cooperate closely with the Secretariat of ITTO on matters related to tropical timber species threatened by international trade and sustainable management of tropical timber producing forests; and

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* *Corrected by the Secretariat following the 15th, 17th and 18th meetings of the Conference of the Parties.*

[1] *Corrected by the Secretariat following the 15th and 18th meeting of the Conference of the Parties: originally referred to Resolution Conf. 10.13 (Rev. CoP14).*

7. ENCOURAGES all Parties, CITES, ITTO and other relevant intergovernmental organizations to promote improved forest law enforcement.

Conf. 14.5

对话会议

忆及 1996年和2001年以来，已分别召开多次对话会，审议与非洲象和玳瑁相关的CITES附录修正案；

本着感激的心情，**认识到** IUCN-世界保护联盟在组织第一次对话会及参与随后的历次对话会上所发挥的作用；

注意到 对话会为缔约方代表提供了表达关注、分享信息、坦率自由交流看法及寻求解决之道的机会，代表们不会承受其代表团在缔约方大会期间所受诸多压力；

考虑到 在对话会的诸多结果中，也许包含对提交缔约方大会的某一修正案达成一致立场；

认识到 职责范围和议事规则是规范组织和举办上述对话会的基本要求；

公约缔约方大会

1. **决定** 设立对话会，将其列入CITES会议的正式序列；

2. **同意** 对话会是由原产国参加的研究某一特定物种或某类物种的协商会议，其目标是寻求各原产国对提交缔约方大会讨论的相互间存在很大争议的附录修正案 达成一致意见；

3. **同意**：

a) 对话会由缔约方大会或者常委会发起；

b) 在讨论了包括附录修正案在内的各项议题后，如果缔约方大会认为有必要在原产国间交流观点，可指示秘书处在以后收到与同一物种有关的附录修正案的情况下组织召开原产国对话会。这种情况下，缔约方大会可为这样的会议安排资金。否则，举行这类会议取决于可获得的外部资金；

c) 某一缔约方打算提交包括附录修正案在内的相关文件时，作为征求其他原产国意见的一种途径，认为有必要聚在一起交流各自的观点，可要求常委会指示秘书处在筹集到外部资金的情况下组织召开一次对话会；及

d) 缔约方大会或者常委会在发起召开某一物种的 CITES 对话会时，应考虑是否有必要邀请相关物种原产国作为观察员出席会议；及

4. **通过** 本决议附件所列CITES对话会程序规则。

附件 CITES 对话会议事规则

代表

1. 拥有所讨论的某一(类)物种现存种群的缔约原产国，可派正式代表和候补代表各一名出席对话会，与会代表应该是由本国管理机构指定的代表本国出席会议的政府官员。
2. 只有在原产国代表一致批准的情况下，其他缔约方和组织(包括资助方)方可作为观察员出席会议。
3. 作为缔约方咨询方、会议秘书处和会议组织者，CITES 秘书处应参加对话会。

4. 秘书处负责邀请原产国派员出席对话会。
5. 依照原产国建议，秘书处可邀请政府间组织和其他技术专家作为顾问人员出席会议。

会议

6. 由秘书处代表缔约方来组织和召开 CITES 对话会。至少得有三分之二原产国代表出席以形成法定人数。
7. 缔约方大会或者常委会指示秘书处组织对话会后，秘书处应寻求原产国承办会议。如果有多个原产国申办时，要商常委会主席选定。如有必要，还应与常委会相关地区代表协商。通常情况下，承办国除负责支付会议室租金和代表茶歇等费用外，还会同秘书处负责会议的组织工作。
8. 如果公约信托基金中没有为对话会做出预算时，秘书处应寻求足够资金来资助来自发展中国家或者经济转型国家的每一个相关物种缔约原产国的至少一名代表。
9. 为便于各缔约方采用对话会结果来考虑本国在缔约方大会上所持立场，对话会应尽可能安排在缔约方大会之前。不过，有时候出于财政方面的制约，很有必要在缔约方大会召开前几天举办对话会。在这种情况下，不应指望缔约方大会承办国来提供对话会承办国的义务。
10. 对话会日程草案，应由常委会主席在秘书处的帮助下，经商有关物种原产国后，在会议举办前的至少 60 天提出。秘书处负责在会前至少 45 天将日程草案分发所有原产国。

主席

11. 常委会主席应该担任 CITES 对话会主席。如果常委会主席不能担任，他（她）应任命常委会副主席或者候补副主席行使他(她)的职责，或者确定一名可被原产国接受的人担任主席。

副主席

12. 两名对话会副主席应从会议代表中选出。

决定

13. 对话会的所有决定均由原产国代表做出。在代表缺席的情况下，候补代表应行使代表的一切职权。
14. 会议各项决定应设法一致通过。如无可能，应在会议最终公报中指出多数代表和少数代表对某一决定的观点。

交流

15. 对话会上的讨论细节视为机密不得记录。相应地，与会者不得将对话会上其他与会人员的声明等透露给媒体及缺席或没有出席会议的各类组织。
16. 经商会议主席和副主席，秘书处应草拟对话会公告提交原产国代表讨论通过。该公告如获通过，应视为会议成果的官方记录，并被翻译成公约三种工作语言。公告应正式提交随后召开的缔约方大会。

最后规定

17. 本程序规则未尽事宜，则尽可能适用常委会程序规则。

Conf. 14.5 Dialogue meetings

RECALLING that dialogue meetings have been held to examine proposals to amend the CITES Appendices in relation to the African elephant and the hawksbill turtle since 1996 and 2001 respectively;

RECOGNIZING, with thanks, the role of IUCN – The World Conservation Union in the organization of the first meetings and its participation in subsequent meetings;

NOTING that dialogue meetings provide the opportunity for the representatives of States to express their concerns, to share information, to exchange views frankly and freely, without the pressures that exist on delegations during meetings of the Conference of the Parties, and to seek ways forward;

CONSIDERING that the results of a dialogue meeting may include, amongst other things, agreement on a position regarding a proposal for amendment of the CITES Appendices submitted to the Conference of the Parties;

RECOGNIZING that terms of reference and rules of procedure are an essential requirement to standardize the organization and conduct of such meetings;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. DECIDES to establish dialogue meetings as a formal series of CITES meetings;
2. AGREES that dialogue meetings are consultative meetings between range States of a certain species or group of species, with the aim of seeking consensus in relation to a proposal submitted for amendment of the CITES Appendices when there are strong divisions between those States;
3. AGREES that:
   a) a dialogue meeting may be called for either by the Conference of the Parties or by the Standing Committee;
   b) if, following the discussion of, amongst other things, a proposal to amend the Appendices, the Conference of the Parties believes that there is a need for an exchange of views between range States of the species, it may instruct the Secretariat that, if it receives a further amendment proposal relating to the same species, it should organize a dialogue meeting of the range States. In this case, the Conference of the Parties should preferably allocate funds for such a meeting. Otherwise, the holding of such a meeting will be subject to the availability of external funding;
   c) if a Party intends to submit, amongst other things, a proposal to amend the Appendices and, as a result of seeking the comments of the other range States, becomes aware that there is a need for an exchange of views between them, it may ask the Standing Committee to instruct the Secretariat to organize a dialogue meeting, subject to the availability of external funding; and
   d) when the Conference of the Parties or the Standing Committee calls a CITES dialogue meeting for a species, they should consider whether it is necessary for the range States of related species to be invited as observers; and
4. ADOPTS the rules of procedure for CITES dialogue meetings in the Annex to the present Resolution.

Annex Rules of procedure of CITES dialogue meetings

Representation

1. Each Party that is a range State of an extant population of the species (or group of species) to be discussed shall be entitled to be represented at a dialogue meeting by a representative and an

alternate representative, who shall be government officials designated to attend by the Management Authority of the Party that they represent.

2. Other Parties and organizations (including donors) may be represented by observers only if their attendance is approved by a consensus of the representatives of the range States.
3. The CITES Secretariat shall participate in dialogue meetings in order to advise the Parties and to serve as Secretary and organizer of the meeting.
4. The Secretariat shall be responsible for inviting the range States to send representatives to a dialogue meeting.
5. Following the recommendations of the range States, the Secretariat may invite intergovernmental organizations and other technical experts to attend a meeting as resource persons.

Meetings

6. CITES dialogue meetings are convened and organized by the CITES Secretariat on behalf of the Parties. At least two-thirds of the representatives of the range States of the species shall constitute a quorum.
7. When the Conference of the Parties or the Standing Committee has instructed the Secretariat to organize a dialogue meeting, it shall seek a host country for the meeting from among the range States and, if there is more than one offer, select a host country in consultation with the Chairman of the Standing Committee and, where applicable, the relevant regional representatives in the Committee. The host country is usually expected to cover the cost of rental of the meeting rooms and refreshments for the participants and to work with the Secretariat in the organization of the meeting.
8. If funds have not been allocated in the Trust Fund budget, the Secretariat shall seek sufficient funds to cover the attendance of at least one representative of each Party range State of the species concerned coming from developing countries or countries with economies in transition.
9. Dialogue meetings should, as far as possible, take place well in advance of meetings of the Conference of the Parties so that the outcomes may be used by the Parties when considering their positions in preparation for such meetings. However, sometimes, for reasons of financial constraints, it is necessary to hold a dialogue meeting immediately before a meeting of the Conference of the Parties. In such cases, the Host Country of the meeting of the Conference is not expected to serve as the host for the dialogue meeting.
10. The provisional agenda for each dialogue meeting should be prepared at least 60 days in advance by the Chairman of the Standing Committee with the assistance of the Secretariat, following consultation with the range States of the species concerned. The Secretariat is responsible for distributing the provisional agenda to all range States at least 45 days before the meeting.

Chairman

11. The Chairman of the Standing Committee shall serve as the Chairman of each CITES dialogue meeting. If he/she is unable to serve, he/she should appoint the Vice-Chairman or Alternate Vice-Chairman of the Standing Committee to serve in his/her place or identify a Chairman who is acceptable to the range States.

Vice-Chairmen

12. Two Vice-Chairmen for each meeting shall be elected from among the participants.

Decisions

13. All decisions of dialogue meetings shall be made by the representatives of the range States. In the absence of a representative, the alternate representative shall for all purposes serve in his/her place.
14. Decisions shall as far as possible be made by consensus. Where this is not possible, this should be indicated in the final communiqué of the meeting, which may indicate majority and minority views.

Communications

15. No record shall be kept of the discussions that take place at dialogue meetings and they shall be considered as confidential. Consequently, participants shall not communicate with the media or with organizations that are not participating, or have not participated, in a dialogue meeting concerning the statements made by other participants.

16. A communiqué from each meeting shall be drafted by the Secretary in consultation with the Chairman and Vice-Chairmen, and shall be presented to the representatives of the range States for agreement. Such communiqué, if agreed, shall serve as the official record of the outcome of the meeting, and shall be made available in the three working languages of the Convention. Communiqués shall be formally presented at the following meeting of the Conference of the Parties.

Final provisions

17. In matters not covered by the present Rules, the Rules of Procedure of the Standing Committee that are currently in effect shall apply as far as practicable.

Conf. 14.6 (Rev. CoP16)*

从海上引进

考虑到 根据缔约方大会第 13.18 号决定召开的 CITES 海上引进问题研讨会(日内瓦，2005 年 11 月 30 日—12 月 2 日)和根据缔约方大会第 14.48 号决定召开的常委会海上引进工作组会议(日内瓦，2009 年 9 月 14—16 日)；和根据第 14.48 号决定(Rev. CoP15)召开的常委会海上引进工作组会议(卑尔根，2011 年 5 月 24—26 日，谢泼兹敦，2012 年 4 月 24—26 日)；

忆及 公约第一条 e)段将“海上引进”定义为“将从不属任何国家管辖的海域中取得的任何物种标本输入某个国家”；

还**忆及** 公约第三条第 5 款和第四条第 6、7 款，分别为规范从海上引进列入附录 I 和附录 II 的物种提供了框架；

注意到 公约没有定义“引进国”，且公约第三条第 5 款和第四条第 6 款，第十四条第 5 款赋予引进国一些职责；

期望 各国加强合作，支持和遵守公约关于从不属任何国家管辖的海域中取得标本的条款；

认识到 各国加强合作，在签发海上引进证明书和从不属任何国家管辖的海域中取得标本的出口和进口许可证时，需要向相关区域性渔业管理组织(RFMO/A)咨询并合作；

注意到 联合国粮农组织(FAO)在促进负责任的渔业的措施方面所取得的进展，包括，2001 年联合国粮农组织《预防、制止和消除非法、不报告和不管制捕鱼行为的国际行动计划》，及《关于预防、制止和消除非法、不报告、不管制捕鱼港口国措施协议》；

认识到 为促进更标准地执行对从不属任何国家管辖的海域中取得标本的贸易控制，提高公约贸易数据的精确性，需要对公约对与此类物种有关的条款有共同理解；

进一步**认识到** “海上引进”是公约所独有的，并确定现有决议仅适用于就从不属任何国家管辖的海域中取得的标本的履约，缔约方在本文本以外的权利和义务不受影响；

公约缔约方大会

1. 同意 “不属任何国家管辖的海域”是指“与国际法相一致，如《联合国海洋法公约》所反映的，属任何国家主权或管辖权之外的海洋区域”；

2. 进一步**同意，**

a) 无论何时，当在一国注册的船只从不属任何国家管辖的海域中取得列入附录 I 或 II物种标本，并运往同一国家时，该国为引进国，公约第三条第5款，或第四条第6、7款的规定分别适用；

b) 无论何时，当在一国注册的船只从不属任何国家管辖的海域中取得列入附录 I 或 II物种标本，并运往另一国家时，运送标本的船只的注册国为出口国，标本转运的目的国为进口国，公约第三条第2、3款，第四条第2、3、4款规定分别适用；及

c) 对满足以下情况的租船业务：

*经第十五和十六次缔约方大会修订。

i) 该业务建立在注册国和租赁国的书面协议下，并与相关RFMO/A的租赁业务框架一致；及

ii) 该项协议生效前已告知CITES秘书处，且CITES秘书处已向所有缔约方和任何相关RFMO/A公开该协议；

无论何时，当在一国注册又被另一国租赁的船只，从不属任何国家管辖的海域中取得列入附录Ⅰ或 II 物种标本，并运往租赁国时，公约第三条第 5 款或第四条第 6、7 款的规定，或第三条的第 2、3 款或第四条，第 2、3、4 款的规定分别适用。此情况下，经书面协议中双方同意，船只的注册国为出口国，租赁国为引进国；

无论何时，当在一国注册又被另一国租赁的船只，从不属任何国家管辖的海域中取得列入附录Ⅰ或 II 物种标本，并运往第三国时，公约第四条第 2、3、4 款的规定适用。此情况下，船只的注册国被视为出口国，同时该国应先与租赁国协商并取得租赁国同意后，方可签发出口许可证。当船只注册国授权且其提供的授权在上述 i)段所提书面协议明确列出时，租赁国可为出口国；

3. 建议 在从不属任何国家管辖的海域中取得列入附录Ⅰ或附录Ⅱ物种标本时，为遵守公约规定：

a) 引进国，在签发一份海上引进许可证前；

b) 出口国，在签发一份出口许可证前；及

c) 进口国，在签发一份进口许可证前，或见到一份出口许可证时：

考虑标本是否通过下列方式已被或即将被捕获并到岸：

i) 与保护和管理海洋生物资源的国际法，包括保护和管理相关海洋物种的任何其他条约、公约或协议所要求的合适措施一致；及

ii) 通过任何非法、不报告、不管制的(IUU)渔业活动；

4. 进一步**建议** 对附录Ⅱ标本的出口，出口国的科学机构在作出非致危性判定时应咨询其他国家的科学机构，或在适当的时候咨询国际科学机构；

5. 建议 对签发海上引进证明书或从不属任何国家管辖的海域中取得标本的出口许可证，或确认这类证明书或许可证真实性和有效性所需信息的咨询，缔约方应及时回复。

附件 解释性说明

关于对海上引进和从不属任何国家管辖的海域取得物种的出口/进口/再出口的执行问题

I. 海上引进(“关于进一步同意”项下a段)

1. 海上引进(IFS)证明书的发放条件：

1.1. 引进国的科学机构作出非致危性判定(NDF)[公约第三条第5款(a)，第四条，第6款(a)(就附录II物种第四条第7款也有规定)]。

1.2. 活体标本情况下：

a) 附录Ⅰ：活体标本的接受方在笼舍安置和照顾方面是得当的。[第三条第5款(b)]。

b) 附录Ⅱ：活体标本会得到妥善安置，尽量减少伤亡，损害健康，或少受虐待[第四条，第6款(b)]。

1.3. 在附录Ⅰ情况下，该标本的引进并非以商业目的为主要目的[第三条第5(c)]。

2. 引进国的管理机构签发海上引进(IFS)证明书。

3. IFS证明书签发后，方可运往引进国。(第三条第5款，和第四条第6款，须事先由引进国的管理机构签发证明书)。

注：海上引进不适用于附录Ⅲ标本。

II. 海上引进(IFS)后发生的出口/进口/再出口

本节适用于标本从出口国境内的出口和海上引进(IFS)后发生的出口。这类出口应遵循与任何出口相同的规则和程序，但公约第十四条第4、5款已预见的有关附录Ⅱ标本的出口和进口除外，此时仅需相应证明书的签发。

1. 出口

1.1. 签发出口许可证条件：

1.1.1. 需要非致危性判定。由于在这种情况下，海上引进(IFS)证书签发后，出口才发生，出口国的科学机构在对出口作出非致危性判定(NDF)时，亦应考虑到海上引进(IFS)时的非致危性判定(NDF)。

1.1.2 出口原从海上引进的标本时，合法来源判定(例如：判定该标本是在不违反该国动植物保护法律下获得的)应为签发出口许可证必须的条件[第三条第2款(b)和第四条第2款(b)]。

1.1.3. 任何附录Ⅰ或II物种的活体标本会得到妥善安置和装运，尽量减少伤亡健康损害或少受虐待 [第三条，第2款(c)，第四条，第2款(c)]。

1.1.4. 就附录Ⅰ物种的情况，出口国的管理机构确信标本的进口许可证已经签发[第三条第2款(d)]。

1.2. 出口国的管理机构签发出口许可证。

1.3. 出口许可证应于出口发生前签发(第三条第2款，第四条第2款，须事先授予并出示出口许可证)。

1.4. 每批货物均需签发出口许可证，出口许可证有效期可为6个月(第六条第2款)。

2. 进口

2.1. 仅就附录Ⅰ物种情况，签发进口许可证的条件：

a) 进口国的科学机构作出非致危性判定[第三条第3款(a)]；

b) 活体标本的接受者，在笼舍安置和照顾方面是得当的。[第三条第3款(b)]；及

c) 标本并非以商业目的为主要目的[第三条第3款(c)]。

2.2. 进口许可证于进口发生前签发[(第三条第3款要求事先授予并出示一份进口许可证和一份出口许可证或再出口证明书)。

2.3. 就附录Ⅱ物种标本的情况，进口前需事先出示一份出口许可证和一份再出口证明书(第四条第4款)。

3. 再出口。

3.1. 就附录Ⅰ和附录Ⅱ物种的情况，签发一份再出口证明书的条件：

a) 标本按照公约要求进口[第三条第4款(a)和第四条第5款(a)]；

b) 活体标本会得到妥善安置和装运，尽量减少伤亡，损害健康，或少受虐待[第三条第4款(b)和第四条第5款(b)]；及

c) 仅就附录Ⅰ的活体标本，已授予一份进口许可证[第三条第4款(c)]。

3.2 再出口证明书于再出口发生前签署(第三条第4款，及第四条第5款，需要事先授予并出示一份再出口证明书)。

III. 并非在海上引进(IFS)后发生的出口/进口/再出口，[“关于进一步同意”项下b)段]

1. 出口

1.1. 签发一份进口许可证的条件：

1.1.1. 出口国的科学机构作出非致危性判定(NDF)[第三条第2款(a)和第四条第2款(a)]。建议，对附录Ⅱ标本，出口国的科学机构，在作出非致危性判定时，咨询其他国家的科学机构，或在适当的时候，咨询国际科学机构。

1.1.2. 管理机构于签发一份进口许可证前作出合法获取判定(例如：判定该标本是在不违反该国动植物保护法律情况下获得的) [第三条第2款(b)和第四条第2款(b)]。

1.1.3. 就附录Ⅰ和II物种，活体标本会得到妥善安置和装运，尽量减少伤亡，损害健康，或少受虐待 [第三条第2款(c)和第四条第2款(c)]。

1.1.4. 就附录Ⅰ物种，出口国管理机构应确信该标本的进口许可证已被授予 [第三条第2款(d)]。

1.2. 出口国管理机构签发出口许可证。

1.3. 出口许可证于出口发生前签署(第二条第3款和第四条第2款，需事前授予和出示一份出口许可证)。

1.4. 每批货物均需签发出口许可证，出口许可证有效期可为6个月(第四条第2款)。

2. 进口

2.1. 仅就附录Ⅰ物种，签发进口许可证的条件：

a) 进口国科学机构(对进口的目的)作出非致危性判定(NDF)[第三条第3款(a)]；

b) 活体标本的接受者，在笼舍安置和照顾方面是得当的 [第三条第3款(b)]；及

c) 标本并非以商业目的为主要目的[第三条第3款(c)]。

2.2. 进口许可证于进口发生前签发(第三条第3款，须事先授予并出示进口许可证和出口许可证或再出口证明书)。

2.3. 就附录Ⅱ物种，只有在出示了出口许可证或再出口证明书之后方可进口(第四条第4款)，但公约第十四条，第4、5款已预见的有关附录Ⅱ标本的出口和进口除外，此时仅需相应证明书的签发。

3. 再出口

3.1. 就附录Ⅰ和II物种，签发一份再出口证明书的条件：

a) 标本此前按照公约要求进口[第三条第4款(a)及第四条第5款(a)]；

b) 任何活体标本会得到妥善安置和装运，尽量减少伤亡，损害健康，或少受虐待 [第三条第4款(b)和第四条第5款(b)]；及

c) 仅就附录Ⅰ的活体标本，已授予一份进口许可证[第三条第4款(c)]。

3.2. 再出口证书于再出口发生前签署(第三条第4款，及第四条第5款，需要事先授予并出示一份再出口许可证)。

IV. 转运

1. 就海上引进(IFS)而言，转运只应被作为一种运输方式，并与海上引进(IFS)等同考虑。在这种情况下，海上引进(IFS)证明书应于转运发生前签发，或船只的主人在接受转运的标本时，应取得符合要求的证明，表明海上引进(IFS)证明书已经存在或将于海上引进(IFS)发生之前签发。

2. 就出口而言，出口证书应于转运发生前签发，或船只的主人在接受转运的标本时，应取得符合要求的证明，表明出口证书已经存在或将于出口发生之前签发。

Conf. 14.6

Introduction from the sea

(Rev. CoP16)

TAKING INTO ACCOUNT the CITES Workshop on Introduction from the Sea Issues (Geneva, 30 November – 2 December 2005) held pursuant to Decision 13.18 of the Conference of the Parties the meeting of the Standing Committee Working Group on Introduction from the Sea (Geneva, 14-16 September 2009) held pursuant to Decision 14.48 of the Conference of the Parties, and the meetings of the Standing Committee Working Group on Introduction from the sea (Bergen, 24-26 May 2011, and Shepherdstown, 24-26 April 2012) , held pursuant to Decision 14.48 (Rev. CoP15);

RECALLING that 'introduction from the sea' is defined in Article I, paragraph e), of the Convention as "transportation into a State of specimens of any species which were taken in the marine environment not under the jurisdiction of any State";

RECALLING ALSO that Article III, paragraph 5, and Article IV, paragraphs 6 and 7, of the Convention, provide a framework to regulate the introduction from the sea of specimens of species included in Appendices I and II, respectively;

NOTING that 'State of introduction' is not defined in the Convention and that Article III, paragraph 5, Article IV, paragraph 6, and Article XIV, paragraph 5, place certain obligations on the State of introduction;

DESIRING that States cooperate in a manner that supports and complies with the provisions of the Convention with respect to specimens taken in the marine environment not under the jurisdiction of any State;

RECOGNIZING the need for States to consult and cooperate with relevant Regional Fisheries Management Organizations and Arrangements (RFMO/A) when issuing certificates of introduction from the sea and export and import permits for specimens taken in the marine environment not under the jurisdiction of any State;

NOTING the progress made through the Food and Agriculture Organization of the United Nations (FAO) on measures to promote responsible fisheries, including through the 2001 FAO International Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing, and the adoption of the 2009 Agreement on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing;

RECOGNIZING the need for a common understanding of the provisions of the Convention relating to specimens taken in the marine environment not under the jurisdiction of any State, in order to facilitate the standard implementation of trade controls for such specimens and improve the accuracy of CITES trade data;

RECOGNIZING FURTHER that "introduction from the sea" is unique to the Convention and affirming that the present Resolution applies only in relation to the implementation of the Convention for specimens taken in the marine environment not under the jurisdiction of any State and does not affect the rights or duties of Parties outside this context;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. AGREES that 'the marine environment not under the jurisdiction of any State' means those marine areas beyond the areas subject to the sovereignty or sovereign rights of a State consistent with international law, as reflected in the United Nations Convention on the Law of the Sea;

2. FURTHER AGREES that,

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* *Amended at the 15th and 16th meetings of the Conference of the Parties.*

a) whenever any specimen of a species included in Appendix I or II is taken in the marine environment not under the jurisdiction of any State by a vessel registered in one State and is transported into that same State, the provisions of Article III, paragraph 5, or Article IV, paragraphs 6 and 7, respectively, should be applied; with that State being the State of introduction;
b) whenever any specimen of a species included in Appendix I or II is taken in the marine environment not under the jurisdiction of any State by a vessel registered in one State and is transported into a different State, the provisions of Article III, paragraphs 2 and 3, or Article IV, paragraphs 2, 3 and 4, respectively, should be applied, with the State in which the vessel that took the specimen is registered being the State of export and the State into which the specimen is transported being the State of import; and
c) In the case of chartering operations, under the conditions that:
i) The operation is under a written arrangement between the State where the vessel is registered and the chartering State, consistent with the framework on chartering operations of a relevant RFMO/A; and that
ii) The CITES Secretariat has been informed of this arrangement in advance of its entry into effect and that the CITES Secretariat makes this arrangement available to all Parties and to any relevant RFMO/A;

Whenever any specimen of a species included in Appendix I or II is taken in the marine environment not under the jurisdiction of any State by a vessel registered in one State and chartered by another State and transported into that chartering State, the provisions of Article III, paragraph 5, or Article IV, paragraphs 6 and 7, or the provisions of Article III, paragraphs 2 and 3, or Article IV, paragraphs 2, 3 and 4, respectively, may be applied. In such cases, the State in which the vessel is registered should be the State of export or the chartering State should be the State of Introduction, as mutually agreed in the written arrangement;

Whenever any specimen of a species included in Appendix II is taken in the marine environment not under the jurisdiction of any State by a vessel registered in one State and chartered by another State, and transported into a third State, the provisions of Article IV, paragraphs 2, 3 and 4 should be applied. In this case, the State in which the vessel is registered should be considered as the State of export and the issuance by this State of the export permit would be conditional upon prior consultation with and agreement by the chartering State. Subject to the authorization by the State in which the vessel is registered and provided that such an authorization is clearly specified in the written arrangement referred to above in paragraph (i), the chartering State may be the State of export;

3. RECOMMENDS that, in the case of specimens of species included in Appendix I or II taken in the marine environment not under the jurisdiction of any State, in satisfying itself that the provisions of the Convention are met:

a) the State of introduction, prior to issuing a certificate of introduction from the sea;
b) the State of export, prior to issuing an export permit; and
c) the State of import, prior to issuing an import permit, or when presented with an export permit:

take into account whether or not the specimen was or will be acquired and landed:

i) in a manner consistent with applicable measures under international law for the conservation and management of living marine resources, including those of any other treaty, convention or agreement with conservation and management measures for the marine species in question; and
ii) through any illegal, unreported or unregulated (IUU) fishing activity;

4. FURTHER RECOMMENDS that, in the case of an export of Appendix-II specimens, the Scientific Authority of the State of export, in making its non-detriment finding, consult with other national scientific authorities or, when appropriate, international scientific authorities; and

5. RECOMMENDS that Parties respond in a timely manner to a request for information necessary for issuing a certificate of introduction from the sea or an export permit for specimens of any species taken in the marine environment outside the jurisdiction of any State, or for verifying the authenticity and validity of such a certificate or permit.

Annex Explanatory notes

CLARIFICATION OF IMPLEMENTATION ISSUES RELATED TO INTRODUCTION FROM THE SEA AND EXPORT/IMPORT/RE-EXPORT OF SPECIMENTS TAKEN IN THE MARINE ENVIRONMENT NOT UNDER JURISDICTION OF ANY STATE

I. Introduction from the sea [under paragraph 2 a)]

1. Conditions for issuing an introduction from the sea (IFS) certificate:

1.1. The Scientific Authority of the State of introduction makes a non-detriment finding (NDF) [Articles III, paragraph 5 (a), IV, paragraph 6 (a)] (in the case of Appendix II, also as provided for by Article IV, paragraph 7).

1.2. In the case of living specimens:

a) Appendix I: the proposed recipient of a living specimen is suitably equipped to house and care for it [Article III, paragraph 5 (b)].
b) Appendix II: the living specimen will be so handled as to minimize the risk of injury, damage to health or cruel treatment [Article IV, paragraph 6 (b)].

1.3. In the case of Appendix I, the specimen is not to be used for primarily commercial purposes [Article III, paragraph 5 (c)].

2. The Management Authority of the State of introduction issues the IFS certificate.

3. The IFS certificate is issued prior to transportation into the State of introduction. (Articles III, paragraph 5, and IV, paragraph 6, require the prior granting of a certificate from a Management Authority of the State of introduction).

Note: Introduction from the sea does not apply to Appendix-III specimens.

II. Export / import / re-export, occurring after an IFS

This section applies when specimens are exported from the territory of the State of export and the export occurs after an IFS. Such an export should follow the same rules and procedures as any export, except in the case foreseen in Article XIV, paragraph 4 and paragraph 5, concerning the export and import of Appendix-II specimens, where only the issuance of a certificate of accordance shall be required.

1. Export

1.1. Conditions for issuing an export permit:
1.1.1. A non-detriment finding is required. Since, in this case, the export would occur after an IFS certificate has been issued, the Scientific Authority of the State of export

should take into consideration the NDF made for the IFS when making the NDF for the export.

1.1.2. To export a specimen that has been introduced from the sea, a legal acquisition finding (i.e. a finding that the specimen was not obtained in contravention of the laws of that State for the protection of fauna and flora) is required as a condition for the issuance of the export permit [Articles III, paragraph 2 (b), and IV, paragraph 2 (b)].

1.1.3. Any living specimen of an Appendix-I or -II species will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment [Articles III, paragraph 2 (c), and IV, paragraph 2 (c)].

1.1.4. In the case of Appendix-I species, the Management Authority of the State of export is satisfied that an import permit has been granted for the specimen [Article III, paragraph 2 (d)].

1.2. The Management Authority of the State of export issues the export permit.
1.3. The export permit is issued before export takes place (Articles III, paragraph 2, and IV, paragraph 2, require the prior grant and presentation of an export permit).
1.4. An export permit is issued for every shipment, although the export permit may be valid for six months (Article VI, paragraph 2).

2. Import

2.1. Conditions for issuing an import permit, in the case of Appendix-I species only:

a) The Scientific Authority of the State of import makes an NDF [Article III, paragraph 3. (a)];
b) The proposed recipient of a living specimen is suitably equipped to house and care for it [Article III, paragraph 3. (b)]; and
c) The specimen is not to be used for primarily commercial purposes [Article III, paragraph 3. (c)].

2.2. The import permit is issued before import takes place (Article III, paragraph 3, requires the prior grant and presentation of an import permit and either an export permit or a re-export certificate).

2.3. In the case of specimens of Appendix-II species, the import requires the prior presentation of either an export permit or a re-export certificate (Article IV, paragraph 4).

3. Re-export

3.1. Conditions for issuing a re-export certificate, in the case of Appendix-I and Appendix-II species:

a) The specimen was imported in accordance with the Convention [Articles III, paragraph 4 (a), and IV, paragraph 5 (a)];
b) Any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment [Articles III, paragraph 4 (b), and IV, paragraph 5 (b)]; and
c) Only in the case of Appendix-I living specimens, an import permit has been granted [Article III, paragraph 4 (c)].

3.2. The re-export certificate is issued before re-export takes place (Articles III, paragraph 4, and IV, paragraph 5, require the prior grant and presentation of a re-export certificate).

III. Export / import / re-export, not occurring after an IFS [under “FURTHER AGREES that”, paragraph b)]

1. Export

1.1. Conditions for issuing an export permit:

1.1.1. The Scientific Authority of the State of export makes an NDF [Articles III, paragraph 2 (a), and IV, paragraph 2 (a)]. It is recommended that, in the case of an export of Appendix-II specimens, the Scientific Authority of the State of export, in making its non-detriment finding, consult with other national scientific authorities or, when appropriate, international scientific authorities.

1.1.2. The Management Authority makes a legal acquisition finding (i.e. a finding that the specimen was not obtained in contravention of the laws of that State for the protection of fauna and flora) before issuing an export permit [Articles III, paragraph 2 (b), and IV, paragraph 2 (b)].

1.1.3. In the case of living specimens of Appendix-I or -II species: the living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment [Articles III, paragraph 2 (c), and IV, paragraph 2 (c)].

1.1.4. In the case of Appendix-I species, the Management Authority of the State of export is satisfied that an import permit has been granted for the specimen [Article III, paragraph 2 (d)].

1.2. The Management Authority of the State of export issues the export permit.

1.3. The export permit is issued before export takes place (Articles III, paragraph 2, and IV, paragraph 2, require the prior grant and presentation of an export permit).

1.4. An export permit is issued for every shipment, although the export permit may be valid for six months (Article VI, paragraph 2).

2. Import

2.1. Conditions for issuing an import permit, in the case of Appendix-I species only:

a) The Scientific Authority of the State of import makes an NDF (for the purposes of import) [Article III, paragraph 3 (a)];

b) The proposed recipient of a living specimen is suitably equipped to house and care for it [Article III, paragraph 3 (b)]; and

c) The specimen is not to be used for primarily commercial purposes [Article III, paragraph 3 (c)].

2.2. The import permit is issued before import takes place (Article III, paragraph 3, requires the prior grant and presentation of an import permit and either an export permit or a re-export certificate).

2.3. In the case of specimens of Appendix-II species, the import requires only the prior presentation of either an export permit or a re-export certificate (Article IV, paragraph 4), except in the case foreseen in Article XIV, paragraph 4 and paragraph 5, concerning the export and import of Appendix-II specimens, where only the issuance of a certificate of accordance shall be required.

3. Re-export

3.1. Conditions for issuing a re-export certificate, in the case of Appendix-I and Appendix-II species:

a) The specimen was imported in accordance with the Convention [Articles III, paragraph 4 (a), and IV, paragraph 5 (a)];

b) Any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment [Article III, paragraph 4 (b), and IV, paragraph 5 (b)]; and

c) Only in the case of Appendix-I living specimens, an import permit has been granted [Article III, paragraph 4 (c)].

3.2. The re-export certificate is issued before re-export takes place (Articles III, paragraph 4, and IV, paragraph 5, require the prior grant and presentation of a re-export certificate).

IV. Transshipment

1. In the case of an IFS, the transshipment would only serve as a means of transportation and the same considerations for IFS should apply. In this case, the IFS certificate should be issued prior to transshipment, or the Master of the vessel receiving the transshipped specimens should obtain satisfactory proof that the IFS certificate already exists or will be issued before the IFS occurs.
2. In the case of export, the export permit should be issued prior to transshipment, or the Master of the vessel receiving the transshipped specimens should obtain satisfactory proof that the export permit already exists or will be issued before the import occurs.

Conf. 14.7 (Rev. CoP15)*

国家建立的出口限额的管理

确信 国家建立的附录Ⅱ物种的出口限额是协助规范和监测野生动植物贸易，保障自然资源可持续利用的重要手段；

注意到 很多缔约方都将出口限额作为野生动植物种保护的根本性管理手段；

认识到 公约文本和缔约方大会通过的任何文件都未对出口限额的使用和执行进行过详细阐述，但值得注意的是，所有缔约方对出口限额在国家和国际层次上的管理方式都有着共同理解；

考虑到 出口国和进口国对确保出口限额受到尊重都负有责任；

公约缔约方大会

1. 建议 各缔约方遵循本决议所附的《国家建立的出口限额的管理指南》。

附件 国家建立的出口限额的管理指南

引言

1. 本文件详述了在公约框架下建立和管理国家级年度出口限额的众多基本原则。当然，在一些情况下也许会有例外和背离这些基本原则的原因。特别是应当注意到，某些例外也许会出现在缔约方大会的决议中，后者优先于本指南。
2. 在公约框架下，年度出口限额是指有关国家在 12 个月的期限内出口特定物种标本的数量的限度。年度出口限额并不是一个目标，因此没有必要将限额全部使用完毕。还有一些情况，如发生在狩猎纪念物上的情形，野外获得的标本的出口也许要晚于它们的获得年份。
3. 年度出口限额是一种管理手段，用来确保一个特定物种的标本出口维持在不对该物种种群产生危害影响的水平上。科学机构所建议的出口限额应切实符合公约对附录Ⅰ或Ⅱ物种的非致危性判定的要求；对于附录Ⅱ物种，还要确保该物种维持与其分布区域内的生态系统应有作用相一致的水平。
4. 运行良好的出口限额体系可以成为任何一个批准出口的公约缔约方的有利条件。它不再需要对每一批次的公约标本进行非致危性判定，并为贸易监测和加快出口许可证签发进程奠定基础。对于种群跨国境分布的物种，建立出口限额能在地区层面进行协调，这对迁徙物种尤其相关。
5. 然而，必须认识到，也还有其他的管理手段可能更适合于生物学、行政或其他管理境况。限额的使用有时可能会产生不良的影响，特别是如果它们没有考虑生物学、法制或行政的变化需求而进行必要调整。例如，当在一个特定年度所制定的限额受到了诸如干旱等气候因素的影响时，用足限额的压力可能仍然存在。
6. 关于可持续的出口水平，要遵循的根本原则是科学决策和以最适当的方式管理猎捕和采集。这就要求包括行政、立法和执法在内的执行措施必须考虑监管和生物学境况。
7. 要使得出口限额成为一种最有效的管理手段，不给行政层级增加不必要的负担从而弱

*经第十五次缔约方大会修订，并由秘书处在第十六和十七次缔约方大会后修正。

化对出口国的吸引力就显得十分重要。出于这个原因，本指南在拟定过程中坚持了实用、简单和不增加行政负担的思路。

国家出口限额的建立

8. 如果出口限额还未在国际层面得到的批准(例如缔约方大会)，只要与有关物种的管理和保护相关，则鼓励缔约方为公约附录物种建立国家级的出口限额。

9. 只要可能，出口限额的涵盖的期限应当是一个公历年(即 1 月 1 日到 12 月 31 日)。

10. 建立出口限额时，科学机构应当根据公约第三条第 2 款(a)项或第四条第 2 款(a)项关于非致危性判定的规定来制定，并应当依照公约第四条第 3 款的规定确保该物种维持与其分布区域内的生态系统应有作用相一致的水平。野外获得的标本出口限额的制定，应当考虑合法获得和非法获得标本数量的水平。非致危性判定则应当在首次制定、修订或年度审查出口限额时做出。

11. 出口限额通常针对野外来源的标本建立。然而，不同来源类型的标本(例如：野外、捕养、人工繁育、人工培植)也可单独建立限额。除非另有说明，否则出口限额适用于野外获得的标本。支撑任何特定来源标本(例如捕养)出口的非致危性判定不应被用作批准其他来源标本的出口。

12. 出口限额通常针对动物或植物的特定数量建立。然而，也可为物种的部分或衍生物的一些类型(例如：象牙、鱼子酱、皮张、树皮、锯材、球茎)建立出口限额。

13. 为指明已制定限额的物种，缔约方应当使用缔约方大会通过的标准命名所列名的名称[1]。批准的名称可在最新版本的《公约物种清单》中查询获得，该清单在每次缔约方大会后更新。

14. 定义或解释限额的术语(如指明不同来源或货物类型的标本适用的限额)的使用应当按照缔约方大会决议同意的定义进行，或者应遵循最新版本的《公约年度报告准备和提交指南》的规定[2]。

国家建立的出口限额的通报

15. 根据 Conf. 12.3 (Rev. CoP18)号[3]决议的规定，缔约方应当将建立的出口限额及修订情况通知公约秘书处。此类通报可在任何时候进行，但如果可能，应尽量在出口限额生效前的最少 30 日予以通报。

16. 如果缔约方所建立的出口限额不是一个公历年的，在通报秘书处时应当指出限额所适用的期限。

17. 当获知出口限额或其修订情况，秘书处收到后应当尽快在公约网站上公布，并注明公布日期。公布一般应在收到后的 30 日内进行。

18. 当秘书处收到拟公布限额的信息，但认为其似乎有技术问题，或者认为所存在的技术或行政方面的问题需要澄清(例如：没有使用标准命名，限额与已知的该物种信息无内在联系，以往限额通常被超限使用等等)，秘书处在公布前应与相关缔约方进行讨论。在这种情况下，秘书处和相关缔约方应当尽快着力解决这些问题。一旦解决，

[1] 通过的最新命名参考目录见于Conf. 12.11 (Rev. CoP18)号决议。
[2] 本决议生效时(2019年10月)，最新版指南于2017年1月16日已随缔约方第2017/006号通知下发。
[3] 秘书处在第十六、十七和十八次缔约方大会后修正。

秘书处应当立即在网站上公布限额。如果问题没有得到解决，秘书处应当以注释指出关注的方式公布限额，这些问题则将通过一个公约现有程序进行解决。

19. 如果任何缔约方关注到一个公布的限额量可能过高，该缔约方应当依照 Conf. 11.18 号关于附录 II 和III物种贸易的决议的规定[4]，与建立该限额缔约方的适当的管理机构就关注问题进行磋商。

在特定年度没有使用完毕的限额

20. 出口限额的水平反映了一个物种标本在一个特定年度可以出口的数量(标本在那个年度已经被从野外猎捕或采集、人工繁育、人工培植等等)。然而，有时会发生虽然获得了出口标本但无法在获得年度里装运的情况。

21. 缔约方可以做出例外决定，批准在先前一个年度里获得的、并且在先前一个年度限额下的标本于本年度出口。在此情况下，不应将先前年度获得的标本增加到本年度的限额内，而应将拟出口标本的数量在先前年度的限额中扣除。

贸易监测和报告

22. 已建立出口限额的缔约方负责监测限额的使用情况，并必须确保不能超限使用。为此，缔约方应当保留标本实际出口数量的数据，以为在今后审批出口申请时作为参考。

23. 缔约方年度报告的数据保存在公约贸易数据库中，由与公约秘书处签约的 UNEP 世界保护监测中心维护管理。该数据库为在国际层面监测贸易和出口限额的执行情况提供了基础。

[4] 秘书处察觉到该规定载于Conf. 12.3 (Rev. CoP18)许可证和证明书第4段。

Conf. 14.7 (Rev. CoP15)

Management of nationally established export quotas

CONVINCED that nationally established export quotas for Appendix-II species are important tools to assist in regulating and monitoring wildlife trade to ensure that the use of natural resources remains sustainable;

NOTING that, for many Parties, export quotas are used as an essential management tool in the conservation of species of wild fauna and flora;

RECOGNIZING however that the use and implementation of export quotas are not described in detail either in the text of the Convention or in any text adopted by the Conference of the Parties, but that it is desirable that all Parties have a common understanding of the way in which such quotas should be managed at the national and international levels;

CONSIDERING that exporting and importing countries share a responsibility to ensure that export quotas are respected;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that Parties follow the *Guidelines for management of nationally established export quotas* that are annexed to this Resolution.

Annex

Guidelines for management of nationally established export quotas

Introduction

1. This document specifies a number of general principles regarding the establishment and management of annual export quotas at the national level in the context of CITES. It is understood that there may be exceptions and reasons for departing from these general principles in certain cases. In particular, it should be noted that certain exceptions may be found in Resolutions of the Conference of the Parties, which take precedence over these guidelines.

2. In the context of CITES, an annual export quota is a limit on the number or quantity of specimens of a particular species that may be exported from the country concerned within a 12-month period. An annual export quota is not a target and there is no need for a quota to be fully used. It is recognized that there are some cases in which it is likely that the export of specimens removed from the wild will occur after the year in which the removal took place, as happens with hunting trophies.

3. An export quota system is a management tool, used to ensure that exports of specimens of a certain species are maintained at a level that has no detrimental effect on the population of the species. The setting of an export quota advised by a Scientific Authority effectively meets the requirement of CITES to make a non-detriment finding for species included in Appendix I or II and, for species in Appendix II, to ensure that the species is maintained throughout its range at a level consistent with its role in the ecosystems in which it occurs.

4. A well-implemented export quota system can be an advantage for any Party to CITES that authorizes exports. It eliminates the need for a non-detriment finding for each individual shipment of CITES specimens, provides a basis for monitoring the trade and may facilitate the issuance of export permits. In the case of species whose populations span international borders, the

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Amended at the 15th meeting of the Conference of the Parties, and corrected by the Secretariat following the 16th and 17th meetings.

establishment of export quotas can be coordinated at a regional level, which is of particular relevance in the case of migratory species.

5. It must be recognized, however, that there are also other management tools that may be better suited to the biological, administrative or other management context. In some cases, the use of quotas could have an undesirable effect, particularly if they are not adjusted as necessary to take into account changing biological, legal or administrative needs. For example, where a quota has been set for a particular year but the species is impacted by climatic factors, such as a drought, there could still be pressure to fill the quota.

6. The fundamental principle to follow is that decision-making regarding the level of sustainable exports must be scientifically based, and harvests managed in the most appropriate manner. This requires that implementation, including administrative, legislative and enforcement measures, take account of the regulatory and biological context.

7. In contexts where the establishment of an export quota would be the most effective management tool, it is important that the use of that tool is not made less attractive to exporting countries by the imposition of unnecessary administrative layers. For this reason, the guidelines in this document have been prepared with the thought in mind that they need to be practical and uncomplicated, and not to add to the existing administrative burdens.

Establishment of national export quotas

8. Where export quotas have not already been agreed at the international level (e.g. by the Conference of the Parties), Parties are encouraged to establish national export quotas for CITES-listed species whenever this is relevant to the management and conservation of the species concerned.

9. As far as possible the period covered by an export quota should be the calendar year (i.e. 1 January to 31 December).

10. When export quotas are established, they should be set as a result of a non-detriment finding by a Scientific Authority, in accordance with Article III, paragraph 2 (a), or Article IV, paragraph 2 (a), of the Convention, and should ensure that the species is maintained throughout its range at a level consistent with its role in the ecosystems in which it occurs, in accordance with Article IV, paragraph 3. Export quotas for wild-taken specimens should be set at a level that takes account of the number or quantity of specimens that are taken from the wild legally or illegally. A non- detriment finding should be made whenever an export quota is established for the first time or revised, and reviewed annually.

11. Export quotas are usually established for specimens of wild source. However, separate quotas may be established for specimens of different sources (e.g. wild-taken, ranched, captive-bred, artificially propagated). An export quota applies to wild-taken specimens unless indicated otherwise. A non-detriment finding that supports the export of specimens of any specific source (e.g. ranching) should not be relied upon to authorize the export of specimens of other sources.

12. Export quotas are usually established for a specific number or quantity of animals or plants. However, they may be established for certain types of parts or derivatives (e.g. elephant tusks, caviar, skins, bark, sawn wood, bulbs).

13. To indicate the species for which quotas have been set, Parties should use the names indicated in the standard nomenclatures adopted by the Conference of the Parties[1]. The approved names can be found in the most recent edition of the *Checklist of CITES species*, which is updated after each meeting of the Conference of the Parties.

14. Terms used to define or clarify a quota (such as those indicating the type or source, when appropriate, of specimens to which the quota applies) should be used in accordance with agreed definitions contained in Resolutions of the Conference of the Parties or follow the guidance provided in the most recent edition of the *Guidelines for the preparation and submission of CITES annual reports*[2].

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[1] *The most recent list of adopted nomenclatural references is contained in Resolution Conf. 12.11 (Rev. CoP18).*

[2] *At the time of correction of this Resolution (October 2019), the most recent Guidelines had been circulated with Notification to the Parties No. 2017/006 of 16 January 2017.*

Communication of nationally established export quotas

15. In accordance with Resolution Conf. 12.3 (Rev. CoP18)[3], Parties should inform the CITES Secretariat of their nationally established export quotas and of revisions of such quotas. Such information can be provided at any time but, as far as possible, should be communicated at least 30 days before the start of the period to which the export quota relates.

16. If a Party establishes an annual export quota for a period other than a calendar year, it should indicate the period to which the quota applies when communicating it to the Secretariat.

17. When the Secretariat is informed about export quotas or revisions, it should publish them on the CITES website as soon as possible after they are received, with an indication of the date of publication. The publication should normally take place within 30 days of receipt.

18. When the Secretariat receives information about a quota for publication and it appears that there are technical problems, or it has questions about technical or administrative aspects of the quota needing clarification (for example, the standard nomenclature is not followed, there is an incoherence between the quota and available information on the species, past quotas have been regularly exceeded, etc.), it should discuss these with the Party concerned before placing the quota on the CITES website. In such cases the Secretariat and the Parties concerned should try to resolve the issue as quickly as possible. Once it is resolved, the Secretariat should promptly publish the quota on its website. If the case is not resolved, the Secretariat shall publish the quota with an annotation to indicate its concerns and the issue will be taken up through one of the existing CITES procedures.

19. If any Party is concerned that a published quota may be too high, it should consult the appropriate Management Authority of the Party that established the quota regarding its concerns, in accordance with Resolution Conf. 11.18 on *Trade in Appendix-II and -III species*.[4]

Quotas not fully utilized in a particular year

20. The level of an export quota reflects the number or quantity of specimens of a species that may be exported in any particular year (the specimens having been removed from the wild, bred in captivity, artificially propagated, etc., in that year). It sometimes happens, however, that, although specimens are obtained for export, it is not possible to ship them in the year in which they were obtained.

21. A Party may decide exceptionally to authorize export in one year of specimens that were obtained in a previous year, and under the quota for that previous year. In such cases, the quota for the current year should not be increased in order to include the specimens obtained in the previous year. Rather the number or quantity of such specimens that will be exported should be deducted from the quota of the previous year.

Monitoring and trade reporting

22. Every Party that has established an export quota is responsible for monitoring its use and must ensure that it is not exceeded. For that purpose, it should maintain data on the number or quantity of specimens actually exported, to be used as a reference when reviewing applications to authorize further exports.

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23. The data from national annual reports of Parties are stored in the CITES trade database that is maintained by the UNEP World Conservation Monitoring Centre under contract to the CITES Secretariat. This database provides the basis for monitoring the trade and the implementation of the export quotas at the international level.

[3] *Corrected by the Secretariat following the 16th, 17th and 18th meetings of the Conference of the Parties.*

[4] *The Secretariat observes that these provisions were carried forward in paragraph 4 of Resolution Conf. 12.3 (Rev. CoP18) on* Permits and certificates.

Conf. 14.8(Rev. CoP17)*

附录Ⅰ和附录Ⅱ物种的周期回顾

认识到 公约第二条的基本原则和对附录Ⅰ和附录Ⅱ物种开展周期回顾的需要，以确保物种基于当前的生物学和贸易信息被合适地列入附录；

重申 Conf. 18.2号*委员会的建立的决议 附件2，1 h)段指示动植物委员会对列入附录的动植物种开展周期回顾；

承认 关于附录Ⅰ和附录Ⅱ修订标准的Conf. 9.24 (Rev. CoP17) 号决议，建立标准来确保修订公约附录的决定是基于合理的和相关的科学信息，并监测公约提供保护的效力，物种被列入附录Ⅰ和Ⅱ后，应经常回顾其状态；

承认 成功的物种周期回顾是动物和植物委员会对附录Ⅰ或Ⅱ物种的客观评价，并可能形成建议修订附录I或II的，也同样可能形成建议，物种所列附录当下反映了保护需求，应保留在相应级别中；

认识到 周期回顾进程向缔约方提供了公约的科学基础建议，可以指导缔约方履行公约，可以为分布国“被评估物种的保护和管理行动”提供有价值信息支持；

进一步**认识到** 周期回顾进程也有于分布国和进口国之间，及在动物和植物委员会会上的开放和建设性对话；

公约缔约方大会

1. **同意** 动物和植物委员会应对附录I和II所列物种开展周期回顾，寻求分布国的信息、参与和支持。动物和植物委员会地区代表应在其地区寻求分布国帮助，支持分类单元回顾；

2. 进一步**同意** 应依照以下进程开展回顾：

   a) 通常，在缔约方大会每两次会议后，动物和植物委员会应在其两次会间期，建立一个附录周期回顾计划，确定其希望回顾分类单元名单。启动回顾的名单应在缔约方大会后第一次委员会会议上建立；

   b) 动物和植物委员会应从 CITES 所列动植物中选择一个现实的子集分析，遵从以下方法和指南：

      i) 秘书处应视资金可用情况，从事或委派顾问从事附件中所概述的评估，准备结果产出，供科学委员会在其启动回顾期，缔约方大会后的第一次会议上考虑 (注：如果缺乏资金，秘书处应通知缔约方和科学委员会主席) ；

      ii) 不应考虑对以下分类单元进行回顾：

         A. 在前三次缔约方大会上曾是附录提案主题的物种(无论该提案是否获得通过)；

         B. 正在被回顾的物种，如大宗贸易回顾[Conf. 12.8 (Rev. CoP18)号决议]或过去 10 年中开展的定期回顾；或

         C. 根据缔约方大会有效决议和决定开展的其他回顾所涉及的物种；及

*在第十六和十七次缔约方大会后修订。
* 由秘书处在第十八次缔约方大会后修正，原指Conf.11.1号决议。

D. 种群地位、分布或贸易明显没有变化的物种和那些没有可能修改附录的物种；

iii) 根据该附件开展的评估，其所获结果应包括被放入一份摘要表的以下信息：

A. 自该分类单元最初被列入附录以来的贸易数据汇总；

B. 当前保护状况，包括世界自然保护联盟 (IUCN) 对该物种的分级；

C. 当前列入 CITES 附录的情况，首次列入的日期，贸易记录的数量，商业性贸易情况和备注；及

D. 物种的分布情况(分布国)；

c) 在启动回顾周期的缔约方大会后的第一次会议上，根据前述第 2b)段准备的产出，动植物委员会将确定被回顾的分类单元清单；

d) 秘书处应将提议开展回顾的分类单元清单送交各缔约方，并要求该分类单元的分布国就回顾的必要性在 60 天内提出意见，表明其是否有兴趣开展该回顾。这些反馈应由秘书处转达给动物或植物委员会。如果在缔约方大会两个休会期内，没有分布国自愿提出开展回顾，这些分类单元将从回顾物种清单中删除；

e) 每项回顾都应向动植物委员会提交工作文件(以用于修订附录的提案格式)供其审定，依据 Conf.9.24(Rev. CoP17)号决议的标准清楚地提出建议，秘书处应在委员会会议前将这些工作文件告知相关分布国；

f) 动物或植物委员会也应评估由缔约方独立开展并提交其考虑的回顾；

g) 根据前述第 2e)段的信息，动物或植物委员会要就一个分类单元是否适合保留在目前所列的附录中，或将一分类单元从一个附录转移至另一个，或者从附录中删除分类单元做出建议；

h) 动物或植物委员会应依据 Conf.9.24(Rev. CoP17)号决议的标准草拟建议。委员会应向缔约方大会报告其结论，秘书处应将委员会的物种回顾结论通知分布国；并

i) 当委员会建议所回顾物种改变 CITES 列入状况时；

i) 秘书处应邀请被回顾物种的分布国向下一次缔约方大会提交提案；及

ii) 如果没有分布国愿意提交提案，应动物或植物委员会要求，秘书处应要求保存国政府提交[如Conf. 11.1 (Rev. CoP17)号决议†所述]并将分布国的意见包括在支持声明部分；

3. **建议** 动物或植物委员会应，尤其在联席会议上，分享有关开展附录所列分类单元周期回顾的经验 (包括回顾资金、进程、形式和产出等) ；

4. **鼓励** 动物、植物委员会和缔约方以如下方式助力周期回顾；

a) 与大学研究生合作，包括那些从安达卢西亚国际大学CITES硕士课程班毕业的学生；

b) 与其他非缔约方审核专家合作，包括物种专家，例如世界自然保护联盟物种存续委员会专家组；

† 由秘书处在第十五次缔约方大会后修正，原指Conf. 11.1 (Rev. CoP17)，现为一个更长的载有这些规定的Conf. 18.2号决议取代。

c) 利用国际组织(世界自然保护联盟、国际鸟类联盟等)和缔约方现成的有关物种保护现状的信息；

d) 酌情，包括从进口国处为审核专家寻求经费支持；并

e) 增加动植物委员会主席之间的交流，当动植物物种分布重叠时协调缔约方；

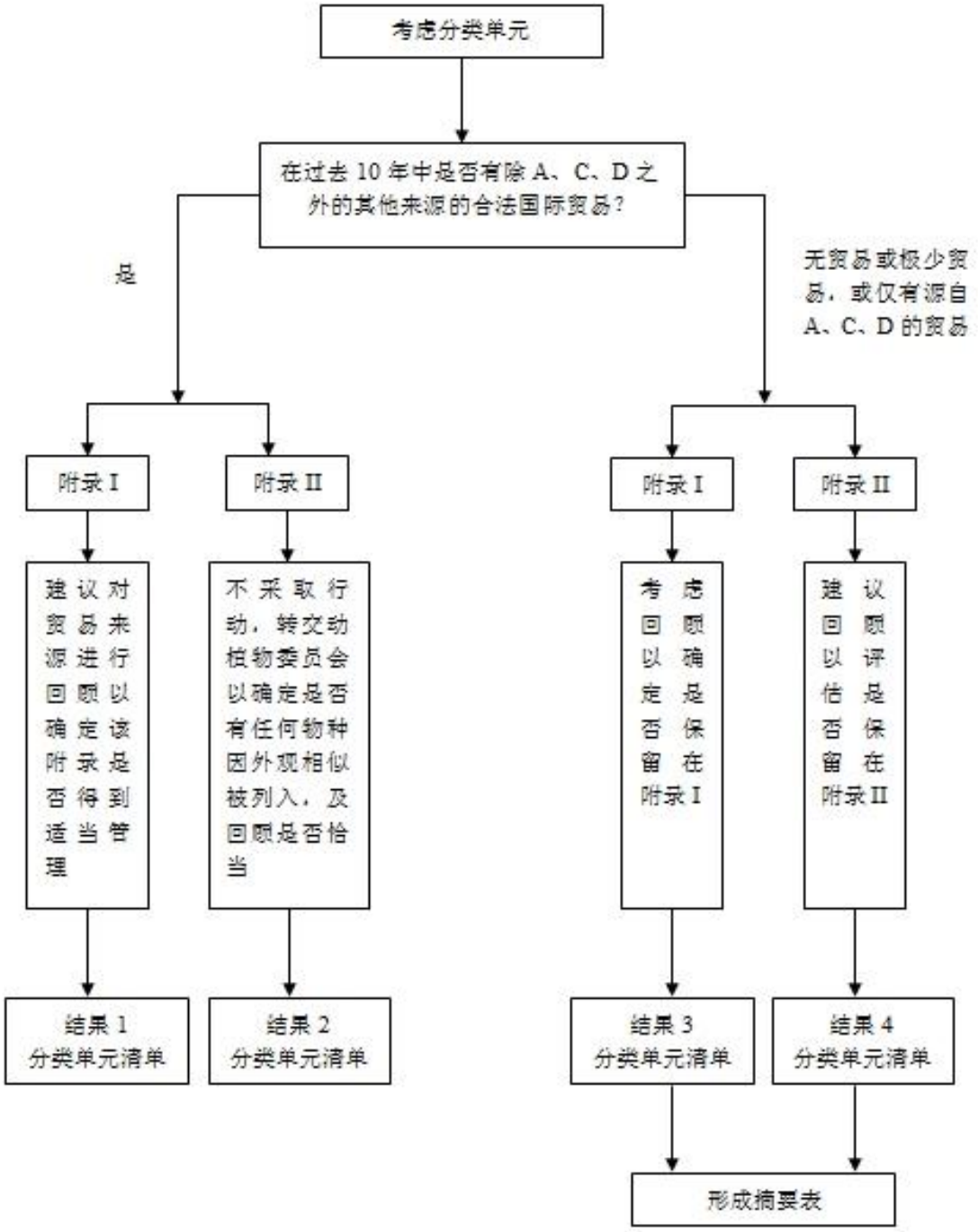
5. **指示** 动植物委员会应及时向常委会通报对列入附录的分类单元开展周期回顾的情况，值得注意的是，启动周期回顾进程不需要经过常委会的同意；

6. **指示** 秘书处应保存被选出开展定期回顾的物种的记录，包括以前和当前回顾的物种，相关委员会文件的日期，回顾提出的建议，和任何报告及相关文件；并

7. **邀请** 缔约方、政府间组织、非政府组织，和其他感兴趣的实体支持动植物委员会开展附录的定期回顾。

附件　关于对考虑开展附录定期回顾的分类单元进行评估的草案

(译者注：流程图中的A、C、D系来源代码)



Conf. 14.8 (Rev. CoP17)

Periodic Review of species included in Appendices I and II

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

REAFFIRMING that Resolution Conf. 18.2 on *Establishment of Committees*,[1] in Annex 2, paragraph 2 b) ii), directs the Animals and Plants Committees to undertake a periodic review of animal or plant species included in the CITES Appendices;

ACKNOWLEDGING that, in undertaking a periodic review, the Scientific Committees are mandated to provide advice and recommendations to the Conference of the Parties and it is the responsibility of the Conference of the Parties to take decisions as they deem appropriate;

ACKNOWLEDGING that Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*, establishes criteria to ensure that decisions to amend the Convention's Appendices are founded on sound and relevant scientific information and that, to monitor the effectiveness of protection offered by the Convention, the status of species included in Appendices I and II should be regularly reviewed;

ACKNOWLEDGING that a successful periodic review of a species consists of an objective evaluation by the Animals and Plants Committees of a species listed on Appendix I or II and may result in a recommendation to amend Appendix I or II, or equally may result in advice that the Appendix under which the species is currently listed properly reflects its conservation needs and the species should be retained as listed;

RECOGNIZING that the periodic review process provides advice to Parties on the scientific basis underlying the Convention, can guide Parties in the implementation of the Convention and can provide valuable information to support range States' conservation and management actions for the species evaluated; and

FURTHER RECOGNIZING that the periodic review process also facilitates open and constructive dialogue among range States and importing countries, and at meetings of the Animals and Plants Committees;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. AGREES that the Animals and Plants Committees shall conduct a periodic review of species listed in Appendix I and II, seeking information, participation and support from the range States. The regional representatives of the Animals and Plants Committees shall seek assistance from range States within their region to support the taxon reviews;

2. FURTHER AGREES that the review will be conducted in accordance to the following process:

   a) normally, after every second meeting of the Conference of the Parties, the Animals and Plants Committees shall establish a schedule for the periodic review of the Appendices and identify a list of taxa they propose to review during the next two intersessional periods. The list should be established at the first meetings of the Committees after the meeting of the Conference of the Parties (CoP) that initiates the review period;

   b) the Animals and Plants Committees shall select a practical sub-subset of CITES-listed species of flora or fauna for analysis pursuant to the following methods and guidance;

Amended at the 16th and 17th meetings of the Conference of the Parties.

1 Corrected by the Secretariat following the 18th meeting of the Conference of the Parties. Originally referred to Resolution Conf. 11.1.

i) the Secretariat shall, subject to availability of funding, undertake or appoint consultants to undertake the assessment outlined in the Annex and prepare the resulting outputs for consideration by the Scientific Committees at their first meeting after the meeting of the Conference of the Parties that initiates the review period (Note: if no funding is available, the Secretariat shall inform the Parties and the Scientific Committees' Chairs);

ii) the following taxa should not be considered for review:

A. species that were the subject of listing proposals at the previous three meetings of the Conference of the Parties (whether or not the proposals were adopted);

B. species subject to ongoing reviews, under the Review of Significant Trade [Resolution Conf. 12.8 (Rev. CoP18)], or periodic reviews conducted within the last 10 years; or

C. species subject to other reviews targeted by valid Decisions and Resolutions of the CoP; and

D. species for which it is clear that there has been no change in the status, range or trade and for which there is no possibility to need to amend the Appendices; and

iii) outputs resulting from the assessment conducted in accordance with the Annex to this Resolution shall contain the following information in summary tables that include:

A. a summary of trade data since the initial inclusion of that taxon in the Appendices;

B. current conservation status, including the International Union for Conservation of Nature (IUCN) category of the species, if assessed;

C. current listing in the CITES Appendices, criteria under which it was listed (if known), date of first listing; and

D. the distribution of the species (range States);

c) at the first meetings of the Committees after the meeting of the CoP that initiates the review period and based on the outputs prepared in subparagraph 2 b) above, the Animals and Plants Committees will identify the list of taxa to be considered for periodic review;

d) the Secretariat shall send a copy of the proposed list of taxa to be reviewed to all Parties, and request range States of the taxa to comment within 60 days on whether they support a review of the taxa and express their interest in undertaking the reviews. The responses shall be relayed by the Secretariat to the Animals or Plants Committee. If no volunteer offers to undertake a review within two intersessional periods between CoPs, those taxa shall be deleted from the list of species to be reviewed;

e) each review (ideally in the format of a proposal used to amend the Appendices) is to be submitted as a working document to the Animals or Plants Committee for review, clearly specifying the recommendation with reference to the criteria in Resolution Conf. 9.24 (Rev. CoP17). The Secretariat shall notify the relevant range States of these working documents in advance of the meeting of the Committee;

f) the Animals or Plants Committees may also evaluate reviews undertaken independently by Parties and submitted for their consideration;

g) based on the information as per subparagraph 2 e) above, the Animals or Plants Committee is to make a recommendation on whether it would be appropriate to retain a taxon in the Appendix in which it is currently listed, transfer a taxon from one Appendix to another, or to delete a taxon from the Appendices;

h) the Animals or Plants Committee shall draft its recommendation with reference to the criteria in Resolution Conf. 9.24 (Rev. CoP17). The Committee shall report its conclusions to the Conference of the Parties, and the Secretariat shall inform the range State(s) for the species reviewed of the conclusion of the Committee; and

i) in the event that the Committee recommends a change in the CITES listing status for the species reviewed:

i) the Secretariat shall invite the range State(s) of the species reviewed to submit a proposal to the next Conference of the Parties; and

ii) if no range State expresses a willingness to submit the proposal, the Secretariat may request the Depository Government to submit it as specified in Resolution Conf. 11.1 (Rev. CoP17)[1] and to include the comments of the range States in the supporting statement, if so requested by the Animals or Plants Committee;

3. RECOMMENDS the Animals and Plants Committees should share their experience, especially during joint meetings, regarding the undertaking of periodic reviews of taxa included in the Appendices (including financing of reviews, processes, format and outputs);

4. ENCOURAGES the Animals and Plants Committees and Parties to facilitate periodic reviews by:

a) collaborating with university graduate students, including those from the CITES Master's Programme at the International University of Andalusia;

b) collaborating with other non-Party reviewers including species experts such as IUCN Species Survival Commission Specialist Groups;

c) using readily available information on species' conservation status from organizations (e.g. IUCN, BirdLife, etc.) and Parties;

d) seeking financial support for reviews, including from importing countries, as appropriate; and

e) increasing communication between the Chairs of the Animals and Plants Committees and suggest coordination with Parties when animal and plant species' ranges overlap;

5. DIRECTS the Chairs of the Animals and Plants Committees to keep the Standing Committee informed about the conduct of periodic reviews, noting that Standing Committee approval is not required to initiate the process;

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

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

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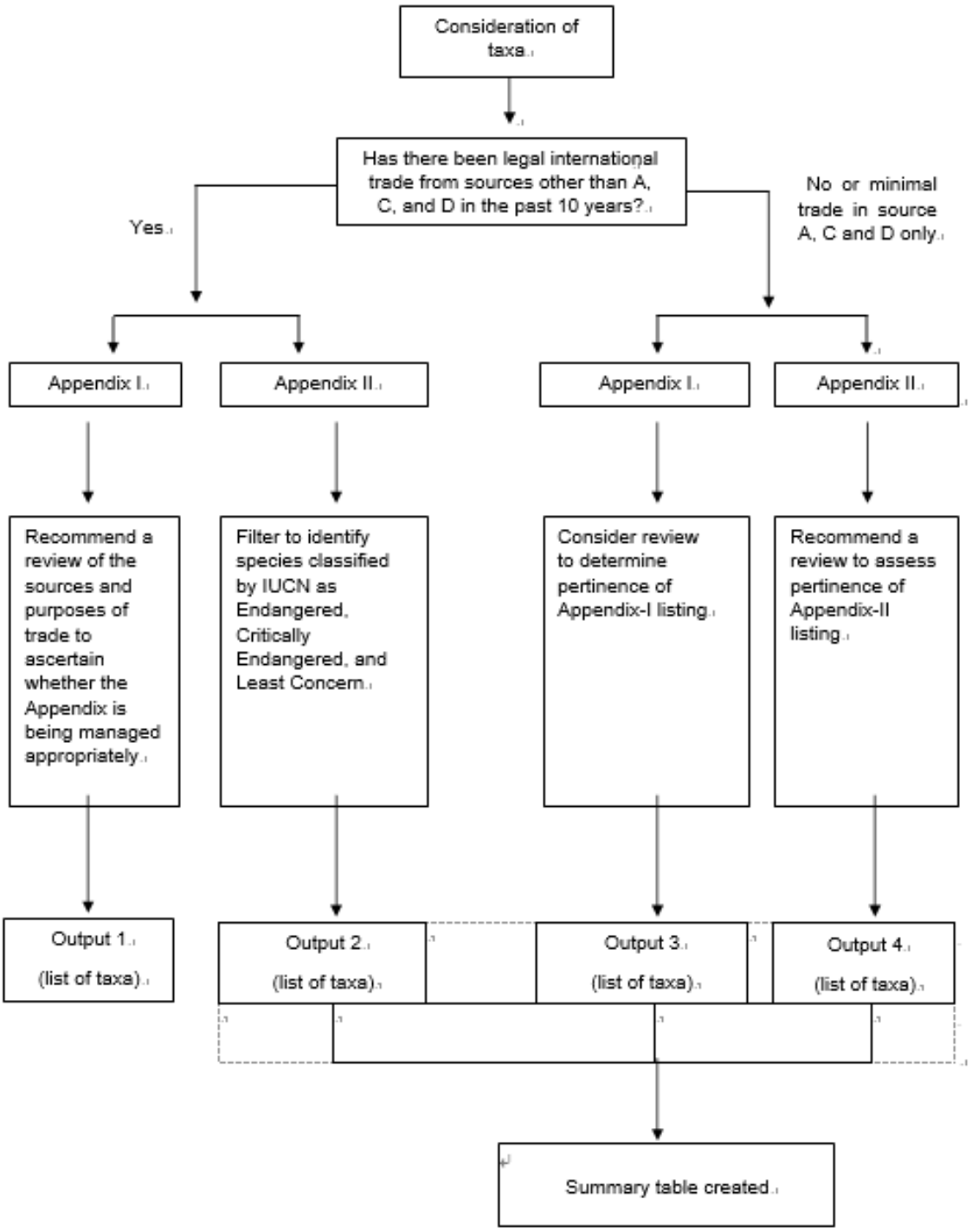
1 Corrected by the Secretariat following the 17th meeting of the Conference of the Parties. Resolution Conf. 11.1 (Rev. CoP17) has since been repealed and replaced by Resolution Conf. 18.2 which no longer contains these provisions.

Annex

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



Conf. 15.2

野生动植物贸易政策回顾

忆及 公约前言第三段，规定各国人民和国家是，而且应该是本国野生动植物的最好保护者；

重申 第十四次缔约方大会通过的《CITES战略愿景：2008-2013》的目标，特别是第1.1项目标，即各缔约方通过适当的政策、立法和程序来履行公约规定的义务；

认可 在执行公约、CITES相关国家政策和立法及CITES附录所列物种管理计划方面所建立的有效管理体系的重要性；

忆及 2009年3月8-11日在科威特召开的阿拉伯语国家野生动植物贸易政策回顾区域研讨会所提出的相关建议；

公约缔约方大会

1. **邀请** 进出口国在自愿基础上，统筹环境、社会和经济事宜及相关政策工具，开展有关CITES附录所列物种标本利用和贸易的野生动植物政策回顾活动，以便更好地了解野生动植物贸易政策对野生动植物国际贸易的影响；
2. 也**邀请** 各缔约方在自愿基础上，根据参与国的实际情况，开展区域或者次区域性的野生动植物贸易政策回顾活动；
3. **敦促** 决定开展野生动植物贸易政策回顾活动的各缔约方，考虑CITES贸易政策回顾项目(2006-2008)所获取的经验和开发的工具；
4. **要求** 在自愿基础上开展野生动植物贸易政策回顾活动的各缔约方，与其他缔约方分享其回顾活动的详细结果和经验教训；
5. **指示** 秘书处通过筹集必要经费和提供必要技术合作、编辑并向各缔约方发布由缔约方自愿报送的有关其开展野生动植物贸易政策回顾活动的信息等方式，为野生动植物贸易政策回顾提供便利；
6. **鼓励** 各缔约方在制定野生动植物贸易政策时，考虑土著居民和其他社区的需求；
7. **敦促** 各缔约方在科学和政策层面促进相互理解和支持，确保生物学家、社会学家和政策制定者以交互的方式一起工作；
8. **邀请** 其他地区举办类似阿拉伯语国家野生动植物贸易政策回顾区域研讨会的研讨会；
9. 也**邀请** 双边、多边组织和其他感兴趣的捐款人和合伙人支持开展野生动植物贸易政策回顾和相关机构建设活动。

Conf. 15.2 Wildlife trade policy reviews

RECALLING the third paragraph of the preamble to the Convention, which stipulates that peoples and States are and should be the best protectors of their own wild fauna and flora;

REAFFIRMING the goals and objectives of the *CITES Strategic Vision: 2008-2013* adopted at the 14th meeting of the Conference of the Parties, particularly Objective 1.1 that Parties comply with their obligations under the Convention through appropriate policies, legislation and procedures;

RECOGNIZING the importance of effective governance systems in the implementation of the Convention, national policies and legislation related to CITES and management plans for CITES-listed species;

RECALLING the recommendations of the Regional Workshop for Arabic-Speaking Countries on Wildlife Trade Policy Reviews held in Kuwait from 8 to 11 March 2009;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. INVITES exporting and importing countries to carry out, on a voluntary basis, reviews of wildlife policy on the use of and trade in specimens of CITES-listed species, taking into account environmental, social and economic issues and relevant policy instruments, in order to facilitate a better understanding of the effects of wildlife trade policies on the international wildlife trade;
2. ALSO INVITES Parties to carry out, on a voluntary basis, regional or subregional wildlife trade policy reviews, in accordance with the realities of participating countries;
3. URGES Parties which decide to carry out wildlife trade policy reviews to take into account the lessons learned and tools developed under the CITES Policy Review Project (2006-2008);
4. REQUESTS Parties that undertake wildlife trade policy reviews on a voluntary basis to share relevant details of their reviews and lessons learned with other Parties;
5. INSTRUCTS the Secretariat to facilitate the review of wildlife trade policies, through raising the necessary funds and providing necessary technical cooperation, compile information provided voluntarily by the Parties regarding their wildlife trade policy reviews and make this information available to other Parties;
6. ENCOURAGES Parties to take into account the needs of indigenous people and other local communities when adopting trade policies concerning wild fauna and flora;
7. URGES Parties to promote mutual understanding and support across the science-policy interface and ensure that biological and social scientists and policymakers work in a cross-disciplinary manner;
8. INVITES replication of the Regional Workshop for Arabic-Speaking Countries on Wildlife Trade Policy Reviews in other regions; and
9. ALSO INVITES bilateral, multilateral and other interested donors and partners to support wildlife trade policy reviews and related institution-building activities.

Conf. 16.3(Rev. CoP17)*

CITES战略愿景：2008-2020

公约缔约方大会

缔约方大会**采纳** 本决议附件 “CITES战略愿景：2008-2020”。

附件　CITES 战略愿景：2008-2020

概述

《濒危野生动植物种国际贸易公约》(CITES)于1973年3月3日缔结。到1975年7月1日有10个国家批准后，CITES正式生效。

从那时起，批准、核准、接受或同意CITES的国家数量不断增加。拥有183个缔约方的CITES，已经被广泛认为是最重要的国际保护工具之一。在这期间，缔约方大会显示出其能够适应不断变化的环境的能力，并通过制定决议和决定，证明了其在制定实际方案以解决日益复杂的野生动植物贸易和保护问题方面的能力。

第九次缔约方大会(劳德代尔堡，1994年)提出对CITES的有效性进行回顾。这个回顾的主要目的是评估CITES已完成目标的程度及CITES自实施以来所取得的进展情况，最重要的是发现加强公约能力和协助公约的未来规划中的不足和需求。在第十次缔约方大会(哈拉雷，1997年)，缔约方大会同意制定一个执行回顾中特定发现和建议的“行动计划”(Action Plan)。一个核心发现是对“战略计划”(strategic plan)的需求，第十一次缔约方大会(吉吉里，2000)通过了《至2005年的战略愿景》，及一份《行动计划》。

在第十三次缔约方大会(曼谷，2004)，通过了13.1号决定，决定将《战略愿景》和《行动计划》的有效期延续到2007年底。会议还就制定新的《至2013年的战略愿景》建立了一个程序，突出其将在实现可持续发展世界首脑峰会(WSSD)确定的在2010年前将明显减少生物多样性丧失速率的目标中发挥作用。现今的文件就是该进程的结果。

在第十六次缔约方大会(曼谷，2013)，决定将战略愿景的有效期延至2020年，并将2011-2020生物多样性战略计划中取得的成果，和其他与联合国可持续发展大会上的相关成果包括进来。

第十七次缔约方大会 (约翰内斯堡， 2016) 采纳的修正案有助于完成2030可持续发展目标的议程和相关的CITES目标，并更新了缔约方数量。

通过新的《战略愿景》，CITES缔约方大会已经构画出CITES进入新千年的方向，并考虑了以下几个方面的责任：

— 致力于联合国千年发展目标中与CITES相关的计划；

— 致力于生物多样性公约大会上通过的 2011-2020 生物多样性战略计划和爱知生物多样性目标中与 CITES 相关的内容；

— 致力于联合国可持续发展大会(2012)相关结果的实施；

— 致力于将生物作为所有生命依赖的全球生态系统的一个重要组成部分的保护；

* 在第十七次缔约方大会后修订。

— 对生产国和消费国有着重要影响的文化、社会和经济等因素；

— 在保护政策的制订和实施中增进透明度，并扩大公众社会的参与范围；

— 确保采用基于科学证据的一致的和国际公认的方式方法，使得任何动植物种免于受到不可持续的国际贸易的影响。

目的

战略愿景的双重目的是：

— 改善公约的工作，使得野生动物和植物的国际贸易是可持续的；及

— 确保CITES政策制定与国际环境优先领域形成相互支持，并在与CITES基本规定一致的情况下考虑到新的国际动向。

结构

为了达到这一目的，三个优先级等同、内涵丰富的目标被确定为《战略愿景》的关键组成部分：

— **目标1** 确保CITES的遵守、履行和执法。

— **目标2** 确保CITES运作和履行所必要的财政来源和途径。

— **目标3** 通过确保CITES与其他多边措施和进程的一致性和相互支持，致力于明显降低生物多样性丧失的速率。

上述目标致力于巩固CITES现有实力，确保CITES各项要求的执行，进一步改善与相关多边环境协定、公约、协议及协会的关系。

在每个目标框架中，这个《战略愿景》确定了一系列将要达到的具体目标。其进展的相应指标将由常委会来制定，并由缔约方大会进行回顾检查；

这个文件为现有决议和决定在未来的发展提供了一个框架。在愿景需要就如何达到相关目的和目标提供指导时，缔约方大会和秘书处将会采取必要的行动。这个文件也可以作为一个工具，为缔约方确定开展活动的优先性，及按照花费合理、有效能和透明使用资源的原则决定如何进行最好的资金支持。

需要注意，“战略愿景”中所用的“贸易”一词的含义与CITES文本第1条含义相同。

《公约愿景》声明

通过确保没有野生动植物种因国际贸易而成为或继续遭受不可持续开发活动的影响，从而有利于明显降低生物多样性丧失的速率，并为达到相关爱知生物多样性目标做出巨大贡献，保护生物多样性，并促成其可持续利用。

战略目标

目标1 确保CITES的遵守、履行和执法

介绍

公约的效率依赖于所有缔约方对其全面履行，不论是野生动植物的生产国还是消费国。全面履行公约也依靠各个缔约方：

— 对公约及其原则承诺；

— 科学专家和分析；

— 能力建设；及

— 执法

对公约及其原则承诺

公约的正确运行，在很大程度上依靠缔约方遵守和履行公约及其原则的承诺。

目标1.1 缔约方通过适当的政策、立法和程序来履行公约义务。

目标1.2 缔约方设有透明、实用、可操作和用户友好的行政程序，并且减少不必要的行政负担。

目标1.3 在国家水平的履约与缔约方大会所作的决定协调一致。

目标1.4 CITES附录正确反映物种的保护需求。

目标1.5 最好的可用科学信息是非致危性判定的基础。

目标1.6 缔约方间进行合作，共同管理共有的野生动植物资源。

目标1.7 缔约方执行公约以减少野生动植物非法贸易。

目标1.8 缔约方和秘书处有充足的能力建设项目安排。

目标2 确保CITES运作和履行所需的财政资源和手段

目标 2.1 财政资源足以确保公约的运行。

目标2.2 在国家和国际水平上都具有充足资源以确保公约的遵守、履行和执法。

目标2.3 在国家和国际水平上都具有充足资源以实施能力建设项目。

目标3 通过确保CITES与其他多边工具和进程的一致性和相互支持，明显降低生物多样性丧失的速率，并达到相关全球协定的目标。

目标3.1 加强CITES与国际财政机制及其他相关公共机构合作，在不缩减对当前优先活动资金支持的前提下，支持公约相关的保护和可持续发展项目。

目标3.2 在全球范围内提升关于CITES的作用和目标的意识。

目标3.3 加强与相关国际环境、贸易及发展组织的合作。

目标3.4 公约通过确保野生动植物的国际贸易是可持续的，来促使相关千年发展目标、可持续发展世界首脑峰会(WSSD)确定的可持续发展目标、2011-2020生物多样性战略计划和爱知生物多样性目标，及联合国可持续发展大会的相关结果。

目标3.5 在适当时候，缔约方和秘书处与其他相关国际组织和协定合作，对包括那些商业性开发在内的非可持续贸易所造成濒危的物种问题，寻求协调一致和合作性处理途径。

Conf. 16.3 * (Rev. CoP17) CITES Strategic Vision: 2008-2020

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

ADOPTS the *CITES Strategic Vision: 2008-2020*, annexed to this Resolution.

Annex CITES Strategic Vision: 2008-2020

General introduction

The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) was concluded on 3 March 1973. It entered into force after ratification or accession by 10 States, on 1 July 1975.

Since then, the number of countries that have ratified, approved, accepted or acceded to the Convention has continued to increase. With 183 Parties, CITES is widely regarded as one of the most important international conservation instruments. During this period, the Conference of the Parties has shown itself to be capable of adapting to changing circumstances and, through the adoption of Resolutions and Decisions, has demonstrated an ability to construct practical solutions to increasingly complex wildlife trade and conservation problems.

At its ninth meeting (Fort Lauderdale, 1994), the Conference of the Parties commissioned a review of the Convention's effectiveness. The principal purposes of the review were to evaluate the extent to which the Convention had achieved its objectives and the progress made since CITES came into being and, most importantly, to identify deficiencies and requirements necessary to strengthen the Convention and help plan for the future. At its 10th meeting (Harare, 1997), the Conference agreed to an Action Plan for implementing certain findings and recommendations of the review. A central finding was the need for a strategic plan and, at its 11th meeting (Gigiri, 2000), the Conference of the Parties adopted the *Strategic Vision through 2005*, and an *Action Plan*.

At its 13th meeting (Bangkok, 2004), the Conference of the Parties adopted Decision 13.1, which extended the validity of the Strategic Vision and Action Plan until the end of 2007. It also established a procedure for developing a new Strategic Vision through 2013, particularly to contribute to the achievement of the World Summit on Sustainable Development (WSSD) target of significantly reducing the rate of biodiversity loss by 2010. The present document is the result of this process.

At its 16th meeting (Bangkok, 2013), the Conference of the Parties extended the validity of the Strategic Vision and Action Plan to 2020 and included amendments to contribute to the achievement of the Strategic Plan for Biodiversity 2011-2020 and the relevant *Aichi Biodiversity Targets* adopted by the Parties to the Convention on Biological Diversity, and to the relevant outcomes of the United Nations Conference on Sustainable Development.

At its 17th meeting (Johannesburg, 2016), the Conference of the Parties adopted amendments to contribute to the achievement of the Agenda 2030 Sustainable Development Goals and their targets relevant to CITES and to update the number of Parties.

With this new Strategic Vision, the Conference of the Parties to CITES outlines the Convention's direction in the new millennium and takes into account, within the context of its mandate, issues such as:

* *Amended at the 17th meeting of the Conference of the Parties.*

– contributing to the Agenda 2030 Sustainable Development Goals and their targets relevant to CITES;

– contributing to the *Strategic Plan for Biodiversity 2011-2020* and the implementation of the *Aichi Biodiversity Targets* adopted by the Parties to the Convention on Biological Diversity, to the extent that they are relevant to CITES;

– contributing to the implementation of the relevant outcomes of the United Nations Conference on Sustainable Development (2012);

– contributing to the conservation of wildlife as an integral part of the global ecosystem on which all life depends;

– cultural, social and economic factors at play in producer and consumer countries;

– promoting transparency and wider involvement of civil society in the development of conservation policies and practices; and

– ensuring that a coherent and internationally agreed approach based on scientific evidence is taken to address any species of wild fauna and flora subject to unsustainable international trade.

Purpose

The twofold purpose of the Strategic Vision is:

– to improve the working of the Convention, so that international trade in wild fauna and flora is conducted at sustainable levels; and

– to ensure that CITES policy developments are mutually supportive of international environmental priorities and take into account new international initiatives, consistent with the terms of the Convention.

Structure

In order to achieve this purpose, three broad goals, of equal priority, have been identified as the key components of the Strategic Vision:

– **Goal 1**: Ensure compliance with and implementation and enforcement of the Convention.

– **Goal 2**: Secure the necessary financial resources and means for the operation and implementation of the Convention.

– **Goal 3**: Contribute to significantly reducing the rate of biodiversity loss and to achieving relevant globally-agreed goals and targets by ensuring that CITES and other multilateral instruments and processes are coherent and mutually supportive.

The goals aim at consolidating the existing strengths of CITES, ensuring the implementation of the mandate of the Convention, and further improving the relationship with relevant multilateral environmental agreements and related conventions, agreements and associations.

Within the framework provided by each of these goals, this Strategic Vision identifies a number of objectives to be achieved. Corresponding indicators of progress are to be developed by the Standing Committee and reviewed by the Conference of the Parties.

This document provides a framework for the future development of the existing body of Resolutions and Decisions. While it should provide guidance on how the goals and objectives are to be achieved, the Conference of the Parties, the Committees or the Secretariat, as appropriate, will take required action. The document also serves the Parties as a tool for the prioritization of activities, and decisions on how best to fund them, in light of the need for the rational application of costs and the efficient and transparent use of resources.

It should be noted that all references to 'trade' in the Strategic Vision refer to trade as defined in Article I of the Convention.

CITES vision statement

Conserve biodiversity and contribute to its sustainable use by ensuring that no species of wild fauna or flora becomes or remains subject to unsustainable exploitation through international trade, thereby contributing to the significant reduction of the rate of biodiversity loss and making a significant contribution towards achieving the relevant *Aichi Biodiversity Targets*.

THE STRATEGIC GOALS

GOAL 1 ***ENSURE COMPLIANCE WITH AND IMPLEMENTATION AND ENFORCEMENT OF THE* CONVENTION**

Introduction

The effectiveness of the Convention depends upon its full implementation by all Parties, whether they are consumers or producers of wild animals and plants. Full implementation relies, in turn, upon each Party's:

- commitment to the Convention and its principles;
- scientific expertise and analyses;
- capacity building; and
- enforcement.

Commitment to the Convention and its principles

The proper functioning of the Convention depends to a great extent on the commitment of Parties to comply with and implement the Convention and its principles.

Objective 1.1 Parties comply with their obligations under the Convention through appropriate policies, legislation and procedures.

Objective 1.2 Parties have in place administrative procedures that are transparent, practical, coherent and user-friendly, and reduce unnecessary administrative burdens.

Objective 1.3 Implementation of the Convention at the national level is consistent with decisions adopted by the Conference of the Parties.

Objective 1.4 The Appendices correctly reflect the conservation needs of species.
Objective 1.5 Best available scientific information is the basis for non-detriment findings.
Objective 1.6 Parties cooperate in managing shared wildlife resources.
Objective 1.7 Parties are enforcing the Convention to reduce illegal wildlife trade.

Objective 1.8 Parties and the Secretariat have adequate capacity-building programmes in place.

GOAL 2 SECURE THE NECESSARY FINANCIAL RESOURCES AND MEANS FOR THE OPERATION AND IMPLEMENTATION OF THE CONVENTION

Objective 2.1 Financial resources are sufficient to ensure operation of the Convention.

Objective 2.2 Sufficient resources are secured at the national and international levels to ensure compliance with and implementation and enforcement of the Convention.

Objective 2.3 Sufficient resources are secured at the national and international levels to implement capacity-building programmes.

GOAL 3 CONTRIBUTE TO SIGNIFICANTLY REDUCING THE RATE OF BIODIVERSITY LOSS AND TO ACHIEVING RELEVANT GLOBALLY-AGREED GOALS AND TARGETS BY ENSURING THAT CITES AND OTHER MULTILATERAL INSTRUMENTS AND PROCESSES ARE COHERENT AND MUTUALLY SUPPORTIVE

Objective 3.1 Cooperation between CITES and international financial mechanisms and other related institutions is enhanced in order to support CITES-related conservation and sustainable development projects, without diminishing funding for currently prioritized activities.

Objective 3.2 Awareness of the role and purpose of CITES is increased globally.

Objective 3.3 Cooperation with relevant international environmental, trade and development organizations is enhanced.

Objective 3.4 The contribution of CITES to the relevant Sustainable Development Goals and their targets, the sustainable development goals set at WSSD, the Strategic Plan for Biodiversity 2011-2020 and the relevant Aichi Biodiversity Targets, and the relevant outcomes of the United Nations Conference on Sustainable Development is strengthened by ensuring that international trade in wild fauna and flora is conducted at sustainable levels.

Objective 3.5 Parties and the Secretariat cooperate with other relevant international organizations and agreements dealing with natural resources, as appropriate, in order to achieve a coherent and collaborative approach to species which can be endangered by unsustainable trade, including those which are commercially exploited.

Conf. 16.4

CITES公约和其他生物多样性相关公约的合作

认识到 在日本名古屋召开的《生物多样性公约》第十次缔约方大会上提出并通过的“2011-2020生物多样性战略计划”；

指出 2011-2020生物多样性战略计划的实施和爱知生物多样性目标的实现，需要CITES的有效实施；

强调 展现CITES的有效执行如何有效促进对“2011-2020生物多样性战略计划”和相关爱知目标的实施，是CITES的承诺；

认识到 CITES公约已与其他生物多样性相关公约开展了重要合作；

赞赏 生物多样性相关公约的秘书处之间正在进行的重要合作，诸如通过生物多样性联络小组和环境管理小组，特别是通过生物多样性事务管理小组的合作；

忆及 Conf. 10.4号决议“与《生物多样性公约》的合作及协作”，及Conf. 13.3号决议“与《保护迁徙野生动物物种公约(CMS)》的合作与协作”，及Conf. 15.19号决定和《CITES公约战略愿景：2008-2013》；

欢迎 《生物多样性公约》、《迁徙物种保护公约》和CITES及其他生物多样性相关公约，关于合作、协作和协调的决定；

认识到 联合国可持续发展大会的成果“我们期望的未来”，认识到了多边环境协定对可持续发展的重要贡献，并鼓励多边环境协定缔约方考虑更多措施，促使在所有相关层面达到政策的协调一致，提高效率，减少不必要重复，在多边环境协定中加强合作和协调；

确信 生物多样性相关公约间日益增加的合作、协调和协同在加强各公约在国家层面上的协调实施方面的具有重要潜力；

公约缔约方大会

1. **鼓励** 缔约方在所有相关层面，在生物多样性相关公约中寻求更多的机会加强合作、协调和协同；并
2. **建议** 缔约方在国家层面，和生物多样性相关公约和其他伙伴间就焦点问题加强合作、协调和配合，增强在国家层面协调一致地履行公约。

Conf. 16.4 Cooperation of CITES with other biodiversity-related convention

RECOGNIZING the *Strategic Plan for Biodiversity 2011-2012*, developed and adopted by the Conference of the Parties to the Convention on Biological Diversity at its 10th meeting in Nagoya, Japan;

STRESSING that effective implementation of CITES is needed to implement the *Strategic Plan for Biodiversity 2011-2012* and to achieve the Aichi targets;

UNDERLINING the commitment of the Convention to demonstrate how the effective implementation of CITES contributes to the implementation of the *Strategic Plan for Biodiversity 2011-2020* and the relevant Aichi targets;

RECOGNIZING the already existing significant cooperation of CITES with other biodiversity-related conventions;

COMMENDING the ongoing and important cooperation among the secretariats of the biodiversity-related conventions, such as thorough the Biodiversity Liaison Group and the Environmental Management Group, and in particular through its Issue Management Group on Biodiversity;

RECALLING Resolution Conf. 10.4 (Rev. CoP14) on *Cooperation and synergy with the Convention on Biological Diversity* and Resolution Conf. 13.3 on *Cooperation and synergy with the Convention on the Conservation of Migratory Species of Wild Animals (CMS)*, as well as Decision 15.19 and the *CITES Strategic Vision 2008-2013*;

WELCOMING the decisions taken by the Convention on Biological Diversity and the Convention on the Conservation of Migratory Species of Wild Animals on cooperation, coordination and synergies with CITES and other biodiversity-related conventions;

RECOGNIZING the outcome of the UN Conference on Sustainable Development, *The Future We Want*, that recognizes the significant contributions to sustainable development made by the multilateral environmental agreements (MEAs) and encouraging the Parties to MEAs to consider further measures to promote policy coherence at all relevant levels, improve efficiency, reduce unnecessary overlap and duplication, and enhance cooperation and coordination amongst MEAs;

CONVINCED of the significant potential of increasing cooperation, coordination and synergies among the biodiversity-related conventions to enhance coherent national level implementation of each of the conventions;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. ENCOURAGES Parties to consider further opportunities to strengthen the cooperation, coordination and synergies among the biodiversity-related conventions at all relevant levels; and
2. RECOMMENDS that Parties further strengthen the cooperation, coordination and synergies among the focal points of the biodiversity-related conventions and other partners at the national level to enhance coherent national-level implementation of the Convention.

Conf. 16.5

与《生物多样性公约》全球植物保护战略的合作

忆及 1996年3月签署、2000年和2001年修订的Conf. 10.4号决议，关于“与《生物多样性公约》合作和协作，及CITES秘书处和生物多样性秘书处达成的合作备忘录”；

忆及 2002年生物多样性公约大会经VI/9号决定通过的，“全球植物保护战略(GSPC)”，包括2010年结果导向的全球目标；

注意到 自第13次植物委员会会议(几内亚，2003年8月)以来，植物委员会已经意识到公约促成了GSPC多个目标的实现；

进一步**注意到** 生物多样性公约秘书处在2009年植物保护报告中认识到了GSPC第11项目标(国际贸易不得造成野生植物的濒危)构成了CITES公约植物事务的核心；

忆及 CITES公约第十五次缔约方大会(多哈，2010)通过的15.19号决定，指示植物委员会和秘书处在2010年后与GSPC中与CITES相关事务进行合作；

欢迎 生物多样性公约第十次缔约方大会(日本，2010)第X/17号决定，通过了2011-2020全球植物保护战略(GSPC)的统一更新；

认识到 CITES在GSPC目的和目标实现过程中的重要作用，及GSPC成功实施后对CITES的影响；

公约缔约方大会

1. **邀请** 缔约方：

a) 注意 CITES 公约通过本决议附件中所列的活动和成果来促成 2011-2020 全球植物保护战略更新的目的和目标；

b) 促进和增进 GSPC 焦点和 CITES 管理和科学机构的合作，通过以下方式：

i) 在制定和实施 GSPC 国家战略，尤其是与 CITES 附录物种相关活动时，将 CITES 管理和科学机构纳入进来；及

ii) 在《生物多样性公约》国家报告中将 CITES-GSPC 相关活动包括进来；

2. **指示** 秘书处鼓励与GSPC或其他植物保护和可持续利用相关信息的交流，通过以下方式：

a) 通过在公约缔约方和机构中交换 CITES 运行和相关进程结果等信息，提升对 CITES 目前工作有助于 GSPC 达成目标的意识，这些 CITES 进程包括大宗贸易回顾、附录定期回顾、附录提案的修订，及非致危性判定的构想等；

b) 与《生物多样性公约》秘书处合作，简化与 GSPC 目标相关的 CITES 活动的报告；

c) 将 GSPC 纳入到任何在《生物多样性公约》合作备忘录下的工作计划当中来；

d) 邀请一名《生物多样性公约》的代表以观察员的身份参加与 GSPC 相关的植物委员会会议；

3. **指示** 植物委员会和秘书处，在GSPC的实施上，改善CITES与《生物多样性公约》之间的合作，可通过：

a) 在外部资金支持下，代表植物委员会参加《生物多样性公约》附属的科学、技术和知识咨询会议及其他 GSPC 会议；并且

b) 为《生物多样性公约》准备关于 GSPC 实施的文件提供支持。

附件　有助于实现更新的 2011-2020 全球植物保护战略目的和目标的 CITES 活动及成果目录

GSPC的目的	GSPC的目标*	CITES的可能贡献
(I) 植物多样性广为人知、有记录和认可	1. 所有已知植物的在线植物志。	CITES附录在线可查。
	2. 所有已知生物保护状况的评估，及尽可能地指导保护实践。	— CITES 公约附录。 — 修订附录提案需要的支撑文件。 — 非致危性判定。 — 定期回顾结果。 — 大宗贸易回顾结果。
	3. 履行提出和共享的战略而需要的信息、研究、相关输出和措施。	
(II) 植物多样性被及时有效地保护	4. 通过有效管理或恢复，每个生态区域或植被类型中至少 15%得到保护。	在物种层面上，不直接适用为CITES工作。
	5. 为保护植物和其遗传多样性，保证每个生态区域至少 75%的最重要区域得到有效管理和保护。	
	6. 每个地区生产用地中至少有75%是可持续的，与植物多样性保护一致。	
	7. 至少 75%的已知受威胁植物物种就地保护。	— 将物种/种群列入 CITES 附录。 — 确定 CITES 附录I物种的位置和栖息地。 — CITES 缔约方采取措施保证公约附录物种的可持续利用：非致危性判定和国家限额。 — Conf. 13.9 号决议“鼓励缔约方和迁地保护培植机构及就地保护项目加强合作”的实施。 — CITES 允许科学交换的证明书。
	8. 至少 75%的受威胁物种得到植物园采集保护，最好是在原产国，并且其中至少 20%适合于种群恢复项目。	
	9. 保护作物物种 70%的遗传多样性，包括其野生近缘种，及其他社会-经济重要价值的植物	不直接适用。

*来源于《生物多样性公约》2011-2020年全球植物保护战略。

GSPC的目的	GSPC的目标*	CITES的可能贡献
	物种，同时尊重、保护和维持相关的传统知识和地方知识。	
	10. 采取有效管理措施阻止新的生物入侵，并对已经入侵的重要地区进行管理，以保护植物多样性。	不直接适用。 但是CITES缔约方在Conf. 13.10号决议“外来入侵物种的贸易”中已经认识到了贸易和外来入侵物种之间的关系。
(III) 植物多样性的可持续和合理利用	11. 野生植物不会受到国际贸易威胁而濒危。	所有CITES事务都直接致力于这一目标，而且CITES公约也被认为在达到这一目标中发挥着领导作用。
	12. 所有野外获取的植物制品的来源都是可持续的。	— 非致危性判定、国家限额、大宗贸易回顾和附录的周期性回顾。 — 附录的注释可对特定目标商品进行管理。
	13. 与植物资源相关的传统和地方知识，酌情保持或增加对惯常用法、可持续生计、地方食物安全和医疗保健的支持。	— 非致危性判定。 — Conf. 10.19 号决议(第十四次缔约方大会修订)“传统医药”。 — CITES 公约常委会关于 CITES 与生计的工作组。
(IV) 促进关于植物多样性在可持续生计中的作用，及对地球上所有生命的重要性的教育和认识	14. 植物多样性的重要性，及将其保护整合进通讯、教育和公众认识项目中。	CITES工具，诸如： — 培训课程，工作组结果和技术报告。 — CITES 虚拟大学。 — CITES 网站。 — CITES 鉴别手册和网页。 — 培训材料，包括 PPT 报告和光盘。 — 秘书处的能力建设工作。
(V) 实施这一战略必需的能力和公众参与	15. 根据各缔约方需要，为达到这一战略目标，具有充足可使用适当设备的人才。	
	16. 为达到这一战略目标，在国家、区域和国际层面，建立或加强了植物保护机构、网络和伙伴关系。	— CITES 缔约方和植物委员会 — 区域性通讯录。

Conf. 16.5 Cooperation with the Global Strategy for Plant Conservation of the Convention on Biological Diversity

RECALLING Resolution Conf. 10.4 (Rev. CoP14) on *Cooperation and synergy with the Convention of Biological Diversity*, and the *Memorandum of Cooperation between the Secretariat of CITES and the Secretariat of the Convention on Biological Diversity*, signed on March 1996, as well as its amendment, signed in 2000 and 2001;

RECALLING that, in 2002, the Conference of the Parties to the Convention on Biological Diversity (CBD) adopted, through Decision VI/9, the *Global Strategy for Plant Conservation* (GSPC), including outcome-oriented global targets for 2010;

NOTING that, since its 13th meeting (Geneva, August 2003), the Plants Committee has recognized that CITES contributes to many of the Targets of the GSPC;

NOTING further that the Secretariat of the CBD recognizes in the 2009 *Plant Conservation Report* that Target 11 of the GSPC (*No species of wild flora endangered by international trade*) forms the core business of CITES activities related to flora;

RECALLING Decision 15.19 adopted by the Conference of the Parties at its 15th meeting (Doha, 2010), which directs the Plants Committee and the Secretariat to collaborate with processes established to develop the GSPC beyond 2010, as it relates to CITES activities;

WELCOMING Decision X/17 of the 10th meeting of Conference of the Parties to the CBD (Japan, 2010), which adopted the consolidated update of the *Global Strategy for Plant Conservation 2011-2020* (GSPC);

RECOGNIZING the significant role that CITES can play in the achievement of the objectives and targets of the GSPC, and the effect upon CITES if the GSPC is successfully implemented;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. INVITES Parties to:
   a) take note of the potential contribution of CITES to the objectives and targets of the consolidated update of the *Global Strategy for Plant Conservation 2011-2020* through the activities and products listed in the Annex to the present Resolution;
   b) promote and enhance collaboration between their GSPC focal point and their CITES Authorities, through:
      i) the involvement of CITES authorities in the development and implementation of the GSPC national strategies, particularly activities related to CITES-listed species; and
      ii) the inclusion of CITES-GSPC-related activities in CBD National Reports;
2. DIRECTS the Secretariat to encourage the exchange of information related to the GSPC and other plant conservation and sustainable use initiatives, by:
   a) promoting awareness of ongoing CITES activities that contribute to the achievement of GSPC Targets, by communicating information among CITES bodies and Parties on the operations and outcomes of CITES processes, such as the Review of Significant Trade, Periodic Review of the Appendices, proposals to amend the CITES Appendices, and formulation of Non- detriment Findings (NDFs), among others;
   b) collaborating with the CBD Secretariat to streamline reporting on relevant CITES activities related to the GSPC Targets;
   c) including the GSPC in any work plans developed under the Memorandum of Cooperation with the Secretariat of CBD; and
   d) inviting a CBD representative to participate as an observer at Plants Committee meetings that address GSPC;

3. DIRECTS the Plants Committee and the Secretariat to promote CITES collaboration with CBD on the implementation of the GSPC by:

   a) representing the CITES Plants Committee at meetings of CBD's Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) and other GSPC meetings subject to the availability of external funding; and

   b) providing contributions for CBD documents regarding the implementation of the GSPC.

Annex List of potential CITES activitiesand products and their contribution to the objectives and targets of the updated *Global Strategy for Plant Conservation 2011-2020*

GSPC's Objective	GSPC's Target[1]	CITES's potential contribution
Plant diversity is well understood, documented and recognized	1. An online flora of all known plants.	CITES checklists available online.
	2. An assessment of the conservation status of all known plant species, as far as possible, to guide conservation action.	– CITES Appendices. – Supporting statements for proposals to amend the Appendices. – NDFs. – Periodic Review results. – Review of Significant Trade results.
	3. Information, research and associated outputs, and methods necessary to implement the Strategy developed and shared.	
Plant diversity is urgently and effectively conserved	4. At least 15 % of each ecological region orvegetation type secured through effective management and/or restoration.	Not directly applicable as CITES works at species level.
	5. At least 75 % of the most important areas for plant diversity of each ecological region protected with effective management in place for conserving plants and their genetic diversity.	
	6. At least 75 % of production lands in each sector managed sustainably, consistent with the conservation of plant diversity.	
	7. At least 75 % of known threatened plant species conserved *in situ*.	– Inclusion of species/populations in CITES Appendices.

[1] *As taken from the CBD Global Strategy for Plant Conservation 2011-2020.*

GSPC's Objective	GSPC's Target[1]	CITES's potential contribution
	8. At least 75 % of threatened plant species in *ex situ* collections, preferably in the country of origin, and at least 20 % available for recovery and restoration programmes.	– Identification of the location/habitat of Appendix-I species. – Efforts by CITES Parties to ensure sustainable use of CITES-listed species: NDFs and national quotas. – Implementation of Resolution Conf. 13.9 on *Encouraging cooperation between Parties with* ex situ *breeding operations and those with* in situ *conservation programmes*. – CITES Certificate ofScientific Exchange.
	9. 70 % of the genetic diversity of crops including their wild relatives and other socio-economically valuable plant species conserved, while respecting, preserving and maintaining associated indigenous and local knowledge.	Not directly applicable.
	10. Effective management plans in place to prevent new biological invasions and to manage important areas for plant diversity that are invaded.	Not directly applicable. Nevertheless, CITES Parties have recognized the link between trade and alien invasive species in Resolution Conf. 13.10 (Rev. CoP14) on *Trade in alien invasive species*.
(III) Plant diversity is used in a sustainable and equitable manner	11. No species of wild flora endangered by international trade.	All CITES activities contribute directly to this Target, and CITES is recognized as having a leadership role in implementing this Target.
	12. All wild-harvested plant-based products sourced sustainably.	– NDFs, national quotas, Review of Significant Trade, and Periodic Review of the Appendices. – Annotations to the Appendices enable regulation of certain target commodities.
	13. Indigenous and local knowledge innovations and practices associated with plant resources, maintained or increased, as appropriate, to support customary use, sustainable livelihoods, local food security and health care.	– NDFs. – Resolution Conf. 10.19 (Rev. CoP14) on *Traditional medicines*. – CITES Standing Committee Working Group on CITES and Livelihoods.
(IV) Education and awareness about plant diversity, its role in	14. The importance of plant diversity and the need for its conservation incorporated into communication, education and	CITES tools, such as: – Training courses, workshops results and technical reports.

GSPC's Objective	GSPC's Target[1]	CITES's potential contribution
sustainable livelihoods and importance to all life on earth is promoted	public awareness programmes.	– CITES Virtual College. – CITES website. – CITES Identification Manual and Web pages. – Training materials, including PowerPoint presentations and CD-ROMs. – Capacity-building work of the Secretariat.
(V) The capacities and public engagement necessary to implement the Strategy have been developed	15. The number of trained people working with appropriate facilities sufficient according to national needs, to achieve the targets of this Strategy.	
	16. Institutions, networks and partnerships for plant conservation established or strengthened at national, regional and international levels to achieve the targets of this Strategy.	– CITES Parties and Plants Committee. – Regional Directories.

Conf. 16.6 (Rev. CoP18)*

CITES公约和生计

忆及 第十三次缔约方大会(曼谷，2004)上通过的 8.3号决议(第十三次缔约方大会修订)，认识对于到CITES附录物种的决定的实施需要考虑其对贫困人口生计的可能影响；

还**忆及** 15.5号决定要求常务委员会继续推进“CITES和生计工作组”，最终完成在国家层面快速评估公约附录清单决定的实施对贫困人口生计正面和负面影响的工具包和为缔约方解决负面影响的义务指南；

注意到 这两个文件都是由“CITES和生计工作组(第十六次缔约方大会第21号信息文件)”准备的;

认识到 公约列入的决定既不是乡村社区†生计问题的唯一原因，也不是唯一的解决办法，但是这些决定的有效实施能够为乡村社区的可持续生计提供部分解决办法，这一办法与里约+20会议的成果文件“我们期望的未来”第203段内容相一致；

欢迎 联合国大会采纳有关打击野生动植物走私的决议，该决议大力鼓励其成员国通过“促使野生动植物生境内外的社区全面参与保护和可持续利用，成为保护和可持续利用的积极伙伴，增强这些社区成员管理野生动植物和自然环境的权利、能力及收益；

也**欢迎** 联合国可持续发展峰会（纽约，2015年9月）采纳《改变我们的世界：2030年可持续发展议程，包括可持续发展目标》被采纳，它也被称为《可持续发展目标》（SDGs）。SDGs的17个可持续目标和169个具体指标大多与CITES公约相关，尤其，15.c号目标旨在“加强对于打击盗猎和走私受保护物种的全球支持，包括通过增加当地社区追求可持续生计机会的能力”，目标15.7号要求“采取紧急行动来终止盗猎和走私受保护的动植物种，同时应对非法野生动植物制品的供给和需求”，注意到《2030年可持续发展议程》及其《可持续发展目标》的整体及不可分割性；

进一步**欢迎** 联合国环境大会有关野生动植物非法贸易的1/3号决议和2/14号决议；

认识到 一些公约附录物种对贫困乡村社区来说可能有着经济、社会、文化和仪式上的重要意义；

认识到 在当地社区尤其是那些长期传统上依赖公约附录物种为生计来源的社区参与下，公约能更好地实施；

认识到 公约附录物种的列入可能通过长期的物种保护措施和减少不可持续和非法贸易，而对当地社区的生计带来好处；

也**认识到** 一些物种的列入(尤其是附录I物种的列入)可能会通过限制收入、就业和其他诸如食物、原料和药材等资源的可获得性，而对乡村社区的生计带来负面影响，但如果采取合适的实施策略，结果不一定都如此；并

认识到 生计问题和此决议的内容与附录修订的标准和非致危性判定的要求没有关系；

公约缔约方大会

1. **建议** 缔约方解决生计问题时，考虑以下方面：

* 经第十七次缔约方和第十八次缔约方大会修订

† 基于本决议的目的，乡村社区包括土著和当地社区。

关于增强乡村社区的能力

2. **鼓励** 缔约方在实施公约附录时同主要的利益相关方群体共同设计、实施和监测有效的措施，认识到：

   a) 解决办法通常是针对特定案例或特定场合有效的；

   b) 除非在注释中另外说明，修订的附录必须在缔约方大会通过的90天后生效。但是寻找合适的解决办法，来缓解对乡村社区生计的负面影响，可能需要更多的时间来落实，来改变相关的政策；

   c) 指导建议的形成是个不断发展的过程，随着具体影响方面知识的积累，不论是成功或失败的经历，都会影响指导建议，这意味着战略的监测和评价在寻求合适的实施战略和政策中占据首要地位；及

   d) 合适的，符合公约条款和国家法律、法规和政策的社区和传统知识应该被考虑；及

3. **认识到：**

   a) 乡村社区的授权在适当的情况下应该通过以下可能的途径予以鼓励：

      i) 鼓励 该缔约方管辖范围内的乡村社区在准备和提交修正附录，决议草案，决定草案和其他文件的提案以供缔约方大会会议审议时，及在审查其他缔约方提交的此类文件时参与国家进程；

      ii) 考虑在缔约方会议的正式国家代表团中，尽可能在缔约方认为必要的情况下，将其管辖范围内的乡村社区代表包括在内；

      iii) 增强乡村社区在国内与公约相关政策的制定和实施中的透明性和参与度；

      iv) 在公约执行和贸易相关活动中，使乡村社区的利益最大化，尤其是在支持减轻贫困领域；

      v) 推动由野生动植物主要利用者组成的协会，不论其具体如何定义；及

      vi) 认识到 资源使用权和所有权，及乡村社区中与公约附录物种相关的传统知识，均受到任何适用的国家或国际法律的限制；

   b) 公约附录的执行应当得到包括乡村社区在内的公众提高意识和教育相关项目的支持，以确保：

      i) 公约和相关法律的正面影响得到理解；

      ii) 保证公约附录物种得到保护，乡村社区参与的潜在益处得以实现；

      iii) 乡村社区支持旨在减少或消除公约附录物种的非法贸易的政策和活动；

   c) 鉴于一些物种的列入可能对乡村社区产生短期的负面影响，在适当的情况下应该采取缓解措施。这些措施可包括：

      d) 为公约物种列入后受到最严重影响的乡村社区提供包括短期资金支持等方面的帮助；及

      e) 为乡村社区提供替代方案，来加强公约物种列入决定的有效实施，例如：

         A 增加收入的途径，如为其生态系统服务付费、发展可持续的生态旅游、

增加生态旅游的就业机会或者护猎员；及

B 为生态旅游、狩猎、垂钓和捕猎发放许可证或赋予特许权；并开发替代产品；

关于扶持政策

4. **邀请** 缔约方在地区、区域、国家和国际层面的发展和保护机构中启动或加强合作伙伴关系，来增强：

   a) 野生动植物保护和乡村社区的资金支持；及

   b) 他们的工作同公约履约的互补性；

5. 邀请 缔约方寻求探索使用同公约条款一致的认证和原产地注册标记；及

6. 邀请 国际金融机构和合作机构在区域、国家和地方层面支持缔约方制定政策和发展相关机构，以应对物种列入附录对乡村社区的影响；

关于乡村社区参与打击野生动植物非法贸易

7. **敦促** 各缔约方：

   a) 遵循国际接受的《2030年可持续发展议程》，特别参照其目标15，加强对打击盗猎和走私受保护物种工作的全球支持，包括增加当地社区追求可持续生计机会的能力；

   b) 确保土著及当地社区的权利，支持有助于野生动植物保护的生计选择，将其作为不可分割的回应从而解决野生动植物非法贸易；

   c) 强化社区声音，积极支持它们围绕打击国际野生动植物非法贸易行动和围绕通过保护野生动植物以获取利益的行动来参与决策；

   d) 支持受国际野生动植物非法贸易影响的社区建立机制，使它们能相互学习，并能在国际政策论坛发声；

   e) 在应对国际野生动植物非法贸易中，通过鼓励社区、非政府保护组织、执法部门之间形成合作伙伴关系，建立和加强打击国际野生动植物非法贸易的合作伙伴关系；及

   f) 通过构建有关国际野生动植物非法贸易动机、驱动因素、动态及响应的知识和理解来加强社区参与的证据基础；

关于就地保护向迁地生产的可能转变

8. **认识到**：

   a) 迁地生产可能会导致乡村社区收入减少；

   b) 积极地激励就地生产系统可能会增加这些乡村社区的收益；及

   c) 出口国和进口国的合作可包括：

      i) 同就地和迁地生产者及贸易协会的合作；及

      ii) 保护和发展项目；

9. **建议** 缔约方采取缓解策略来解决涉及到公约附录物种的人与野生动植物的冲突问题；及

10. 还**建议** 缓解的行动不仅要考虑公约附录所列物种，也要考虑分布有这些物种的整个生态系统。

Conf. 16.6

CITES and livelihoods

(Rev. CoP18)*

RECALLING Resolution Conf. 8.3 (Rev. CoP13), adopted at the 13th meeting of the Conference of the Parties (Bangkok, 2004), where the Conference recognized that implementation of CITES-listing decisions should take into account potential impacts on the livelihoods of the poor;

RECALLING ALSO Decision 15.5 requesting the Standing Committee to continue the operation of its Working Group on CITES and Livelihoods and to finalize the toolkit for the rapid assessment at the national level of the positive and negative impacts of implementing CITES-listing decisions on the livelihoods of the poor, as well as voluntary guidelines for Parties to address the negative impacts;

NOTING that these two documents were prepared by the Working Group on CITES and Livelihoods (information document CoP16 Inf. 21);

RECOGNIZING that CITES-listing decisions are neither the sole cause of nor the sole solution to the livelihood problems of the rural communities[1], but that the effective implementation of such decisions can form part of a strategy to provide sustainable livelihoods for rural communities, consistent with paragraph 203 of the outcome document of the Rio+20 Conference *The Future We Want*;

WELCOMING the adoption by the United Nations General Assembly of the resolution on *Tackling illicit trafficking in wildlife*, which, among other things, strongly encourages Member States to support the livelihoods of rural communities through "the full engagement of the communities in and adjacent to wildlife habitats as active partners in conservation and sustainable use, enhancing the rights and capacity of the members of such communities to manage and benefit from wildlife";

WELCOMING also the adoption of *Transforming our world: the 2030 Agenda for Sustainable Development, including the Sustainable Development Goals*, also known as the Sustainable Development Goals (SDGs) with target adopted at the United Nations Sustainable Development Summit (New York, September 2015). Many of the 17 Goals and 169 Targets in the SDGs are relevant to CITES, but in particular, 15.c aimed to "enhance global support for efforts to combat poaching and trafficking of protected species, including by increasing the capacity of local communities to pursue sustainable livelihood opportunities" and Target 15.7 to "take urgent action to end poaching and trafficking of protected species of flora and fauna, and address both demand and supply of illegal wildlife products", mindful of the integrated and indivisible nature of the 2030 Agenda for Sustainable Development and its Sustainable Development Goals;

WELCOMING further United Nations Environment Assembly resolutions 1/3 and 2/14 on illegal trade in wildlife;

RECOGNIZING that poor rural communities may attach economic, social, cultural and ceremonial importance to some CITES-listed species;

RECOGNIZING that the implementation of CITES is better achieved with the engagement of rural communities, especially those which are traditionally dependent on CITES-listed species for their livelihoods;

RECOGNIZING that the implementation of CITES listings may enhance livelihoods by delivering long- term species conservation and reducing unsustainable and illegal trade;

RECOGNIZING ALSO that implementation of some listings (particularly Appendix-I listings) may impact livelihoods of rural communities by restricting access to income, employment and other resources, such as food, materials and medicines, but that it need not always do so if appropriate implementation strategies are adopted; and

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* *Amended at the 17th and 18th meetings of the Conference of the Parties.*

[1] *For the purpose of this Resolution, rural communities include indigenous and local communities.*

RECOGNIZING that livelihoods issues and the present Resolution do not pertain to the criteria for the amendment of the Appendices or the requirement to make non-detriment findings;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS the following to be considered when Parties address livelihood issues:

Regarding empowerment of rural communities

2. ENCOURAGES Parties to work with key stakeholder groups to design, implement and monitor effective strategies with regard to the implementation of CITES listings, recognizing that:

   a) solutions are likely to be case- and situation-specific;

   b) although amendments to the CITES Appendices must, unless indicated otherwise in an annotation, come into effect 90 days after their adoption by the Conference of the Parties, developing appropriate solutions to mitigate negative impacts on the livelihoods of rural communities may require more time to implement relevant policy changes;

   c) developing guidelines is an ongoing process as more knowledge is gained about specific impacts, and successful as well as unsuccessful experiences, which means that the monitoring and evaluation of strategies will be priority aspects in the development of appropriate implementation strategies and policies; and

   d) community and traditional knowledge should be considered, as appropriate and in accordance with the provisions of the Convention and national laws, regulations and policies; and

3. RECOGNIZES that:

   a) empowerment of rural communities should be encouraged through measures that may include, as appropriate:

      i) engaging rural communities in territories under the Party's jurisdiction, in national processes when preparing and submitting proposals to amend the Appendices, draft resolutions, draft decisions, and other documents for consideration at meetings of the Conference of Parties and when reviewing such documents submitted by other Parties;

      ii) considering including, as far as possible and as deemed necessary by the Party, representatives of rural communities in territories under the Party's jurisdiction in the official national delegations to meetings of the Conference of the Parties;

      iii) promoting transparency and participation of rural communities in the development and implementation of national CITES-related policies;

      iv) maximizing the benefits for rural communities of CITES implementation and trade concerned, in particular to support poverty eradication;

      v) promoting associations of primary users of wildlife, however they are defined; and

      vi) recognizing resource tenure and ownership, and traditional knowledge of or in rural communities associated with CITES-listed species, subject to any applicable national or international law;

   b) support for the implementation of CITES listings should be enhanced by public awareness and education, including programmes for rural communities, to ensure that:

      i) the positive aspects of CITES and related legislation are understood;

      ii) CITES-listed species are conserved, and potential benefits to rural communities realized; and

iii) communities support policies and activities designed to reduce or eliminate illegal trade in specimens of CITES-listed species; and

c) as implementation of some listings may have short-term negative impacts on rural communities, mitigation strategies should be adopted as appropriate. These strategies may include:

i) providing assistance, including short-term financial support, to rural communities most severely affected by the implementation of the CITES-listing decisions; and

ii) promoting alternatives to rural communities to enhance the effective implementation of CITES-listing decisions, for instance:

A income-generation approaches, such as payment for ecosystem services, sustainable tourism, employment in eco-tourism or as game wardens; and

B licences or concessions for tourism, hunting, fishing and harvesting; and the development of alternative products;

Regarding enabling policies

4. INVITES Parties to initiate or strengthen collaborative partnerships among local, regional, national and international development and conservation agencies to enhance:

a) financial support for wildlife conservation and rural communities; and

b) the complementarity of their work and CITES implementation;

5. INVITES Parties to explore the use of registered marks of certification and origin consistent with CITES provisions; and

6. INVITES international financial institutions and cooperation agencies to assist Parties in the development of supportive policies and institutions at the regional, national and local levels to address impacts of the implementation of listings on rural communities;

Regarding engagement of rural communities in combating illegal trade in wildlife

7. URGES Parties to:

a) in line with the internationally adopted 2030 Agenda for Sustainable Development and with specific reference to Goal 15, enhance global support for efforts to combat poaching and trafficking of protected species, including by increasing the capacity of local communities to pursue sustainable livelihood opportunities;

b) enable the rights of indigenous and local communities and support livelihood options contributing to the conservation of wildlife as an integral part of the response to address illegal trade in wildlife;

c) strengthen community voices, actively supporting them to be involved in decision-making surrounding action to combat international illegal trade in wildlife and to derive benefits from conserving wildlife;

d) support a mechanism for communities affected by international illegal trade in wildlife to learn from each other and to have their voices heard in international policy fora;

e) build and enhance partnerships to combat international illegal trade in wildlife through encouraging the development of partnerships between communities, conservation non-governmental organizations and law enforcement agencies in tackling international illegal trade in wildlife; and

f) strengthen the evidence base for community engagement through building knowledge and understanding about the motivations for, drivers of, dynamics of, and responses to illegal international trade in wildlife;

Regarding the potential shift from* in situ *to* ex situ *production

8. RECOGNIZES that:

   a) *ex situ* production may lead to loss of revenues for rural communities;

   b) positive incentives to promote *in situ* production systems may encourage benefits for these communities; and

   c) cooperation between exporting and importing countries may include:

      i) working with *in situ* and *ex situ* producers and trade associations; and

      ii) conservation and development projects;

9. RECOMMENDS that Parties adopt mitigation strategies for human-wildlife conflict with respect to CITES-listed species; and

10. RECOMMENDS ALSO that mitigation activities take into account not only CITES-listed species but also the whole ecosystem that contains them.

Conf. 16.7(Rev. CoP17)*

非致危性判定

认识到 按照公约第三、四条要求，仅当出口国的科学机构认为附录Ⅰ和附录Ⅱ所列物种标本的出口不致危害该贸易物种的生存时(按照一项被称为非致危性判定的判决)，方可发放该物种标本的出口许可证；

也**忆及** 第四条第3款要求每一个缔约方的科学机构对附录II物种的出口进行监测，并每当必要时建议其管理机构采取适当的措施以限制此类出口，以便使该物种在其整个分布区内保持在与其生态系统中作用相一致、且远高于会使该物种符合附录Ⅰ标准的水平；

注意到 在Conf.14.7(Rev. CoP15)号决议国家制定出口限额的管理中，缔约方大会建议，当缔约方制定国家自愿出口限额时，缔约方应该在由其科学机构完成的非致危性判定的基础上进行；

进一步**忆及** 在Conf.10.3号决议科学机构的指定和作用中建议下的第c)款和第h)款；

忆及 公约第四条第2款(a)项、第3款和第6款(a)项的规定的有效执行将消除按照Conf. 12.8 (Rev. CoP17)号决议(附录II所列物种标本的重要贸易的回顾)采取行动的必要；

注意到 由于附录Ⅰ和附录Ⅱ所列物种的分类单元、生活型与生物特征的多样性，科学机构可通过多种方式做出非致危性判定；

意识到 在做出有科学基础的非致危性判定时缔约方所要面对的挑战，意识到此判定指导原则与经验的共享将会增进公约第三、四条的执行；

认识到 关于CITES非致危性判定的国家性、区域性及国际性研讨会(在中国、多明尼加共和国、印度尼西亚、科威特、墨西哥、尼泊尔、秘鲁及其他国家)的成果，由世界自然保护联盟(IUCN)提供给CITES科学机构的指引和其他能力建设研讨会；

重申 在第十六次缔约方大会 (曼谷，2013) 通过，并经第十七次缔约方大会 (约翰内斯堡，2017) 修订的Conf. 16.3 (Rev.CoP17)号决议中CITES公约战略愿景：2008-2020里的目标1.5，即尽可能多的可用科学信息是非致危性判定的基础；

公约缔约方大会

1. 建议：

a) 在判断贸易是否会危害某物种的生存时，科学机构应考虑下述概念和非约束性指导原则：

   i) 对附录Ⅰ和附录Ⅱ物种的非致危性判定是以科学为基础的评估结果，该评估可证实一项拟实施的出口是否会危害该物种的生存；

   ii) 科学机构应考虑是否能保持该物种在分布区内与它在生态系统中的作用水平相一致；

   i) 在做出非致危性判定时，对于物种的脆弱性(内在和外在的增加物种灭绝风险的因素)，科学机构应考虑合法和非法贸易(已知的、推断的、预计的、估计的)数量；

   iv) 贸易对该物种的非致危性判定所需的数据应与该物种的脆弱性相称；

* 经第十七次缔约方大会修订。

v) 有效非致危性判定的做出依赖于相关物种的正确鉴定和将被出口的是否该物种的确认；

vi) 进行非致危性判定的方法应反映出标本的来源和类型，以致对已知是非野外来源的标本进行非致危性判定的方法可能没有对野外来源的标本进行非致危性判定的方法严格；

vii) 使用的方法应足够灵活，以顾及不同分类单元的具体个体特征的考虑；

i) 适应性管理的执行，包括监测，在非致危性判定中是一项重要的考虑事项；

ii) 非致危性判定是以资源评价方法为基础，这些方法可包含，但并不限于以下考虑事项：

A. 物种生物学和生活史特征；

B. 物种分布——历史的及现在的；

C. 种群结构、状态及变化趋势(采集区、国家和国际的)；

D. 威胁；

E. 基于所有信息综合的历史及现在的特定物种的采集强度、死亡率(如年龄、性别)水平和模式；

F. 现有的及拟议的管理措施，包括适应性管理策略及对执行程度的考虑；

G. 种群监测，及

H. 保护状态，及

iii) 进行非致危性判定时可考量的信息来源包括但不限于：

A. 包含物种生物学、生活史、分布和种群趋势的相关科学文献；

B. 所有生态风险评估的细节；

C. 对采集地和禁止采集及其他影响的地区的科学调查，及；

D. 区域群落和原生群落的相关知识和专业知识；

E. 向当地的、区域的和国际专家进行的咨询；

F. 国家和国际贸易信息，如可通过由 UNEP 世界保护监测中心(UNEP-WCMC)支持的 CITES 贸易数据库，贸易方面的出版物，当地关于贸易的知识和市场销售的或例如网络的调查获得的信息，及；

b) 科学机构将文档AC26/PC20 Doc. 8.4的附件中的信息及可在CITES网页上获取的所有后续更新内容作为进行非致危性判定的参考；

2. **鼓励** 缔约方：

a) 发展更多的非致危性判定方法；

b) 通过适当的地区或次区域研讨会，共享非致危性判定的经验和方法案例，并通报秘书处；

c) 要求秘书处在 CITES 网站上提供这些案例；

d) 在科学机构非致危性判定评估中就以科学为基础的基本原理做出书面记录；

e) 如 CITES 网站上可以发布，则尽可能将用于非致危性判定评估的科学原理和科学信息的书面记录发送给秘书处；及

f) 每当收到请求时，为发展中国家提供合作帮助，提升其在明确需求基础上进行非致危性判定的能力，及；

3. **指示** 秘书处：

a) 在 CITES 网站上为非致危性判定保持一醒目的版块并且定期更新来自动物植物委员会、缔约方和其他来源的信息；

b) 在 CITES 网站上执行用户友好的机制，该机制可使缔约方轻松地提交可被考虑显示在网页上的相关信息；

c) 保证该信息在 CITES 虚拟学院的合适版块可被获取；及

d) 协助确定可能的资金来源，帮助缔约方执行与非致危性判定相关的能力建设活动。

Conf. 16.7 Non-detriment findings

(Rev. CoP17)*

RECOGNIZING that, in accordance with Articles III and IV of the Convention, export permits for specimens of species included in Appendices I and II shall be granted only when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of the species (following a determination known as a 'non-detriment finding');

RECALLING that Article IV, paragraph 3, requires a Scientific Authority of each Party to monitor exports of specimens of Appendix-II species and, whenever necessary, to advise the Management Authority of suitable measures to be taken to limit such exports in order to maintain such species throughout their range at a level consistent with their role in the ecosystems and well above the level at which they would qualify for Appendix I;

NOTING that, in Resolution Conf. 14.7 (Rev. CoP15) on *Management of nationally established export quotas*, the Conference of the Parties recommends that, when Parties establish national voluntary export quotas, they do so on the basis of a non-detriment finding made by their Scientific Authority;

RECALLING further subparagraphs 2 c) and h) in Resolution Conf. 10.3 on *Designation and role of the Scientific Authorities*;

RECALLING that the effective implementation of Article IV, paragraphs 2 (a), 3 and 6 (a), of the Convention prevents the need to take actions in accordance with Resolution Conf. 12.8 (Rev. CoP18)[1] on *Review of Significant Trade in specimens of Appendix-II species*;

NOTING that because of the great variety of taxa, life forms and biological characteristics of species included in Appendices I and II, there are various ways a Scientific Authority can make non-detriment findings;

AWARE of the challenges that Parties face when making scientifically-based non-detriment findings, and that the sharing of guiding principles and experience for making such findings would improve implementation of Articles III and IV of the Convention;

RECOGNIZING the outputs of the national, regional and international workshops on CITES non-detriment findings (in China, the Dominican Republic, Indonesia, Kuwait, Mexico, Nepal, Peru and other countries), the guidance for CITES Scientific Authorities produced by the International Union for Conservation of Nature (IUCN), and other capacity-building workshops; and

REAFFIRMING Objective 1.5 of the *CITES Strategic Vision: 2008-2020* in Resolution Conf. 16.3 (Rev. CoP17), adopted by the Conference of the Parties at its 16th meeting (Bangkok, 2013) and amended at its 17th meeting (Johannesburg, 2016), that the best available scientific information is the basis for non-detriment findings;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that:

   a) Scientific Authorities take into account the following concepts and non-binding guiding principles in considering whether trade would be detrimental to the survival of a species:

* *Amended at the 17th meeting of the Conference of the Parties.*

[1] *Corrected by the Secretariat following the 18th meeting of the Conference of the Parties.*

i) a non-detriment finding for an Appendix-I or -II species is the result of a science-based assessment that verifies whether a proposed export is detrimental to the survival of that species or not;[1]

ii) Scientific Authorities should consider whether the species would be maintained throughout its range at a level consistent with its role in the ecosystems in which it occurs;

iii) in making a non-detriment finding, Scientific Authorities should consider the volume of legal and illegal trade (known, inferred, projected, estimated) relative to the vulnerability of the species (intrinsic and extrinsic factors that increase the risk of extinction of the species);

iv) the data requirements for a determination that trade is not detrimental to the survival of the species should be proportionate to the vulnerability of the species concerned;

v) the making of an effective non-detriment finding relies upon a correct identification of the species concerned and verification that it is specimens of this species that are to be exported;

vi) the methodology used to make a non-detriment finding should reflect the origin and type of specimen, such that the method used to make a non-detriment finding for a specimen known to be of non-wild origin may be less rigorous than that for a specimen of wild origin for example;

vii) the methodology used should be flexible enough to allow for consideration of the specific and individual characteristics of different taxa;

viii) the implementation of adaptive management, including monitoring, is an important consideration in the making of a non-detriment finding;

ix) the non-detriment finding is based on resource assessment methodologies which may include, but are not limited to, consideration of:

   A. species biology and life-history characteristics;

   B. species range (historical and current);

   C. population structure, status and trends (in the harvested area, nationally and internationally);

   D. threats;

   E. historical and current species-specific levels and patterns of harvest and mortality (e.g. age, sex) from all sources combined;

   F. management measures currently in place and proposed, including adaptive management strategies and consideration of levels of compliance;

   G. population monitoring; and

   H. conservation status; and

x) the sources of information that may be considered when making a non-detriment finding include but are not limited to:

   A. relevant scientific literature concerning species biology, life history, distribution and population trends;

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[1] *In considering whether an export may be detrimental, the sustainability of the overall harvest will usually be a necessary consideration.*

B. details of any ecological risk assessments conducted;

C. scientific surveys conducted at harvest locations and at sites protected from harvest and other impacts; and

D. relevant knowledge and expertise of local and indigenous communities;

E. consultations with relevant local, regional and international experts; and

F. national and international trade information such as that available via the CITES trade database maintained by UNEP World Conservation Monitoring Centre (UNEP-WCMC), publications on trade, local knowledge on trade and investigations of sales at markets or through the Internet for example; and

b) Scientific Authorities consider, as a reference for making non-detriment findings, the information included in the Annex to document AC26/PC20 Doc. 8.4 and any subsequent updates available on the CITES website[1];

2. ENCOURAGES Parties:

a) to explore methods for making non-detriment findings;

b) to share experiences and examples of ways of making non-detriment findings, including through appropriate regional or subregional workshops, and communicate them to the Secretariat;

c) to request the Secretariat to make available these examples on the CITES web site;

d) to maintain written records of the science-based rationale included in the Scientific Authorities' non-detriment finding assessments;

e) to provide to the Secretariat for publication on the CITES website, where they exist, written records of the science-based rationales and scientific information used for non-detriment finding assessments, where possible, and

f) to offer, on request, cooperative assistance to developing countries, for improvement of capacity to make non-detriment findings, based on nationally identified needs. Such cooperative assistance could take multiple forms, including financial and technical support; and

3. DIRECTS the Secretariat:

a) to maintain a prominent section for non-detriment findings on the CITES website and to update it regularly with information from the Animals and Plants Committees, Parties and other sources;

b) to implement a user-friendly mechanism on the CITES website that would allow Parties to easily submit relevant information to be considered for inclusion in the website;

c) to ensure that this information is accessible in the appropriate sections of the CITES Virtual College; and

d) to assist in identifying possible funding sources to help Parties implementing capacity-building activities related to the making of non-detriment findings.

[1] *See: http://www.cites.org/eng/prog/ndf/index.php.*

Conf. 16.8(Rev. CoP17)*

乐器的频繁非商业性跨境转移

忆及 公约第七条第2款规定，如果标本是在本公约的规定对其生效前获得的，并具有管理机构为此签发的证明书，则公约第三条、第四条和第五条的规定不适用于这些标本；

忆及 公约第七条第3款规定，除特定情况外，公约第三条、第四条和第五条的规定不适用于个人或家庭财产；

认识到 因为公约第七条第3款并未就“个人或家庭财产”的术语给出定义，缔约方通过了关于个人和家庭财产贸易控制的Conf. 13.7(Rev. CoP17)号决议，对此术语作出定义。该决议在第十三次缔约方大会(曼谷，2004)上通过，并在第十四、十六和十七次缔约方大会(海牙，2007；曼谷，2013；约翰内斯堡，2016)上修订；

注意到 根据Conf. 13.7(Rev. CoP17)号决议，缔约方同意除特定情况外，对属于附录Ⅱ物种的死体、部分或衍生物的个人或家庭财产，不需要核发出口许可证或再出口证明书；

认识到 由于采取了更严格的国内措施或者其他规定，许多缔约方并未完全实行公约第七条第3款和Conf. 13.7(Rev. CoP17)号决议所规定的个人和家庭财产豁免政策。这就在可能符合豁免条件时，给频繁跨越国际边境转移公约附录物种制成乐器的个人带来行政负担；

认识到 依照有关许可证和证明书的Conf. 12.3 (Rev. CoP17) 号决议第六节，缔约方同意为展览目的频繁跨境转移标本核发巡回展出证明书。该决议在第十二次缔约方大会 (圣地亚哥，2002) 上通过，并在第十三、十四、十五、十六和十七次缔约方大会 (曼谷，2004；海牙，2007；多哈，2010；曼谷，2013；约翰内斯堡，2016) 上修订；

意识到 频繁跨越国际边境转移公约附录物种制成的乐器可能出于多种合法的非商业性目的，包括但不限于个人使用、表演、展示或参赛；

注意到 依照Conf. 12.3(Rev. CoP17)号决议的规定，可以为跨越国际边境转移乐器的博物馆、乐团或其他类似的展览会核发巡回展出证明书，以加快运转过程；

注意到 如果依照公约第四条、第五条和第七条的规定，为出于非商业目的频繁跨越国际边境转移乐器反复颁发许可证和证明书，会带来技术和行政性质的问题。但是，密切监测此类转移以防止违法活动是必要的；

希望 公约规定的豁免不被用来规避对附录物种所制成标本的国际贸易的必要控制；

认识到 公约第十四条1a项阐明，本公约的规定将不影响缔约方有权对附录I、附录II或附录III物种标本的贸易、取得、占有或转移采取更严格的国内措施或完全予以禁止；

认识到 含有公约所列物种成分的古老乐器通常由于其年代、艺术品质和经济价值而成为国家文化瑰宝；

认识到 为参加现场音乐会和其他演出，专业音乐工作者通常从一些机构或博物馆租赁乐器，与乐队、乐团和团体一道赴海外进行演奏；

忆及 关于个人和家庭财产贸易控制的Conf. 13.7 (Rev. CoP17) 号 决议；及

认识到 当个人出于演出或参赛目的，与一件从机构、个人或博物馆租借来的合法获得的

* 经第十七次缔约方大会修订。

乐器一同旅行时，这件乐器可能符合Conf. 13.7 (Rev. CoP17) 号决议规定的个人财产豁免要求。但进一步注意到，此项豁免仅适用于这件乐器被随身携带或放置在个人行李中、出口和再出口到该乐器的常在国，且在该乐器常在国之外不能出售或准备出售；

公约缔约方大会

1. 建议 除了在其列入附录之后获得的附录Ⅰ标本，非商业性跨境运转来源于 CITES 物种的乐器：

a) 对于公约前所获的附录Ⅰ、附录Ⅱ或附录Ⅲ的个人拥有的乐器，或含有列入生效日期之后获得的附录Ⅱ或附录Ⅲ物种标本成分的个人拥有的乐器(“个人财产”)，缔约方应核发乐器证明书，以便利包括但不限于个人使用、表演、展示或参赛等非商业性目的乐器的频繁跨境运转；

b) 公约管理机构只有认为所生产乐器的公约标本是在没有违反公约规定的情况下获得的，才能核发乐器证明书；

c) 公约管理机构应要求申办乐器证明书的申请人提供姓名、地址及及乐器的相关信息，包括乐器生产所使用的物种及识别的方法，如生产商的姓名或序列号或其他识别方法；

d) 应在根据以上第 a)段所述证明书的第 5 栏或其他栏内，如未使用 Conf. 12.3 (Rev. CoP16) 号决议所述标准格式的话，注明如下语言：“本证明书允许多次跨境转移所列标本，其所列标本只限非商业性使用，不能在持证者常住国之外进行出售、贸易或其他方式的处置”；

e) 如因出售、被盗或损毁，该证明书的持证人不再拥有乐器证明书所列的乐器，该乐器证明书正本应立即返还给签发机构；

f) 为乐器所核发的乐器证明书的有效期最长为 3 年，允许多次进口、出口或再出口该乐器；

g) 有关缔约方应视每一份乐器证明书为允许所列明乐器非商业性跨境转移的一种护照。当其正本出示给适宜的边境控制官员时，其应：

   i) 检查正本并用印章、签名和日期使其生效，显示出国与国之间的转移历史；并

   ii) 在边境不收集正本，允许其与标本同行；

h) 有关缔约方可要求对乐器进行适当地识别并将识别标记或乐器的详细描述注明在乐器证明书上，以便输入乐器的缔约方当局能够核实证明书与所列乐器的一致性；

i) 当在一国停留时，某个乐器的乐器证明书遗失、被窃或意外被毁，只有签发该文件的管理机构可以签发一份副本。如果可能的话，该副本应与原件的编号、有效期截止日相同；但应有新的签发日期并含以下声明：“本证明书为原件的真实副本”；

j) 根据第 a)段和第 d)段的规定，该乐器不得在其通常的保存国之外进行出售或以其他方式转让；

k) 乐器证明书有效期次满之前，其所列明的乐器应返回到通常的保存国；缔约方不得为有效期已次满但仍滞留在通常的保存国之外的乐器变更或换发乐器证明书；及

i) 缔约方应保存依照本决议所签发乐器证明书的数量记录；如有可能，还应将证明书编号、所涉物种的学名收录到年度报告中。

2. **建议** 对符合个人和家庭财产贸易控制的 Conf. 13.7 (Rev. CoP17) 号决议的含 CITES 所列物种标本成分的乐器，缔约方不需要签发出口许可证或再出口证明书；

3. **鼓励** 所有缔约方执行本决议的程序并确保其海关官员知晓；及

4. **鼓励** 对 CITES 所列物种采取更严格国内措施的缔约方，考虑简化程序的措施，为含此类物种标本的乐器签发 CITES 文件。

Conf. 16.8

Frequent cross-border non-commercial movements of musical instruments

(Rev. CoP17)*

RECALLING that Article VII, paragraph 2, of the Convention provides that the provisions of Articles III, IV and V shall not apply to specimens that were acquired before the provisions of the Convention applied to those specimens, where the Management Authority issues a certificate to that effect;

RECALLING that Article VII, paragraph 3, of the Convention provides that, other than in certain circumstances, the provisions of Articles III, IV and V shall not apply to specimens that are personal or household effects;

RECOGNIZING that, because the Convention does not define the term 'personal or household effects' in Article VII, paragraph 3, the Parties adopted Resolution Conf. 13.7 (Rev. CoP17) on *Control of trade in personal and household effects* to define the term at the 13th meeting of the Conference of the Parties (Bangkok, 2004) and revised it at the 14th, 16th and 17th meetings (The Hague, 2007; Bangkok, 2013; Johannesburg, 2016);

NOTING that, under Resolution Conf. 13.7 (Rev. CoP17), Parties agreed to not require export permits or re-export certificates for personal or household effects that are dead specimens, parts or derivatives of Appendix-II species except under certain circumstances;

RECOGNIZING, however, that many Parties do not fully implement the personal and household effects exemptions in Article VII, paragraph 3, and Resolution Conf. 13.7 (Rev. CoP17), owing to stricter domestic measures or other provisions, resulting in administrative burdens for individuals who frequently move musical instruments manufactured from species listed in the Appendices to the Convention across international borders when they might otherwise be exempt from documentation requirements under the Convention;

RECOGNIZING that, under section VII of Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*, adopted at the 12th meeting of the Conference of the Parties (Santiago, 2002) and revised at the 13th, 14th, 15th, 16th, 17th and 18th meetings (Bangkok, 2004; The Hague, 2007; Doha, 2010; Bangkok, 2013; Johannesburg, 2016; Geneva, 2019), the Parties agreed that frequent cross-border movement of specimens used for exhibition purposes could be issued a travelling-exhibition certificate;

AWARE that musical instruments manufactured from species listed in the Appendices to the Convention may be frequently moved across international borders for a variety of legitimate non- commercial purposes, including but not limited to personal use, performance, display or competition;

NOTING that museums, orchestras or other such exhibitions moving musical instruments across international borders could be issued a travelling-exhibition certificate under Resolution Conf. 12.3 (Rev. CoP18) to facilitate such movement;

NOTING that the repeated granting of permits and certificates under Articles IV, V or VII of the Convention for musical instruments that are frequently moved across international borders for non- commercial purposes poses problems of a technical and administrative nature, but that such movement needs to be monitored closely to prevent illegal activities;

DESIRING that exemptions provided by the Convention not be used to avoid the necessary measures for the control of international trade in specimens crafted from species listed in the Appendices;

RECOGNIZING that Article XIV, paragraph 1 (a), of the Convention states that the provisions of the Convention shall in no way affect the right of Parties to adopt stricter domestic measures regarding the conditions of trade, taking, possession or transport of specimens of species included in Appendices I, II or III, or the complete prohibition thereof;

* *Amended at the 17th meeting of the Conference of the Parties.*

RECOGNIZING that old musical instruments containing specimens of CITES-listed species often are national cultural treasures due to their age, artistic quality and economic value;

RECOGNIZING that musical instruments are often owned by institutions or museums and loaned out to individual professional musicians playing with orchestras, music ensembles and groups taking part in overseas tours for the purpose of live concerts and other performances;

RECALLING Resolution Conf. 13.7 (Rev. CoP17) on *Control of trade in personal and household effects*; and

RECOGNIZING that when an individual travels with a legally acquired musical instrument that has been properly loaned by an institution, person or museum for purposes of performance or competition, the instrument may qualify for a personal effects exemption, consistent with Resolution Conf. 13.7 (Rev. CoP17). Further note that this exemption only applies when the musical instrument is carried or included in personal baggage of the individual for both export and re-export to the State where the instrument is normally held, and will not be sold or offered for sale while outside the State where the instrument is normally held;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that for non-commercial cross-border movement of musical instruments derived from CITES species, other than Appendix-I specimens acquired after the species was included in the Appendices:

   a) Parties issue a musical instrument certificate for a pre-Convention Appendix-I, -II or -III musical instrument or for a musical instrument containing specimens of Appendix-II or -III species acquired after the effective listing date, to facilitate the frequent non-commercial cross-border movement of musical instruments for purposes including, but not limited to, personal use, paid or unpaid performance, display or competition;

   b) a competent CITES authority only issue a musical instrument certificate when it is satisfied that the CITES specimens used in the manufacture of the musical instrument have not been acquired in contravention of the provisions of the Convention;

   c) the competent CITES authority require the applicant for a musical instrument certificate to provide their name and address and pertinent data regarding the musical instrument, including the species used to manufacture the instrument, and a means of identification, such as the manufacturer's name or serial number or other means of identification;

   d) the certificate issued in accordance with subparagraph 1 a) above include in box 5, or in another box if the standard form referred to in Resolution Conf. 12.3 (Rev. CoP18) is not used, the following language: "The specimen covered by this certificate, which permits multiple cross-border movements, is for non-commercial use and may not be sold, traded or otherwise disposed of outside the certificate holder's State of usual residence";

   e) when a musical instrument that is the subject of a musical instrument certificate issued pursuant to this Resolution is no longer in the possession of the individual to whom the certificate was issued (e.g. owing to sale, theft or destruction), the original musical instrument certificate be immediately returned to the issuing competent CITES authority;

   f) a musical instrument certificate issued for a musical instrument be valid for a maximum period of three years to allow multiple imports, exports and re-exports of the instrument;

   g) the Parties concerned treat each musical instrument certificate as a type of passport that allows the non-commercial movement of the identified musical instrument across their borders upon presentation of the original musical instrument certificate to the appropriate border control officer who:

      i) inspects the original and validates it with an ink stamp, signature and date to show the history of movement from State to State; and

      ii) does not collect the original at the border, but allows it to remain with the specimen;

h) the Parties concerned require that the musical instrument be appropriately identified and that the identification mark or a detailed description of the instrument be included on the musical instrument certificate so that the authorities of the State into which the musical instrument enters can verify that the certificate corresponds to the musical instrument in question;

i) when, during a stay in another State, a musical instrument certificate for a musical instrument is lost, stolen or accidentally destroyed, only the Management Authority that 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, but will bear a new date of issuance and include the following statement: "This certificate is a true copy of the original";

j) in accordance with subparagraphs 1 a) and d) above, the musical instrument not be sold or otherwise transferred while outside of the State where the instrument is normally held;

k) musical instruments for which musical instrument certificates have been issued be returned to the State where the instrument is normally held before the expiration of the certificate, and that Parties not replace or re-issue musical instrument certificates that expire while the musical instrument is outside the State where the instrument is normally held; and

l) Parties maintain records of the number of musical instrument certificates issued under this Resolution and, if possible, include the certificate numbers and the scientific names of the species concerned in their annual reports;

2. RECOMMENDS Parties not to require a CITES export permit or re-export certificate for a musical instrument containing specimens of CITES-listed species where consistent with Resolution Conf. 13.7 (Rev. CoP17) on *Control of trade in personal and household effects;*

3. ENCOURAGES all Parties to implement the procedures in this Resolution and to ensure that their customs officials are aware of them; and

4. ENCOURAGES Parties that have introduced stricter domestic measures for CITES listed species to consider measures to streamline processes for issuance of CITES documents for musical instruments containing specimens of those species.

Conf. 16.9

非洲象行动计划和非洲象基金

关注 非洲象面临着无数、严重和持续的威胁，包括非法象牙贸易、人象冲突和栖息地丧失，局面前所未有；

意识到 在非洲象的全部分布区，这些威胁导致了严重和致命的影响；

决定 采取紧急、有效和及时的行动来减少对象的非法捕杀；

认识到 第十四次缔约方大会(海牙，2007)要求非洲象分布国制定“非洲象行动计划”；

意识到 在第十五次缔约方大会(多哈，2010)间，“非洲象行动计划”获得了全部37个非洲象分布国协商一致确定和批准；

意识到 “非洲象行动计划”包含相关和优先排序的多项目标，用以在非洲象的所有分布区减低其所面临的威胁水平和确保其持续的生存；

认识到 国家生物多样性战略和行动计划(NBSAPs)是有关《生物多样性公约》执行的伙伴框架；

还**认识到** 由联合国环境规划署(UNEP)主持设立的“非洲象基金”作为一个多方捐助的技术信托基金，可为“非洲象行动计划”的有效执行吸引资金和直接资源

认识到和**赞赏** CITES秘书处为完成“非洲象行动计划”所给予的支持和IUCN/SSC非洲象专家组为设立“非洲象基金”所给予的支持；

赞赏 联合国环境规划署执行主任承担非洲象基金指导委员会秘书处工作的决定；

还**认识到** 为能够有效执行“非洲象行动计划”筹集资金的急迫性；

赞扬 已为“非洲象基金”作出贡献的所有捐助者；

意识到 为执行“非洲象行动计划” 已开始支付资金；

公约缔约方大会

鼓励 非洲象分布国在国家和区域的财政计划中，如通过国家生物多样性战略和行动计划(NBSAPs)，优先给予“非洲象行动计划”支持；

邀请 与生物多样性有关的多边环境协议，特别是保护迁徙野生动物物种公约(CMS)，通过与非洲象分布国的有效伙伴关系，支持“非洲象行动计划”的执行；

邀请 所有缔约方、捐助者、政府间组织、非政府组织和其他利益相关者，作为一项紧急事务，支持“非洲象行动计划”的执行和向“非洲象基金”捐助资金；

敦促 所有缔约方、捐助者、政府间组织、非政府组织，作为一项紧急事务，向非洲象基金指导委员会和非洲象分布国提供实物支持，包括翻译；

要求 CITES秘书处和UNEP将为执行“非洲象行动计划”的募捐宣传作为其日常募捐活动的一部分。

Conf. 16.9 African Elephant Action Plan and African Elephant Fund

CONCERNED that African elephants face numerous, serious and ongoing threats on an unprecedented scale, including illegal ivory trade, human-elephant conflict and habitat loss;

AWARE that these threats are having a serious and detrimental impact on African elephants across their range;

DETERMINED to take urgent, effective and timely action to reduce the illegal killing of elephants;

RECOGNIZING that, at its 14th meeting (The Hague, 2007), the Conference of the Parties directed the African Elephant Range States to create an *African Elephant Action Plan*;

AWARE that the *African Elephant Action Plan* was finalized and approved as a consensus document by all 37 African Elephant range States in the margins of the 15th meeting of the Conference of the Parties (Doha, 2010);

AWARE that the *African Elephant Action Plan* contains related and prioritized Objectives designed to reduce the level of threat facing African elephants and ensure their continued survival across their range;

RECOGNIZING the National Biodiversity Strategies and Action Plans (NBSAPs) processes as a participative framework for implementation of biodiversity-related conventions;

RECOGNIZING also that an African Elephant Fund has been established as a multi-donor technical trust fund under the auspices of the United Nations Environment Programme (UNEP) to attract funding and direct resources for effective implementation of the *African Elephant Action Plan*;

RECOGNIZING and APPRECIATING the support provided by the CITES Secretariat and the IUCN/SSC African Elephant Specialist Group, in developing the *African Elephant Action Plan* and in establishing and promoting the African Elephant Fund;

APPRECIATING the decision by the Executive Director of UNEP to serve as the secretariat for the African Elephant Fund Steering Committee;

RECOGNIZING also the urgent need to raise funds to enable the effective implementation of the

African Elephant Action Plan;

COMMENDING all donors that have so far contributed to the African Elephant Fund;

AWARE that disbursement of funds for implementation of the *African Elephant Action Plan* has commenced;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. ENCOURAGES the African elephant range States to prioritize support to the African Elephant Fund within their national or regional funding strategies, for example through their NBSAPs;
2. INVITES biodiversity-related multilateral environmental agreements, in particular the Convention on the Conservation of Migratory Species of Wild Animals, to support the implementation of the *African Elephant Action Plan* through effective partnerships with African elephant range States;
3. INVITES all Parties, donors, intergovernmental organizations, non-governmental organizations and other stakeholders, as a matter of urgency, to support the implementation of the *African Elephant Action Plan* and to provide financial contributions to the African Elephant Fund;
4. URGES all Parties, donors, intergovernmental organizations and non-governmental organizations, as a matter of urgency, to provide in-kind support, including translation, to the African Elephant Fund Steering Committee and the African elephant range States;
5. REQUESTS the CITES Secretariat and UNEP to promote fundraising for the implementation of the *African Elephant Action Plan* as part of their overall fundraising initiatives;

6. FURTHER REQUESTS the Executive Director of UNEP to explore opportunities for partnerships with ongoing UNEP projects and programmes to support the African elephant range States in the implementation of the *African Elephant Action Plan*; and

7. URGES UNEP to ensure that it provides the necessary support to the African Elephant Fund Steering Committee, including serving as Secretariat to the fund through appropriate modalities to be agreed by UNEP and the Steering Committee.

Conf. 16.10

产沉香分类单元的履约

认识到 第十一次缔约方大会(吉吉里，2000)通过的，并经第十三、十四、十五、十七和十八次缔约方大会(曼谷，2004；海牙，2007；多哈，2010；约翰内斯堡，2016；日内瓦，2019)修订的的Conf. 11.11 (Rev. CoP18)号有关植物贸易规定决议，提供了“人工培植”的定义；

还认识到 Conf. 10.13 (Rev. CoP18)*号有关树木物种履约的决议，进一步澄清了该定义如何适用于人工种植所获标本的问题；

承认 列入附录II的产沉香物种系指沉香属(*Aquilaria* spp.)和拟沉香属(*Gyrinops* spp.)植物；

注意到 这些物种的国际贸易通常限于其树脂，其他的衍生物则较为少见；

意识到 沉香贸易所使用的树脂是通过特定组织的感染产生的，因此，活立木蓄积量与产生的树脂量并不相等；

承认 某些树木物种较易人工培植，并可通过人为操控产生沉香树脂；

认识到 产沉香物种履约研讨会(科威特，2011年10月3—6日)和野外与人工种植沉香管理亚洲区域研讨会(印度尼西亚，邦加登加，2011年11月22—24日)所取得的成果；

考虑到 目前第Conf. 11.11 (Rev. CoP18)号决议中“人工培植”的定义不适用于树木的人工种植；

认识到 对于人工培植的植物种，及该物种的部分，应适用公约第七条第5)款的规定；

认识到 分布国实施沉香的非致危性判定(NDFs)可能有不同的程序，最适合其本国的适应性管理；

认识到 沉香的管理可通过产沉香物种标本的分布国、出口国和进口国所采取的措施与合作获得改善；

公约缔约方大会

关于人工培植的植物

1. 同意：

a) 因“控制条件下”的术语定义和亲本的来源不适用于及不完全符合产沉香分类单元的人工种植实际，现有第 Conf. 11.11 (Rev. CoP18)号决议中的“人工培植”定义不满足产沉香分类单元的情况；及

b) 根据第 Conf. 11.11 (Rev. CoP18)号决议中的“培植亲本”定义，培植产沉香物种所需要的种子或者繁殖体可以从野外获得。

2. 通过 本决议所使用的以下术语定义：

对于产沉香分类单元，“控制条件下”是指树木的人工种植环境，包括出于生产植物或者其部分和衍生物的目的，以人为干预方式操控的其他非自然环境；

* 由秘书处在第十八次缔约方大会后修正(日内瓦, 2019).

3. **决定** 对于沉香植物标本，术语“人工培植”应当解释为：

a) 在控制条件下生长；并且

b) 由种子、幼苗、幼树、插条、嫁接体、压条/空中压条、分株、愈伤组织或者其他植物繁殖体长成，或者根据第 Conf. 11.11 (Rev. CoP18) 号决议中的“培植亲本”定义，由来源于野外或者培植亲本的繁殖体长成；

4. **同意** 生长于如下培植环境的产沉香分类单元的树木：

a) 花园(家庭和/或社区花园)；及

b) 国有、私人或社区的生产种植园，不论是单一树木物种还是混交树木物种；

根据以上定义，应当被视为人工培植；

关于非致危性判定(NDF)

5. **鼓励** 分布国在对野外获得的产沉香分类单元标本作出非致危性判定时，使用沉香非致危性判定指南作为参考。该指南应当公布于秘书处网站，并在必要时进行更新；

6. **指示** 缔约方和秘书处在能力建设研讨会和相关培训材料中使用沉香非致危性判定指南；

关于管理和贸易控制

7. **鼓励** 分布国建立人工培植沉香树木的登记系统；

8. **建议** 出口国建立沉香纯净油或混合油出口商的登记系统。出口国应当将所使用的标签样本和相关出口商的名单通告秘书处，再以通知的形式通告各缔约方；及

9. **鼓励** 缔约方在查验和控制沉香产品标本时，使用植物委员会第20次会议(日内瓦和都柏林，2012年3月)通过的术语表，见第CoP16 Inf. 3号文件)。其中的照片给出了产品的一些范例，但并不代表所有沉香产品。

Conf. 16.10 Implementation of the Convention for agarwood-producing taxa

REALIZING that Resolution Conf. 11.11 (Rev. CoP18) on *Regulation of trade in plants*, adopted at the 11th meeting of the Conference of the Parties (Gigiri, 2000), and amended at the 13th, 14th, 15th, 17th and 18th meetings (Bangkok, 2004; The Hague, 2007; Doha, 2010; Johannesburg, 2016; Geneva, 2019), provides a definition of 'artificially propagated';

ALSO REALIZING that Resolution Conf. 10.13 (Rev. CoP18)[1], on *Implementation of the Convention for tree species*, further clarifies how to apply the definition above to specimens from plantations;

RECOGNIZING that agarwood-producing species, as listed in Appendix II, refer to *Aquilaria* spp. and

Gyrinops spp.;

NOTING that these species are internationally traded strictly for their resin and hardly for other plant derivatives;

AWARE that the resin used in trade in agarwood is produced through the infection of certain organisms and that, hence, the amount of standing stock is not equivalent to the quantity of resin produced;

RECOGNIZING that some tree species are easy to propagate artificially and can be manipulated to produce the agarwood resin;

ACKNOWLEDGING the outcome of the workshops on *Implementation of CITES for Agarwood-producing species* held in Kuwait, 3-6 October 2011, and the outcome of the *Asian regional workshop on agarwood: management of wild and plantation-grown agarwood*, held in Bangka Tengah, Indonesia, 22-24 November 2011;

CONSIDERING that the current definition of 'artificially propagated', in Resolution Conf. 11.11 (Rev. CoP18), cannot be applied to tree plantations;

RECOGNIZING that, for a plant species artificially propagated, and for a part of such plant, the provisions of Article VII, paragraph 5), of the Convention will apply;

ACKNOWLEDGING that range States may have different procedures in implementing non-detriment findings (NDFs) for agarwood, most suitable for their national adaptive management;

REALIZING that the management of agarwood can be improved through measures taken by and cooperation among range, exporting and importing States of specimens from agarwood-producing taxa;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

Regarding artificially propagated specimens

1. AGREES that:

a) the current definition of ‘artificially propagated’ in Resolution Conf. 11.11 (Rev. CoP18) does not meet the circumstances of agarwood-producing taxa, due to the definition of the term ‘under controlled conditions’, and that the source of parental stock is not suitable and fully complied with in the plantation activities of agarwood-producing taxa; and

b) the source of seeds or propagules for cultivation of agarwood-producing species may be obtained from the wild according to the definition of 'cultivated parental stock' in Resolution Conf. 11.11 (Rev. CoP18);

2. ADOPTS the following definition for terms used in this Resolution:

> For agarwood-producing taxa, ’under controlled conditions’ means in a tree plantation, including other non-natural environment, that is manipulated by human intervention for the purpose of producing plants or plant parts and derivatives;

[1] *Corrected by the Secretariat following the 18th meeting of the Conference of the Parties (Geneva, 2019).*

3. DETERMINES that the term ‘artificially propagated’ shall be interpreted to refer to plant specimens of agarwood as follows:

a) grown under controlled conditions; and

b) grown from seeds, seedlings, saplings, cuttings, grafting, marcoting/air-layering, divisions, plant tissues or other propagules that have been derived from wild or cultivated parental stocks, according to the definition of 'cultivated parental stock' in Resolution Conf. 11.11 (Rev. CoP18);

4. AGREES that trees of agarwood-producing taxa grown in cultivation such as:

a) gardens (home and/or community garden); and

b) state, private or community production plantation, either monospecific or mixed species;

shall be considered as artificially propagated in accordance with the definition above;

Regarding non-detriment findings (NDF)

5. ENCOURAGES range States to make use of the agarwood NDF guidance as a reference while making NDFs for wild harvest of agarwood-producing taxa. The guidance should be available on the website of the Secretariat and be updated if necessary;

6. DIRECTS Parties and the Secretariat to use the agarwood NDF guidance in capacity-building workshops and relevant training materials;

Regarding management and trade control

7. ENCOURAGES range States to establish a registration system for the artificial propagation of agarwood-producing trees;

8. RECOMMENDS exporting States to establish a registration system of exporters who export pure or mixed oil of agarwood. Samples of the labels used and lists of relevant exporters should be communicated to the Secretariat by exporting States, and then be provided to all Parties through a Notification; and

9. ENCOURAGES Parties to make use of the Glossary as a reference while inspecting and controlling specimens of agarwood products. The Glossary was adopted by the Plants Committee at its 20th meeting (Geneva and Dublin, March 2012) and is presented in document CoP16 Inf. 3, in which the images illustrate samples of products but do not represent the whole range of products of agarwood.

Conf. 17.1 (Rev. CoP18)*

世界野生动植物日

忆及 2013年在曼谷召开的第十六次缔约方大会批准Conf.16.1号决议声明濒危野生动植物种国际贸易公约 (CITES) 的签署日3月3日为世界野生动植物日；

欢迎 第68次联合国大会于2013年12月20日通过了A/RES/68/205号决议，宣布3月3日为联合国世界野生动植物日。

注意到 联合国大会邀请所有成员国家，联合国组织和其他全球、区域和此区域的组织及其他利益相关方，包括民间团体、非政府组织和个人，根据各国优先事项、通过适当方式，提高公众对世界野生动植物日的认识；

并**注意到** 联合国大会要求CITES秘书处，与联合国相关组织合作，促进野生动植物日的实施；

认识到 举办世界野生动植物日的目的，“野生动植物”包括野生动物和植物；

承认 CITES秘书处在没有额外资金来源的情况下与联合国相关组织及其他组织合作为促进世界野生动植物日实施上所做的努力；

认识到 世界野生动植物日提供了一个独特的机会，尤其是动员世界各地的人们庆祝世界上众多美丽多样的野生动植物，并展示野生动植物给人带来的众多益处，提高人们对于迫切需要加强打击对经济、环境和社会具有广泛影响的野生动植物犯罪的认识；并

欢迎 世界野生动植物日对保护野生动植物的巨大支持，并且全球参与庆祝这个日子的人数日益增长；

公约缔约方大会

1. **呼吁** 所有缔约方利用世界野生动植物日的机会庆祝并提高公众对全球野生动植物的认识；努力加强野生动植物保护法的实施来减少非法野生动植物贸易的需求， 并认识到野生动植物以不同方式对贫困乡村和社区生计作出的贡献；
2. **邀请** 所有缔约方和非缔约方，及对野生动植物保护感兴趣的国家组织和国际组织，在适当情况下将世界野生动植物日与国家、地区或国际的保护活动联系起来，并在提前与秘书处沟通计划开展的活动；
3. **鼓励** 所有缔约方遵循每年世界野生动植物日所采纳的主题，酌情使主题适用于本国关注的焦点物种或重点问题，并使用世界野生动植物日的标志及包括网站和社交媒体在内的资源进行广泛宣传；
4. **邀请** 所有缔约方和非缔约方国家指定一名牵头人，以协调该国庆祝世界野生动植物日的活动并作为该国与秘书处沟通的联络点；
5. **鼓励** 所有缔约方通过国家教育部门或负责教育的当局， 考虑将世界野生动植物日作为幼儿园、学校和大学的固定活动，并邀请动物园、植物园、水族馆、自然保护区、国家公园和其他与野生动植物相关的机构定期开展活动；
6. **要求** 秘书处继续推动全球世界野生动植物日活动的举行，维护世界野生动植物日的网站和社会媒体平台，并在每年世界野生动植物日与其他组织一起制作相关宣传材

* 经第十八次缔约方大会修订。

料并通过社会媒体进行宣传；

7. **要求** 常务委员会与秘书处一起举办世界野生动植物日相关活动，尤其是确定每年世界野生动植物日的主题；

8. **要求** 秘书处与联合国有关组织联合，寻求他们对世界野生动植物日活动的支持，并酌情邀请它们作为全球活动的主要协办方，包括组织高级别活动、编写宣传材料、整理社交媒体资料，以使各国根据世界野生动植物日根据当年主题开展活动；

9. **呼吁** 所有缔约方、政府间组织、非政府组织及对野生动植物保护和世界野生动植物日感兴趣的私人机构自愿给秘书处捐赠资金和实物，以便促进这一全球性活动更好地举办；并

10. **废除** Conf. 16.1号决议 (曼谷，2013)—世界野生动植物日。

Conf. 17.1
(Rev. CoP18)*

World Wildlife Day

RECALLING that Resolution Conf. 16.1 adopted at the 16th meeting of the Conference of the Parties (Bangkok, 2013) declares 3 March, the day of signing of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), as World Wildlife Day;

WELCOMING resolution A/RES/68/205, adopted by the United Nations General Assembly at its 68th session on 20 December 2013, proclaiming 3 March as the United Nations World Wildlife Day;

NOTING that the United Nations General Assembly invites all Member States, organizations of the United Nations system and other global, regional and subregional organizations, as well as other relevant stakeholders, including civil society, non-governmental organizations and individuals, to observe and raise awareness of World Wildlife Day in an appropriate manner, in accordance with national priorities;

NOTING also that the United Nations General Assembly requests the CITES Secretariat, in collaboration with relevant organizations of the United Nations system, to facilitate the implementation of World Wildlife Day;

RECOGNIZING that, for the purpose of World Wildlife Day, “wildlife” means wild animals and plants;

ACKNOWLEDGING the efforts of the CITES Secretariat in facilitating the implementation of World Wildlife Day, in collaboration with relevant organizations of the United Nations system and others, with no additional financial resources;

RECOGNIZING that World Wildlife Day provides a unique opportunity to, *inter alia,* mobilize people around the world to celebrate the many beautiful and varied forms of wild fauna and flora, demonstrate the multitude of benefits that wildlife provides to people, and raise awareness of the urgent need to step up the fight against wildlife crime which has wide-ranging economic, environmental and social impacts; and

WELCOMING the tremendous support generated by World Wildlife Day for the conservation of wildlife, and the ever growing level of participation across the world in the observance of the day;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. CALLS upon all Parties to use World Wildlife Day as an opportunity to celebrate and raise the awareness of the general public regarding the world’s wild animals and plants; to enhance efforts to enforce wildlife protection laws and to reduce demand for illegally traded wild animals and plants; and to recognize the contribution of wildlife to the livelihoods of poor rural communities in various ways;

2. INVITES all Parties and non-party States, national and international organizations with an interest in wildlife conservation, to associate celebrations of World Wildlife Day to national, regional and international conservation events, where appropriate, and to communicate the planned activities to the Secretariat in advance;

3. ENCOURAGES all Parties to follow the theme adopted for each observance of World Wildlife Day and, where appropriate, to adapt it to the focus of species or issues of national priority, and to use the World Wildlife Day logo and other promotional materials as widely as possible, including on websites and social media;

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* *Amended at the 18th meeting of the Conference of the Parties.*

4. INVITES all Parties and non-party States to designate one lead person for coordinating the celebration of World Wildlife Day in the country and as focal point of communication with the Secretariat;

5. ENCOURAGES all Parties, through their national ministries of education or other relevant authorities responsible for education, to consider making the observance of World Wildlife Day a regular event on the calendars of kindergartens, schools and universities, and to invite zoos, botanical gardens, aquariums, nature reserves, national parks, and all other wildlife-related facilities to observe the day on a regular basis;

6. REQUESTS the Secretariat to continue to facilitate the global celebration of World Wildlife Day, to maintain the website and social media platforms of World Wildlife Day, to produce promotional materials and to work with partner organizations on social media campaigns for World Wildlife Day each year;

7. REQUESTS the Standing Committee to work with the Secretariat to, *inter alia*, recommend the theme for each year's observance of World Wildlife Day;

8. REQUESTS the Secretariat to liaise with relevant United Nations system organizations to seek their support in the observance of World Wildlife Day and, when appropriate, invite them to act as the main partner of the global celebrations, including the organization of high-level events, the development of promotional materials, social media package so that World Wildlife Day is prepared in accordance with the selected theme;

9. APPEALS to all Parties, intergovernmental organizations and non-governmental organizations and to the private sector interested in wildlife conservation and in promoting World Wildlife Day, to make voluntary financial and in-kind contributions to the Secretariat in order to allow it to better facilitate the global observance of the Day; and

10. REPEALS Resolution Conf. 16.1 (Bangkok, 2013) – *World Wildlife Day*.

Conf. 17.3

赞助代表项目

强调 所有《濒危野生动植物种国际贸易公约》缔约方都派代表出席缔约方大会（CoP）会议，以确保决定是基于所有有关行动者深思熟虑的基础上而做作出的重要性；；

承认 发展中国家的代表并不总是能够被资助参加缔约方大会；

欢迎 秘书处在每次缔约方大会前启动“资助代表项目”，从捐赠者处获取外部资金，为发展中国家代表参加缔约方大会提供资金；

注意到 自1987年第六次缔约方大会“资助代表项目”第一次启动以来，该项目使大量发展中国家代表得以参加缔约方大会；

进一步**注意到** 虽然到目前为止“资助代表项目”很大程度上取得了成功，但由于对该项目缺乏了解或该项目的可用资金不足这两个原因，很多发展中国家没有能够从中受益；

承认 “资助代表项目”获得的全部捐款汇集到同一个基金，所有捐赠者将获得感谢，而得到资助的代表无从追溯资金来自哪位具体的捐赠者，并**认识到**缔约方和其他捐赠者以这样的方式资助代表参加缔约方大会，有助于规避与其他资助方式可能存在的负面影响，并确保公约以完全公开和透明的方式运行；

同时意识到 部分缔约方代表由“资助代表项目”之外的捐赠者资助参加缔约方大会，此种方式不如该项目透明；及

希望 通过CITES公约缔约方大会的正式认可，制度化、强化、提升秘书处发展“资助代表项目”，有益于资助最大数量的发展中国家代表；

公约缔约方大会

1. **决定** 设立“资助代表项目”；
2. **同意** “资助代表项目”的目标是为发展中国家代表提供到缔约方大会会场地点的往来差旅费用、住宿费用及大会期间的日常生活津贴；
3. **进一步同意** 该项目为每个发展中国家最多资助两名代表，受资助的国家数量取决于筹集到的资金数额；
4. **并同意** 该项目资金来源于捐赠者捐赠的外部资金；
5. **呼吁** 政府、国际组织、非政府组织和私人团体于每次缔约方大会前三个月为“资助代表项目”向秘书处提供外部资金为宜，并**鼓励** 其无论何时计划资助其他缔约方代表参加缔约方大会时，尽可能使用“资助代表项目”；
6. **呼吁** 秘书处和联合国环境规划署免去向“资助代表项目”捐赠款征收的 13%的项目支持费用；
7. **呼吁** 秘书处管理“资助代表项目”，并在每次缔约方大会召开前至少提前预先一年广泛地向所有 CITES 缔约方传发“资助代表项目”相关信息，以从捐赠者处筹集充足的外部资金，并告知发展中国家该项目的存在及申请方式；
8. **鼓励** 发展中国家缔约方若希望获益于“资助代表项目”，则在缔约方大会前尽早联系秘书处，以确保其相关专家，尤其是来自 CITES 科学机构和管理机构的专家代表国家参加缔约方大会；

9. **敦促**决定资助其他缔约方的代表参加缔约方大会 (如资助差旅费和住宿费)，却 不利用“资助代表项目”提供资金这一可用方式的政府、国际组织、非政府组织和私人团体在相关缔约方大会前告知秘书处此类资助，并**呼吁** 秘书处在大会召开前公布此类信息；

10. **同样敦促** 未能从“资助代表项目”获得资助，但获得本国或他国政府、国际组织、非政府组织或私人团体资助，参加缔约方大会的缔约方在相关大会前告知秘书处此类资助，并**呼吁** 秘书处在大会召开前公布此类信息；

11. **指示** 秘书处不能通过“资助代表项目”向参加缔约方大会的，同时是非政府组织观察员的任何缔约方的任何代表提供资助；并

12. **邀请** 秘书处在每次缔约方大会开始时，报告“资助代表项目”取得的成果 (筹集的资金额、捐赠者、受益者等) 。

Conf. 17.3 Sponsored Delegates Project

STRESSING the importance that all CITES Parties are represented at the meetings of the Conference of Parties (CoP) to ensure that decisions are taken on the basis of deliberations involving all interested players;

ACKNOWLEDGING that developing countries are not always able to fund the participation of their delegates in CoP meetings;

WELCOMING the Secretariat's initiative to put in place, before each CoP meeting, a Sponsored Delegates Project, aiming to obtain external funding from donors in order to finance the participation in CoP meetings of representatives from developing countries;

NOTING that, since it was first established for CoP6 in 1987, the Sponsored Delegates Project allowed the participation in CoP meetings of a large number of representatives of developing countries;

FURTHER NOTING that, while the Sponsored Delegates Project has been largely successful so far, a number of developing countries were not able to benefit from it, either due to a lack of information about it or due to insufficient funding being available to the Project to finance their participation;

ACKNOWLEDGING that the Sponsored Delegates Project pools all contributions received into one fund, with all sponsors being acknowledged and the funds received by delegations not traced to any particular donor AND RECOGNISING that this manner of funding participation in CoP meetings by Parties and other donors can assist in avoiding the perception of inappropriate influence linked to other types of financial support and in ensuring that the Convention is seen to be operating in a fully open and transparent manner;

ALSO AWARE that the participation of delegates of some Parties in CoP meetings was funded by donors outside the Sponsored Delegates Project, and under conditions which are not as transparent as those governing this Project; and

DESIRING, through its official endorsement by the CITES CoP, to institutionalise, strengthen and promote the Sponsored Delegates Project as developed by the Secretariat, so that it can benefit a maximum number of delegates from developing countries;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. DECIDES to establish the Sponsored Delegates Project;
2. AGREES that the aim of the Sponsored Delegates Project is to cover the cost of travel of delegates from developing countries to and from the venue of the meeting of the Conference of the Parties to CITES, the costs of accommodation, as well as a daily subsistence allowance for the duration of the meeting;
3. FURTHER AGREES that this support is to be provided for a maximum of two delegates from developing countries and that the number of countries to be supported will depend upon the funds raised;
4. ALSO AGREES that this Project is to be covered by external funding from donors;
5. CALLS on governments, international organisations, non-governmental organisations and private bodies to provide external funding to the Secretariat preferably three months before each CoP meeting for the Sponsored Delegates Project and ENCOURAGES them to use the Project to the greatest extent possible whenever they intend to support the participation of delegates of another Party in the CoP meeting;
6. CALLS on the Secretariat and the United Nations Environment Programme to waive the 13% programme support costs applied to contributions made to the Sponsored Delegates Project;

7. CALLS on the Secretariat to administer the Sponsored Delegates Project and to widely and proactively disseminate information about the Sponsored Delegates Project to all CITES Parties at least one year before each meeting of the CoP, with the aim to raise sufficient external funds among donors and inform developing countries about the existence of this Project and the modalities to apply for it;

8. ENCOURAGES Parties from developing countries to contact the Secretariat sufficiently ahead of the CoP in case they wish to benefit from the Sponsored Delegates Project, as well as to make sure that they are represented at CoP meetings by the relevant experts, especially from their CITES scientific and management authorities;

9. URGES governments, international organisations, non-governmental organisations and private bodies which, instead of using the possibility to provide funds to the Sponsored Delegates Project, decide to fund the participation in CoP meetings of representatives from other Parties (for example by covering travel or accommodation costs), to inform the Secretariat about such funding before the relevant CoP meeting and CALLS upon the Secretariat to publish this information before the meeting;

10. SIMILARLY URGES Parties whose delegates did not obtain funding from the Sponsored Delegates Project, but benefited from self-funding or funding from another government, international organisations, non-governmental organisations or private bodies for their participation in a CoP meeting to inform the Secretariat about such funding before the relevant CoP meeting and CALLS upon the Secretariat to publish this information before the meeting;

11. INSTRUCTS the Secretariat not to provide sponsorship through the Sponsored Delegates Project to any representative of a Party at a meeting of the Conference of the Parties who is also an observer for a non-governmental organization; and

12. INVITES the Secretariat to report, at the beginning of each CoP meeting, on the results achieved by the Sponsored Delegates Project (amount of funding gathered, donors, beneficiaries, etc.).

Conf. 17.4

打击CITES所列物种非法贸易的减少需求战略

认识到 盗猎和非法贸易正在使一些野生动植物种群数量减少，并驱使许多公约附录物种走向灭绝；

进一步**认识到** 野生动植物走私对生态系统和包括依赖于生态旅游的乡村生计造成破坏，也危害政府治理与法治，一些情况下还威胁国家稳定与安全，需要加强区域合作与协调来加以应对；

意识到 执法干预在遏制公约附录标本非法贸易中扮演重要角色，但需记得，若没有补充措施来应对驱使贸易的持续市场需求，单靠执法行动可能不足以消除此威胁；

忆及 关于象标本贸易的Conf. 10.10 (Rev. CoP18)号决议敦促相关缔约方“开展公众意识宣传，包括：减少供应和需求、了解涉及象牙出售和购买的已有或新规定”；

还忆及 关于犀 (Rhinocerotidae spp.)的16.85号决定建议“与犀角非法贸易有牵连的所有分布国或者消费国应制定和实施长期需求减少战略或项目及立即行动，减少犀角制品的非法转移和消费”；

还忆及 关于传统医药的Conf. 10.19 (Rev. CoP14)号决议建议缔约方“与传统医药从业者和消费者密切合作，开展旨在减少和最终杜绝非法使用濒危物种的公共教育和宣传活动，提高对避免过度开发其他野生物种必要性的认识”；

欢迎 联合国大会于2015年7月采纳有关打击野生动植物走私的历史性决议，“敦促会员国积极参与，提高对非法野生动植物产品供应、过境和需求方面问题和风险的认识并加以处理，利用定向明确的战略减少需求，以影响消费者的行为”；

承认 减少需求干预行动有效地补充及支持执法行动；

认识到 通过电子商务进行野生动植物走私是不断增长且显著的威胁，需要用新方法来降低非法贸易野生动植物的需求；

注意到 需要目标明确、基于证据、区分物种、区分国别的需求降低运动，以更有效带来行为改变；

注意到 合法及可持续贸易对于乡村生计很关键，因而对就地保护也很关键，需求降低运动必须区别对待合法及可持续贸易和非法贸易；

认识到 许多国家、组织、政府间机构开展的需求降低倡议，包括美国和越南政府组织的亚太经济合作组织 (APEC)需求降低专题研讨会、中国政府和公约秘书处在杭州组织的遏制非法象牙贸易需求侧战略专题研讨会。

公约缔约方大会

1. **敦促** 境内存在非法贸易野生动植物产品重要市场的缔约方：
   a) 开发战略，以通过需求降低运动来降低非法野生动植物产品需求，并且，如适当，加强相关政策、立法、和执法；
   b) 开展非法贸易公约附录物种标本需求的深度、常规研究，如可能，采用标准方法来理解需求驱动因素及动态，并提供扎实信息用于需求降低运动；
   c) 通过吸引关键消费者群体并针对需求动机，包括投机性需求，积极开发和实施目

标明确、区分物种、基于证据的运动，并向目标受众开发特别的信息传送途径与方法；

d) 就非法猎捕及非法贸易野生动植物的广泛后果与影响建立更深认知，特别是野外种群及其存于的生态系统，并且就非法贸易野生动植物对生计与可持续发展的广泛影响提升认知；及

e) 通过对禁止非法野生动植物产品贸易的法律及任何相关惩罚建立更深认知，来加强法律与执法威慑力；

2. **鼓励** 缔约方执行需求降低运动时邀请所有利害相关方参与，包括，例如，相关政府机构、健康、公共意识及教育部门、工商部门、在线零售商、社交媒体平台、传统医药从业者及相关协会、消费者群体、及最能有效触及消费者的有关键社会影响力的人士和意见领袖；

3. **鼓励** 缔约方酌情协助并支持由联合国机构及合作伙伴或非政府组织承担的需求降低运动；

4. **建议** 缔约方召开专题研讨会，就特定物种或特定贸易设计开发有针对性的解决方案，包括通讯及市场推广手段和运动，用以降低关键消费者群体对公约附录物种及其制品非法贸易的需求；及

5. **邀请** 有意推动这些努力的缔约方、政府间组织和非政府组织，如应要求，分享最佳实践并提供技术支助和援助。

Conf. 17.4 Demand reduction strategies to combat illegal trade in CITES-listed species

RECOGNIZING that poaching and illegal trade are decimating some wildlife populations and driving numerous CITES-listed species toward extinction;

FURTHER RECOGNIZING that wildlife trafficking contributes to damage to ecosystems and rural livelihoods, including those based on ecotourism, undermines good governance and the rule of law and, in some cases, threatens national stability and security and requires enhanced regional cooperation and coordination in response;

CONSCIOUS that enforcement interventions play a critical role in stemming illegal trade in specimens of species included in CITES Appendices, but bearing in mind that, without a complementary effort to address the persistent market demand that drives this trade, enforcement action alone may not be sufficient to eliminate this threat;

RECALLING that Resolution Conf. 10.10 (Rev. CoP18)[1] on *Trade in elephant specimens* urges relevant Parties to "engage in public awareness campaigns, including: supply and demand reduction; drawing attention to existing or new regulations concerning the sale and purchase of ivory;"

RECALLING also that Decision 16.85 on Rhinoceroses (Rhinocerotidae spp.) recommends that "all Parties implicated in the illegal trade of rhinoceros horn as a range or consumer State, where applicable, should: a) develop and implement long-term demand reduction strategies or programmes and immediate actions aimed at reducing the illegal movement and consumption of rhino horn products;"

RECALLING also Resolution Conf. 10.19 (Rev. CoP14) on *Traditional medicines*, which recommends that the Parties "work closely with groups of traditional-medicine practitioners and consumers in developing public education and awareness programmes towards the elimination of illegal use of endangered species, and developing awareness of the need to avoid over-exploitation of other wild species";

WELCOMING the historic resolution on tackling wildlife trafficking adopted by the United Nations General Assembly in July 2015 that "urges Member States to engage actively in efforts to raise awareness about and address the problems and risks associated with the supply and transit of and demand for illegal wildlife products and to reduce the demand using targeted strategies in order to influence consumer behaviour;"

ACKNOWLEDGING that demand-reduction interventions can effectively complement and support law enforcement efforts;

RECOGNIZING that wildlife trafficking via e-commerce is a growing and significant threat that calls for new approaches to reduce demand for illegally traded wildlife;

NOTING the need for well-targeted, evidence-based, species-specific, country-specific demand-reduction campaigns to more effectively bring about behaviour changes;

NOTING that legal and sustainable trade can be vital to rural livelihoods and consequently important to *in situ* conservation and that demand reduction campaigns must distinguish between legal and sustainable, and illegal trade;

RECOGNIZING the demand reduction initiatives by many countries, organizations and inter-governmental bodies, including the Asia-Pacific Economic Cooperation (APEC) demand reduction workshop organized by the governments of the United States of America and Viet Nam and the

[1] *Corrected by the Secretariat after the 18th meeting of the Conference of the Parties*

workshop on demand-side strategies for curbing illegal trade in ivory in Hangzhou, China, organized by the government of China and the CITES Secretariat;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. URGES Parties where there is a significant market for illegally traded wildlife products to:

   a) develop strategies to reduce the demand for illegal products of wild animals and plants through demand reduction campaigns and to enhance, as appropriate, policy, legislation and law enforcement in this regard;

   b) conduct in-depth and regular research on the demand for specimens of illegally traded CITES-listed species, where possible, using standard methodologies to understand the drivers and dynamics of the demand and to provide solid information for use in demand-reduction campaigns;

   c) actively develop and implement well-targeted, species-specific, evidence-based campaigns by engaging key consumer groups and targeting the motivations for the demand, including the speculative nature of the demand, and develop specific messaging approaches and methods for target audiences;

   d) create greater awareness of the broader consequences and impacts of illegal harvest and illegal trade of wildlife and plants, particularly on wild populations and the ecosystems in which they exist, as well as raise awareness of broader impacts of wildlife trafficking on livelihoods and sustainable development; and

   e) strengthen legal and enforcement deterrents by creating greater awareness of laws prohibiting trade in illegal wildlife products and any associated penalties;

2. ENCOURAGES Parties to involve all stakeholders when conducting demand reduction campaigns, including, for example, relevant government agencies, health, public awareness and education sectors, the business sector, online retailers, social media platforms, traditional medicine practitioners and their associations, consumer groups, key influencers and opinion leaders who can most effectively reach out to consumers;

3. ENCOURAGES Parties, when appropriate, to collaborate with and provide full support to relevant demand reduction campaigns undertaken by the United Nations agencies and partners as well as non-governmental organizations;

4. RECOMMENDS that Parties convene workshops to design and develop targeted solutions for particular species or types of trade, including the development of communications and marketing strategies and campaigns aimed at eliminating demand for illegal wildlife and illegal wildlife products of CITES-listed species among key consumer groups; and

5. INVITES Parties, and intergovernmental organizations and non-governmental organizations interested in furthering these efforts to share best practices and provide technical support and assistance, if requested.

Resolution Conf. 17.4 – 2

Conf. 17.5 (Rev. CoP18)*

动员青年

注意到 出于统计目的，联合国将15至24岁的人定义为青年，但该定义不影响成员国对青年的定义；

承认 当代青年未来将参与决策，公约缔约方必须从现在开始动员青年参与进来，以培养他们成为更强大的领导者；

认识到 积极与当代青年进行物种保护和野生动植物贸易的交流，可以极大拓宽决策者观点和对策的多样性；

进一步**承认** 当代青年生活在一个和过去不同、科技大幅进步的时代，年轻人掌握的这些技术可以成为确保进行的野生动植物贸易是合法并可持续发展的重要工具；

欢迎 指定青年参与为2017年世界野生动植物日的主题；并

进一步**注意到** 青年参与和授权是联合国议程中的重要任务，这一目标正通过联合国各系统组织的青年项目，以及专门的联合国秘书长青年特使计划实现；

公约缔约方大会

1. **鼓励** 缔约方探索让当代青年参与公约和其他野生动植物保护问题的机会，例如通过实习或参与导师的项目；
2. **邀请** 缔约方和公约秘书处与大学、青年团体及其他相关协会和组织合作，建立起能提供信息和影响保护决策的有知识且可动员的青年网络；
3. **邀请** 缔约方和观察员组织将青年代表纳入官方代表团，并为他们提供在公约会议上学习的机会。
4. **邀请** 秘书处就青年参与倡议，与联合国有关组织和公约，以及秘书长青年特使计划进行合作；
5. **鼓励** 缔约方以每年世界野生动植物日为契机，提高青年野生动植物保护意识，并为他们提供一个可以相互参与野生动植物保护和可持续利用的平台；及
6. **鼓励** 缔约方建立长期的青年参与和授权战略，以确保青年参与野生动植物保护问题和公约的决策过程。

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* 经第十八次缔约方大会修订。

Conf. 17.5
(Rev. CoP18)*

Youth engagement

NOTING that the United Nations, for statistical purposes, defines those persons between the ages of 15 and 24 as youth without prejudice to other definitions by Member States;

ACKNOWLEDGING that today's youth will one day be in decision-making positions and that CITES Parties must engage these people now to equip them to be stronger leaders in the future;

RECOGNIZING that by welcoming today's youth into species conservation and wildlife trade conversations, our decision makers will add a rich diversity of ideas and solutions;

FURTHER ACKNOWLEDGING that today's youth have come of age in a generation very different than those before it, including great technological advancement, and that the skills held by younger colleagues can be valuable tools to ensure that wildlife trade is legal and sustainable;

WELCOMING the designation of youth engagement as the theme of World Wildlife Day 2017; and

FURTHER NOTING that the engagement and empowerment of the youth is high on the agenda of the United Nations and that this objective is being achieved through the youth programmes of various UN system organizations as well as the dedicated UN Secretary General's Envoy on Youth;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. ENCOURAGES Parties to explore opportunities to engage today's youth in CITES and other wildlife conservation issues, for example through internship or mentoring programs;
2. INVITES Parties and the CITES Secretariat to work with universities, youth groups, and other relevant associations and organizations, to create educated and engaged youth networks that can inform and influence conservation decisions;
3. INVITES Parties and observer organizations to include youth delegates on official delegations and provide learning opportunities at CITES meetings.
4. INVITES the Secretariat to collaborate with relevant UN organizations and conventions as well as the Secretary-General's Envoy on Youth on youth engagement initiatives;
5. ENCOURAGES Parties to use the annual World Wildlife Day as an opportunity to incentivise wildlife conservation awareness among younger generations and to provide platforms for them to engage with one another on conservation and sustainable use issues; and
6. ENCOURAGES Parties to establish long term youth engagement and empowerment strategies to ensure the participation of the youth in wildlife conservation issues and CITES decision-making processes.

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* *Amended at the 18th meeting of the Conference of the Parties.*

Conf. 17.6

禁止、预防、侦查和打击助长违约活动的腐败

认识到 腐败在助长发生在源头国、中转国和市场国的整个贸易链上违约活动上发挥重要作用；

意识到 有组织犯罪集团和网络频繁涉及违约案件，而且它们经常利用腐败手段来助长野生动植物犯罪，妨碍打击野生动植物犯罪的执法活动；

忆及 联合国大会第70/1号决议通过了题目为“改变我们的世界----2030可持续发展议程”的联合国可持续发展峰会的成果文件，该文件中包含承诺采取紧急行动来终止偷猎和非法野生动植物贩运的目标 (目标15.7) ，和显著地减少腐败和贿赂的目标 (目标16.5) ；

还忆及 联合国大会第69/80号决议呼吁成员国禁止、预防和打击各种助长非法野生动物及其产品贩运的腐败，再次重申《联合国反腐败公约》 (UNCAC) 是打击非法濒危野生动植物种贩运的有效工具和国际合作法律框架的重要组成部分；

忆及 公约文本第二条和第八条规定，除遵守公约的各项规定外，缔约方均不应允许就附录所列物种进行贸易，还应采取相应措施执行公约的规定，并禁止违反公约规定的标本贸易，包括处罚此类贸易的措施；

还忆及 关于遵约执法的Conf.11.3 (Rev. CoP17) 号决议特别是第2b)项建议，尚未签署或批准《联合国打击跨国有组织犯罪公约》和《联合国反腐败公约》的缔约方考虑签署或批准该公约；

认识到 有相当数量的公约缔约方尚未加入《联合国反腐败公约》；

忆及 联合国反腐败公约和《联合国打击跨国有组织犯罪公约》要求缔约方将贿赂和一系列相关违法行为定为刑事犯罪；

承认 执法本身不足以杜绝野生动植物领域的腐败；**注意到** 《联合国反腐败公约》第二章预防措施为成员国提供了广泛和有效的禁止腐败的方案；**注意到** 在这个范畴内，《联合国反腐败公约》第五条要求成员国制订有效而协调的反腐败政策，第七条要求成员国努力采用、维持和加强公务员制度，这种制度应促进充分的报酬，促进对人员的教育和培训方案，以使其能够达到妥善履行公务的要求；

进一步注意到 《联合国反腐败公约》第十二条承认，有必要防止滥用对私营实体的管理程序，包括公共机关对商业活动颁发许可证的程序；

额外注意到 《联合国反腐败公约》第十三条承认，推动公共部门以外的个人和团体积极参与预防和打击腐败，并提高公众对腐败的存在、根源、严重性及其所构成的威胁重要性的认识；

注意到 公约的国家立法项目鼓励缔约方考虑让政府官员承担违反公约或相关国家法律的责任，包括考虑将执法官员收取任何未经批准的私人报酬或其他形式的私人补偿定为一种犯罪；

欢迎 许多公约缔约方、联合国系统、政府间组织，如国际刑警组织、世界银行、世界海关组织、经济合作与发展组织，及非政府组织在禁止、监测和打击腐败方面作出的努力；

欢迎 国际打击野生动植物犯罪同盟 (ICCWC) 的工作，并注意到，在成立同盟的谅解函中

专门提到了腐败的问题，腐败也是“野生动植物和森林犯罪分析工具包”涉及的内容；及

忆及 关于遵约程序的Conf.14.3号决议；

公约缔约方大会

1. **强调** 未能禁止、预防和打击与公约执行或执法有关的腐败极大地破坏了公约的效力；
2. **督促** 所有缔约方制订措施来禁止、预防、监测和打击各种腐败行为，确保所有与公约行政管理、管制、执行或执法有关的任何腐败行为都将受到国家立法的适当处罚；
3. **重申** 所有尚未批准《联合国反腐败公约》和《联合国打击跨国有组织犯罪公约》的缔约方考虑批准该公约，**敦促** 所有已加入《联合国反腐败公约》和《联合国打击跨国有组织犯罪公约》的缔约方有效地执行其条款；
4. **鼓励** 所有缔约方，特别是其公约管理机构，与已有国家反腐败委员会和类似的机构、执法机构、司法当局及相关的民间组织密切合作，设计和执行廉洁政策，其中可能也包括震慑内容，例如宗旨、行为守则和举报安排，同时考虑到《联合国反腐败公约》的相关规定；
5. **鼓励** 所有缔约方继续为公约当局和负责公约行政管理、管制、执行和执法当局建立和维持适当的薪酬、培训和装备；
6. 进一步**鼓励** 缔约方确保负责公约执法的国家执法机构借鉴现有的国际刑警组织、联合国毒品和犯罪问题办公室、联合国计划开发署、世界银行、世界海关组织等机构编写的指南和培训材料，并利用这些机构提供的能力建设机会，打击其人员的任何腐败行为或行动；
7. **敦促** 缔约方确保负责公约行政管理和贸易管制的机构，特别是负责签发、查验和批准许可证和证明书的机构，及根据此类文件授权的货物检验和通关放行的机构，执行有助于震慑和侦查腐败行为的措施；
8. **进一步敦促** 缔约方特别关注涉及公司赠与和收受公约所列物种或其产品的腐败，制订打击此类行为的有效政策；
9. **呼吁** 缔约方、政府间组织、国际和国内非政府组织和捐助机构，酌情提供，如果适当而且存在请求，资金和技术来实施反腐败措施，包括提供相关的培训或材料，确保负责公约行政管理、执行和执法的所有人员接受适当的培训、装备适当的设备、有能力打击腐败；
10. **建议** 国际打击野生动植物犯罪同盟继续将打击腐败纳入自己的工作范畴，包括反洗钱、财产扣押和追回；
11. 进一步**建议** 区域和次区域野生动植物执法网络将反腐败行动纳入自己的工作计划和行动，如果他们尚未采取这样的行动；
12. **要求** 所有缔约方在公约第八条第 7 款(b)项规定的执行报告中，尽可能地报告所采取的涉及公约执行或执法的反腐败行动，及了解到的并采取了应对措施的任何腐败行为；
13. **要求** 秘书处：
    a) 继续向相关国家当局和政府间机构报告证据确凿的腐败指控，或者报告秘书处自行揭露出疑似腐败的调查结果；及
    b) 在向每次常委会会议和每次缔约方大会例会提交的执法报告中，要包括上述指控

和调查结果的相关信息，及秘书处采取的任何反腐败行动和关于执行公约第八条所采取行动的详细介绍；

14. **要求** 常委会注意妨碍公约执行或执法的腐败行为，并酌情向当事缔约方和缔约方大会提出建议，以更有效地打击腐败，同时考虑常委会根据 Conf.14.3(Rev. CoP18)号决议可以单独采取的行动；及

15. **要求** 常委会在秘书处的支持下，确保公约与《联合国反腐败公约》和《联合国打击跨国有组织犯罪公约》开展密切合作。

Conf. 17.6

Prohibiting, preventing, detecting and countering corruption, which facilitates activities conducted in violation of the Convention

AWARE that corruption can play a significant role in facilitating activities conducted in violation of the Convention at all points of the trade chain, in source, transit and market countries;

ACKNOWLEDGING the high degree of involvement of organized criminal groups and networks in violations of the Convention and their frequent use of corrupt practices to facilitate wildlife crime and frustrate efforts to enforce laws against wildlife crime;

RECALLING United Nations General Assembly (UNGA) resolution 70/1 adopting the outcome document of the UN Sustainable Development Summit, entitled "Transforming our World – the 2030 Agenda for Sustainable Development", which contains dedicated targets on taking urgent action to end poaching and wildlife trafficking (target 15.7) and on substantially reducing corruption and bribery in all their forms (target 16.5);

RECALLING FURTHER UNGA resolution 69/80 which calls upon Member States to prohibit, prevent and counter any form of corruption that facilitates illicit trafficking in wildlife and wildlife products and reaffirms that the United Nations Convention against Corruption (UNCAC) constitutes an effective tool and an important part of the legal framework for international cooperation in fighting illicit trafficking in endangered species of wild flora and fauna;

RECALLING that Articles II and VIII of the Convention require that Parties not trade in listed species other than in accordance with the Convention, take appropriate measures to enforce the provisions of the present Convention and to prohibit trade in specimens in violation thereof, including measures to penalize such trade;

RECALLING FURTHER Resolution Conf. 11.3 (Rev. CoP18)[1] on *Compliance and enforcement* and in particular subparagraph 2 b) recommending that Parties that are not yet signatories to, or have not yet ratified, the UN Convention against Transnational Organized Crime and the UNCAC consider doing so;

RECOGNIZING that a large number of Parties to CITES are still not Parties to the UNCAC;

RECALLING that UNCAC and UNTOC require Parties to criminalize bribery and a number of related offences;

ACKNOWLEDGING that law enforcement efforts alone will not be sufficient to end corruption in the wildlife sector, NOTING that Chapter II on prevention of UNCAC provides State parties with broad and effective options to prevent corruption and NOTING in this context that Article 5 of UNCAC requires State parties to adopt effective, coordinated anti-corruption policies and that Article 7 of UNCAC requires State parties to endeavour to adopt, maintain and strengthen civil service systems that promote adequate remuneration and education and training programmes which would enable civil servants to meet the requirements for proper performance of their public functions;

FURTHER NOTING that Article 12 of UNCAC recognizes the need to prevent the misuse of procedures regulating private entities, including procedures regarding licences granted by public authorities for commercial activities;

ADDITIONALLY NOTING that Article 13 of UNCAC recognizes the importance of promoting the active participation of individuals and groups outside the public sector in the prevention of and the fight against corruption and to raise public awareness regarding the existence, causes and gravity of and the threat posed by corruption;

[1] *Corrected by the Secretariat following the 18th meeting of the Conference of the Parties.*

NOTING that the CITES National Legislation Project encourages Parties to consider holding government officials responsible for violations of the Convention or relevant national law including considering making it an offence for an enforcement officer to accept any unauthorized personal payment or other form of personal compensation;
WELCOMING the efforts being made by many Parties to CITES, the UN system, intergovernmental organizations, such as INTERPOL, the World Bank, the World Customs Organization, the Organization for Economic Cooperation and Development and non-governmental organisations to prevent, detect and counter corruption;
WELCOMING the work of the International Consortium on Combating Wildlife Crime (ICCWC) and noting that corruption is an issue specifically identified in the Letter of Understanding establishing the Consortium which also is addressed in the ICCWC Wildlife and Forest Crime Analytical Toolkit; and
RECALLING Resolution Conf. 14.3 (Rev. CoP18) on *CITES compliance procedures*;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. STRESSES that failure to prohibit, prevent, and counter corruption which relates to the implementation or enforcement of CITES greatly undermines the effectiveness of the Convention;

2. URGES therefore all Parties to adopt measures to prohibit, prevent, detect and counter instances of corruption and ensure that any corrupt practices associated with the administration, regulation, implementation or enforcement of CITES are punishable with appropriate penalties under national legislation;

3. REITERATES its call to all Parties that have not yet ratified UNCAC and UNTOC to do so and URGES all Parties that are Parties to UNCAC and UNTOC to effectively implement its provisions;

4. ENCOURAGES Parties, and especially CITES Management Authorities, to work closely with existing national anti-corruption commissions, and like bodies, law enforcement agencies, judicial authorities, as well as with relevant civil society organisations, in the design and implementation of integrity policies, which might also include deterrence initiatives, such as mission statements, codes of conduct and 'whistle-blower' schemes, taking into account the relevant provisions of the UNCAC;

5. ENCOURAGES all Parties to continue to build and maintain properly paid, trained and equipped CITES Authorities and authorities responsible for administration, regulation and enforcement of the Convention;

6. FURTHER ENCOURAGES Parties to ensure national enforcement agencies responsible for enforcement of CITES draw upon existing guidance and training materials, prepared by entities such as INTERPOL, the UN Office on Drugs and Crime, the UN Development Programme, the World Bank and the World Customs Organization, and to make use of capacity building opportunities offered by such entities in order to discourage any corrupt behaviour or practices on the part of their personnel;

7. URGES Parties to ensure that agencies responsible for the administration and regulation of CITES, particularly with regard to the issuance, inspection and endorsement of permits and certificates, and the inspection and clearance of shipments authorized by such documents, implement measures which aid in the deterrence and detection of corrupt practices;

8. FURTHER URGES Parties to pay particular attention to corruption associated with corporate gifting or accepting of CITES-listed species or products made from them and adopt efficient policies against such practices;

9. CALLS UPON Parties, and intergovernmental, international and national non-governmental organizations and the donor community, as appropriate, to provide, as appropriate and upon request, funds and expertise to enable anti-corruption measures, including provision of related training or materials, so as to ensure that all personnel responsible for administration, implementation and enforcement of the Convention are adequately trained, equipped and able to respond to corruption;

10. RECOMMENDS that the International Consortium on Combating Wildlife Crime continues to incorporate anti-corruption efforts into its activities, including those related to anti-money laundering and asset seizure and recovery;

11. RECOMMENDS FURTHER that regional and sub-regional Wildlife Enforcement Networks incorporate anti-corruption activities into their work plans and undertakings, if they have not already done so;

12. REQUESTS all Parties, to the best of their abilities, to report on activities they undertake to counter corruption as it relates to CITES implementation or enforcement, and on any instances of corruption they become aware of and respond to, in the implementation reports required to be submitted under Article VIII, paragraph 7 (b);

13. REQUESTS the Secretariat:

    a) to continue to report credible allegations of corrupt practices, or the results of its own investigations that lead to credible suspicions of corruption, to the relevant national authorities and intergovernmental entities; and

    b) to include relevant information on such instances, and the outcome of investigations, in its report on enforcement matters to each Standing Committee meeting and each regular meeting of the Conference of the Parties, together with details of any anti-corruption activities the Secretariat has undertaken, along with its activities in implementation of Article XIII of the Convention;

14. REQUESTS the Standing Committee to take note of instances of corruption affecting the implementation or enforcement of the Convention and, where appropriate, make recommendations to the Parties concerned and to the Conference of the Parties on ways in which it may be combated more effectively, whilst also considering possible actions that the Committee itself might take under Resolution Conf. 14.3 (Rev. CoP18); and

15. REQUESTS the Standing Committee, with support from the Secretariat, to ensure close cooperation of CITES with UNCAC and UNTOC.

Conf. 17.7(Rev. CoP18)*

报告为圈养生产的动物标本的贸易回顾

考虑到 公约在第七条第4和第5款中规定了对按Conf. 10.16(Rev.)号人工繁育动物物种的标本决议定义的人工繁育所获的动物标本进行特殊对待；

注意到 根据公约第七条第4款，为商业目的人工繁育的附录Ⅰ动物物种的标本应被视为是附录Ⅱ物种的标本，因此它们应按公约第四条的规定进行贸易；

还注意到 根据公约第七条第5款，由出口国管理机构出具的证明书，证明某一动物物种的标本是人工繁育的或者其部分或其衍生物是来自于人工繁育的个体，则该证明书应作为代替按公约第三条、第四条或第五条的规定所出具的许可证或证明书而被接受；

认识到 贸易中的标本来自于各种不同的圈养生产系统，根据Conf. 12.3(Rev. CoP18)号许可证和证明书决议的定义，它们被归类为不同的来源代码；

认识到 与直接从野外获取相比，人工繁育和其他圈养生产系统具有一些益处；

关注到 不正确地使用来源代码和/或错误地或者虚假地申报来源代码会削弱或否定这些已有的益处，会对保护造成负面影响，破坏公约的目标和有效执行；

进一步**关注到** 除了过失地错误使用来源代码外，有越来越多的案件证据表明，通过虚假地声称这些野外来源的标本为人工繁育，野外来源的CITES附录物种被非法贸易；

进一步**关注到** 在一些案件中，对人工繁育的标本的亲本种群的合法来源有疑问，包括那些在其自然分布区以外养殖的标本；

承认 对被报告为人工繁育的动物物种标本的贸易进行回顾的意图是确保这些贸易是符合公约规定开展的，并找到补救措施，以确保贸易对野外物种的生存不构成危害和增进公约目标的实现和有效执行；

期望 对被报告为人工繁育的动物标本的贸易回顾中产生了建议和行动，其实施将增强缔约方的能力，从而恰当地评估标本真实产出于所声称的圈养生产系统；

确信 对被报告为来自人工繁育的动物标本的回顾应透明、及时和简单；

注意到 Conf. 14.3(Rev. CoP18)号CITES遵约程序决议中规定的CITES遵约程序指南；及

进一步**注意到** 现有一些机制来应对关于违约的紧迫问题，包括公约第十三条和Conf. 11.3(Rev. CoP18)号遵约和执法决议，本决议是这些现有机制的补充；

公约缔约方大会

1．指示 秘书处在有资源的情况下执行本决议；

2．指示 动物委员会和常委会与秘书处、相关专家合作，并咨询缔约方，根据不同贸易程度，回顾使用来源代码C，D，F或R的动物物种的生物的、贸易的和其他相关信息，以识别出与履行公约有关的问题并应依下述程序提出解决措施。

阶段1－确定应进行回顾的物种-国家组合

a) 秘书处应从CITES贸易数据库中提取一个近5年来关于物种贸易年度报告数据的摘要，评估来源代码为C，D，F 或 R的数据，并自己承担或委托专家承担对这些

* 经第十八次缔约方大会修订。

数据的分析以识别出物种-国家组合以供回顾，分析要使用以下标准：

i) 被声称为人工繁育的标本(来源代码为C、D、F和R)的贸易大量增加；

ii) 被声称为来自于人工繁育的标本的大宗贸易；

iii) 不同的人工生产来源代码的转换和波动；

iv) 出口缔约方和进口缔约方对被声称为人工生产的标本所报告的来源代码不一致；

v) 明显不正确地使用人工生产代码，如：“A”用于动物物种或“D”用于未根据Conf. 12.10(Rev. CoP15)号决议“为商业目的人工繁育附录Ⅰ动物物种设施的注册”实施注册的附录I物种；及

vi) 来自非分布国的被声称为人工繁育的标本贸易，却无合法获取繁殖基群的证明(例如：没有进口记录)；

b) 秘书处还应编纂任何其他圈养生产相关既有信息，包括来自于Conf. 12.8 (Rev. CoP17)号决议”附录II物种的大宗贸易回顾”的大宗贸易回顾的任何案例，包括来自于缔约方的和来自于相关报告所提及的，相关报告包括发布于IUCN受威胁物种红色名录的物种状态报告或其中注明还没有评估的；

c) 秘书处应向缔约方大会后的第一次动物委员会例会提供2 a)段中的分析结论和2 b)段中的信息汇编提。动物委员会可以选择一定数量的物种-国家组合供回顾，并考虑到物种的生物学特性，动物委员会应起草一份一般性或特殊性的问题和一份关于如此选择的简要解释，并由秘书处报告给阶段2的e)段中所涉及的缔约方。动物委员会将决定针对于哪些物种开展阶段2 的f)段中规定的简短回顾；这一阶段识别出的紧急执法事项应提交给秘书处和相关缔约方，并应附后报告给常委会；

d) 如果动物委员会认为重大贸易回顾可以更好解决特定的物种-国家组合所引发的担忧，作为例外情况，它可以根据Conf. 12.8(Rev. CoP18)号决议第1段d)款将该组合直接转引到步骤2；及

e) 在例外情况下，在上述2 a)至2 c)之外，并在新的信息被提交给秘书处表明需要采取紧急行动以解决有关执行公约关于人工生产标本的条款的问题的情况下，秘书处：

i) 应确认提案方已经提供了作为例外情况的正当性，包括支持信息；

ii) 应起草一份来自于CITES贸易数据库的有关该物种-国家组合的摘要和分析；及

iii) 尽快提交上述i)至ii)的信息给动物委员会或常委会，如适当，提供给其作为会间回顾和决定是否应将该物种-国家组合纳入下一阶段的回顾。

阶段2 – 协商相关国家和汇编信息

f) 秘书处应在相关动物委员会会议结束后30日内，通知相关国家，该国家人工生产的物种已经被选为回顾项，并向其提供关于回顾进程的综述和一份关于动物委员会做出这一选择的解释。秘书处应要求该国在60日内提供信息，以回答动物委员会提出的一般性的或特殊性的问题，以确定是否为被称为来自于人工繁育的标本

根据相关决议正确使用了来源代码；及

g) 如动物委员会要求，秘书处还应与相关国家和专家商议，就相关物种委托一个简短回顾，以汇编和概述相关现有信息，包括繁殖生物学、畜牧饲养，及，如果有关，自野外移除繁殖基群所产生的任何影响。

阶段3 – 动物委员会和常委会的回顾和建议

h) 动物委员会应于缔约方大会后的第二次会例会上，审议来自相关国家的回应、秘书处开展的回顾和任何额外相关信息，并确定贸易是否遵守了公约第七条第4款和第5款的规定。如果贸易遵约了，则物种-国家组合将从回顾中排除，秘书处将在60日内通知这一或这些国家；

i) 当一物种-国家组合被保留在回顾中且动物委员会识别出在其范围内的合理关切，动物委员会应商秘书处，形成针对相关国家的限时、可行、可衡量、相称和透明的建议草案，并应确保长期符合公约和促进能力建设和提高国家的履约能力。 秘书处应将这些动物委员会的建议草案和支持信息发给下一次常委会会议供其审议、做必要的修改、并考虑通过；

j) 当一物种-国家组合被保留在回顾中且动物委员会识别出了一些由常委会来考虑会更为恰当的关切时，秘书处应将这一问题提交下一次常委会会议，包括来自动物委员会的任何意见；

k) 常委会应审议来自动物委员会的建议稿和支持信息，并准备任何需要的建议给某个或某些国家；

l) 建议常委会在根据本决议关于使用来源代码C、D、F或R的2k)款对相关国家做出建议时，避免与其他遵约流程产生重复；及

m) 秘书处应在2 h)和2 j)的常委会会后30日内将常委会和动物委员会的建议一并发给相关国家并为他们提供相关指导，如正确地使用来源代码，和提高他们人工生产的能力的相关方法。

阶段4 – 就执行建议需采取的措施

n) 秘书处应监测关于建议的执行进程，要考虑不同的截止日期，并及时在闭会期间通过各委员会主席，与常委会成员和动物委员会成员商议后，决定前述建议是否得到了执行：

i) 当建议已经得到满足时，秘书处应在同常委会主席商议后，通过缔约方，这一物种-国家组合被从回顾进程删除；或

ii) 当建议被认为尚未得到满足，秘书处应通过各委员会主席，和常委会成员和动物委员会成员商议后，向常委会提交关于适当的行动的建议，这些行动可以包括，作为最后救济手段，关于对这一国家就受影响物种实施禁贸；

o) 秘书处应向常委会报告其关于执行建议的评估，包括其评估原理，及动物委员会的观点的摘要；

p) 对那些没有满足建议要求的国家，常委会应决定合适的行动并对这些国家提出建议，要注意这些建议应是有限、可行、可衡量、相称和透明的，如适当，并应促进能力建设。在例外的情况下，当被涉及的国家提供了执行常委会的新的建议信

息时，常委会应在动物委员会闭会期间，通过动物委员会主席咨询动物委员会，以做出关于采取合适的行动的决定；

q) 秘书处应向缔约方通报关于常委会做出的任何行动的建议；

r) 只有当该国通过秘书处（适当时秘书处还可能通过动物委员会主席，同动物委员会成员商议），使常委会认为其已经遵守了公约关于人工繁育标本的规定时，常委会对某一国家某些物种的禁贸建议才可以撤销；及

s) 常委会商秘书处和动物委员会主席后，如适当，应回顾已经超过两年的禁贸建议，经商相关国家，评估为何如此的理由，并且如合适，采取措施解决这种状况。

关于能力建设、监测、报告和评估回顾进程

3. 指示 秘书处为监测和促进执行本决议的目的并根据公约相关规定：

a) 向常委会报告有关国家执行常委会和动物委员会的建议的情况；及

b) 维护一份根据本决议被列入回顾进程的物种-国家组合记录，包括一份关于建议执行进展的记录；

4. 指示 秘书处把关于圈养生产产出标本回顾进程的培训列入其履约能力建设活动范围并成为一部分；及

5. 指示 常委会和动物委员会，与秘书处咨询，定期地评估本回顾的结果，例如，检查一份过去的物种-国家组合的样例，检查期望的结果是否得到了实现。基于这些评估，常委会和动物委员会应根据必要性对回顾进程做出修改。在这些定期评估中，应从那些已经完成回顾进程的国家寻求反馈。

Conf. 17.7 (Rev. CoP18)*

Review of trade in animal specimens reported as produced in captivity

CONSIDERING that the Convention provides, in Article VII, paragraphs 4 and 5, for special treatment of animal specimens that are bred in captivity as defined in Resolution Conf. 10.16 (Rev.) on *Specimens of animal species bred in captivity*;

NOTING that, in accordance with Article VII, paragraph 4, animal specimens of Appendix-I species bred in captivity for commercial purposes shall be deemed to be specimens of species included in Appendix II and that therefore they shall be traded in accordance with the provisions of Article IV;

NOTING ALSO that, in accordance with Article VII, paragraph 5, the certification from the Management Authority of the State of export that it is satisfied that the specimen of an animal species was bred in captivity or is part of such an animal or was derived therefrom shall be accepted in lieu of any of the permits or certificates required under the provisions of Article III, IV or V;

RECOGNIZING that specimens in trade are derived from a variety of captive production systems, which are attributed to different source codes as defined by Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*;

RECOGNIZING that captive breeding, and other captive production systems, can have a number of benefits compared with direct harvests from the wild;

CONCERNED that the incorrect application of source codes and/or misuse or false declaration of source codes can reduce or negate such benefits where they exist, have negative implications for conservation and undermine the purpose and effective implementation of the Convention;

FURTHER CONCERNED that in addition to inadvertent misuse of source codes, there is growing evidence of cases of illegal trade in wild-caught specimens of CITES-listed species, through fraudulent claims that wild-caught specimens are captive bred;

FURTHER CONCERNED that in some cases there are doubts as to the legal origin of the parental stocks of captive bred specimens including specimens that are bred outside their natural range;

ACKNOWLEDGING that the intent of the Review of trade in animal specimens reported as produced in captivity is to ensure that such trade is conducted in accordance with provisions of the Convention and to identify remedial actions where needed to ensure trade is not detrimental to the survival of wild species and to advance the purpose and effective implementation of the Convention;

EXPECTING that the implementation of recommendations and actions resulting from the Review of trade in animal specimens reported as produced in captivity will improve the capacity of the Parties to properly assess that specimens are genuinely produced by the captive production system claimed;

AFFIRMING that the Review of trade in animal specimens reported as produced in captivity should be transparent, timely and simple;

NOTING the Guide to CITES compliance procedures found in Resolution Conf. 14.3 (Rev. CoP18) on *CITES compliance procedures*; and

NOTING FURTHER that there are existing mechanisms to address urgent issues of non-compliance with the Convention, including Article XIII and Resolution Conf. 11.3 (Rev. CoP18) on *Compliance and enforcement*, and that this Resolution complements these existing mechanisms;

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* *Amended at the 18th meeting of the Conference of the Parties.*

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. DIRECTS the Secretariat to implement the present Resolution subject to available resources;
2. DIRECTS the Animals and Standing Committees, in cooperation with the Secretariat, relevant experts and in consultation with Parties, to review biological, trade and other relevant information regarding animal species subject to significant levels of trade using source codes C, D, F or R, to identify problems associated with the implementation of the Convention and to develop solutions in accordance with the following procedure.

Stage 1 – Identification of species-country combinations for review

a) The Secretariat shall produce a summary from the CITES Trade Database of annual report statistics of species traded, derived from the five most recent years, under source codes C, D, F or R and will undertake, or appoint consultants to undertake, an analysis of such data to identify species-country combinations for review using the following criteria:

   i) significant increases in trade in specimens declared as captive-produced (source codes C, D, F and R);

   ii) trade in significant numbers of specimens declared as produced in captivity;

   iii) shifts and fluctuations between different captive-production source codes;

   iv) inconsistencies between source codes reported by exporting and importing Parties for specimens declared as produced in captivity;

   v) apparent incorrect application of captive production codes such as: 'A' for animal species or 'D' for Appendix-I species that have not been registered in compliance with the provisions of Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes*; and

   vi) trade from non-range States of specimens declared as produced in captivity with no evidence of lawful acquisition of parental breeding stock (i.e. no recorded imports);

b) The Secretariat shall also compile any other relevant information made available to it with respect to concerns about captive production, including any cases identified from the Review of Significant Trade under Resolution Conf. 12.8 (Rev. CoP18) on *Review of Significant Trade in specimens of Appendix-II species*, referred to it by Parties or available in relevant reports, including the global conservation status by species published in the IUCN Red List of threatened species or noted as not evaluated;

c) The Secretariat shall provide the outcome of the analyses in subparagraph 2 a) and a compilation of information from subparagraph 2 b) to the first regular meeting of the Animals Committee following a meeting of the Conference of the Parties. The Animals Committee may select a limited number of species-country combinations for review, taking into account the biology of the species, for which it should draft general or specific questions and a brief explanation of the selection, to be addressed by the Secretariat to the Parties concerned in accordance with Stage 2, subparagraph 2 e). The Animals Committee will determine for which species the short reviews provided for in Stage 2, subparagraph 2 f) are required; urgent enforcement matters identified at this stage should be referred to the Secretariat and the country concerned and subsequently reported to the Standing Committee;

d) Where the Animals Committee finds that a species/country combination raises concerns better dealt within the process of the Review of Significant Trade, it can introduce that combination into stage 2 of the process in accordance with Resolution Conf. 12.8 (Rev. CoP18), paragraph 1 d) as an exceptional case; and

e) In exceptional cases, outside steps in subparagraphs 2 a)-c) above, and where new information provided to the Secretariat indicates that urgent action may be needed concerning problems relating to the implementation of provisions under the Convention for captive production of specimens, the Secretariat:

i) shall verify that the proponent has provided a justification for the exceptional case, including supporting information;
ii) shall produce a summary and analysis of trade from the CITES Trade Database in relation to the species-country combination; and
iii) provide the information from i) and ii) above, as soon as possible to the Animals Committee or Standing Committee, as appropriate, for their intersessional review and decision on whether to include the species-country combination in the next stage of the review process.

Stage 2 – Consultation with countries and compilation of information

f) The Secretariat shall, within 30 days after the relevant meeting of the Animals Committee, notify the country or countries concerned that species produced in captivity in their country have been selected for review, and provide them with an overview of the review process and an explanation for the selection provided by the Animals Committee. The Secretariat shall ask the country or countries to provide information, within 60 days, in response to general or specific questions, developed by the Animals Committee, to determine if the correct source codes have been used, under the applicable Resolutions, for specimens claimed to be produced in captivity; and

g) The Secretariat shall also commission, if requested by the Animals Committee, a short review of the species concerned, in consultation with relevant countries and specialists, to compile and summarise known information relating to the breeding biology and captive husbandry and any impacts, if relevant, of removal of founder stock from the wild.

Stage 3 – Review and recommendation by the Animals and Standing Committee

h) The Animals Committee shall, at their second meeting following a regular meeting of the Conference of the Parties, review the responses from countries, any review commissioned by the Secretariat and any additional relevant information, and determine if trade is in compliance with Article III and Article IV of the Convention, as well as Article VII, paragraphs 4 and 5. If trade is in compliance, the species-country combination will be excluded from the review and the Secretariat will inform the country or countries of this outcome within 60 days;

i) Where a species-country combination is retained within the review and the Animals Committee identifies concerns appropriately within its remit, the Animals Committee shall, in consultation with the Secretariat, formulate draft recommendations directed to the relevant country which are time-bound, feasible, measurable, proportionate, transparent and aimed at ensuring long-term compliance which, where appropriate, aim to promote capacity building and enhance the ability of the country to implement relevant provisions of the Convention. The Secretariat shall transmit these draft recommendations and supporting information, from the Animals Committee to the next meeting of the Standing Committee for their review, revision if necessary, and endorsement;

j) Where a species-country combination is retained within the review and the Animals Committee identifies concerns that are more appropriately considered by the Standing Committee, the Secretariat shall refer the issue to the next meeting of the Standing Committee, including any observations from the Animals Committee;

k) The Standing Committee shall review the draft recommendations and supporting information from the Animals Committee and prepare any required recommendations for the country or the countries concerned;

l) Recommends that the Standing Committee, when making recommendations to the country or countries under paragraph 2 k) of the present Resolution in relation to the use of source codes C, D, F or R, avoid duplication with other compliance processes; and

m) The Secretariat shall, within 30 days of the meeting of the Standing Committee in subparagraphs 2 h) and j), transmit the combined recommendations of the Standing and Animals Committees to the country or countries concerned and also provide the country or

countries with relevant guidance, such as on the correct application of source codes, and means by which their capacity to deal with captive production issues might be enhanced.

Stage 4: Measures to be taken regarding the implementation of recommendations

n) The Secretariat shall monitor progress against the recommendations, taking account of the different deadlines, and, following timely intersessional consultation with the members of the Standing and Animals Committees through their Chairs, determine whether the recommendations referred to above have been implemented:
   i) where the recommendations have been met, the Secretariat shall, following consultation with the Chair of the Standing Committee, notify the Parties that the species-country combination was removed from the review process; or
   ii) when the recommendations are not deemed to have been met, the Secretariat shall, in consultation with the members of the Standing and Animals Committees through their Chairs, recommend to the Standing Committee appropriate action, which may include, as a last resort, a recommendation to suspend trade in the affected species with that State;

o) The Secretariat shall report to the Standing Committee on its evaluation of the implementation of the recommendations, including the rationale for its evaluation, and a summary of the views expressed by the Animals Committee;

p) For countries where recommendations are not deemed to have been met, the Standing Committee shall decide on appropriate actions and make recommendations to the country or countries concerned, keeping in mind that these recommendations should be time-bound, feasible, measurable, proportionate, transparent, and should, if appropriate, promote capacity building. In exceptional circumstances, where the country under consideration provides new information on the implementation of the recommendations to the Standing Committee, the Standing Committee shall consult intersessionally with the Animals Committee through the Chair prior to making a decision on appropriate action;

q) The Secretariat shall notify the Parties of any recommendations or actions taken by the Standing Committee;

r) Any recommendation by the Standing Committee to suspend trade in the affected species with the country concerned should be withdrawn only when that country demonstrates to the satisfaction of the Standing Committee, through the Secretariat, in consultation, where appropriate, with the members of the Animals Committee through their Chair, compliance with the provisions of the Convention with respect to the captive production of specimens; and

s) The Standing Committee, in consultation with the Secretariat and the Chair of the Animals Committee, shall, where appropriate, review recommendations to suspend trade that have been in place for longer than two years, consult with the relevant country, evaluate the reasons why this is the case, and, if appropriate, take measures to address the situation.

Regarding capacity building, monitoring, reporting, and evaluating the review process

3. DIRECTS the Secretariat, for the purpose of monitoring and facilitating the implementation of this Resolution and the relevant provisions of the Convention:

   a) To report to the Standing Committee on the implementation, by the countries concerned, of the recommendations made by the Standing and Animals Committees; and

   b) To maintain a record of species-country combinations that are included in the review process set out in this Resolution, including a record of progress with implementation of recommendations;

4. DIRECTS the Secretariat to include training on this review process of specimens produced through captive production as part of its capacity-building activities related to the implementation of the Convention; and

5. DIRECTS the Standing and Animals Committees, in consultation with the Secretariat, to periodically evaluate the outcomes of this Review by, for example, examining a sample of past species-country combinations to assess whether the desired result was achieved. Based on these evaluations, the Standing and Animals Committees should propose revisions to the review process as necessary. In these periodic evaluations, feedback should be sought from countries that have been through the review process.

Conf. 17.8

公约附录物种的非法贸易及没收标本的处置

忆及 公约正文第八条：

a) 第1款 (b) 项规定对于违反公约规定的标本，缔约方应采取适当的措施将其没收，或将标本返还出口国；

b) 第4款 (b) 项规定缔约方在与相关出口国协商后，并在该出口国承担相关费用的基础上将所有没收所得的活体标本返还给该出口国，或将这些活体标本安置在适当的救护中心或管理机构认可的、与公约原则相适应的其他地方；及

c) 第4款 (c) 项留下一定空间，管理机构可以征询科学机构或秘书处的意见

然而**注意到** 正文第八条并未妨碍管理机构允许进口者拒收货物，从而导致承运人将货物退回出口国或再出口国；

同时忆及 公约正文第三条第4款 (a) 项和第四条第5款 (a) 项要求，作为签发再出口许可证的前提条件，再出口国的管理机构确认，该标本系遵照本公约的规定进口到本国的；

进一步**忆及** 针对非法贸易、没收和积累标本的处理，第九次缔约方大会 (劳德代尔堡，1994)通过了Conf. 9.10(Rev.CoP15)号决议，第十、十三、十四和十五次缔约方大会 (哈拉雷，1997；曼谷，2004；海牙，2007；多哈，2010)又对该决议进行了修正，并建议尚未执行该决议的缔约方通过立法对违法进口者和 (或)运输者征收向原产国或再出口国返还这些没收的活体标本所发生的费用；

还忆及 公约第十次缔约方大会 (哈拉雷，1997)通过并经第十五次缔约方大会 (多哈，2010)修订的关于没收来源公约附录物种活体标本处理的Conf. 10.7 (Rev. CoP15)号决议；

认识到 由进口国返还给出口国或再出口国的违约贸易标本时，采取有关预防措施确保此类标本不会进入非法贸易，是很重要的；

也认识到 缔约方在处置通过罚没、意外死亡及其他方式获取的附录I标本时，遇到了困难；

注意到 用不合格的笼箱大量装运附录 II 或附录III活体标本的现象时有发生，且此类运输通常均未附上这些标本的原产国和捕捉地方面的详细资料；

考虑到 缔约方也许会采取内部补偿措施来解决没收违约贸易标本所发生的费用；

也考虑到 从违约方那里成功地全额收回由没收和处理标本所发生的费用，也许是抑制非法贸易的一种重要手段；

进一步**考虑到** 活体标本一旦用于贸易，就无法参与该物种野外种群的繁殖；

还**考虑到** 放生未必总是符合保护该物种的最大利益，尤其对于那些并未濒临灭绝的物种；

关注到 放生被没收的标本，存在给当地野生动植物传入病原菌和寄生虫、造成遗传污染并产生其他副作用的风险；

意识到 在遇到违约出口或再出口标本时，通常对出口者采取的唯一执法行动，是由进口国没收有关标本；

也**意识到** 某些缔约方不允许出售没收标本，因为担心此举会误导公众，也因为可以防止非法贸易标本进入商业市场；

公约缔约方大会

关于非法贸易标本的出口或再出口：

1. 建议：

a) 当标本被违约出口或再出口时，进口国：

i) 考虑选择扣留和没收此类标本，它通常优于彻底拒绝此类标本进口；

ii) 尽快通知标本运出国管理机构有关标本构成违约的情况及对此标本拟采取的执法行动；及

iii) 对违约方采取除扣留和没收此标本以外的其他执法行动应得到鼓励；

b) 当被违约出口或再出口的标本被其运往的国家拒绝进口时，出口国和再出口国要采取包括监视此类标本返回或没收此类标本等必要措施，确保标本不再进入非法贸易。

关于没收和累积来源死体标本的处理：

2. 建议：

a) 缔约方只能为科学研究、宣传教育、执法、鉴定等目的，转让没收或累积来源的包括部分和衍生物在内的附录Ⅰ死体标本。如果以上述目的转让行不通，缔约方可将这些标本贮存起来或者毁掉多余标本；

b) 作为一条通用规则，对包括部分和衍生物在内的没收来源的附录Ⅱ物种死体标本，应采取最有利于公约执法和管理的方式进行处理，并且采取的具体做法应能保证违约者无法从标本处理中获得资金的或其他的收益，并且不会进一步刺激非法贸易；

关于没收活体标本的处理：

3. 建议：

a) 管理机构在做出没收所获附录物种活体标本处理决定前，应征询并得到本国科学机构的意见，如果可能的话，还要征询被没收标本的出口国及有关专家的意见；

b) 科学机构提出意见时，应注意本决议附件 1 和附件 2 所述各项指南；

c) 对于没收所获的附录Ⅰ物种或者达到商业规模附录Ⅱ或附录Ⅲ物种活体标本，缔约方均须将其做出的任何处理决定通知秘书处；

d) 对于未附适宜的出口许可证或允许再出口证明书而运抵进口国的活体标本，或进口者拒绝接收的已运抵的活体标本，应予以没收并按附件 1 或附件 2 所述指南来处理；及

e) 应给予查获或没收的野外来源附录Ⅰ物种及处于危险境地的附录Ⅱ物种标本特别关照；

4. 敦促 各管理机构在征询科学机构和其他有关机构意见后，按照本决议附件3 所述指南，制定解决查获或没收所获活体标本的行动计划；

关于没收标本相关费用

5. 建议：

a) 缔约方制定法律规定，要求非法进口者和 (或)运输者支付标本的没收、监护、贮存、销毁或者其他处置费用，处置包括返还至原产国或再出口国(若适当的话)，如果没收国科学机构认为这么做符合此批标本的利益，且原产国或再出口国也希望这么做的话；

b) 若无上述立法而原产国或者再出口国又希望将没收标本返还给它们，原产国或者再出口国应当支付返还费用，或应寻求财政援助以促成返还；

6. 确认 各缔约方有权决定允许出售包括部分和衍生物在内的没收来源的附录Ⅱ和附录Ⅲ物种死体标本，或者如果愿意，也有权决定上述标本不得出售，注意采取必要措施防止罚没标本再度进入非法贸易。

关于宣传

7. 建议 各缔约方应宣传查获或没收信息及执法行动，必要时可包括相关诉讼，以起到威慑非法贸易的作用，并将处理查没标本的程序及救护中心的情况向全社会公告；

关于非法贸易标本的出口或再出口

8. 建议：

a) 除下列 b)和 c)款所指情况外，缔约方不能批准任何有证据表明其是非法进口到本国的标本的再出口；

b) 当管理机构为执行公约第八条或本决议有关条款规定或者因调查或司法目的，适用公约第三条第 4 款(a)项和第四条第 5 款 (a)项规定再出口非法进口的标本时，可将这些标本视为符合公约规定进口的标本；

c) 对非法进出口时被没收的附录Ⅱ物种标本，如管理机构确信拍卖不会给该物种生存带来危害而被管理机构实施了拍卖，在适用公约第四条第 2 款 (b)项和第 5 款 (a)项条款为其核发出口许可证或者再出口证明书时，可将此类标本视为符合公约及其本国野生动植物保护立法的规定而获得的；

d) 按上述 b)和 c)规定签发的出口许可证或再出口证明书，应明确注明这些标本属没收所得；

9. 废除 下列决议或其部分内容：

a) Conf. 9.9 号决议 (劳德代尔堡，1994)——对违约出口和再出口标本的没收；

b) Conf. 9.10 号决议 (劳德代尔堡，1994)——对没收和累积标本的处理；

c) Conf. 10.7 号决议 (哈拉雷，1997)——没收所获公约附录物种活体标本的处置。

附件 1 CITES 对没收所获活体动物处理指南

原则声明

政府机构没收活体动物后，有责任对其做出妥善处理。在法律允许的范围内，处理没收

所获活体动物的最终决定必须达到以下三个目标：1) 在不致造成任何损害动物健康、影响其行为模式或危害该物种*野生或人工养殖种群保护状况的情况下，最大限度地发挥该标本的保护价值；2) 阻止对该物种进一步的非法或不正当贸易；3) 提供人道的解决办法，不管是饲养、放生，还是实施安乐死予以销毁。

必要声明

随着野生动植物贸易法规不断增多，执法措施日益加强，政府机构截获到的不符合规定的野生动物越来越多。在有些情况下，截获的是公开非法贸易的标本；其他情况下则是因不正当贸易被截获，如从出口国获得的文件不够或不完备，以不符合要求的笼箱装运损害了活体动物的福利等。有时侯，一次运输中被没收的动物数量很少，而多数情况下没收到的可达数百只。尽管在许多国家，没收所获动物常常会被捐赠给动物园或水族馆，但在动物数量较多时，特别是对于没收到的普通物种，此法不大可行。国际动物园界已经意识到，把保护价值较低的动物置于有限的笼舍空间内也许有益于这些动物个体，但也可能会从整体上削弱保护动物的努力。为此，他们正在把保护工作的重点放在改善笼舍空间方面。

基于这种趋势，提供有关情报和意见来指导没收机构如何处理活体动物的要求在不断增加，并已到了非常迫切的地步。虽然已经有了鹦鹉类、灵长类等个别类群动物的种的处理指南，但普遍适用于各种动物的指南目前尚不存在。

在处理没收所获动物时，没收机构必须遵守有关国家、地区及国际法。濒危野生动植物种国际贸易公约(CITES)要求缔约方应将没收所获公约附录物种返还给“出口国…或管理机构认为合适并符合本公约宗旨的拯救中心，或类似地方”(公约第八条规定)。然而，公约并没有对该要求做出详细的阐述和说明，缔约方管理机构必须按照自己对公约的理解来采取行动，至于在什么情况下应予返还及究竟如何处理才是“合适并符合”公约的要求难以把握。尽管本指南试图帮助公约管理机构做出此类评估，但须注意，它是为处理所有被没收的活体动物而制定的普遍使用的指南。

由于缺乏一个具体的处理指南，致使现行处理没收所获动物的方式方法多种多样，许多处理方法都不符合动物保护目的。有时侯，将没收所获动物放生到现存野生动物种群中时，确实是经过了仔细评估并充分考虑了现有的指南，但在其他情况下，放生并没有很好地计划。活体动物未经周密地计划而放生，也许会使它们在野外慢慢地、痛苦地死去。这样的放生，也许还会产生强烈的负面效应并威胁现有野生种群的生存。威胁现有野生种群共有下列方式：1) 放生的动物在圈养期间感染的疾病和寄生虫，可能会传播给现存的野生种群；2) 放生到现存野生种群中或现存野生种群附近的活体动物，可能与该地区的野生种群不是同一个族或亚种，放生会导致它们不同的遗传血统的混杂；3) 圈养的动物，特别是幼体和亚成体，可能会从其他相关的物种的个体那里学到不适宜的行为模式，放生这些动物会导致种间杂交。

处理没收所获动物不是一个简单的过程。只有极少数的放生才是一项简单明确而又具保护价值的行动。“放生是解决动物利益和保护的最佳方法”这一观念对选择处理没收所获活体动物方法有深远影响。越来越多的从事圈养动物重引入研究的机构建议，出于许多原因，以放生来处理没收所获活体动物属于最不适宜的方法之一。这一新的认识要求没收机构在选择动物的最佳处理方案时应当深思熟虑。

* 虽然本文中使用物种一词，但当该物种有明确定义的亚种和族群时，这里所强调的问题将应用于较低的分类单元。

处理方案

在决定如何处理没收所获动物时，管理者必须保证人道地对待没收所获动物及相关物种野生种群的保护和福利。可供选择的处理方案有以下三种基本形式：1) 在圈养条件下饲养起来；2) 以某种生存方式放生这些动物；3) 实施安乐死。最后一个选项可能常常被证明是最适宜和最人道的处理方案。

从保护的观点来看，选择处理方案时，要重点考虑有关物种的保护状况。对于没收所获的濒危或易危动物，应特别注意评估这些动物是否及如何对该物种的保护做出贡献。运用哪种方案来处理没收所获动物，还取决于各种各样的法律、社会、经济及生物等因素。本指南所提供的“决策树”，旨在帮助考虑选择处理方案。该“决策树”可适用于濒危和普通物种两类情况。我们已经意识到某一物种的保护状况是我们选择处理方案时应考虑的根本问题，这主要在于它不但影响到这些动物是不是值得用于保护性的繁育项目或重引入项目，而且也影响到一些国际性、区域性机构是否愿意资助完成诸如原产国和捕捉地的遗传测定、建立重引入种群、良性引种、补充现存种群等耗费巨资且又困难重重的工作。国际网络性专家组织，如世界自然保护联盟 (IUCN)下设的物种存续委员会专家组，应该能够帮助没收机构、公约科学机构和管理机构来妥善处理没收所获标本。

方案1——圈养

没收动物已经被圈养；有多种方案继续圈养。根据实际条件可以收养、租借或者售卖动物。可以安置在动物园或其他机构，或者私人手中。最后，可以安置给原产国、出口国(如果不是原产国) 、查没国，或拥有合适或/和特定设施可以照管该物种的国家。如果在返回野外或者销毁之前继续圈养动物，则必须供给其适合自然天性的人道条件和确保合适照管。

考虑在圈养设施下安置动物时，动物园、水族馆和野生动物园往往作为首选之地，但还有其他许多饲养设施可以安置动物，它们分别是：

a) 拯救中心 在许多国家，有不少慈善组织出资主办了专为救护伤病动物和被没收动物的拯救中心。

b) 动物终身照管设施 一些国家设立了从事照管被没收动物的此类饲养场。

c) 专家协会或俱乐部 在某些情况下，从事单一物种或同一分类阶元物种 (如爬行类、两栖类、鸟类)研究和照管的专家协会或俱乐部，可以在无需通过中间人出售的情况下，直接接收并照管被没收动物。

d) 人道协会 人道协会可能愿意与能够提供终身人道照管的个人合作，来安置没收所获动物。

e) 大学和实验室 此类单位出于各种研究目的 (如行为学、生态学、生理学、心理学和医学研究)饲养搜集所获的外来物种。对待活体解剖动物，甚至对待在实验室里非侵害性地利用人工养殖动物种群进行研究，各个国家的态度差别很大。被没收动物转让给在人道的条件下进行研究的单位，可以用于多项科学研究，有些研究也许最终会提供与该物种保护有关的资料。但是，不管这类转让是否适宜，均会引起一些争议。在很多情况下，由于动物来源不明，加之可能感染过未知病原菌等原因，不大可能将它们转让给科研机构。

f) 出售给从事商业性繁育活动的单位和个人 向贸易商、商业性圈养单位或其他从事商业

性活动的机构或个人出售没收所获标本，可以提供一种帮助补偿没收所耗费用的处理方案。然而，只有在特定情况下才能考虑出售，如该类动物并不濒危，法律也不禁止其贸易 (如公约附录II物种等)，而且不会出现刺激更进一步的非法贸易或不正当贸易的危险。向从事商业性人工繁育的单位出售被没收动物，还可能有利于减少对野外猎捕该种动物的需求。同时，由于出售会使公众产生政府纵容犯罪或政府受益于非法贸易或不正当贸易的看法，此举也许会被证明为一种不适宜的处理方案。最终，没收执行机关应该注意到，除非适用专门的法律规定，否则安置后动物福利无法得到保障。

当没收执行机关转让动物而不是出售动物时，应该把所有权列为转让的一个条件。原产国要求返还动物时，应该尊重其要求。只有在行政管理当局的许可下，出于合法的人道需要或繁殖需要，被没收动物的照管者 (动物园、动物福利组织)才可将上述动物转往别的饲养设施。

圈养——益处和不足

将动物安置在可以向动物提供终身人道照管的饲养设施，具有以下益处：

a) 教育价值；

b) 人工繁育产出最终用于重引入的种群的潜力；

c) 没收机构最终通过出售来弥补没收所耗费用的可能性。

将动物安置在不从事人工繁育或重引入项目的饲养设施里，具有以下不足之处：

a) 可能怂恿多余的贸易。部分专家强调，转让任何没收所获动物，不论是贸易性的还是非贸易性的，都有助长对这些动物的交易，并使人产生政府在从事非法贸易或不正当贸易的看法。

   鸟类国际 (Birdlife International)提出，在一定的条件下，出售没收所获动物不会推动不正常动物贸易的发生，并提出没收机构出售动物应满足以下要求：1)被出售的动物物种在没收国已经达到了商业性贸易的数量；2)被控告或证明犯有与进口野生动物相关罪行的野生动物贸易者，不许购买有关动物。美国在处理被没收动物方面的经验提醒我们，事实上不可能保证卷入或被怀疑卷入动物非法贸易或不正当贸易的商业性经营者不直接或间接地参与购买被没收的动物。这意味着，虽然没收导致了费用上升，但是论及那些触发没收的行为或问题，没收未必是对其有效的抑制措施。

   不应考虑将濒危物种用于商业性贸易，否则会冒风险刺激多余的动物贸易。附录Ⅰ物种可以出售给已经注册了的商业性繁育附录Ⅰ物种的单位，但这些标本不能再出售或进入商业性贸易。因人工养殖所获附录Ⅰ物种的后代可以被视为附录Ⅱ物种标本，所以商业性繁育者有利用人工繁育所获的个体来取代野外捕捉来源的动物个体进行贸易的潜力。在一定条件下出售动物 (如出售给商业性的人工养殖者)，也许比非商业性处理或实施安乐死能更好地保护物种。必须认真地评估及谨慎地处理这些繁育项目。监视这些项目也许非常困难，而且这些项目也许会有意无意地刺激对野生动物的贸易。

   有必要让没收执行机构意识到，还有许多物种并没有列入公约附录，但它们依然需要与公约附录Ⅰ物种同样对待。

b) 安置费用问题。尽管任何报偿都会赋予动物价格，但没有证据表明接收捐赠动物的单位偿付了没收执行机构的照管费和运费会鼓励这些动物的贸易。但是，补偿的费用必须限制在最小额度，可能的话，接收动物的单位应直接承担所有费用。

c) 疾病问题。被没收的动物常常携带多种疾病，因此，必须经过极为严格的检疫。将外来的疾病传入饲养单位的潜在后果与将其传入野生种群的后果同样严重。

d) 逃逸问题。被没收动物可能会逃出饲养场并成为有害动物。意外地引进外来物种能够产生极大的破坏，例如美洲水貂从英国的皮毛动物饲养场逃出后造成了破坏。为人工繁育而进口动物也是引进外来物种的一个途径。

方案 2——野外放生

虽然公约要求将没收的公约附录物种返还给出口国可作为没收执行机构处理动物的方案之一，但公约绝不要求将动物放生到出口国野外。本指南建议，只有在极个别和非常特定的条件下，放生才是一个称心的合乎要求的选择。逃避谈论被没收动物返还之后的处理是不负责任的。在考虑返还时，没收执行机构必须保证动物接收方完全知晓返还的细节及本指南所述的各种处理方案。此外，向原产国返还用于放生的被没收动物的国家，必须保证使原产国的管理机构了解有关返还事宜。

下面的许多处理方案的合理性在IUCN 《“重引入”指南》中已经详细地讨论过了。需要特别强调的是，这些指南为动物放生的不同处理方案划定了相当清楚的界限，现详述如下：

a) 重引入：重引入就是试图在某物种曾经分布过但现已灭绝了的地区，建立该物种的一个种群。

一些在野外已经灭绝了的物种，如麋鹿和阿拉伯长角羚，现在已经实施了成功的重引入。另外一些重引入项目涉及到那些在一些地区尚有分布，但在历史上曾有过分布的其他地区现已灭绝的物种。实施这一项目是为了在该物种曾经分布过但现已绝迹的一个地区重建该物种的一个种群。如加拿大最近实施的敏狐重引入就是这一类型重引入的典型事例。

b) 现存种群复壮：再充实现存种群是指向与其分类上相同的一个现存种群补充新的个体。

当自然种群由于一个至少在理论上可逆的过程而减小，那么复壮该种群能够成为一个强有力的保护工具。巴西的金狮面狨是种群复壮项目的一个成功实例。由于栖息地的丧失及捕来用作宠物，二者共同导致该物种野生数量急剧下降。当保护区被扩大、用于宠物贸易的捕捉被控制住后，又将圈养的金狮面狨补充到几乎绝灭了的野生种群中，从而在巴西又重新恢复了它的野生种群。

当受到人类伤害的动物个体得到兽医的照管后准备放生时，复壮是一种普遍采用的办法。这类做法在西方很普遍，如存在刺猬、猥亚科动物及猛禽等多种动物的种的复壮项目。尽管复壮是常见的放生方法，但用圈养的个体来复壮，即便是暂时的，也会冒把疾病传染给野生种群的极大风险。

因为存在传染疾病的危险，所以仅在该野生种群急需复壮一些个体来增强其种群活力，且复壮能产生直接、可测量 (数量统计学或遗传学)的保护利益时，才可采用复壮的手段。

“野外放生”——顾虑和益处

在考虑放生被没收动物以前，必须先综合考虑有关动物福利、保护价值、放生费用及疾病等方面的顾虑。

a) 福利 虽然放生似乎是最人道的，但也许这种处理方法只是将动物处以缓期死刑。出于人道的考虑，要求每一个将没收所获动物放生的努力都必须进行精心的、周密的研究和计划。这种放生还要求对放生个体的命运进行长期监测。一些专家倡议，要特别考虑，放生的动物起码应接近其将要放回地区的同一性别和年龄阶层的野生伙伴，这样才有拯救成功放生动物的机会。不幸的是，我们很少能获得有关野生种群的数量统计学资料。为此，建议以下原则应该得到尊重：在试图放生被没收动物时，必须人道地对待它们。

b) 保护价值和费用 放生被没收动物似乎是最人道的处理方法，但放生只能在不危害现存野生动植物种群或放生地区的生态完整性的情况下实施。对某物种的整体保护及其他自由动物的保护，必须优先于人工繁育来源的被没收动物个体的利益。

在动物用于再充实现存种群项目或建立新的种群之前，必须断定放生会特别有益于该物种的保护。大的种群不太可能趋于灭绝，再充实现存的很小的种群也许会减少其灭绝的可能性。一个很小的种群缺乏雄性或雌性个体，可能会导致种群增长减缓或种群下降。再充实缺乏某种特定性别动物的小种群也许会增大成功拯救该种群的机会。

应该注意，被没收动物被用于重引入后 (如上述定义)，它们将形成一个新种群的核心。如果这样的项目有希望成功的话，应重引入相对的更多的个体。为此，少量的没收所获动物可能不适于重引入项目。

除濒危动物中大多数以外，以适当的方式放生其他动物的费用都会过高。保护价值明显高于放生费用的物种只占公约附录所列物种的一小部分，其他许多非公约附录物种也具有很高的保护价值。多数情况下，适宜的、负责的重引入项目难以接纳被没收动物。没有经过很好计划或实施的重引入项目就相当于把动物作为垃圾倾倒到野外，势必与保护和人道理念相抵触。

c) 动物个体的来源 如果动物的原产国或捕捉地不详，或对动物的来源有任何疑问，补充动物可能会在无意中造成对遗传性质不同的族或亚种的污染。如果某种当地分布的族或亚种对当地环境有了特定的适应性变化，混杂其他族或亚种的个体可能会损害其当地种群。将动物重引入到错误的栖息地类型中去，该动物可能注定要死亡。

d) 疾病 处于圈养下的动物和 (或)运输中的动物，尽管该过程非常短暂，但也可能感染上多种病原菌。放生这些动物也许会将疾病灾难性地传播给同一物种动物或其他不相关的物种。即使没收所获动物已感染外来病原菌的危险很小，将外来疫病传播给野外种群的潜在后果也非常大，以致于常常会妨碍将被没收动物放生。

一旦发现没收所获动物不适于放生，为验证其确实是健康或其所患的疾病和寄生虫也存在于将要被转运去的饲养场，对其进行疾病筛查和适宜隔离仍然是非常必要的。引入疾病会危害动物养繁场，尤其在动物园园内收集的不同种动物之间发生交叉传染，其危害相当严重。如经检疫不能保证该动物个体是健康的，必须对它实施无限期隔离或安乐死。

在选择放生作为处理没收所获动物的处理方案时，必须考虑许多明显的细节。首要的也是最重要的问题是：放生是否对有关物种的保护做出重大贡，将任何一个圈养的动物放生都是要冒风险的。虽然有一些检查动物疾病的方法，但尚有许多动物疾病无法监测。另外，圈养下的动物经常会遇到其自然栖息地中没有的疾病。兽医和检疫官若只考虑相关动物在野外易感的特定疾病，就可能不对在圈养下可能患上的疾病进行检查。

由于放生都会遇到一定的风险，我们必须采取下面的“预防规则”：对于没收标本，如果没有保护价值、还可能意外地将尚未发作的疾病引入环境，则无论如何都应取消将其放生的处置决定。

不管是重引入还是再充实现存种群，放生动物都会有以下好处：

a) 在现存种群受到严重威胁时，这种行动可改善该物种或其现存种群长远的保护潜力(如金狮面狨)；

b) 放生动物等于做出了强烈的政治和教育声明，以示对动物命运的关注 (如红毛猩猩和黑猩猩)，而且还可能会提高当地的保护声望。无论怎样，作为教育或唤起公众保护意识项目的一部分，放生的代价和困难都应该受到重视。

方案 3——安乐死

安乐死——指根据人道原则来处死动物。在众多没收执行机构决定处理没收所获动物时，使用安乐死的很少。不可过分强调安乐死作为可采用的最简单和人道的处理方案的重要性。在很多情况下，没收活体动物的机构会遇到下列问题：

a) 以某些方式放生既不必要 (如放生非常普通的物种)也不可能；或者，使放生服从生物学和动物福利指南的代价往往不可承受。

b) 无法安置在圈养单位；或者，使人特别担心出售会引发问题并引起争论。

c) 在运输或圈养期间，没收所获动物已经患上了无法治愈的慢性疾病，这对任何饲养种群或野生种群都是一种威胁。

当然，安乐死也有以下明显优点：

a) 从保护有关物种、保护该物种现存人工养殖种群和野生种群的观点来看，安乐死比起放生，所冒风险要小得多。

b) 安乐死也能抑制下列导致没收的违法违章活动：走私、其他公开的非法贸易、不充分的证明文书、运输容器不符合要求及其他问题。

c) 安乐死也许是最符合被没收动物福利的处理方法。除非得到适量的经济资助而将其用于现存种群的复壮或重引入，否则，放生对现存种群会构成巨大的威胁，而且还严重危害放生动物的生存前景，被放生的动物可能会因饥饿、疾病或被捕食而丧生。

d) 当动物被处死或在圈养条件下自然死亡后，死标本可被送往自然历史博物馆用作展品，也可送往大学、研究所等单位作为标本收集。这些标本对研究生物多样性有重要价值。如果不能按上述方法安置，应焚化其尸体，以避免对该动物的部分或其衍生物进行非法贸易。

决策树

运用决策树来选择“放生”和“圈养”方案时，实施没收的缔约方必须首先提出下面的问题：

问题 1: 将动物放生是否会对有关物种的保护做出重大贡献，其中包括通过教育和其他手段获得的保护效应？

在决定处理没收所获标本方案时，最主要的是要考虑有关物种的保护。因为从来

就无法绝对肯定被没收动物没有疾病和寄生虫，所以将圈养的动物放生到野外，总会程度不同地威胁放生地区生态系统中的其他动物或同一物种的现存种群。

放生动物似乎是最人道的行动，但它必须能起到改善现存种群生存前景的作用。从人道主义和保护利益的观点出发，应努力确保尽可能多的个体生存，而不是仅确保少数动物个体的短期安逸。放生的保护价值必须明显地超过其引发的潜在危险。

大多数情况下，放生的代价和风险都会超过放生的利益。如果放生动物并不存在保护价值，那么，选择圈养造成的风险要小一些，也许更人道一些。

答案: “是”：研究“放生”方案；

“否”：研究“圈养”方案。

决策树分析——圈养

做出把动物饲养起来的决定，所需考虑的问题要比决定将动物放生时所需考虑的简单一些。应该注意的是，本决策树所安排的各种处置方案的顺序对于不同国家的不同机构未必都是最适当的。我们期望每一个没收执行机构都能根据具体案件及其具体情况来决定最佳处置方案。

问题 2: 经过兽医的综合检查及检疫后，动物是否完全健康？

因为存在将疾病引入圈养种群的危险，所以对可能要被转送到符合要求的养殖场的动物，必须要有一份清楚的健康检查清单。如果没收所获动物被发现并不健康，在运输前应将它们安置在隔离场中进行检疫，或接受转让的养殖场必须有适当的隔离场可供检疫。如果在检疫中发现这些动物患有无法治愈的疾病，就必须销毁它们，以防感染其他动物。

答案: “是”：请继续进行问题3；

“否”：检疫；检疫后再评估问题2。

如果是慢性的无法治愈的传染病，可以首先把它们提供给研究所。如果不可能把它们安置在上述单位，则予以销毁。

问题 3: 在非商业性的饲养场 (如动物终身照管机构、动物园或拯救中心)是否可用？

不论动物转让给动物园还是动物终身照管机构，这些单位都应该能够提供一般的可接受的处置没收所获动物的设施和技术方法。当出现多个接收单位可供选择时，首先考虑的问题应该是，哪个单位能提供最符合要求的照管并能保证动物福利。没收机构和接收单位间应该签订转让动物的条款。这些条款包括：

a) 做出明确承诺，保证动物得到终身照管，或在上述承诺因故不能兑现时，须将动物转让给其他能提供终身照管的饲养单位或处以安乐死；

b) 不得出售有关动物；及

c) 明确载明有关标本的所有权及上述标本可能出现由繁殖而来的后代的所有权归属。这种情况下，其所有权可归属没收机构、原产国或接收单位。

在大多数情况下，没收国没有动物园、水族馆或其他单位可供妥善饲养没收所获动物。这时，会出现下述情况：1) 寻求其他饲养方案；2) 寻求转让给没收国以外

的圈养单位；或 3) 或销毁动物。

答案: “是”，履行协议并转让；

“否”，请继续进行问题4。

问题 4: 私人是否能够并愿意在非商业性设施中提供终身人道照管？

在许多国家，有许多擅长饲养和繁育某一物种或某一类物种的活跃的专家社团或个人俱乐部。这些社团可以不通过中间人出售来帮助找到安置被没收动物的地方。在这种情况下，接收被没收动物的个人必须展示出他在饲养该动物方面的技术经验，同时，还应由上述相关的专家社团或俱乐部向他们提供适当的信息和饲养建议。将被没收动物转让给专家社团或个体会员，必须依据没收执行机构和他们达成的协议条款来实施。上述协议内容可以同终身照管机构或动物园所签署的协议内容相同或相近。

答案: “是”，履行协议并转让；

“否”，请继续进行问题5。

问题 5: 是否有研究机构愿在人道的条件下利用它们进行研究工作？

许多大学和研究室搜集外来物种并在人道条件下进行研究。如果这些动物能被饲养在确保其福利的条件下，转让给这些机构也许是可以接受的一种处理方案，以替代诸如出售或安乐死等其他方案。同上面所述的情况一样，这样的转让也必须与没收执行机构达成相应的条款。不过，除了上述条款以外，还应清楚地规定没收执行机构所允许开展的研究类型。

答案: “是”，履行协议并实施转让；

“否”，请继续进行问题6。

问题 6: 该物种是否为公约附录所列物种或被看作是濒危的或关键的物种？

不应允许附录Ⅰ物种标本进行商业性出售，因为此举可能会刺激我们所不希望发生的对此类物种的贸易。未列入公约附录的物种，但其生存也受到严重威胁时，也应受到同样的关注。

答案: “是”，继续进行问题7；

“否”，则继续进行问题8

问题7: 是否存在对该标本感兴趣的从事繁育附录Ⅰ物种的商业性饲养设施？

正如上面所讨论的，人工繁育的附录Ⅰ物种后代，为商业性繁育单位提供了用人工繁育所获标本取代野外捕捉标本以进行贸易的潜力。必须对这些繁育项目予以仔细评估和高度关注。也许监测这样的项目很困难，而且它们会有意无意地刺激对野生动物贸易。这种转让或出借给上述单位用于繁殖的保护潜力，必须仔细地衡量，以阻止进一步出现危害该物种野生种群的贸易危险。

答案: “是”，签署协议并实施转让；

“否”，则予以销毁，并将其尸体按前面所述的办法来处理。

问题 8: 是否有事实表明出售会进一步刺激非法贸易或不正当贸易？

在考虑选择合法地出售被没收动物的方案时，会遇到一些困难。尽管很清楚，出

售会带来收入及快速地处置动物等好处，但它还产生许多问题，这些问题也许会导致相关标本商业性交易进一步增长。同样也应强调，出售可能还会导致相关标本非商业性贸易增长，反之，出售给商业性繁育者也许有助于减少野外捕捉动物的需求。

通常，只有在该物种不属于濒临灭绝物种，而且其贸易也不受法律禁止 (如公约附录II物种)时，才可考虑出售该物种标本。商业性人工繁育机构愿意接受没收个体用于繁殖，以减轻对野生种群贸易压力的情况可能很少。在所有情况下，没收执行机构都应确认：1)那些因参与非法或不正当交易而触发没收的单位或个人无法得到上述标本；2)出售不得损害没收的目的；3)最终，出售不得加剧对该物种的非法或不正当贸易及其他不适宜的贸易。一些国家 (如美国)以前获得的出售经验表明，出售被没收动物都会存在众多的后勤和策略问题，除有争议外，也许还有反作用。

答案: “是”，予以销毁，并将尸体按前述方法处理；

“否”，则卖给合格的购买者。

决策树分析——野外放生

问题 2: 经过兽医的综合检查及检疫后，是否确认该批动物完全健康？

由于存在把疾病传染给野生种群的危险，拟放生的活体动物必须是完全健康的。若发现并不健康，在考虑放生前必须把它们安置在隔离场进行检疫。若在隔离期间发现该动物患有无法治愈的疾病，则销毁它们，以防止感染其他动物。

答案: “是”，继续进行问题3；

“否”，则进行检疫，并在检疫后再评估问题2。

若发现所患疾病为无法治愈的传染病，首先应考虑将它们送给研究机构。若不可能安置到上述单位，则予以销毁。

问题 3: 是否能够确定该批动物的原产国和捕捉地？

如果被没收的动物要用于重引入或复壮现存种群，必须确定它们被捕捉地的确切位置。大多数情况下，这些动物应该只能放生到与其被捕捉地的野生种群有相近遗传构造的那些种群中去。

如果该批动物的原产国和捕捉地不详，复壮放生也许会无意中造成遗传性质不同的同一物种不同宗族或亚种间的杂交，从而产生远系繁殖衰退的恶果。一些相关的动物物种也许会和谐地共同生活在同一地区，在野外从不发生它们被饲养或装运在一块时所出现的杂交现象。这种类型的“误印刻现象”能产生许多行为上的问题，这些问题将严重影响未来放生该种动物的任何努力，同时，也能通过人为地破坏由行为所控制的生殖隔离而危害野生种群的生存。

答案: “是”，继续进行问题4；

“否”，则选择“圈养”方案。

问题 4: 这些动物是否能够被迅速地放生回其原产地，且返还放生的利益是否确实高于所冒风险？

答案: “是”，依据IUCN指南，返还在原产地 (特定地区)复壮种群；

“否”，继续进行问题5。

问题 5: 是否存在普遍认可的人工繁育或重引入该没收所获动物物种的项目？

如果没收所获动物物种是某个实施中的人工繁育项目和 (或)重引入项目的一个组成部分，应将被没收的动物提供给该项目。

答案: “是”，继续进行问题6；

“否”，则继续进行问题7。

问题 6: 该批动物所属种群是否适于加强现存的人工繁育或重引入项目？

如确有该物种的人工繁育和 (或)重引入项目，并需要进一步引进种源或繁殖基群，没收机构经与适当的科学机构协商后，应该把这些动物转让给上述项目。如果该物种是某人工繁育项目的部分，但被没收的动物与该项目所使用的动物并不是同一个亚种或宗族，就应考虑其他处理方案。对遗传检查测定应予以特别的重视，以避免通过意外的杂交而危害人工繁育项目。

答案: “是”，转让给这些项目；

“否”，则继续进行问题7。

问题 7: 是否有计划根据IUCN指南建立一个新的重引入项目？

当动物不能转让给现存的项目时，只有符合下列条件并依照适宜的指导，才可把它们放生：1)有适宜的栖息地；2)有充足的资金，或能筹集到充足的资金，来支持费时长达数年的重引入项目；3)具有使重引入工作可行的足够数量的动物，不然则只应考虑复壮现存种群。

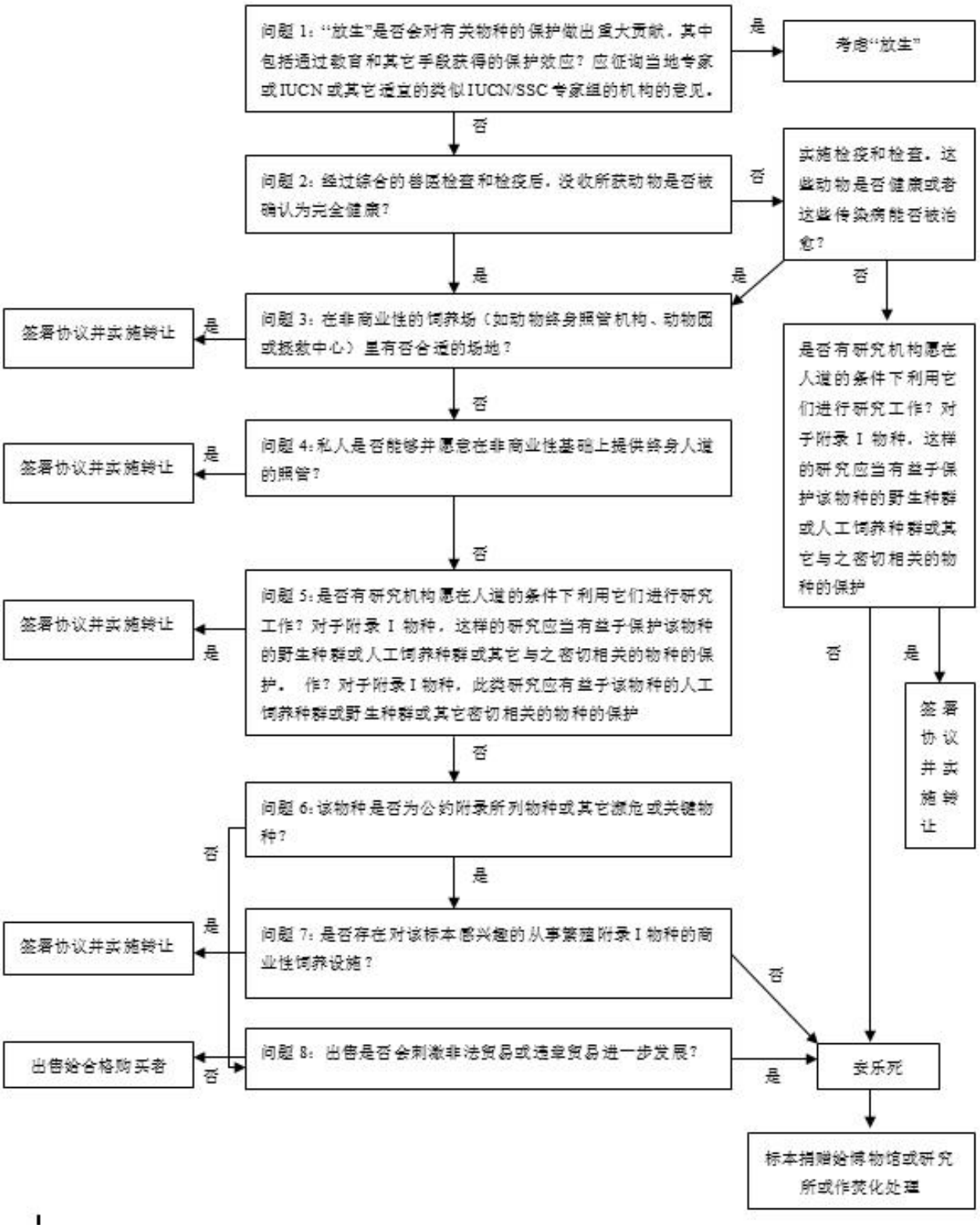
大多数情况下，上述要求至少有一条 (如果不是所有)无法满足时，就应考虑其他处理方案。

应该强调的是，如果经常性地没收到某一特定物种或分类阶元的动物，就应考虑是否建立一个重引入或复壮项目。在上述项目的计划过程中，没收动物不应无限期饲养在没收执行机构中，而应在与拟建新项目组织者协商后，将它们转到寄养单位。

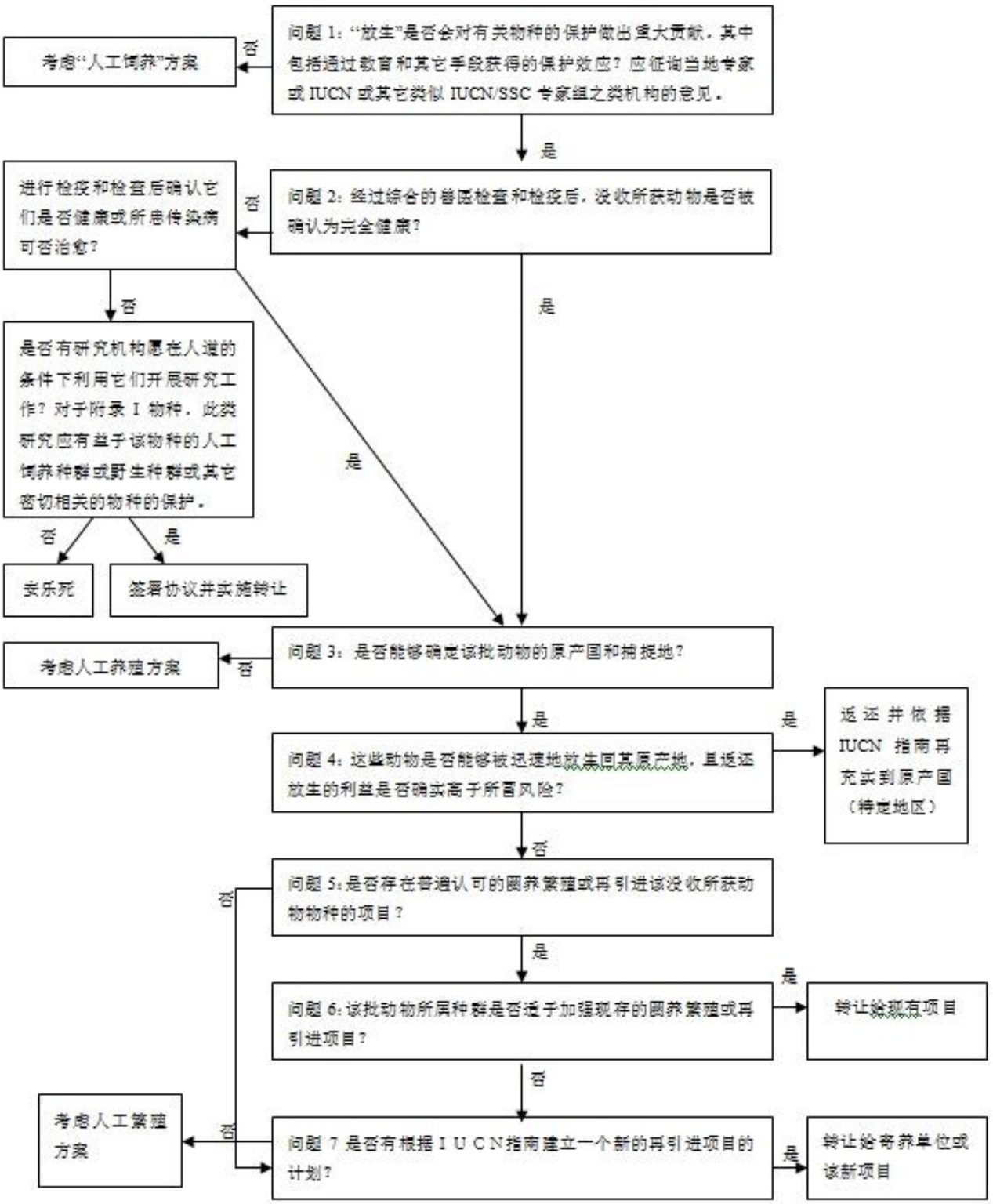
答案: “是”，转让给寄养单位或新项目；

“否”，则采用“圈养”方案。

圈养决策树


问题 1：“放生”是否会对有关物种的保护做出重大贡献，其中包括通过教育和其它手段获得的保护效应？应征询当地专家或IUCN或其它适宜的类似IUCN/SSC专家组的机构的意见。
是
考虑“放生”
否
问题 2：经过综合的兽医检查和检疫后，没收所获动物是否被确认为完全健康？
否
实施检疫和检查，这些动物是否健康或者这些传染病能否被治愈？
是
否
是
问题 3：在非商业性的饲养场（如动物终身照管机构、动物园或拯救中心）里有否合适的场地？
是
签署协议并实施转让
否
是否有研究机构愿在人道的条件下利用它们进行研究工作？对于附录 I 物种，这样的研究应当有益于保护该物种的野生种群或人工饲养种群或其它与之密切相关的物种的保护
问题 4：私人是否能够并愿意在非商业性基础上提供终身人道的照管？
是
签署协议并实施转让
否
问题 5：是否有研究机构愿在人道的条件下利用它们进行研究工作？对于附录 I 物种，这样的研究应当有益于保护该物种的野生种群或人工饲养种群或其它与之密切相关的物种的保护。 作？对于附录 I 物种，此类研究应有益于该物种的人工饲养种群或野生种群或其它密切相关的物种的保护
是
签署协议并实施转让
否
否
是
签署协议并实施转让
问题 6：该物种是否为公约附录所列物种或其它濒危或关键物种？
否
是
问题 7：是否存在对该标本感兴趣的从事繁殖附录 I 物种的商业性饲养设施？
是
签署协议并实施转让
否
问题 8：出售是否会刺激非法贸易或适宜贸易进一步发展？
是
安乐死
出售给合格购买者
否
标本捐赠给博物馆或研究所或作获化处理

放生决策树


问题 1：“放生”是否会对有关物种的保护做出重大贡献，其中包括通过教育和其它手段获得的保护效应？应征询当地专家或 IUCN 或其它类似 IUCN/SSC 专家组之类机构的意见。
否
考虑“人工饲养”方案
是
问题 2：经过综合的兽医检查和检疫后，没收所获动物是否被确认为完全健康？
否
进行检疫和检查后确认它们是否健康或所患传染病可否治愈？
是
否
是否有研究机构愿在人道的条件下利用它们开展研究工作？对于附录 I 物种，此类研究应有益于该物种的人工饲养种群或野生种群或其它密切相关的物种的保护。
否
安乐死
是
签署协议并实施转让
是
问题 3：是否能够确定该批动物的原产国和捕捉地？
否
考虑人工养殖方案
是
问题 4：这些动物是否能够被迅速地放生回其原产地，且返还放生的利益是否确实高于所冒风险？
是
返还并依据 IUCN 指南再充实到原产国（特定地区）
否
问题 5：是否存在普遍认可的圈养繁殖或再引进该没收所获动物物种的项目？
否
是
问题 6：该批动物所属种群是否适于加强现存的圈养繁殖或再引进项目？
是
转让给现有项目
否
考虑人工繁殖方案
否
问题 7 是否有根据 I U C N指南建立一个新的再引进项目的计划？
是
转让给寄养单位或该新项目

附件 2 CITES 对没收所获活体植物处理指南

本指南是专为原产国和进口国的有关机构编写的。当政府机构扣压并随之没收了活体植物后，有责任对其予以妥善处理。就进口国来说，在扣压发生后，通常应首先与原产国和 (或)植物出口国取得联系并通知其扣压情况。在法律允许的范围内，处理没收所获活体植物的最终决定必须达到以下三个目标：

a) 在不致以任何方式危害该分类单元 (种、亚种等)的遗传完整性或其野生或人工培植种群的保护状况的情况下，最大限度地发挥该标本的保护价值；

b) 阻止对该分类单元更进一步的非法或不正当贸易；

c) 避免这些资源被涉及照管它们的机构利用或不被用于其他同等重要的保护活动。

必要声明

随着野生动植物贸易法规不断增多，执法力度不断加强，政府机构截获的违反规定的野生动植物数量也越来越多。在有些情况下，截获的是公开非法贸易的标本；在其他情况下，则是由于所附出口国的文件不足或不完备、装运条件恶劣等违章原因被截获。有时侯一次运输中被没收的植物数量很少，而多数情况下则成百上千。虽然在许多国家，被没收的植物往往捐赠给植物园或其他公共管理的活体植物收集单位，但对于大量有关资料不全的植物和人工培植来源的普通物种，这种做法不大可行。

基于上述趋势，提供有关信息和意见来指导公约机构处理被没收活体植物的要求日益增加，并已到了非常迫切的地步。虽然已经讨论过特定类别植物 (如苏铁)的处理方案，但普遍适用的指南尚不存在。

在处理没收所获植物时，有关机构必须遵守有关国家、地区及国际法。《濒危野生动植物种国际贸易公约》(CITES)要求缔约方应将没收所获公约附录所列分类单元的活体标本返还给“出口国…或管理机构认为合适并符合本公约宗旨的拯救中心，或类似地方” (公约第八条规定)。然而，公约并没有对该要求做出详尽的阐述和说明，缔约方管理机构必须按照他们自己对公约的理解来采取行动，至于在什么情况下应予返还及究竟如何处理才是“合适并符合”公约的要求难以把握。尽管本指南试图帮助公约管理机构做出此类评估，但须注意，它是为处理所有没收所获活体植物而制定的普遍适用的指南。

由于缺乏一个具体的处理指南，致使现行的处理没收所获植物的方式方法多种多样，许多处理方法都与保护目的不符。有时侯，将没收所获植物移植到现存野生种群中时，确实是经过了仔细评估并充分考虑了现有的指南，但在其他情况下，上述移植并没有很好地计划。未经周密计划的移植，也许会通过威胁现有野生种群的生存而产生强烈的负面效应。通过下列方式可威胁现有野生种群：

a) 移植到野外的植物，可能会将其在园艺场栽培期间感染的疾病和寄生虫，传播到现存野生种群；

b) 移植到现存野生种群中或现存野生种群附近的标本，也许与该野生种群不是同一族(race)或亚种，移植会使它们之间不同的遗传性状产生杂合。

直到现在，处理没收所获植物仍然意味着要么放在植物园里长期照管，要么转让到可靠的苗圃里用于人工培植以便减少对该物种野生资源的需求。

管理方案

从保护的观点来看，选择处理方案时，要重点考虑有关物种的保护状况。对于没收所获濒危或受危分类单元的植物，应特别注意评估这些植物是否及如何对有关分类单元的保护做出贡献。运用哪种方案来处理没收所获植物，取决于各种各样的法律、经济和生物因素。本指南所提供的“决策树”，旨在帮助考虑选择处理方案。该“决策树”可适用于受危和普通分类单元两类情况。某一分类单元的保护地位是我们选择处理方案时应考虑的根本问题，这主要在于它不但影响到这些植物是不是值得用于积极的保护培植项目或重引入项目，而且也影响到一些国际性、区域性机构是否愿意资助完成诸如原产国和捕捉地的遗传测定、建立重引入项目、再补充现存野生种群等耗费巨资且又困难重重的工作。国际网络性专家组织，如世界自然保护联盟(IUCN)下设的物种拯救委员会专家组，植物园保护国际 (BGCI)和国际植物园协会 (IABG)应该能够帮助没收机构、公约科学机构和管理机构来妥善处理没收所获标本。对于没收所获植物，无论是放在园艺场长期栽培还是最终重引入到野外，如果原产国具有适宜的植物培植中心且愿意接收这些植物，都应首先考虑返还给这些中心。

方案 1——人工栽培

在做出没收决定以前，扣压的植物往往被临时栽培在公共管理的园艺场。随后，有无数的栽培方案可供选择。它们可以被安置在原产国、出口国 (如果与原产国不同的话)、没收国或具备适宜的和 (或)专门培植有关分类单元的设施的国家。根据不同情况和国内法规规定，它们可以被捐赠、借养或出售。最终可以将它们安置在植物园、其他公共管理的单位及私营机构或个人。

可供安置的地方包括：

a) 植物园和其他公共管理的单位。迄今为止，在大多数情况下，这些单位都被用来安置植物 (有时在数量超出了这些单位容纳量的情况下，只好致力于利用它们实施其他异地保护活动)。

b) 大学和研究室。这些单位搜集活体植物开展多种科研和教学活动 (如分子分类学、解剖学、细胞遗传学和繁殖生物学等)。向研究机构转让没收植物是否可行，将取决于所进行的研究工作是否存在最终会提供与该物种保护有关的信息的可能性。有时，由于不了解这些植物的出处，转让给研究单位的处理方案不大可能实施。根据正在进行的研究的性质，按照《生物多样性公约》的要求，签订保护有关植物原产国权力的书面协议也许是相当重要的。

c) 专家学会。在某些情况下，致力于特定类群植物 (如仙人掌等肉汁植物)研究和照管的专家学会或俱乐部可以不通过中间人出售而直接接收被没收植物。然而，必须确保上述机构不包含那些从事野外来源标本贸易的人员。

d) 出售。向贸易商、商业性培植者或其他从事商业性活动的机构出售没收所获标本，也是一种可帮助补偿没收费用的处理手段，尤其对于那些数量较多的人工培植材料。然而，除非有关植物符合下列条件，否则不应考虑出售：它们是在原产国合法采集的，其开发并不违反《生物多样性公约》有关规定，它们不属于法律禁止贸易物种，出售它们也不存在刺激发生更进一步的非法贸易或违章贸易的风险。出售给商业性培植者，也许会有助于减少对野外采集标本的需求。同时，由于出售会使公众产生国家在纵容犯罪或得益于非法 (无证)或违章贸易的感性认识，此举也许会被证明为一

种不合时宜的处理方法。

当植物被没收机构转让而不是出售时，必须在转让协议上明确其产权属于公约管理机构。当原产国要求返还植物，只要这些植物自身的条件能够经受住回程的考验且能成活时，这种要求必须得到尊重。为合法培植之目的，并在管理部门的许可下，被没收植物的看管者 (植物园或其他机构)方可将没收种群转移到其他单位。

人工栽培——益处和不足

将没收植物置于能够妥善照管它们的单位的优点如下：

a) 具有宣传教育价值；

b) 具有培植后最终用于重引入和 (或)满足消费者对人工培植标本的需求的潜力；

c) 具有开展遗传指纹和其他分子生物学研究以便更好地了解种群遗传学，进而了解有关分类单元的保护状况的潜力。

将没收植物置于不从事人工培植和重引入项目的单位的不足之处如下：

a) 除非满足以下条件，否则存在鼓励非法贸易的风险：

   i) 被出售的物种在没收国已经达到了商业性贸易的数量或者没收国允许合法贸易野外采集的此类标本；

   ii) 被控告或证明犯有与进口野生动植物相关罪行的野生动植物贸易商，不许得到有关标本。

   不应考虑将受危分类单元用于商业性贸易，否则会冒刺激发生我们所不希望发生的贸易的风险。附录Ⅰ分类单元可以出售给已经在CITES 注册了的商业性培植附录Ⅰ物种的单位，但这些没收所获标本本身不能再被出售或进入商业性贸易。因人工培植所获附录Ⅰ物种的后代被视为附录Ⅱ物种标本，所以商业性种植者有利用人工培植所获的个体来取代野外捕捉来源的植物个体进行贸易的潜在性。鉴于以上原因，在一定条件下出借或出售植物 (如出售给商业性的园艺场)，也许比非商业性处理或销毁它们能更好地保护有关物种。必须认真地评估及谨慎地处理这些培植活动，因为监视这些活动也许非常困难。

   非常重要的一点，是查没机构识别出可能有一些受威胁的植物分类单元，目前尚未列入CITES 附录Ⅰ，但可能不管怎样，有理由按附录Ⅰ对待。

b) 安置费用问题。在等待做出处理决定以前，有关单位照顾被扣压植物的费用，也许会从进口者、航空公司和 (或)没收机构处得到补偿。没收后，如果将植物出售给了商业性经营单位，CITES 机构收到的任何报偿都会赋予这些标本以价格。然而，还没有证据表明，因商业性贸易者偿付了照管费和运费而鼓励了对这些植物的贸易。

c) 疾病问题。被没收的植物也许是多种疾病的携带者，因此，必须接受适宜的检疫检查。将外来的疾病传入培植单位的潜在后果与将其传入野生种群的后果同样严重。

d) 扩散问题。被没收的植物能够超越园艺控制而扩散出园艺场并成为有害的杂草。意外引进外来物种能够造成极大的破坏。有些国家已经制定了严格的法规，旨在限制此类现象的发生。

方案 2——移植野外

尽管公约要求将没收的公约附录植物返还给出口国作为没收机构的处理方案之一，但公约却无法要求将植物移植到出口国野外。本指南建议，只有在特定的条件下，移植野外才是一个称心的合乎要求的处理方案。

逃避谈论被没收植物返还之后的处理是不负责任的。在考虑返还时，没收机构必须保证植物的接收者完全知晓返还的细节及本指南所述的各种处理方案。此外，向原产国返还用于移植野外的被没收植物的国家，必须保证原产国的管理机构了解有关返还事宜并赞成返还。

下面的许多处理方案的合理性在“IUCN 重引入指南” (IUCN 物种存活委员会重引入工作组，IUCN，1995)中都已详细地讨论过了。需要特别强调的是，该指南为生物放生的各种方案划定了相当清楚的界限，其详情如下：

a) 重引入。重引入就是试图在某物种曾经分布过但现已灭绝了的地区，建立该物种的一个种群。

   一些在野外已经灭绝了的植物分类单元 (种、亚种等)，现在已经实施了著名的重引入。另外一些重引入项目涉及到那些在一些地区尚有分布，但在历史上曾有过分布的其他地区现已灭绝的分类单元。实施这一项目是为了在该物种已绝迹的一个地区重建该物种的一个种群。

b) 再充实现存种群。再充实现存种群是指向与其分类上相同的一个现存种群补充新的个体。

   当自然种群由于一个变化过程而减小，并且这种过程至少在理论上是可逆转的，那么再充实该种群能够成为一个强有力的保护工具。

   由于存在传染疾病的危险，所以只有在该野生种群急需再充实一些个体来增强其种群活力，且再充实能产生直接的可测量 (数量统计学或遗传学)的保护利益时，方可采用再充实的办法。

移植野外的顾虑和益处

在考虑移植野外被没收植物以前，有关植物的保护价值、移植费用、标本来源及疾病等方面存在的令人担心的问题必须予以综合考虑。

a) 保护价值和代价。在许多情况下，将被没收植物移植到野外似乎是最行得通的处理方法，但移植野外只能在不危害现存野生动植物种群或移植地区生态完整性的情况下实施。对某分类单元的整体保护及其他自由生活的生物的保护，必须优先于人工栽培标本的利益。

b) 标本来源。如果植物的原产国或采集地不详，或对其来源有任何疑问，将它们移植到野外可能会在无意中造成对其遗传性质不同的族或亚种的污染。

c) 疾病。处于人工栽培下的植物和 (或)运输中的植物，尽管该过程非常短暂，但也可能感染上多种病原菌。将这些植物移植野外也许会把疾病灾难性地传播给同一物种植物或其他不相关的物种。即使没收所获植物感染外来和普通园艺病虫害的危险很小，将疾病传染给野生种群的可能性也非常大，以致于常常会妨碍将没收植物移植野外。

   一旦发现没收所获植物不适于移植野外，为验证它们确实是健康的或它们所患的疾病

和寄生虫在将要被转运去的园艺场的栽培种群中也存在，对其进行疾病检查和适宜的检疫仍然是非常必要的 (而且常常也是法定的做法)。引入疾病对园艺场的危害相当大。如果检疫后不能保证该植物个体确实是健康的，必须对其实施无限期隔离或安乐死。

很显然，在选择移植野外作为处理没收所获植物的处理方案时，必须考虑许多情况。首要的也是最重要的问题是：将植物移植野外是否对该分类单元的保护做出重大贡献？将任何一个曾经栽培过的植物移植到野外都是要冒风险的。虽然有一些植物疾病可以检查出来，但不存在检查所有植物疾病的方法。另外，人工栽培下的植物经常会感染上其自然栖息地中没有的疾病。

由于将植物移植到野外都会遇到一定的风险，我们必须采取下面的“预防原则”：如果将没收标本移植到野外没有保护价值，还可能意外地将尚未表现出来的疾病引入环境，无论如何，都应取消将其移植野外的处理决定。

不管是重引入还是再充实现存种群，移植野外植物都会有一定的好处，这些好处是：

a) 在现存种群受到严重威胁的情况下，这种行动可从总体上改善该分类单元或其局部种群的长远的保护潜力；

b) 将植物移植到野外，等于做出了有关关注植物命运的强烈的政治和教育声明，而且还可能会提高当地的保护声望。不管怎样，作为教育或唤起公众保护意识项目的一部分，与移植野外有关的代价和困难都必须予以强调。

方案 3——销毁

销毁普通分类单元的植物材料、资料不全和 (或)栽培来源的标本及需要采用昂贵的技术手段来治愈其病虫害的患病材料，特别是在将这些材料置于园艺场会导致直接针对其他保护活动的资源利用加剧的情况下，显然是一种正当的行动。销毁上述材料，如果能公开的话，也将起到抑制导致没收的违法、违章活动的作用，如抑制非法采集 (尽管原产国也许需要这些材料作为证据)、无证进出口和违章装运等等。有时，将植物置于园艺场并保持其存活，可能行不通；但作为植物标本来保存也许是可行的，尤其对于那些国家及原产地清楚无误、接收它们的标本馆和博物馆能够对其进行技术处理的标本。当有权接受材料的单位拒绝接收那些非法采集的材料时，可以在原产国或没收国的其他单位来保存。对于野外出处清楚的材料，只有在所有其他处理方法都无法实施的情况下，销毁才可以作为最后的处理手段来考虑。

决策树分析

运用决策树选择“移植野外”和“人工栽培”方案时，实施没收的缔约方在与原产国的公约机构 (如果适宜的话)协商后，必须首先提出下面的问题：

问题 1：将植物移植野外是否会对该分类单元的保护做出重大贡献，其中包括通过教育和其他手段获得的保护效应？

在研究处理没收所获标本方案时，最重要的是要考虑该分类单元的保护。因为从来就无法绝对肯定没收所获植物没有病虫害，所以将人工栽培过的植物标本移植到野外，总会程度不同地威胁移植地区生态系统中其他分类单元或本分类单元的现存种群。

将没收所获植物或其繁殖后代移植野外，似乎是一件卓有成效的行动，但它必须

能起到改善现存野生种群生存前景的作用。通过保证尽可能多的标本得以生存才能最大限度地体现保护目的，而不仅仅是个别标本的短期生存得到保证。从保护价值的角度来看，重引入的好处必须明显地超过其引发的潜在威胁。

在大多数情况下，移植野外的费用及其引发的威胁都会超过其好处。如果将植物移植野外没有保护价值，那么将其人工栽培在植物培植中心，可能造成的威胁要小一些，也可能会发挥更多的保护价值。

答案: “是”，研究“移植野外”方案；

“否”，研究“人工栽培”方案。

决策树分析－人工栽培

做出将植物人工栽培在原产国或其他地方的决定，所需考虑的问题要比决定将其移植到野外所需考虑的问题简单一些。

问题 2: 这些标本是否接受过全面的植检？

可能要被转让到园艺场的植物，因存在向人工栽培种群引入疾病的危险，必须有一份健康清单。

这些植物必须在转让到植物培植中心前接受植检，以便确定其是否无病。

答案: “是”，继续进行问题3；

“否”，接受植检，然后进行问题3。

问题 3: 经过植检是否发现这些标本无病或所患病虫害均可治愈？

如果在植检期间发现患有无法消除的虫害或无法治愈的疾病，必须销毁它们以防感染其他植物。如果怀疑这些植物患有无法检测出来的疾病，必须考虑继续检疫或捐赠给科研机构或予以销毁。

答案: “是”，继续进行问题4；

“否”，如果患有慢性的无法治愈的传染病，首先应考虑提供给研究机构、标本馆或博物馆保存；如果不可能安置在上述机构或对方不愿接收的话，予以销毁。

问题 4: 出售或捐赠这些标本是否存在刺激更进一步的非法或违章贸易的忧虑？

商业性出售附录Ⅰ分类单元，也许会刺激对这些物种的贸易。尽管有些分类单元未列入公约附录，但它们毫无疑问正受到威胁并濒临灭绝。对于这些分类单元，也应予以同等关注。

出售或捐赠没收所获植物，即使法律允许，也是一种难以考虑的处理方案。出售的好处显而易见－既有收入又能快速处理。但是，出售仍存在诸多问题，它们也许会导致相关标本商业性交易进一步上升。同样也应强调，出售可能还会导致非商业性交易的上升。还应强调，出售或捐赠给商业性的园艺场也许会提高繁殖材料的适用性，进而减少野外采集所造成的危害。

通常，不应出售受危分类单元。有些国家或CITES，允许合法出售或贸易受危物种。商业性的园艺场可能购买或接收标本用于培植，此举也许会减轻对野生种群的贸易压力。在任何情况下，没收机构都应确信：

a) 那些因参与非法或违章交易而引起没收的单位和个人，不能得到上述标本；

b) 出售或捐赠不得损害没收的目的；

c) 出售或捐赠不得加剧对该分类单元的违法、违章或其他不适宜的贸易。

答案: “是”，继续进行问题5 a；

“否”，继续进行问题5b。

问题 5a: 国营和私有的植物园或非商业性培植中心里是否有合适的地方？

问题 5b: 国营和私有的植物园或非商业性培植中心里是否有合适的地方或是否有培植该分类单元的商业性单位？上述单位对这些植物是否感兴趣？

如果出售、捐赠或租借可能刺激更进一步的违法违章贸易，可向非商业性培植单位转让；如果出售、捐赠或租借不会刺激更进一步的违法违章贸易，可向商业性培植单位转让植物。总体上讲，上述转让是一种安全的、可以接受的处理没收所获植物的手段。当有多个单位可供选择时，应考虑那一个单位能够：

a) 向植物提供用于培植项目的机会；

b) 提供始终如一的关照，而不致危害用于该单位所参与的其他有同样价值的保护活动的资源。

转让条款必须得到没收机构和接收机构的一致同意。转让协议的条款应该包括：

a) 明确承诺保证这些植物得到一定的令人接受的照管，如果上述承诺因故不能兑现时，将植物转让给能够保证上述照管的其他单位；

b) 明确载明有关标本的所有权 (如国内法所确定的)，如果以后出现繁殖，还应包括其繁殖后代的所有权归属。根据不同情况，其所有权可归没收机构、原产国、出口国或接收单位；

c) 明确载明这些植物或其繁殖后代允许被出售的条件。

在大多数情况下，在没收国只有极个别的单位合适。如果是这样的话，其他园艺场也可供选择。这包括转让给没收国以外的培植中心，最理想的地方当然是原产国。如果不会刺激更进一步的非法贸易，可以安置在商业性培植单位。然而，必须仔细地评估和谨慎地处理这些培植项目，要铭记《生物多样性公约》做出的有关限制。监测这些项目也许非常困难，而且，这些项目也许会无意中刺激对野外采集植物的贸易。必须仔细衡量转让给商业性培植单位或租借出去用于培植的保护潜力，即使存在一点点刺激更进一步危害该分类单元野生种群的贸易的风险，也不适宜转让。

在许多国家，有许多活跃的专家社团或个人俱乐部，他们特别擅长照管和培植贸易中的某些特定类群的植物，可以不通过中间人出售而帮助安置被没收植物。在这种情况下，接收没收所获植物的个人，必须展示出其栽培有关分类单元的专长。同时，有关社团或俱乐部也必须向他们提供适宜的信息和咨询。必须按照与没收机构达成的协议之条款，向专家社团或俱乐部个体成员实施转让。如果出售或捐赠被没收植物也许会或也许不会刺激贸易的话，与这些专家社团或成员安置是一种处理方案。

答案: “是”，签署协议并出售、捐赠或出租；

“否”，进行问题6。

问题 6: 是否有机构愿意用这些植物作为博物馆标本开展研究？

答案: “是”，签署协议并转让；

“否”，予以销毁。

决策树分析－移植野外

问题 2: 这些标本是否接受过全面的植物检疫？

可能要被重引入到野外的植物，因存在向野外引入疾病的危险，必须有一份健康清单。这些植物必须在考虑移植野外之前接受植物检疫，以便确认其是否无病。

答案: “是”，继续进行问题3；

“否”，接受植物检疫，然后进行问题3。

问题 3: 经过综合植检是否发现无病或所发现病虫害均可治愈？

如果在植检期间发现这些标本患有无法消除的虫害或无法治愈的疾病，除非有任一单位对它们感兴趣 (不管是活体还是保存的)，否则必须销毁它们以防传播疾病。如果怀疑这些植物接触过无法检测出来的疾病，必须考虑继续检疫或捐赠给科研机构或予以销毁。

答案: “是”，继续进行问题4；

“否”，如果患有慢性的无法治愈的传染病，首先应考虑提供给研究机构、标本馆或博物馆保存；如果不可能安置在上述机构，予以销毁。

问题 4: 是否能确定这些标本的原产国和采集地？

如果被没收标本用于重引入或充实现存种群，必须确定其野外采集地的地理位置。在大多数情况下，这些植物只能移植回其野外采集地的种群中或已知与其野外采集地种群有基因交换的其他种群中。

如果这些植物的出处不甚明了，将它们用于再充实也许会无意中造成遗传性质不同的同一物种不同宗族或亚种间的杂交。在野外，相关的植物分类单元也许会和谐地共同生活在同一地区，从不发生它们被栽培在一块时可能出现的杂交现象。这个问题决不局限于自然生活在一起的同一分类单元，甚至也不局限于植物王国内相近的有关分类单元。

答案: “是”，继续进行问题5；

“否”，则研究“人工栽培”方案。

问题 5: 这些标本是否能够被迅速地移植回其原产地 (特定地区)，且此举对该分类单元的保护利益是否确实高于所冒任何风险？

只有在一定的条件下，并根据“IUCN 重引入指南” (IUCN 物种存活委员会重引入工作组，IUCN，1995)，才可考虑实施重引入标本和再充实种群。另外，原采集地的特定地区必须仍有适宜的栖息地可供移植。

答案: “是”，返还并依据IUCN 指南再充实原产地 (特定地区)；

“否”，继续进行问题6。

问题 6: 是否存在普遍认可的旨在保护该 (该类)分类单元并最终将被没收标本和 (或)其繁殖后代移植野外的项目？ (与IUCN/SSC 专家组、BGCI 和 (或)IABG 联系)

对于存在积极培植和 (或)重引入项目及进一步需要培植材料和母本植物的物种，经咨询适宜的科学机构的意见后，被没收植物应被转让给上述项目。如果该分类单元是上述项目的部分，但被没收的与该项目所使用的并不是同一个亚种或宗族，就应考虑其他处理方案。必须重视遗传测定，以避免通过意外的杂交而危害重引入项目。

答案: “是”，签署协议并转让给现存项目；

“否”，则继续进行问题7。

问题 7: 是否需要根据 IUCN 指南建立一个新的重引入项目，是否可行？

当标本不能转让给现存的项目时，只有符合下列条件并依照适宜的指南，才可考虑移植野外：

a) 有适宜的栖息地可供移植；

b) 有充足的资金，或能筹集到充足的资金，来支持费时长达数年的 (再)引进项目；

c) 具有保证重引入努力可能成功所需的足够数量的标本，或可够考虑再充实现存种群所需的标本数量。

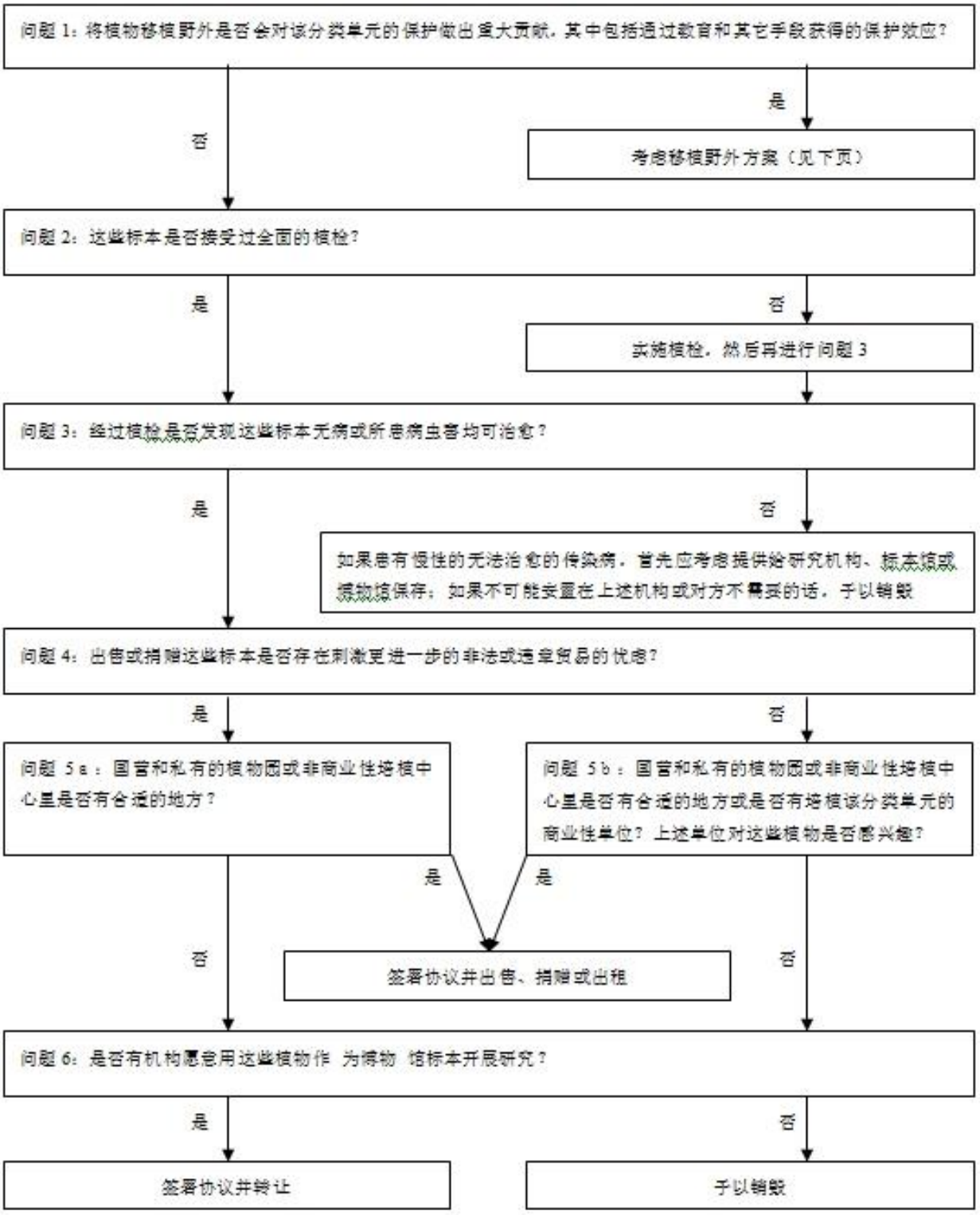
大多数情况下，假如不是全部，也至少有一条上述要求无法满足。此时，必须考虑将其保护性地重引入到该物种的历史分布区以外或选择其他处理方案。

应该强调的是，如果经常性地没收到某一特定分类单元的植物，就应考虑是否建立一个重引入、再充实或引进项目。在计划上述项目的过程中，没收植物不应无限期地栽培在没收机构中，而应在与拟建新项目的组织者协商后，将它们转让到寄养单位。

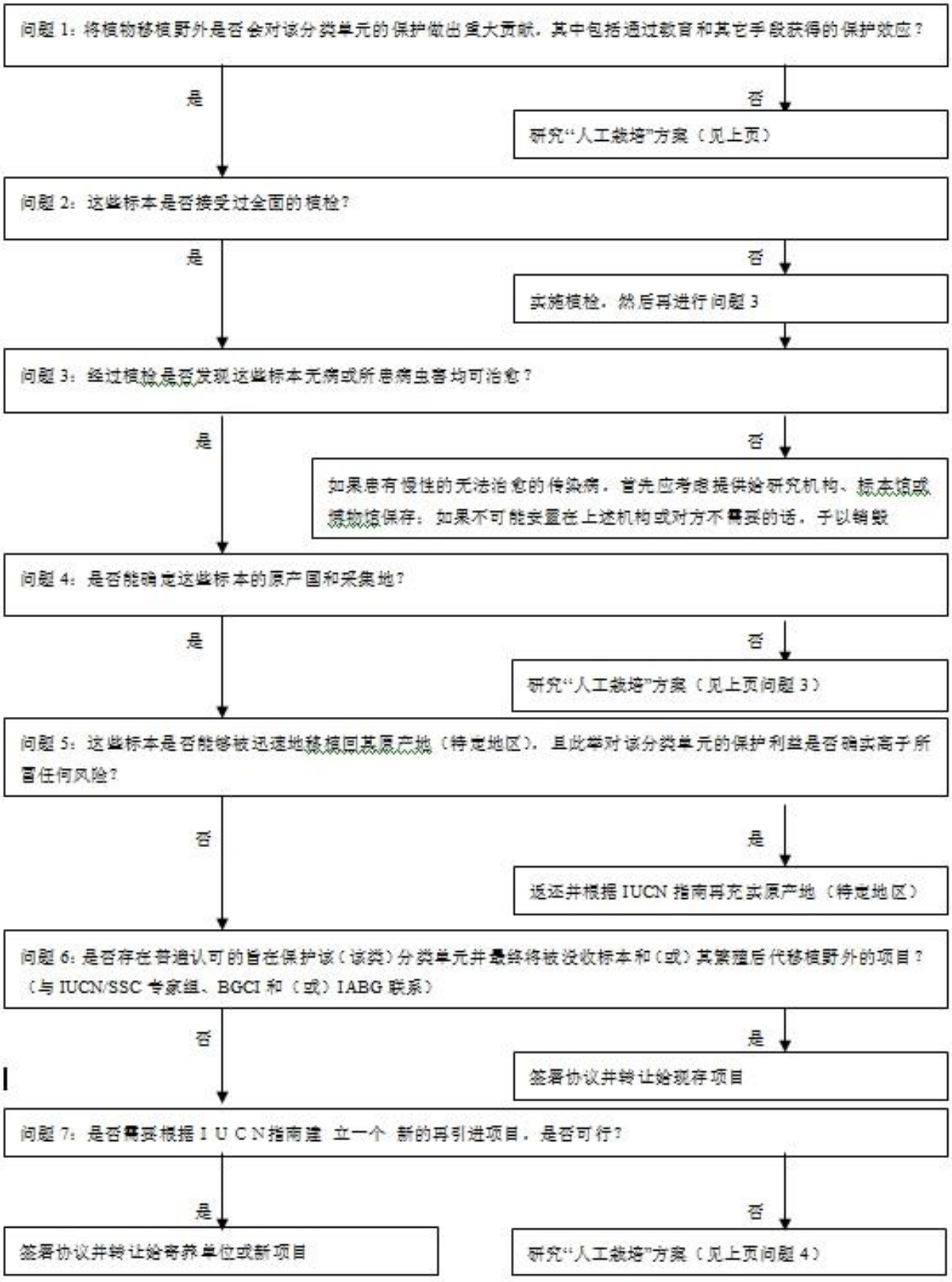
答案: “是”，转让给寄养单位或新项目；

“否”，则研究“人工栽培”方案。

人工栽培决策树


问题 1：将植物移植野外是否会对该分类单元的保护做出重大贡献，其中包括通过教育和其它手段获得的保护效应？
是
否
考虑移植野外方案（见下页）
问题 2：这些标本是否接受过全面的植检？
是
否
实施植检，然后再进行问题 3
问题 3：经过植检是否发现这些标本无病或所患病虫害均可治愈？
是
否
如果患有慢性的无法治愈的传染病，首先应考虑提供给研究机构、标本馆或植物馆保存；如果不可能安置在上述机构或对方不需要的话，予以销毁
问题 4：出售或捐赠这些标本是否存在刺激更进一步的非法或违章贸易的忧虑？
是
否
问题 5a：国营和私有的植物园或非商业性培植中心里是否有合适的地方？
问题 5b：国营和私有的植物园或非商业性培植中心里是否有合适的地方或是否有培植该分类单元的商业性单位？上述单位对这些植物是否感兴趣？
是
是
否
签署协议并出售、捐赠或出租
否
问题 6：是否有机构愿意用这些植物作 为得物 馆标本开展研究？
是
否
签署协议并转让
予以销毁

移植野外决策树


问题 1：将植物移植野外是否会对该分类单元的保护做出重大贡献，其中包括通过教育和其它手段获得的保护效应？
是
否
研究"人工栽培"方案（见上页）
问题 2：这些标本是否接受过全面的植检？
是
否
实施植检，然后再进行问题 3
问题 3：经过植检是否发现这些标本无病或所患病虫害均可治愈？
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如果患有慢性的无法治愈的传染病，首先应考虑提供给研究机构、标本馆或植物馆保存；如果不可能安置在上述机构或对方不需要的话，予以销毁
问题 4：是否能确定这些标本的原产国和采集地？
是
否
研究"人工栽培"方案（见上页问题 3）
问题 5：这些标本是否能够被迅速地移植回其原产地（特定地区），且此举对该分类单元的保护利益是否确实高于所冒任何风险？
否
是
返还并根据 IUCN 指南再充实原产地（特定地区）
问题 6：是否存在普遍认可的旨在保护该（该类）分类单元并最终将被没收标本和（或）其繁殖后代移植野外的项目？（与 IUCN/SSC 专家组、BGCI 和（或）IABG 联系）
否
是
签署协议并转让给现存项目
问题 7：是否需要根据 IUCN 指南建立一个新的再引进项目，是否可行？
是
否
签署协议并转让给寄养单位或新项目
研究"人工栽培"方案（见上页问题 4）

附件 3 关于制定扣押和 (或)没收所获活体标本行动计划指南

各缔约方都应制定一个行动计划，以便活体标本被扣押后得及时处理。必须依据附件1 所述《公约没收所获活体动物处理指南》和附件2 所述《公约没收所获活体植物处理指南》来拟定这样的行动计划。此计划应该：

1. 确定扣押、没收活体标本所需照管费、检疫费、运输费及其他费用的筹集办法。可以通过征收罚款、从进口者处得到内部补偿、进出口者资助、收取进口税和许可证费、寻求私人和政府部门捐助、获得政府财政拨款等办法获得经费。如果合适的话，也可出售被没收活体标本。
2. 根据缔约方国内法律法规和政策，制定执行本指南的程序。
3. 指定政府机构和权威人士，授权他们来决定有关活体标本的扣押和处理事宜，并明确他们各自的角色和管辖权。这些机构和人士包括海关、农业监察部门、动植物检疫部门、公共卫生部门、公约管理机构和公约科学机构。
4. 确定扣押活体标本事件发生后应该与原产国的哪一个列入《公约缔约方通讯录》中的官方机构进行联系。该机构应在《公约缔约方通讯录》中列明。
5. 对从事扣押和处理活体标本的人员进行培训，以保证被没收活体标本当前的和长远的双重利益 (福利)。
6. 列出那些能在物种鉴定、照管和 (或)扣押、没收和处理程序等技术问题方面提供帮助的专家或研究机构的名单。
7. 指定和 (或)建立能够在扣押后迅速向活体动物提供照管的饲养设施。
8. 指定临时性的照管单位，该单位能够同意在没收程序完成前，向扣押的某一分类单元的活体标本提供适当的照管。
9. 确认本国有那些获得批准的设施和项目，已经同意接收某一分类单元的没收标本并为其提供适当的照管，包括兽医照管。缔约方应该准备一份这些单位和项目的名单，并将该名单报秘书处备案，以供其他需要的缔约方索取。
10. 保证缔约方在扣押或没收发生后能迅速地着手进行被没收活体标本处理方案的评估工作。

Conf. 17.8 Disposal of illegally traded and confiscated specimens of CITES-listed species

RECALLING that according to Article VIII,

a) paragraph 1 (b), Parties shall take appropriate measures to provide for the confiscation or return to the State of export of specimens traded in violation of the Convention;

b) paragraph 4 (b), confiscated live specimens shall, after consultation with the State of export, be returned to that State at the expense of that State, or to a rescue center or such other place as the Management Authority deems appropriate and consistent with the purposes of the Convention; and

c) paragraph 4 (c) leaves open the possibility for the Management Authority to obtain the advice of a Scientific Authority or of the Secretariat;

NOTING, however, that Article VIII does not preclude the Management Authority allowing the importer to refuse acceptance of a shipment, thus forcing the transporter to carry the shipment back to the (re-) exporter;

ALSO RECALLING that Article III, paragraph 4 (a), and Article IV, paragraph 5 (a), of the Convention, require that, as a pre-condition for the issuance of a re-export certificate, the Management Authority of the State of re-export be "satisfied that the specimen was imported into that State in accordance with the provisions of the present Convention";

FURTHER RECALLING Resolution Conf. 9.10 (Rev. CoP15) on *Disposal of confiscated and accumulated specimens*, adopted at its ninth meeting and amended at its 10th, 13th, 14th and 15th meetings (Harare, 1997; Bangkok 2004; The Hague, 2007; Doha, 2010), which recommends *inter alia* to the Parties not having done so yet, to adopt legislation in order to charge to the importer who violated the Convention and/or carrier the costs of returning confiscated live specimens to the country of origin or re-export;

RECALLING AS WELL Resolution Conf. 10.7 (Rev. CoP15), on *Disposal of confiscated live specimens of species included in the Appendices*, adopted by the Conference of the Parties at its 10th meeting (Harare, 1997) and amended at its 15th meeting (Doha, 2010);

RECOGNIZING the importance of measures to ensure that the return by the importing Party to the State of export or re-export of specimens that have been traded in violation of the Convention does not result in such specimens being entered into illegal trade;

ALSO RECOGNIZING that Parties have experienced problems with the disposal of specimens of Appendix-I species that have been obtained as a result of confiscation, accidental death or otherwise;

NOTING that shipments of Appendix-II or -III live specimens can include large quantities of specimens for which no adequate housing can be made available, and that there may be inadequate data about country of origin and site of capture for these specimens;

CONSIDERING that a Party may also provide for the internal reimbursement of expenses that result from the confiscation of a specimen traded in violation of the Convention;

ALSO CONSIDERING that the successful recovery of the costs of confiscation and disposal from the party that violated the Convention may be a disincentive for illegal trade;

FURTHER CONSIDERING that specimens once in trade may no longer form part of the reproducing wild population of the species concerned;

CONSIDERING AS WELL that release to the wild may not always be in the best interest of the conservation of a species, especially one not in danger of extinction;

CONCERNED about the risks of releasing confiscated specimens into the wild, such as the introduction of pathogens and parasites, genetic pollution and negative effects on the local fauna and flora;

AWARE that, when specimens are exported or re-exported in violation of the Convention, often the only enforcement action taken against the exporter is the confiscation of such specimens by the importing Party; and

ALSO AWARE that some Parties do not allow the sale of confiscated specimens because of the message this transmits to the public and in order to exclude illegally traded specimens from entering commercial trade;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

Regarding specimens that are exported or re-exported in violation of the Convention

1. RECOMMENDS that:
   a) when specimens are exported or re-exported in violation of the Convention, importing Parties:

      i) consider that the seizure and confiscation of such specimens are generally preferable to the definitive refusal of the import of the specimen;

      ii) notify as soon as possible the Management Authority of the State from which the specimens were consigned of the violation and of any enforcement actions taken concerning these specimens; and

      iii) are encouraged to take enforcement actions against the party which violated the Convention in addition to seizure and confiscation of the specimens; and

   b) when the import of specimens that have been exported or re-exported in violation of the Convention is refused by the country to which the specimens are consigned, the exporting or re-exporting Party take the measures necessary to ensure that such specimens are not re-entered into illegal trade, including monitoring their return to the country and providing for their confiscation;

Regarding the disposal of confiscated and accumulated dead specimens

2. RECOMMENDS that:

   a) Parties dispose of confiscated and accumulated dead specimens of Appendix-I species, including parts and derivatives, only for *bona fide* scientific, educational, enforcement or identification purposes, and save in storage or destroy specimens whose disposal for these purposes is not practicable; and
   b) as a general rule, confiscated dead specimens, including parts and derivatives, of Appendix-II and Appendix-III species be disposed of in the best manner possible to achieve the purposes of the Convention, and steps be taken to ensure that the person responsible for the offence does not receive financial or other gain from the disposal and that such disposal does not stimulate further illegal trade;

Regarding the disposal of confiscated live specimens

3. RECOMMENDS that:
   a) a Management Authority before making a decision on the disposal of confiscated live specimens of species in the Appendices consult with and obtain the advice of its own Scientific Authority and, if possible, of that of the State of export or origin of the confiscated specimens, and other relevant experts;

b) each Scientific Authority in preparing its advice take note of the guidelines in Annexes 1 and 2 of this Resolution;

c) the Secretariat be informed about any decision taken on the disposal of confiscated live specimens of species that are either in Appendix I or, if in Appendix II or III, involve commercial quantities;

d) in the case where live specimens arrive in an importing country without the proper export permits or re-export certificates, and where an importer refuses to accept a shipment of live specimens, the shipment be confiscated and the specimens disposed of in accordance with the guidelines set out in Annex 1 or 2; and

e) priority be given to the care of seized or confiscated wild-collected specimens of Appendix-I species and of Appendix-II species; and

4. URGES Management Authorities, in consultation with Scientific Authorities and other bodies concerned, to develop action plans to deal with seized and confiscated live specimens consistent with the guidelines set out in Annex 3 of this Resolution;

Regarding costs associated with confiscated specimens

5. RECOMMENDS that:
   a) Parties make legislative provision to require the importer or the carrier who violated the Convention, or both, to meet the costs of confiscation, custody, storage, destruction or other disposal, including returning specimens to the country of origin or re-export (as appropriate) where the Scientific Authority of the confiscating State deems it in the interest of the specimens to do so, and the country of origin or last re-export so wishes; and

   b) where such legislation does not exist and the country of origin or last re-export wishes a confiscated live specimen to be returned, that country shall cover the cost of return or shall seek financial assistance to facilitate the return; and

6. CONFIRMS that Parties have the right to allow, or should they choose to do so, not to allow the sale of confiscated dead specimens, including parts and derivatives, of Appendix-II and -III species, taking into account the need for measures necessary to ensure such specimens are not re-entered into illegal trade;

Regarding publicity

7. RECOMMENDS that Parties publicize information on seizures and confiscations and related enforcement actions, including prosecutions when appropriate as a deterrent to illegal trade, and informs the public as well as other Management Authorities about their procedures for dealing with seized and confiscated specimens or related prosecutions and about rescue centers;

Regarding the export or re-export of confiscated specimens

8. RECOMMENDS that:

   a) except in the circumstances specified in paragraphs b) and c) below, Parties not authorize any re-export of specimens for which there is evidence that they were imported in violation of the Convention;
   b) when applying Article III, paragraph 4 (a), and Article IV, paragraph 5 (a), of the Convention to specimens that were imported not in accordance with the provisions of the Convention and that are being re-exported by a Management Authority for purposes of implementing the provisions of Article VIII or of this Resolution, or for investigatory or judicial purposes, the specimens be deemed to have been imported in accordance with the provisions of the Convention;

   c) when applying Article IV, paragraphs 2 (b) and 5 (a), of the Convention to specimens of species in Appendix II that have been confiscated as a result of attempts to import or export

them illegally and that have subsequently been sold by the Management Authority, having satisfied itself that this would not be detrimental to the survival of the species, the specimens be deemed to have been obtained in accordance with the provisions of the Convention and with the laws of the State for the protection of fauna and flora for the purposes of issuing export permits or re-export certificates; and

d) permits and certificates granted in accordance with paragraph b) or c) above clearly indicate that the specimens are confiscated specimens; and

9. REPEALS the Resolutions, or parts thereof, listed hereunder:

a) Resolution Conf. 9.9. on *Confiscation of specimens exported or re-exported in violation of the Convention*;

b) Resolution Conf. 9.10 (Rev. CoP15) on *Disposal of confiscated and accumulated specimens*; and

c) Resolution Conf. 10.7 (Rev. CoP15) on *Disposal of confiscated live specimens of species included in the Appendices*.

Annex 1 — CITES guidelines for the disposal of confiscated live animals

Statement of principle

When live animals are confiscated by government authorities, these authorities have a responsibility to dispose of them appropriately. Within the confines of the law, the ultimate decision on disposal of confiscated animals must achieve three goals: 1) to maximize conservation value of the specimens without in any way endangering the health, behavioural repertoire, or conservation status of wild or captive populations of the species[1]; 2) to discourage further illegal or irregular trade in the species; and 3) to provide a humane solution, whether this involves maintaining the animals in captivity, returning them to the wild, or employing euthanasia to destroy them.

Statement of need

Increased regulation of trade in wild plants and animals and enforcement of these regulations has resulted in an increase in the number of wildlife shipments intercepted by government authorities as a result of non-compliance with these regulations. In some instances, the interception is a result of patently illegal trade; in others, it is in response to other irregularities, such as insufficient or incomplete paperwork from the exporting country or poor packing that has compromised the welfare of the live animals in the shipment. While in some cases the number of animals in a confiscated shipment is small, in many others the number is in the hundreds. Although, in many countries, confiscated animals have usually been donated to zoos or aquaria, this option is proving less viable with large numbers of animals and, increasingly, common species. The international zoo community has recognized that placing animals of low conservation priority in limited cage space may benefit those individuals but may also detract from conservation efforts as a whole. They are, therefore, setting conservation priorities for cage space.

In light of these trends, there is an increasing demand – and urgent need – for information and advice to guide confiscating authorities in the disposal of live animals. Although specific guidelines have been formulated for certain groups of organisms, such as parrots and primates, no general guidelines exist.

When disposing of confiscated animals, authorities must adhere to national, regional and international law. The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)

[1] *Although this document refers to species, in the case of species with well-defined subspecies and races, the issues addressed will apply to lower taxonomic units.*

requires that confiscated individuals of species listed in the treaty's Appendices be returned to the “State of export... or to a rescue centre or such other place as the Management Authority deems appropriate and consistent with the purpose of the Convention” (Article VIII). However, the treaty does not elaborate on this requirement, and CITES Management Authorities must act according to their own interpretation, not only with respect to repatriation but also as regards what constitutes disposal that is “appropriate and consistent” with the treaty. Although the present guidelines are intended to assist CITES Management Authorities in making this assessment, they are designed to be of general applicability to all confiscated live animals.

The lack of specific guidelines has resulted in confiscated animals being disposed of in a variety of ways, many inconsistent with conservation objectives. In some cases, release of confiscated animals into existing wild populations has been done after careful evaluation and with due regard for existing guidelines. In other cases, such releases have not been well planned. Poorly planned releases of confiscated animals may doom these animals to a slow, painful death. Such releases may also have strong negative conservation value by threatening existing wild populations. Threats to existing populations can take several forms: 1) diseases and parasites acquired by the released animals while held in captivity may spread into existing wild populations; 2) individuals released into existing populations, or in areas near to existing populations, may not be of the same race or subspecies as those in the wild population, resulting in mixing of distinct genetic lineages; 3) animals held in captivity, particularly juveniles and immatures, may acquire an inappropriate behavioural repertoire from individuals of other related species. Release of these animals could result in inter-specific hybridization.

Disposal of confiscated animals is not a simple process. Only on rare occasions will such disposal be straightforward or result in an action with conservation value. Options for disposal of confiscated animals have thus far been influenced by the perception that returning animals to the wild is the optimal solution in terms of both animal welfare and conservation. A growing body of scientific study of reintroduction of captive animals suggests that such actions may be among the least appropriate options for many reasons. This recognition requires that the options available to confiscating authorities for disposal of the animals be carefully reviewed.

Management options

In deciding on the disposal of confiscated animals, managers must ensure both the humane treatment of the animals and the conservation and welfare of existing wild populations of the species involved. Options for disposal fall into three principal categories: 1) maintenance of the individuals in captivity; 2) returning the individuals in question to some form of life in the wild; and 3) euthanasia. The last option may often prove the most appropriate and most humane.

Within a conservation perspective, by far the most important consideration in reviewing the options for disposal is the conservation status of the species concerned. For confiscated animals of endangered or threatened species, particular effort should be directed towards evaluating whether and how these animals might contribute to a conservation programme for the species. The decision as to which option to employ in the disposal of confiscated animals will depend on various legal, social, economic and biological factors. The “Decision Tree” provided in the present guidelines is intended to facilitate consideration of these options. The tree has been written so that it may be used for both threatened and common species, although it is recognized that the conservation status of the species will be the primary consideration affecting whether or not confiscated animals might be valuable to an active conservation breeding/reintroduction programme, and whether or not local or international agencies will be willing to make an investment in expensive and difficult tasks such as genetic determination of country of origin and site of capture or the establishment of reintroduction, benign introductions, or reinforcement of extant wild populations. International networks of experts, such as the IUCN-Species Survival Commission Specialist Groups, should be able to assist confiscating authorities, and CITES Scientific and Management Authorities, in their deliberations as to the appropriate disposal of confiscated specimens.

OPTION 1 – CAPTIVITY

Confiscated animals are already in captivity; there are numerous options for maintaining them in captivity. Depending on the circumstances, animals can be donated, loaned or sold. Placement may be in zoos or other facilities, or with private individuals. Finally, placement may be in the country of origin, the country of export (if different), the country of confiscation, or a country with adequate and/or specialized facilities for the species in question. If animals are maintained in captivity, in preference to either being returned to the wild or destroyed, they must be afforded humane conditions and ensured proper care for their natural lives.

Zoological gardens, aquaria and safari parks are the captive facilities most commonly considered for disposal of animals, but a variety of other captive situations exist. These include the following:

a) Rescue centres, established specifically to treat injured or confiscated animals, are sponsored by a number of humane organizations in many countries.

b) Lifetime-care facilities devoted to the care of confiscated animals have been built in a few countries.

c) Specialist societies or clubs devoted to the study and care of single taxa or species (e.g. reptiles, amphibians, birds) have, in some instances, provided an avenue for the disposal of confiscated animals without involving sale through intermediaries.

d) Humane societies may be willing to ensure placement of confiscated specimens with private individuals who can provide humane lifetime care.

e) Universities and research laboratories maintain collections of exotic animals for many kinds of research (e.g. behavioural, ecological, physiological, psychological, medical). Attitudes towards vivisection, or even towards the non-invasive use of animals in research laboratories as captive study populations, vary widely from country to country. Whether transfer of confiscated animals to research institutions is appropriate will therefore engender some debate, although transfer to an establishment that conducts research under humane conditions may offer an alternative, and one which may eventually contribute information relevant to the species' conservation. In many cases, the lack of known provenance, and the potential that the animal in question has been exposed to unknown pathogens will make transfer to a research institution an option unlikely to be exercised or desired.

f) Sale of confiscated specimens to traders, commercial captive breeders, or others involved in commercial activities can provide a means of disposal that helps offset the costs of confiscation. However, sale should only be considered in certain circumstances, such as where the animals in question are not threatened and not subject to a legal prohibition on trade (e.g. CITES Appendix II) and there is no risk of stimulating further illegal or irregular trade. Sale to commercial captive breeders may contribute to reducing the demand for wild-caught individuals. At the same time, however, it may prove to be a poor option owing to the risk of creating a public perception of the State's perpetuating or benefiting from illegal or irregular trade. Finally, confiscating authorities should be aware that, unless specific legal provisions apply, it is impossible to assure the welfare of the animals following placement.

Where animals are transferred by the confiscating authority but not sold, ownership should be specified as one of the terms and conditions of the transfer. Where the country of origin desires return of the animals, this desire should be respected. The custodian (zoo, welfare organization) of confiscated animals should only move the animals to another facility for legitimate humane and propagation purposes with the authorization of the administrative authority.

Captivity – Benefits and disadvantages

The *benefits* of placing confiscated animals in a facility that will provide lifetime care under humane conditions include:

a) educational value;
b) potential for captive breeding for eventual reintroduction; and
c) possibility for the confiscating authority to recover, from sale, the costs of confiscation.

The *disadvantages* of placing animals in a facility not involved in an established programme for captive breeding and reintroduction include the following:

a) Potential to encourage undesired trade. Some authors have maintained that any transfer – whether commercial or non-commercial – of confiscated animals risks promoting a market for these species and creating a perception of the State's being involved in illegal or irregular trade.

BirdLife International suggests that in certain circumstances sale of confiscated animals does not necessarily promote undesired trade. They offer the following requirements that must be met in order for sale by the confiscating authority to be permitted: 1) the species to be sold is already available in the confiscating country in commercial quantities; and 2) wildlife traders under indictment for, or convicted of, crimes related to import of wildlife are prevented from purchasing the animals in question. Experience in selling confiscated animals in the United States suggests that it is virtually impossible to ensure that commercial dealers implicated or suspected of being implicated in illegal or irregular trade are not involved, directly or indirectly, in purchasing confiscated animals. This suggests that confiscation results in increased costs but is not necessarily a disincentive as regards the practices or problems that gave rise to confiscation.

Placing threatened species into commercial trade should not be considered because of the risks of stimulating unwanted trade. Appendix-I species may be sold to a registered commercial breeding facility for Appendix-I species, but these specimens should not be resold or enter commercial trade. As captive-bred offspring of Appendix-I species are deemed to be specimens of species included in Appendix II, there is the potential for commercial breeders to breed animals in captivity to replace wild-caught animals as a source for trade. Hence sale, in certain circumstances (e.g. to commercial captive breeders), may have a clearer potential for the conservation of the species than non-commercial disposal or euthanasia. Such breeding programmes must be carefully assessed and approached with caution. It may be difficult to monitor these programmes and such programmes may unintentionally, or intentionally, stimulate trade in wild animals.

It is essential that confiscating authorities recognize that there are many threatened species that are not included in the CITES Appendices but may require the same treatment as CITES Appendix-I species.

b) Cost of placement. While any payment will place a value on an animal, there is no evidence that trade would be encouraged if the institution receiving a donation of confiscated animals were to reimburse the confiscating authority for costs of care and transport. However, payments should be kept to a minimum and, where possible, the facility receiving the animals should bear all costs directly.

c) Disease. Confiscated animals may serve as vectors for disease and, therefore, must be subject to extremely stringent quarantine. The potential consequences of the introduction of alien disease to a captive facility are as serious as those of introducing disease to wild populations.

d) Captive animals can escape from captivity and become pests. Accidental introduction of exotic species can cause tremendous damage and in certain cases, such as the escape of mink *Mustela vison* from fur farms in the United Kingdom, the introduction of exotics can result from importation of animals for captive breeding.

OPTION 2 – RETURN TO THE WILD

Although CITES requires that repatriation of confiscated CITES-listed animals to the country of export be considered as an option for disposal by a confiscating authority, the treaty in no way requires that animals be returned to the wild in that country. These guidelines suggest that return to the wild would be a desirable option in a very small number of instances and under very specific circumstances. Repatriation to avoid addressing the question of disposal of confiscated animals is irresponsible. When considering repatriation, the confiscating authority must ensure that the recipients of the animals are fully cognizant of the ramifications of repatriation and the options for disposal, as set forth in these guidelines. Furthermore, the country returning an animal to its country of origin for release must ensure that the Management Authority in the country of origin is aware of the return.

The rationale behind many of the decision options in this section is discussed in greater detail in the IUCN Guidelines for Reintroduction. It is important to note that these Guidelines make a clear distinction between the different options for returning animals to the wild. These are elaborated on the next page.

a) Reintroduction: an attempt to establish a population in an area that was once part of the range of the species but where it has become extinct.

Some of the best known reintroductions have been of species that were extinct in the wild. Examples include: Père David's deer *Elaphurus davidianus* and the Arabian oryx *Oryx leucoryx*. Other reintroduction programmes have involved species that existed in some parts of their historical range but that had been eliminated from other areas; the aim of these programmes is to re-establish a population in an area, or region, from which the species has disappeared. An example of this type of reintroduction is the recent reintroduction of the swift fox *Vulpes velox* in Canada.

b) Reinforcement of an existing population: the addition of individuals to an existing population of the same taxon.

Reinforcement can be a powerful conservation tool when natural populations are diminished by a process which, at least in theory, can be reversed. An example of a successful reinforcement project is that involving the golden lion tamarin *Leontopithecus rosalia* in Brazil. Habitat loss, coupled with capture of live animals for pets, resulted in a rapid decline of the golden lion tamarin. When reserves were expanded, and capture for the pet trade curbed, captive golden lion tamarins were then used to supplement depleted wild populations.

Reinforcement has been most commonly pursued when individual animals injured by human activity have been provided with veterinary care and released. Such activities are common in many western countries, and specific programmes exist for species as diverse as hedgehogs, Erinaceinae, and birds of prey. However common an activity, reinforcement carries with it the very grave risk that individuals held in captivity, even temporarily, are potential vectors for disease back into a wild population.

Because of inherent disease risks, reinforcement should only be employed in instances where there is a direct and measurable conservation benefit (demographically or genetically), as when reinforcement is critical for the viability of the wild population into which an individual is being placed.

"Return to the wild" – Concerns and benefits

Before "Return to the wild" of confiscated animals is considered, several issues of concern must be considered in general terms: welfare, conservation value, cost and disease.

a) Welfare. While return to the wild may appear to be humane, it may be nothing more than a sentence to a slow death. Humane considerations require that each effort to return confiscated animals to nature be thoroughly researched and carefully planned. Such returns also require long- term commitment in terms of monitoring the fate of released individuals. Some authors have advocated that the survival prospects for released animals must at least approximate those for wild animals of the same sex and age class in order for return to the wild to be seriously considered. While such demographic data on wild populations are, unfortunately, rarely available, the spirit of this suggestion should be respected; there must be humane treatment of confiscated animals when attempting to return them to the wild.

b) Conservation value and cost. In cases where returning confiscated animals to the wild appears to be the most humane option, such action can only be undertaken if it does not threaten existing populations of wild plants and animals or the ecological integrity of the area in which they live. The conservation of the species as a whole, and of other animals already living free, must take precedence over the welfare of individual animals that are already in captivity.

Before animals are used in programmes in which existing populations are reinforced, or new populations are established, it must be determined that returning these individuals to the wild will make a significant contribution to the conservation of the species. Larger populations are less likely to become extinct, hence reinforcing existing very small wild populations may reduce the probability of extinction. In very small populations a lack of males or females may result in reduced population growth or in population decline. Reinforcing a very small population lacking animals of a particular sex may also improve prospects for survival of that population.

It should be noted that where confiscated individuals are used for reintroduction (as defined above) they will form the nucleus of a new population. If such a programme is to be successful, a relatively

large number of individuals will be required. Hence, small groups of confiscated animals may be inappropriate for reintroduction programmes.

The cost of returning animals to the wild in an appropriate manner can be prohibitive for all but the most endangered species. The species for which the conservation benefits clearly outweigh these costs represent a tiny proportion of the species listed in the CITES Appendices, although it includes numerous species not regulated under CITES. In the majority of cases, the costs of appropriate, responsible reintroduction will preclude return to the wild. Poorly planned or executed reintroduction programmes are the equivalent of dumping animals in the wild and should be vigorously opposed on both conservation and humane grounds.

c) Source of individuals. If the country of origin and site of capture of the animals is not known, or if there is any question of the source of the animals, supplementation may lead to inadvertent pollution of distinct genetic races or subspecies. If particular local races or subspecies show specific adaptation to the local environment, mixing in animals from other races or subspecies may be damaging to the local population. Introducing an animal into the wrong habitat type may also doom it to death.

d) Disease. Animals held in captivity and/or transported, even for a very short time, may be exposed to a variety of pathogens. Release of these animals into the wild may result in introduction of disease to conspecifics or unrelated species with potentially catastrophic effects. Even if there is a very small risk that confiscated animals have been infected by exotic pathogens, the potential effects of introduced diseases on wild populations are so great that this will often preclude returning confiscated animals to the wild.

Where confiscated animals are found to be unsuitable for return to the wild, disease screening and appropriate quarantine are, nevertheless, essential in order to ensure that they are free of disease, or that diseases and parasites harboured by these animals are found in the captive population to which the animals may be transferred. Introduced diseases can be dangerous to captive facilities, particularly in zoos where infection across different species in a collection is a serious threat. Where such quarantine can not ensure that an individual is healthy, isolation for an indefinite period or euthanasia must be carried out.

There are clearly instances where return to the wild of confiscated animals must be considered an option for disposal. First and foremost, the question to be addressed is: will returning the animals to the wild make a significant contribution to the conservation of the species in question? Release into the wild of any animal that has been held in captivity is risky. While some diseases can be tested for, tests do not exist for many animal diseases. Furthermore, animals held in captivity are frequently exposed to diseases not usually encountered in their natural habitat. Veterinarians and quarantine officers, thinking that the species in question is only susceptible to certain diseases, may not test for these diseases picked up in captivity.

Given that any release incurs some risk, we must adopt the following 'precautionary principle': if there is no conservation value in releasing confiscated specimens, the possibility of accidentally introducing into the environment a disease that is not already present, however unlikely, will rule out returning confiscated specimens to the wild.

There are several *benefits* of returning animals to the wild, either through reintroduction or reinforcement of an existing population.

a) In situations where the existing population is severely threatened, such an action might improve the long-term conservation potential of the species as a whole, or of a local population of the species (e.g. golden lion tamarins).

b) Returning animals to the wild makes a strong political/educational statement concerning the fate of the animals (e.g. orangutans *Pongo pygmaeus* and chimpanzees *Pan troglodytes*) and may serve to promote local conservation values. However, as part of any education or public awareness programme, the costs and difficulties associated with return to the wild must be emphasized.

OPTION 3 – EUTHANASIA

Euthanasia – the killing of animals carried out according to humane guidelines – is unlikely to be a popular option amongst confiscating authorities for disposal of confiscated animals. However, it can not be overstressed that euthanasia may frequently be the simplest and most humane option available. In many cases, authorities confiscating live animals will encounter the following situations.

a) return to the wild in some manner is either unnecessary (e.g. in the case of a very common species), impossible, or prohibitively expensive as a result of the need to conform to biological and animal welfare guidelines.

b) Placement in a captive facility is impossible, or there are serious concerns that sale will be problematic or controversial.

c) During transport, or while held in captivity, the animals have contracted a chronic disease that is incurable and, therefore, a risk to any captive or wild population.

Euthanasia has several clear advantages.

a) From the point of view of conservation of the species involved, and of protection of existing captive and wild populations of animals, euthanasia carries far fewer risks when compared to returning animals to the wild.

b) Euthanasia will also act to discourage the activities that gave rise to confiscation, be it smuggling or other patently illegal trade, inadequate paperwork, poor packing, or other problems, as the animals in question are removed entirely from trade.

c) Euthanasia may be in the best interest of the welfare of the confiscated animals. Unless adequate finances are available for reinforcement of existing populations or reintroduction, release to the wild will carry enormous risks for existing wild populations and severely jeopardize the survival prospects of the individual animals, which may, as a result, die of starvation, disease or predation.

d) When animals are destroyed, or when they die a natural death while in captivity, the dead specimens should be placed in the collection of a natural history museum, or another reference collection in a university or research institute. Such reference collections are of great importance for studies of biodiversity. If such placement is impossible, carcasses should be incinerated to avoid illegal trade in animal parts or derivatives.

DECISION TREE ANALYSIS

For decision trees dealing with “Return to the wild” and “Captive” options, the confiscating Party must first ask the question:

Question 1: Will returning the animal to the wild make a significant contribution to the conservation of the species, including through education and other means?

The most important consideration in deciding on disposal of confiscated specimens is the conservation of the species in question. Because there can never be absolute certainty that a confiscated animal is free of diseases and parasites, returning to the wild an individual that has been held in captivity will always involve some level of risk to existing populations of the same or other species in the ecosystem to which the animal is returned.

Where releasing confiscated animals to the wild appears to be the most humane action, it must improve the prospects for survival of the existing wild population. Humanitarian and conservation interests are best served by ensuring the survival of as many individuals as possible, not just the short-term comfort of a few individuals. The benefits of the return in terms of conservation value must clearly outweigh the potential risks.

In most instances, the benefits of return to the wild will be outweighed by the costs and risks of such an action. If returning animals to the wild is not of conservation value, “Captive” options pose fewer risks and may offer more humane alternatives.

Answer: Yes: Investigate "Return to the wild" options.

No: Investigate "Captive" options.

DECISION TREE ANALYSIS – CAPTIVITY

The decision to maintain confiscated animals in captivity involves a simpler set of considerations than does the decision to return them to the wild. It should be noted that the order in which options are placed in the present decision tree is not necessarily the most appropriate for all authorities in all countries: it is expected that each confiscating authority will determine which option is most appropriate based on the particular case and its particular situation.

Question 2: Have animals been found to be disease-free by comprehensive veterinary screening and quarantine?

Because of the risk of introducing disease to captive populations, animals that may be transferred to certified captive facilities must have a clean bill of health. If confiscated animals are not found to be healthy they must be placed in quarantine before being transferred or the facility to which they are transferred must have adequate quarantine facilities. If, during quarantine, the animals are found to harbour diseases that can not be cured, they must be destroyed to prevent infection of other animals.

Answer: Yes: Proceed to Question 3.

No: Quarantine; re-assess question 2 after quarantine.

If chronic and incurable infection, first offer animals to research institutions. If impossible to place in such institutions, destroy.

Question 3: Is space available in non-commercial captive facility (e.g. lifetime-care facility, zoo or rescue centre)?

Transfer of animals to either zoological gardens or lifetime-care facilities should generally provide a safe and acceptable means of disposal of confiscated animals. When a choice must be made between several such institutions, the paramount consideration should be which facility can provide the most consistent care and ensure the welfare of the animals. The terms and conditions of the transfer should be agreed between the confiscating authority and the recipient institution. Terms and conditions for such agreements should include:

a) a clear commitment to ensure lifetime care or, in the event that this becomes impossible, transfer to another facility that can ensure lifetime care, or euthanasia;
b) exclusion from resale of the animals involved; and
c) clear specification of ownership of the specimens concerned and, where breeding may occur, the offspring. Depending on the circumstances, ownership may be vested with the confiscating authority, the country of origin, or the recipient facility.

In the majority of instances, there will be no facilities or zoo or aquarium space available in the country in which animals are confiscated. Where this is the case: 1) other captive options should be investigated; 2) transfer to a captive facility outside the country of confiscation should be explored; or
3) the animals should be destroyed.

Answer: Yes: Execute agreement and transfer.

No: Proceed to Question 4.

Question 4: Are private individuals able and willing to provide humane lifetime care on a non- commercial basis?

In many countries, there are active specialist societies or clubs of individuals with considerable expertise in the husbandry and breeding of individual species or groups of species. Such societies can assist in finding homes for confiscated animals without involving sale through intermediaries. In this case, individuals receiving confiscated animals must have demonstrated expertise in the husbandry of the

species concerned and must be provided with adequate information and advice by the club or society concerned. Transfer to specialist societies or individual members must be made according to terms and conditions agreed with the confiscating authority. Such agreements may be the same or similar to those executed with lifetime-care facilities or zoos.

Answer: Yes: Execute agreement and transfer.

No: Proceed to Question 5.

Question 5: Are institutions interested in animals for research conducted under humane conditions?

Many universities and research laboratories maintain collections of exotic animals for research conducted under humane conditions. If these animals are kept in conditions that ensure their welfare, transfer to such institutions may provide an acceptable alternative to other options, such as sale or euthanasia. As in the preceding instances, such transfer should be subject to terms and conditions agreed with the confiscating authority; in addition to those already suggested, it may be advisable to include terms that stipulate the types of research the authority considers permissible.

Answer: Yes: Execute agreement and transfer.

No: Proceed to Question 6.

Question 6: Is the species listed in Appendix I or regarded as endangered or critical?

Commercial sale of specimens of Appendix-I species should not be permitted as it is undesirable to stimulate trade in these species. Species not listed in any CITES Appendix, but which are nonetheless seriously threatened with extinction, should be afforded the same caution.

Answer: Yes: Proceed to Question 7.

No: Proceed to Question 8.

Question 7: Is there a commercial facility breeding this Appendix-I species and is that facility interested in the specimens?

As discussed above, captive-bred offspring of Appendix-I species offer the potential for commercial breeders to breed animals in captivity to replace wild-caught animals as a source for trade. These breeding programmes must be carefully assessed and approached with caution. It may be difficult to monitor such programmes and they may unintentionally, or intentionally, stimulate trade in wild animals. The conservation potential of this transfer, or breeding loan, must be carefully weighed against even the smallest risk in stimulating trade which would further endanger the wild population of the species.

Answer: Yes: Execute agreement and transfer.

No: Destroy, and dispose of carcass as described above.

Question 8: Are there grounds for concern that sale will stimulate further illegal or irregular trade?

Sale of confiscated animals, where legally permitted, is a difficult option to consider. While the benefits of sale – income and quick disposal – are clear, there are many problems that may arise as a result of further commercial transactions in the specimens involved. Equally, it should be noted that there may be circumstances where such problems arise as a result of a non-commercial transaction and that, conversely, sale to commercial captive breeders may contribute to production offsetting capture from the wild.

More often than not, sale should be considered only for species that are neither threatened with extinction nor legally protected from commercial trade (i.e. CITES Appendix-II species). There may be rare cases where a commercial captive-breeding operation may receive individuals for breeding, which may reduce pressure on wild populations subject to trade. In all circumstances, the confiscating authority should be satisfied that: 1) those involved in the illegal or irregular transaction that gave rise

to confiscation can not obtain the animals; 2) the sale does not compromise the objective of confiscation; and, finally, 3) the sale will not increase illegal, irregular or otherwise undesired trade in the species. Previous experience with sale in some countries (e.g. the United States) has indicated that selling confiscated animals is rife with both logistical and political problems and that, in addition to being controversial, it may also be counter-productive.

Answer: Yes: Destroy, and dispose of carcass as described above.

No: Sell to qualified buyers.

DECISION TREE ANALYSIS – RETURN TO THE WILD

Question 2: Have animals been found to be disease-free by comprehensive veterinary screening and quarantine?

Because of the risk of introducing disease to wild populations, animals that may be released must have a clean bill of health. If such animals are not found to be healthy they must be placed in quarantine before being considered for return to the wild. If, during quarantine, the animals are found to harbour diseases that can not be cured, they must be destroyed to prevent infection of other animals.

Answer: Yes: Proceed to Question 3.

No: Quarantine; re-assess question 2 after quarantine.

If chronic and incurable infection, first offer animals to research institutions. If impossible to place in such institutions, destroy.

Question 3: Can country of origin and site of capture be determined?

The geographical location from which confiscated individuals have been removed from the wild must be determined if they are to be reintroduced or used to supplement existing populations. In most cases, animals should only be returned to populations that are of a similar genetic constitution to those from which they were taken.

If the country of origin and site of capture of the animals are not known, release for reinforcement may lead to inadvertent hybridization of distinct genetic races or subspecies resulting in outbreeding depression. Related species of animals that may live in sympatry in the wild and never hybridize have been known to hybridize when held in captivity or shipped in multi-species groups. This type of 'mis- imprinting' can result in behavioural problems compromising the success of any future release and can also pose a threat to wild populations by artificially destroying reproductive isolation that is behaviourally controlled.

Answer: Yes: Proceed to Question 4.

No: Pursue "Captive" options.

Question 4: Can animals be expeditiously replaced to origin and do benefits of such action outweigh the risks?

Answer: Yes: Repatriate and reinforce at origin (specific location) following IUCN Guidelines.
No: Proceed to Question 5.

Question 5: Does a generally recognized captive-breeding or reintroduction programme exist for the species in question?

If the species in question is part of a coordinated captive-breeding and/or reintroduction programme, the animals should be offered to this programme.

Answer: Yes: Proceed to Question 6.

No: Proceed to Question 7.

Question 6: Are the animals from an appropriate population for an existing breeding/ reintroduction programme?

In the case of species for which active captive-breeding and/or reintroduction programmes exist, and for which further breeding stock/founders are required, confiscated animals should be transferred to such programmes after consultation with the appropriate scientific authorities. If the species in question is part of a captive-breeding programme, but the animals are of a subspecies or race that is not part of this programme, other methods of disposal must be considered. Particular attention should be paid to genetic screening to avoid jeopardizing captive-breeding programmes through inadvertent hybridization.

Answer: Yes: Transfer to existing programme.

No: Proceed to Question 7.

Question 7: Is there a commitment to establish a new reintroduction programme following IUCN guidelines?

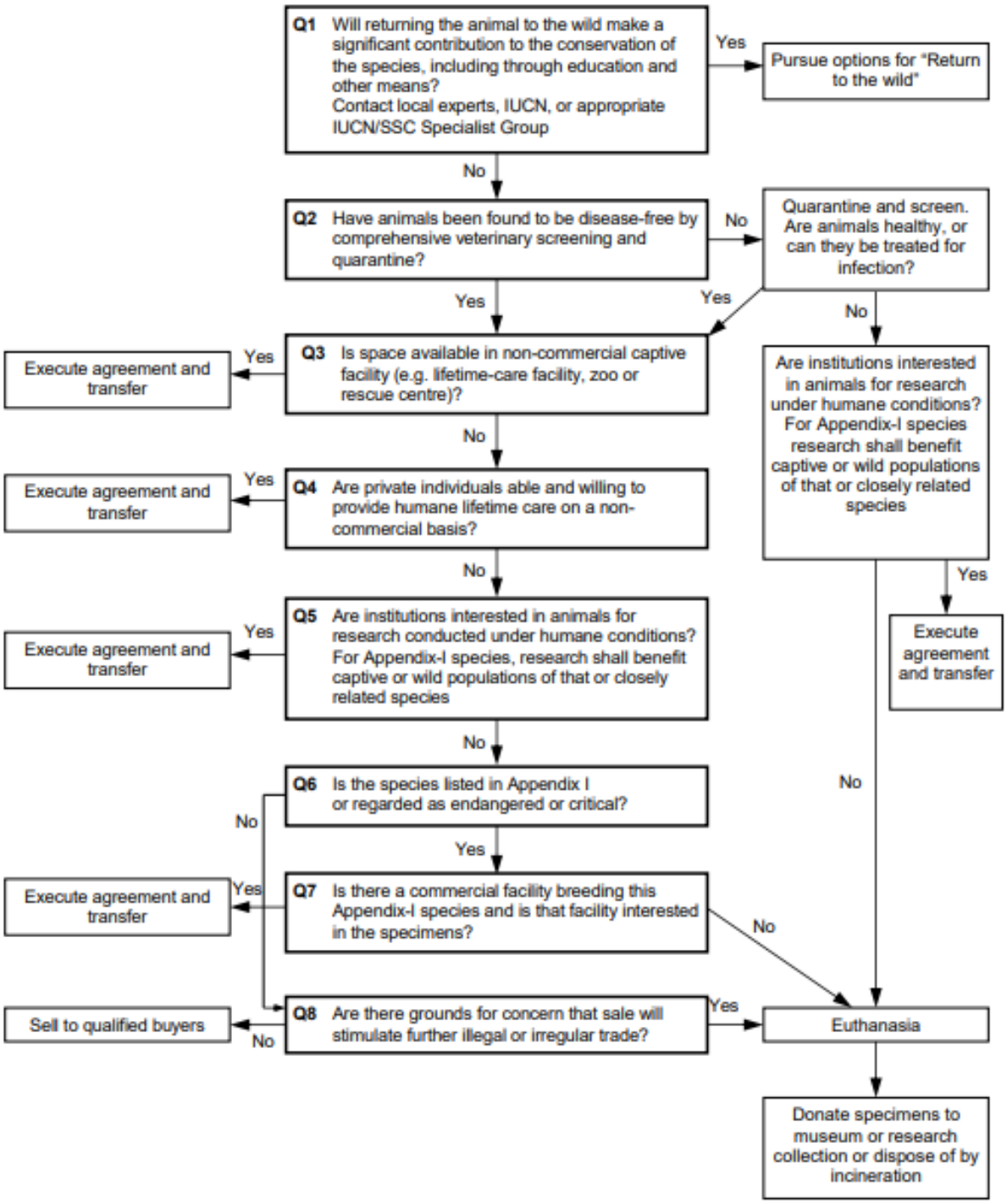
In cases where the animals can not be transferred to existing programmes, their return to the wild, following appropriate guidelines, will only be possible under the following circumstances: 1) appropriate habitat exists for such an operation; 2) sufficient funds are available, or can be made available, to support a programme over the many years that reintroduction will require; and 3) either sufficient numbers of animals are available so that reintroduction efforts are potentially viable, or only reinforcement of existing populations is considered. In the majority of cases, at least one, if not all, of these requirements will fail to be met. In such cases, other options for disposal of the animals must be considered.

It should be emphasized that, if animals of a particular species or taxon are confiscated with some frequency, consideration should be given to whether to establish a reintroduction or reinforcement programme. Animals should not be held by the confiscating authority indefinitely while such programmes are planned, but should be transferred to a holding facility after consultation with the organization that is establishing the new programme.

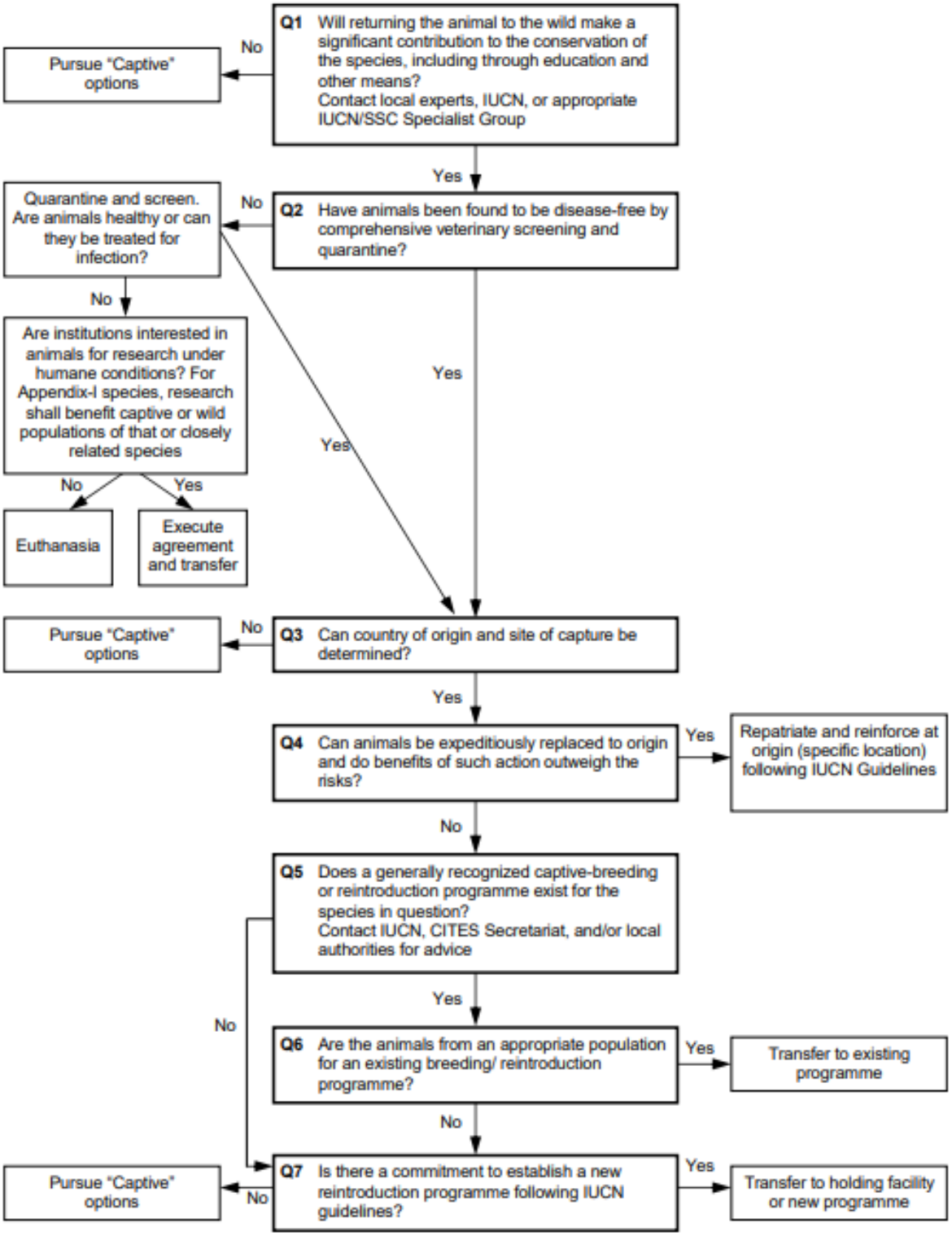
Answer: Yes: Transfer to holding facility or new programme.

No: Pursue “Captive” options.

Decision tree for "Captive" options



Decision tree for "Return to the wild" options



Annex 2 CITES guidelines for the disposal of confiscated live plants

These Guidelines are addressed to authorities in countries of origin and countries of import. When government authorities seize and subsequently confiscate live plants, these authorities have a responsibility to dispose of them appropriately. In the case of importing countries, the country of origin and/or export of the plants will normally first be contacted and notified of the seizure. Within the confines of the law, the ultimate decision on disposal of confiscated plants must achieve three goals:

a) to maximize conservation value of the specimens without in any way endangering the genetic integrity or conservation status of wild or cultivated populations of the taxon (species, subspecies, etc.);

b) to discourage further illegal or irregular trade in the taxon; and

c) to avoid the resources used by organizations involved in their care or disposal being diverted away from other equally important conservation activities.

Statement of need

Increased regulation of trade in wild plants and animals and enforcement of these regulations have resulted in an increase in the number of wildlife shipments intercepted by government authorities as a result of non-compliance with these regulations. In some instances, the interception is a result of patently illegal trade; in others, it is in response to other irregularities, such as insufficient or incomplete paperwork from the exporting country or poor packing of the shipment. Whilst in some cases the number of plants in a seized shipment is small, in many others the number is in the hundreds or thousands. Although, in many countries, confiscated plants have been donated to botanic gardens or other publicly managed living plant collections, this option is proving less viable with large numbers of poorly documented plants and common species of artificially propagated horticultural origin.

In light of these trends, there is an increasing demand – and urgent need – for information and advice to guide CITES authorities in the disposal of live plants. Although the options available have been discussed for certain groups of plants, such as cycads, no general guidelines exist.

When disposing of confiscated plants, authorities must adhere to national, regional and international law. The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) requires that confiscated live specimens of taxa listed in the treaty's Appendices be returned to the "State of export ... or to a rescue centre or such other place as the Management Authority deems appropriate and consistent with the purpose of the Convention" (Article VIII). However, the treaty does not elaborate on this requirement, and CITES Management Authorities must act according to their own interpretation, not only with respect to repatriation but also as regards what constitutes disposal that is 'appropriate and consistent' with the treaty. Although the present guidelines are intended to assist CITES Management Authorities in making this assessment, they are designed to be of general applicability to all confiscated live plants.

The lack of specific guidelines has resulted in confiscated plants being disposed of in a variety of ways, many inconsistent with conservation objectives. While, in some cases, replanting of confiscated plants into existing wild populations has been done after careful evaluation and with due regard for existing guidelines, in others, such releases have not been well planned. Such releases may have a strong negative conservation value by threatening existing wild populations. Threats to existing populations can take different forms:

a) diseases and parasites acquired by the released plants while held on horticultural premises may spread into existing wild populations; and

b) specimens planted amongst existing populations, or in areas near to existing populations, may not be of the same race or subspecies as those in the wild population, resulting in mixing of distinct genetic lineages.

Until recently disposal of confiscated plants has meant either long term care in a botanic garden or transfer to a secure nursery for the purpose of artificial propagation in an attempt to lessen the demand for the species from wild sources.

Management options

Within a conservation perspective, by far the most important consideration in reviewing the options for disposal is the conservation status of the species concerned. For confiscated plants of endangered or threatened taxa, particular effort should be directed towards evaluating whether and how these plants might contribute to a conservation programme for the taxon concerned. The decision as to which option to employ in the disposal of confiscated plants will depend on various legal, economic and biological factors. The 'Decision Tree Analysis' provided in the present guidelines is intended to facilitate consideration of these options. The tree has been written so that it may be used for both threatened and common taxa, although it is recognized that the conservation status of the taxa will be the primary consideration affecting whether or not confiscated plants might be of value to an active conservation propagation / reintroduction programme, and whether or not local or international agencies will be willing to make an investment in expensive and difficult tasks such as genetic determination of country of origin and site of collection, the establishment of reintroduction programmes, or reinforcement of extant wild populations. International networks of experts, such as the IUCN/Species Survival Commission's Specialist Groups, Botanic Gardens Conservation International (BGCI) and the International Association of Botanic Gardens (IABG), should be able to assist confiscating authorities and CITES Scientific and Management Authorities in their deliberations as to the appropriate disposal of confiscated specimens. Confiscated plants, whether destined for long term maintenance at horticultural premises or eventual reintroduction into the wild, should first be made available to propagation centres in the country of origin, if these exist and are willing to accept the consignment.

OPTION 1 – MAINTENANCE IN CULTIVATION

Seized plants are usually maintained in publicly managed horticultural establishments pending a decision on confiscation; subsequently there are numerous options for their maintenance. Placement may be in the country of origin, the country of export (if different), the country of confiscation, or a country with adequate and/or specialized facilities for the taxa in question. Depending on the circumstances and national laws, plants can be donated, loaned or sold. Final placement may be in botanic gardens or other publicly managed facilities, or with private organizations/individuals.

Placement options include:

a) Botanic gardens and other publicly managed facilities, which are those that have mostly been used to date (and which in some cases are reaching the limit of capacity, placing in jeopardy their ability to carry out other *ex situ* conservation activities).

b) Universities and research laboratories, which maintain living botanical collections for many kinds of research and teaching purposes (e.g. molecular systematics, anatomy, cytogenetics, reproductive biology, etc). Whether transfer of confiscated plants to research institutions is appropriate will depend on the likelihood that research carried out may eventually contribute information relevant to the species' conservation. In some cases, the lack of known provenance will make transfer to a research institution an option unlikely to be exercised or desired. Depending on the nature of the research being carried out it may also be important to establish written agreements protecting the rights of the country of origin of the plants concerned in line with the Convention on Biological Diversity.

c) Specialist societies or clubs devoted to the study and care of particular plant groups (e.g. succulent plants), which could, in some instances, provide an avenue for the disposal of confiscated plants without involving sale through intermediaries. However, care must be taken to ensure that such organizations do not include persons trading in wild-collected specimens.

d) Sale of confiscated specimens to traders, commercial propagators or others involved in commercial activities, which can provide a means of disposal that helps offset the costs of

confiscation, especially in the case of large consignments of artificially propagated material. However, sale should not be considered unless the plants in question have been legally collected in the country of origin, are not going to be exploited in contravention of the Convention on Biological Diversity, are not subject to a legal prohibition on trade and there is no risk of stimulating further illegal or irregular trade. Sale to commercial propagators may contribute to reducing the demand for wild-collected specimens. At the same time, however, it may prove to be a poor option owing to the risk of creating a public perception of the State's perpetuating or benefiting from illegal (unlicensed) or irregular trade.

Where plants are transferred by the confiscating authority but not sold, ownership by the Management Authority should be specified as one of the terms and conditions of the transfer. Where the country of origin may desire return of the plants, this desire should be respected, so long as the condition of the plants is such that they will survive the return voyage. The custodian (botanic garden or other organization) of confiscated plants should only move confiscated stocks to another facility for legitimate propagation purposes with the authorization of the administrative authority.

"Maintain in cultivation" – Benefits and disadvantages

The *benefits* of placing confiscated plants in a facility that will provide a satisfactory standard of horticultural care include:

a) educational value;

b) potential for propagation for eventual reintroduction and/or to satisfy consumer demand for artificially propagated specimens; and

c) potential to carry out genetic fingerprinting and other molecular studies contributing to a better understanding of the population genetics and therefore conservation status of the taxa concerned.

The *disadvantages* of placing plants in a facility not involved in an established programme for artificial propagation and reintroduction include the following:

a) <u>The risk of encouraging illegal trade unless</u>:

   i) the species to be sold is already available in the confiscating country in commercial quantities or as legally traded wild-collected specimens; and

   ii) wildlife traders under indictment for, or convicted of, crimes related to import of wildlife are prevented from obtaining the specimens in question.

Placing threatened taxa into commercial trade should not be considered because of the risks of stimulating unwanted trade. Appendix-I taxa may be sold to a nursery registered under CITES for the propagation of Appendix-I taxa, but the confiscated specimens themselves should not be resold or enter commercial trade. Since artificially propagated offspring of Appendix-I taxa are deemed to be specimens of species included in Appendix-II, there is the potential for commercial growers to propagate specimens to replace wild-collected plants as a source for trade. Hence the loan or sale, in certain circumstances (e.g. to commercial nurseries) may have a higher potential for the conservation of the species than non-commercial disposal or destruction. Such propagation activities must be carefully assessed and approached with caution, since they may be difficult to monitor.

It is essential that confiscating authorities recognize that there may be threatened plant taxa that are not currently included in CITES Appendix I but may, nevertheless, warrant the same treatment.

b) <u>Cost of placement</u>. While seized plants are being maintained pending a decision on confiscation, the facility providing care for the plants may have its expenses reimbursed by the importer, airline carrier and/or the confiscating authority. Upon confiscation, if the plants are sold to a commercial organization, any payment received by the CITES authorities will place a value on such specimens. However, there is no evidence that trade would be encouraged if a commercial trader were to reimburse costs of care and transport.

c) Disease. Confiscated plants may serve as vectors for disease and, therefore, must be subject to proper quarantine inspection. The potential consequences of the introduction of alien disease to a horticultural establishment are as serious as those of introducing disease to wild populations.

d) Risk of escape. Plants can escape from horticultural control and become deleterious weeds. Accidental introduction of exotic species can cause tremendous damage and certain countries have strict legislation aimed at limiting the risks of this happening.

OPTION 2 – RETURN TO THE WILD

Although CITES requires that repatriation of confiscated CITES-listed plants to the country of export be considered as an option for disposal by a confiscating authority, the treaty in no way requires that plants be returned to the wild in that country. These guidelines suggest that return to the wild would be a desirable option only in certain circumstances. Repatriation to avoid addressing the question of disposal of confiscated plants is irresponsible. When considering repatriation, the confiscating authority must ensure that the recipients of the plants are fully cognizant of the ramifications of repatriation and the options for disposal, as set forth in these Guidelines. Furthermore, the country returning a plant to its country of origin must ensure that the Management Authority in the country of origin is aware of the return and welcomes it.

The rationale behind many of the decision options in this section is discussed in greater detail in the IUCN Guidelines for Reintroduction (IUCN/SSC Reintroduction Specialist Group, IUCN, 1995). It is important to note that these Guidelines make a clear distinction between the different options for returning organisms to the wild. These are elaborated below.

a) Reintroduction: an attempt to establish a population in an area that was once part of the range of the species but where it has become extinct.

Some of the best known reintroductions involving plants have been of taxa that were extinct in the wild. Other reintroduction programmes have involved taxa that existed in some parts of their historical range but that had been eliminated from other areas; the aim of such programmes being to re-establish a population in an area, or region, from which the species has disappeared.

b) Reinforcement of an existing population: the addition of specimens to an existing population of the same taxon.

Reinforcement can be a powerful conservation tool when natural populations are diminished by a process which, at least in theory, can be reversed.

Because of inherent disease risks, reinforcement should only be employed in instances where there is a direct and measurable conservation benefit (demographically or genetically), as when reinforcement is critical for the viability of the wild population into which a specimen is being placed.

"Return to the wild" – Concerns and benefits

Before "Return to the wild" of confiscated plants is contemplated, several issues of concern must be considered in general terms: conservation value, cost, source of specimens and disease.

a) Conservation value and cost. In cases where returning confiscated plants to the wild appears to be feasible, such action can only be undertaken if it does not threaten existing populations of wild plants and animals or the ecological integrity of the area in which they live. The conservation of the taxon as a whole, and of other organisms already living free, must take precedence over the welfare of specimens that are already in cultivation.

b) Source of specimens. If the country of origin and site of collection of plants is not known, or if there is any question of their source, supplementation may lead to inadvertent pollution of distinct genetic races or subspecies.

c) Disease. Plants maintained in cultivation and/or transported, even for a very short time, may be exposed to a variety of pathogens. Release of these plants into the wild may result in introduction of disease to conspecific or unrelated species with potentially catastrophic effects. Even if there is a very small risk that confiscated plants have been infected by exotic or common horticultural pathogens, the potential effects of introduced diseases on wild populations are so great that this will often preclude returning confiscated plants to the wild.

Where confiscated plants are judged unsuitable for return to the wild, disease screening and appropriate quarantine are, nevertheless, essential (and are frequently a legal requirement) in order to ensure that they are free of disease, or that diseases and parasites harboured by these plants are already present in the cultivated population to which the specimens may be transferred. Introduced diseases can be a serious threat to horticultural establishments. Where such quarantine can not provide a reasonable level of certainty that a specimen is healthy, isolation for an indefinite period or destruction of the confiscated specimens must be carried out.

Clearly, there are instances where return to the wild of confiscated plants must be considered an option for disposal. First and foremost, the question to be addressed is: will returning the plants to the wild make a significant contribution to the conservation of the taxon in question? Release into the wild of any plant that has been held in horticultural premises is risky. While some diseases can be tested for, tests do not exist for all plant diseases. Furthermore, plants held in horticultural premises are frequently exposed to diseases not usually encountered in their natural habitat.

Given that any release incurs some risk, we must adopt the following 'precautionary principle': if there is no conservation value in releasing confiscated specimens, the possibility of accidentally introducing into the environment a disease that is not already present, however unlikely, will rule out returning confiscated specimens to the wild.

There are certain benefits of returning plants to the wild, either through reintroduction or reinforcement of an existing population.

a) In situations where the existing population is severely threatened, such an action might improve the long-term conservation potential of the taxon as a whole, or of a local population of the taxon.

b) Returning plants to the wild makes a strong political/educational statement concerning their fate and may serve to promote local conservation values. However, as part of any education or public awareness programme, the costs and difficulties associated with return to the wild must be emphasized.

OPTION 3 – DESTRUCTION

Destruction of plant material of common taxa, poorly documented specimens and/or those of horticultural origin, or of diseased material that will require expensive techniques to rid it of the diseases or pests involved, is clearly a justifiable action, especially when to keep the material in horticultural premises will cause the use of resources better directed to other conservation activities. Destruction of such material, if publicized, will also act to discourage the activities that led to confiscation, e.g. illegal collection (although the plants may be needed in the country of origin as evidence), failure to obtain correct import/export documents, poor packing, etc. In some cases, while it may be impractical to maintain plants in a living state in cultivation, their preservation as herbarium specimens may be desirable, especially if their country and site of origin is adequately documented and technical help for their preparation is available from the recipient herbarium or museum. This applies both to the country where the confiscation took place and to the country of origin, whose institutions may have been denied the right to receive material through illegal collecting. Destruction of material that is well-documented as to its wild provenance should be done only as a last resort when all other options for its disposal have been exhausted.

DECISION TREE ANALYSIS

For decision trees dealing with “Return to the wild” and “Maintain in cultivation” options, the confiscating Party, in discussion with the CITES authorities in the country of origin (if appropriate), must first ask the question:

Question 1: Will returning the plant to the wild make a significant contribution to the conservation of the taxon, including through education and other means?

The most important consideration in deciding on disposal of confiscated specimens is the conservation of the taxon in question. Because there can never be absolute certainty that a confiscated plant is free of pests and diseases, returning to the wild a specimen that has been held on horticultural premises will always involve some level of risk to existing populations of the same or other taxa in the ecosystem to which the plant is returned.

Where returning confiscated plants, or their propagations, to the wild appears to be an achievable action, it must improve the prospects for survival of the existing wild population(s). Conservation interests are best served by ensuring the survival of as many specimens as possible, not just the short- term survival of a few specimens. The benefits of the reintroduction in terms of conservation value must clearly outweigh the potential risks.

In most instances, the benefits of return to the wild will be outweighed by the costs and risks of such an action. If returning plants to the wild is not of conservation value, maintenance in cultivation in a propagation centre may pose fewer risks and may offer more conservation benefits.

Answer: Yes: Investigate “Return to the wild” options.

No: Investigate “Maintain in cultivation” options.

DECISION TREE ANALYSIS – MAINTAIN IN CULTIVATION

The decision to maintain confiscated plants in cultivation, whether in the country of origin or elsewhere, involves a simpler set of considerations than does the decision to return them to the wild.

Question 2: Have plants been subjected to comprehensive plant health screening and quarantine?

Plants that may be transferred to horticultural premises must have a clean bill of health because of the risk of introducing disease to cultivated populations.

These plants must be placed in quarantine to determine if they are disease-free before being transferred to a propagation centre.

Answer: Yes: Proceed to Question 3.

No: Quarantine and screen and move to Question 3.

Question 3: Have plants been found to be disease-free by comprehensive plant health screening and quarantine or can they be treated for any pests and diseases discovered?

If, during quarantine, the plants are found to harbour pests that can not be eliminated or diseases that can not reasonably be expected to be cured, they must be destroyed to prevent infection of other plants. If the plants are suspected to have come into contact with diseases for which screening is impossible, extended quarantine, donation to a research facility or destruction must be considered.

Answer: Yes: Proceed to Question 4.

No: If with chronic and incurable infection, first offer plants to research institutions or to herbaria/museums for preservation. If impossible to place in or not required by such institutions, destroy.

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Question 4: Are there grounds for concern that sale or donation will stimulate further illegal or irregular trade?

Commercial sale of Appendix-I taxa might stimulate trade in these species. Taxa that are not listed in any CITES Appendix but that are nonetheless seriously threatened with extinction should be afforded the same caution.

Sale or donation of confiscated plants, where legally permitted, is a difficult option to consider. While the benefits of sale – income and quick disposal – are clear, there are many problems that may arise as a result of further commercial transactions of the specimens involved. Equally, it should be noted that there may be circumstances where problems arise as a result of non-commercial transactions. It should also be noted that sale or donation to commercial nurseries may increase the availability of propagated material, thereby reducing the threats from wild-collection.

More often than not, sale of threatened taxa should not take place. Sale of or trade in threatened species may be legally proscribed in some countries, or by CITES. There may be instances where a commercial nursery may purchase or receive specimens for propagation, which may reduce pressure on wild populations subject to trade. In all circumstances, the confiscating authority should be satisfied that:

a) those involved in the illegal or irregular transaction that gave rise to confiscation can not obtain the plants;
b) the sale or donation does not compromise the objective of confiscation; and
c) the sale or donation will not increase illegal, irregular or otherwise undesired trade in the taxon.

Answer: Yes: Proceed to Question 5a.

No: Proceed to Question 5b.

Question 5a: Is space available in a botanic garden/non-commercial propagation centre, whether publicly managed or privately owned?

Question 5b: Is space available in a botanic garden/non-commercial propagation centre, whether publicly managed or privately owned, or is there a commercial facility propagating this taxon, and is it interested in the plants?

Transfer of plants to non-commercial propagation facilities, if their sale, donation or loan may stimulate further illegal or irregular trade, or to commercial propagation facilities, an option only if sale/donation/loan will not stimulate further illegal or irregular trade, should generally provide a safe and acceptable means of disposal of confiscated plants. When a choice must be made between several such institutions, the paramount consideration should be which facility can:

a) offer the opportunity for the plants to be used in a programme of propagation; and
b) provide the most consistent care without compromising the resources available for other equally valuable conservation activities in which it is engaged.

The terms and conditions of the transfer should be agreed between the confiscating authority and the recipient institution. Terms and conditions for such agreements should include:

a) a clear commitment to ensure indefinite care to an acceptable standard or, in the event that this becomes impossible, transfer to another facility that can ensure such care;
b) a clear specification of ownership of the specimens concerned (as determined by national law) and, where propagation may occur, the offspring. Depending on the circumstances, ownership may be vested with the confiscating authority, the country of origin or export, or with the recipient facility; and
c) a clear specification of conditions under which the plants, or any plants propagated from them, may be sold.

In the majority of instances, there will be limited facilities available in the country in which plants are confiscated. Where this is the case other horticultural options should be investigated. This could include transfer to a propagation centre outside the country of confiscation and ideally in the country of origin, or, if it will not stimulate further illegal trade, placement in a commercial propagation facility. However, such propagation programmes must be carefully assessed and approached with caution, bearing in mind the restraints implied by the Convention on Biological Diversity. It may be difficult to monitor these programmes and such programmes may unintentionally stimulate trade in wild-collected plants. The conservation potential of transfer to a commercial propagation facility, or loan for propagation, must be carefully weighed against even the smallest risk of stimulating trade that would further endanger the wild population of the taxon.

In many countries, there are active specialist societies or clubs of individuals with considerable expertise in the care and propagation of particular plant groups in trade. Such organizations can assist in finding homes for confiscated plants without involving sale through intermediaries. In this case, individuals receiving confiscated plants must have demonstrated expertise in the cultivation of the taxa concerned and must be provided with adequate information and advice by the relevant club or society. Transfer to specialist societies or individual members must be made according to terms and conditions agreed with the confiscating authority. Placement with these societies or members is an option if sale or donation of the confiscated plants may or may not stimulate trade.

Answer: Yes: Execute agreement and sell/donate/loan.

No: Proceed to Question 6.

Question 6: Are institutions interested in plants for research as museums specimens?

Answer: Yes: Execute agreement and transfer.

No: Destroy.

DECISION TREE ANALYSIS – RETURN TO THE WILD

Question 2: Have plants been subjected to comprehensive plant health screening and quarantine?

Because of the risk of introducing disease to wild populations, plants that may be reintroduced must have a clean bill of health. These plants must be placed in quarantine to determine if they are disease- free before being considered for return.

Answer: Yes: Proceed to Question 3.

No: Quarantine and screen and move to Question 3.

Question 3: Have plants been found to be disease-free by comprehensive plant health screening and quarantine or can they be treated for any pests and diseases discovered?

If, during quarantine, the plants are found to harbour pests that can not be eliminated or diseases that can not be expected reasonably to be cured, unless any institutions are interested in the plants, whether alive or preserved, they must be destroyed to prevent spread of disease. If the plants are suspected to have come into contact with diseases for which screening is impossible, extended quarantine, donation to a research facility or destruction must be considered.

Answer: Yes: Proceed to Question 4.

No: If with chronic and incurable infection, first offer plants to research institutions or to herbaria/museums for preservation. If impossible to place in such institutions, destroy.

Question 4: Can country of origin and site of collection be confirmed?

The geographical location from which confiscated specimens have been removed from the wild must be determined if these specimens are to be reintroduced or used to supplement existing populations. In most cases, plants should only be returned to the population from which they were taken or to populations that are known to have gene exchange with this population.

If the provenance of the plants is not precisely known, their use for reinforcement may lead to inadvertent hybridization of distinct genetic races or subspecies. Related plant taxa that live in sympatry in the wild and never hybridize may do so when held in cultivation and this problem is in no way restricted either to naturally sympatric taxa or even to closely related taxa in the plant kingdom.

Answer: Yes: Proceed to Question 5.

No: Pursue "Maintain in cultivation" options.

Question 5: Can specimens be returned expeditiously to origin (specific location), and will benefits to conservation of the taxon outweigh any risks of such action?

Reintroduction of the specimens and reinforcement of the population will only be options under certain conditions and following the IUCN/SSC Reintroduction Specialist Group's 1995 Guidelines. An appropriate habitat for such an operation should still exist in the specific location from which the specimens were removed.

Answer: Yes: Repatriate and reinforce at origin (specific location) following IUCN Guidelines.

No: Proceed to Question 6.

Question 6: For the taxon/taxa in question, does a generally recognized programme exist whose aim is conservation of that/those taxon/taxa and eventual return to the wild of confiscated specimens and/or their progeny? (Contact relevant IUCN/SSC Specialist Group, BGCI and/or IABG).

In the case of species for which active propagation and/or reintroduction programmes exist, and for which further propagation material / mother plants are required, confiscated plants should be transferred to such programmes after consultation with the appropriate scientific authorities. If there is such a programme for the taxon in question, but the actual subspecies or race confiscated is not part of this programme, other methods of disposal must be considered. Particular attention should be paid to genetic screening to avoid jeopardizing reintroduction programmes through inadvertent hybridization.

Answer: Yes: Execute agreement and transfer to existing programme.

No: Proceed to Question 7.

Question 7: Is there a need and is it feasible to establish a new reintroduction programme following IUCN Guidelines?

In cases where specimens can not be transferred to existing reintroduction programmes, return to the wild, following appropriate guidelines, will only be possible under the following circumstances:

a) appropriate habitat exists for such an operation;

b) sufficient funds are available, or can be made available, to support a programme over the many years that (re)introduction will require; and

c) either sufficient numbers of specimens are available so that reintroduction efforts are potentially viable or only reinforcement of existing populations is considered.

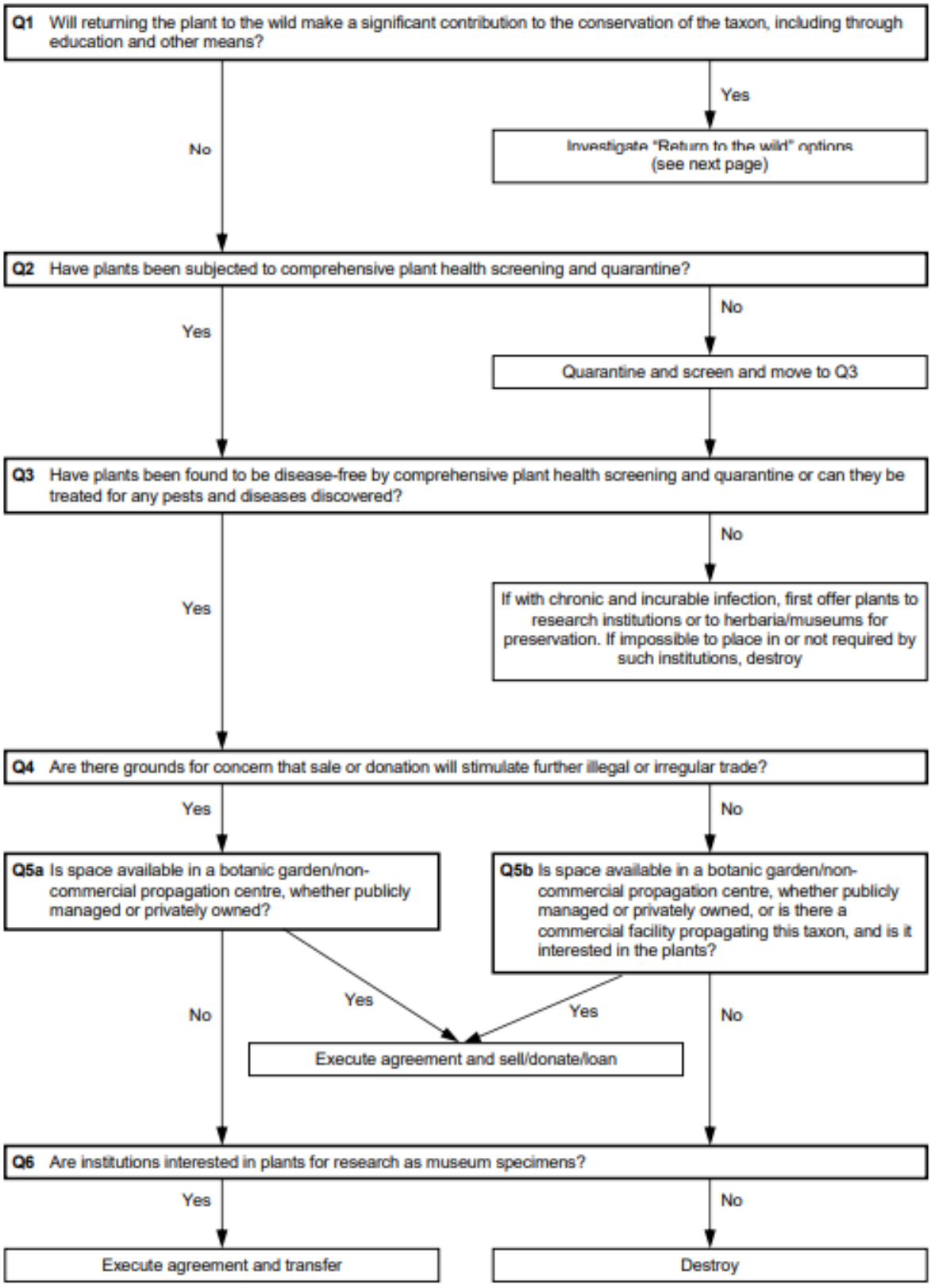
In the majority of cases, at least one, if not all, of these requirements will fail to be met. In this instance, either conservation introductions outside the historical range of these species or other options for disposal of the plants must be considered.

It should be emphasized that, if a particular taxon is confiscated with some frequency, consideration should be given as to whether to establish a reintroduction, reinforcement or introduction programme. Plants should not be held by the confiscating authority indefinitely while such programmes are planned, but should be transferred to a holding facility after consultation with the organization that is establishing the new programme.

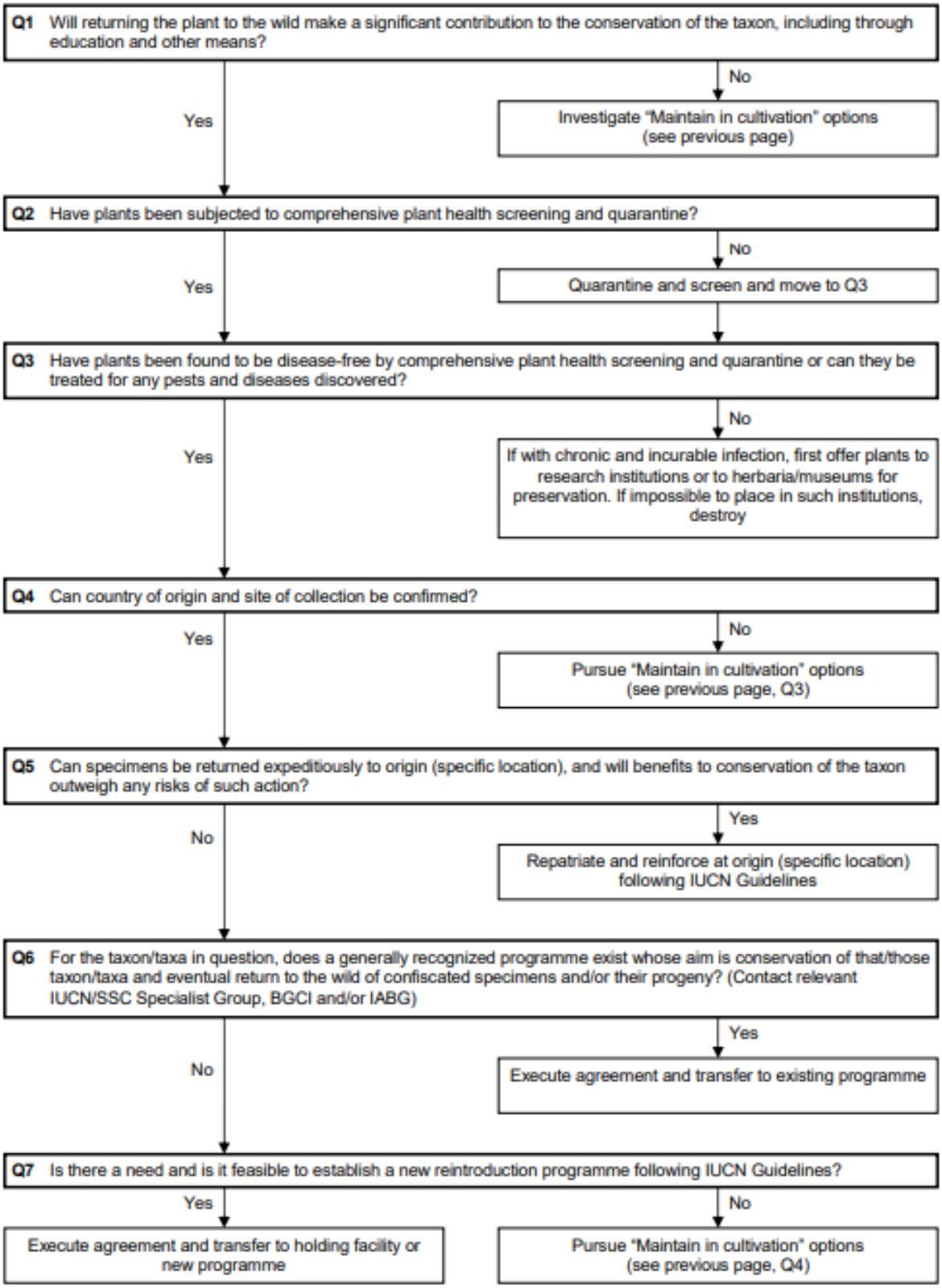
Answer: Yes: Execute agreement and transfer to holding facility or new programme.

No: Pursue “Maintain in cultivation” options.

Decision tree for "Maintain in cultivation" options



Decision tree for "Return to the wild" options



Annex 3 Guidelines to develop an action plan on seized and/or confiscated live specimens

Each Party should develop a plan of action that can be executed without delay in the event that live specimens are seized. This action plan should be developed in accordance with the *CITES guidelines for the disposal of confiscated live animals* in Annex 1 and the *CITES guidelines for the disposal of confiscated live plants* in Annex 2. The plan should:

1. identify means for procuring funds to provide care, quarantine, and transport and other costs incurred for seized and confiscated live specimens. Funding might be secured through levying of fines, obtaining reimbursement from importers, licensing and bonding importers and exporters, requiring import duties or permit fees, seeking donations from private or government sources, obtaining government allocations, or selling confiscated live specimens, where appropriate;

2. establish a procedure for implementing the Guidelines in accordance with the Party's domestic law and policy;

3. identify government agencies and personnel with authority to make decisions regarding the seizure and disposal of live specimens and clarify their roles and jurisdiction in this process. Such agencies and personnel may include Customs, agricultural inspection services, law enforcement agencies, veterinary agencies, public health services, and the Management and Scientific Authorities;

4. identify which authority in the country of origin listed in the CITES Directory should be contacted in the event that live specimens are seized. This authority should be annotated in the CITES Directory;

5. provide for training of personnel involved in the seizure and disposal of live specimens to ensure both the immediate and long-term welfare of the specimens;

6. include a list of experts who or institutions which can assist in species identification, care and/or other technical aspects of the seizure, confiscation and disposal process;

7. identify and/or develop facilities to provide for the care of live specimens immediately after seizure;

8. identify temporary holding facilities that have agreed to provide adequate care for seized live specimens of particular taxa until the confiscation process is completed;

9. identify approved facilities and programmes located within the country that have agreed to provide adequate care, including veterinary or phytosanitary care, and that are willing to accept confiscated live specimens of particular taxa. Parties should prepare a list of such facilities and programmes, which should be submitted to the Secretariat which will make it available to the Parties on request; and

10. ensure that the Party begins evaluating options for disposal of seized live specimens immediately after seizure.

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列入附录I或附录II的物种的狩猎纪念物贸易

承认 各国人民和国家是，而且应该是本国野生动植物的最好保护者；

认识到 良好管理和可持续的纪念物狩猎与物种保护目标是一致的并为之做出贡献，它既为当地社区提供生计机会、激励栖息地保护，并且产生效益可被投资于保护目的；

承认 当野生动植物被赋予经济价值并能执行控制下的管理系统，就能创造有利的条件以投资于资源保护和可持续利用，这样就会减少野生动植物受土地利用形式变化而产生的风险；

进一步**承认** 在Conf. 13.2 (Rev. CoP14)号决议下规定的生物多样性可持续利用：亚的斯亚贝巴原则与指南；

忆及 Conf. 16.6 (Rev. CoP18)号CITES与生计决议认识到一些CITES附录物种对贫困地区的社区具有经济、社会、文化和礼仪的重要作用，并认识到狩猎为一些当地社区提供了资源；

考虑到 统一解释公约有关狩猎纪念物的需要；

进一步**认识到** 分布国投入大量资源开展科学基础上的非致危性判定和建立可持续狩猎纪念物限额；

意识到 一些缔约方在制定科学基础上的非致危性判定和建立可持续狩猎纪念物方面面临的挑战；

回顾到 Conf. 16.7 (Rev. CoP17)号非致危性判定决议列出了科学机构在判断贸易是否对物种致危时需考虑的一系列原则；

认识到 某一物种的保护状况可能在其分布区内有所变化，这需要科学机构在根据公约第三条和第四条做非致危性判定时予以考虑；

进一步**认识到** 纪念物狩猎活动能够通过与当地社区合作而成功地得到管理以有利于物种并为当地社区带来益处；

回顾到 Conf. 10.10 (Rev. CoP17)号象标本的贸易决议、Conf. 10.14 (Rev. CoP16)号 个人用豹类狩猎纪念物和皮张的限额决议、Conf. 10.15 (Rev. CoP14) 号 建立捻角山羊狩猎纪念物限额决议和Conf. 13.5 (Rev. CoP14)号黑犀狩猎纪念物出口限额的建立决议列出了在这些附录I物种的纪念物的国际贸易中的特殊条件；

回顾到 附录I 的猎豹 (Acinonyx jubatus) 带有注释，规定了活体和狩猎纪念物的年度出口限额；

回顾到 Conf. 2.11 (Rev.)号附录I物种狩猎纪念物的贸易决议的建议附录I物种狩猎纪念物应伴有进口许可证或出口许可证；

进一步**回顾到** Conf. 2.11 (Rev.) 号 附录 Ⅰ 物种狩猎纪念物的贸易决议的建议，为了实现进口国和出口国以最有效和最全面的方式对附录I物种贸易采取所设想的互补控制，除非有科学或管理数据来表明并非如此，进口国科学机构接受出口国科学机构关于狩猎纪念物的出口不会危害该物种生存的判定；及

进一步**回顾到** Conf. 13.7 (Rev. CoP17)号决议“个人和家庭财产贸易的控制”；

1. 同意出口附录I或附录II狩猎纪念物应是有条件的，需事先根据公约第三条或第四条的规定出具一份出口许可证，除非满足Conf. 13.7 (Rev. CoP17)号决议《个人和家庭财产贸易的控制》的规定；

2. 敦促出口国只有在满足以下条件时才能批准附录I或附录II物种狩猎纪念物的出口：

   a) 出口国管理机构确保该标本的获取没有违反该国保护动物的法律；

   b) 在审查狩猎纪念物的贸易时，出口国管理机构确保该标本符合Conf. 12.3 (Rev. CoP17)号决议“许可证和证明书”关于狩猎纪念物的定义，并就此与CITES许可证或证明书上载明的动物整体、或可即刻识别的部分或衍生物相对应：

      i) 是生的、加工过的或制造过的；

      ii) 是被猎人通过为猎人本人自用而狩猎所合法获得的；及

      iii) 由猎人或以该猎人的名义，作为从其原产国转移、最终回到猎人的通常住所国的环节之一，进口、出口或再出口；及

c) 出口国科学机构考虑Conf. 16.7 (Rev. CoP17) 号决议“非致危性判定”中的概念和不具法律约束力的指南以确定该狩猎纪念物的出口是否危害该物种的生存；这可能包括：

      i) 基于国家保护计划的关于分布、种群状况和趋势的信息，如适用，应能对猎捕量给予解释；及

      ii) 一份对可持续猎捕水平的回顾，要考虑到所有的包括非法捕杀在内的影响物种的野外种群的死亡方式；

3. 建议出口CITES附录物种的狩猎纪念物的缔约方确保纪念物狩猎得到了可持续管理，不危害目标物种的保护，并，如适当，通过将以下措施到位，为当地社区提供益处：

   a) 关于获取纪念物的有力的管制框架；

   b) 有效的有对违法行为予以惩罚的具有充分的阻止措施的执法机制；

   c) 被用于有效监测种群趋势和状况的监测体系；及

   d) 可适应性管理系统，这个管理系统应能根据特定种群的需要并基于监测项目的结果对获取水平进行调整；

4. 进一步建议与附录I物种相关的狩猎活动应为该物种产生保护效益并因此从既有的惠益共享系统或激励系统受益以确保该获取为抵偿生活于特定物种（如大象）周边的成本做出贡献；

5. 敦促从事狩猎纪念物贸易的缔约方遵守《CITES 年度报告编制和提交准则》以评估是否遵守了限额和遵守了本公约条款；

6. 建议进口国和出口国保持必要的密切对话，这些国家需应要求就科学机构的结论分享信息；

7. 进一步建议缔约方在考虑更严格的国内措施并做出关于进口狩猎纪念物的决定时考虑狩猎对物种保护的贡献及社会-经济效益，及其在为人民提供激励以保护野生动植

物的作用；及

8. 进一步建议缔约方采取任何合理的努力以在根据Conf. 6.7号决议“对公约第十四条第1款的解释”采取更严格的关于狩猎纪念物的贸易的措施前，尽可能早地通知这些物种的分布国。

Conf. 17.9 Trade in hunting trophies of species listed in Appendix I or I

ACKNOWLEDGING that peoples and States are and should be the best protectors of their own wild fauna and flora;
RECOGNIZING that well-managed and sustainable trophy hunting is consistent with and contributes to species conservation, as it provides both livelihood opportunities for rural communities and incentives for habitat conservation, and generates benefits which can be invested for conservation purposes;

ACKNOWLEDGING that where economic value can be attached to wildlife and a controlled management system is implemented, favourable conditions can be created for investment in the conservation and the sustainable use of the resource, thus reducing the risks to wildlife from alternative forms of land use;

FURTHER ACKNOWLEDGING the guidance provided in Resolution Conf. 13.2 (Rev. CoP14) on *Sustainable use of biodiversity: Addis Ababa Principles and Guidelines*;

RECALLING that Resolution Conf. 16.6 (Rev. CoP17) on *CITES and livelihoods* recognizes that poor rural communities may attach economic, social, cultural and ceremonial importance to some CITES-listed species, and RECOGNIZING the resources that trophy hunting provides to certain local communities;

CONSIDERING the need for uniform interpretation of the Convention with regard to hunting trophies;

FURTHER RECOGNIZING that range States invest significant resources in making scientifically based non-detriment findings and establishing sustainable quotas for hunting trophies;

AWARE of the challenges that some Parties face when making scientifically based non-detriment findings and establishing sustainable quotas for hunting trophies;

RECALLING that Resolution Conf. 16.7 (Rev. CoP17) on *Non-detriment findings* sets out a number of guiding principles that Scientific Authorities should take into account in considering whether trade would be detrimental to the survival of a species;

RECOGNIZING that the conservation status of a species may differ across its range, and that this needs to be taken into account in the non-detriment findings of the respective Scientific Authorities as required under Articles III and IV of the Convention;

FUTHER RECOGNIZING that trophy-hunting activities can successfully be managed for the benefit of the species in cooperation with and provide benefits to local communities, where relevant;

RECALLING that Resolution Conf. 10.10 (Rev. CoP18) on *Trade in elephant specimens*, Resolution Conf. 10.14 (Rev. CoP16) on *Quotas for leopard hunting trophies and skins for personal use*, Resolution Conf. 10.15 (Rev. CoP14) on *Establishment of quotas for markhor hunting trophies* and Resolution Conf. 13.5 (Rev. CoP18)[1] on *Establishment of export quotas for black rhinoceros hunting trophies* set out specific conditions applying to international trade in trophies of those Appendix I species;

RECALLING that the Appendix I listing of cheetahs *(Acinonyx jubatus)* is accompanied by an annotation regarding annual export quotas for live specimens and hunting trophies;

RECALLING that Resolution Conf. 2.11 (Rev.) on *Trade in hunting trophies of species listed in Appendix I* recommends that hunting trophies of Appendix I species shall be accompanied by import and export permits;

[1] *Corrected by the Secretariat following the 18th meeting of the Conference of the Parties.*

FURTHER RECALLING that Resolution Conf. 2.11 (Rev.) on *Trade in hunting trophies of species listed in Appendix I* recommends that, in order to achieve the envisaged complementary control of trade in Appendix I species by the importing and exporting countries in the most effective and comprehensive manner, the Scientific Authority of the importing country accepts the finding of the Scientific Authority of the exporting country that the exportation of the hunting trophy is not detrimental to the survival of the species unless there are scientific or management data to indicate otherwise; and

RECALLING FURTHER Resolution Conf. 13.7 (Rev. CoP17), on *Control of trade in personal and household effects*;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. AGREES that the export of hunting trophies of species listed in Appendix I or II should be conditional upon issuance of an export permit in accordance with Articles III or IV of the Convention except as provided in Resolution Conf. 13.7 (Rev. CoP17) on *Control of trade in personal and household effects*;
2. URGES exporting countries to only authorize the export of hunting trophies of species listed in Appendix I or II when the following conditions are met:
   a) a Management Authority of the State of export is satisfied that the specimen was not obtained in contravention of the laws of that country for the protection of fauna;
   b) in reviewing trade in hunting trophies, a Management Authority of the state of export is satisfied that said specimen conforms to the definition of hunting trophy as contained in Resolution Conf. 12.3 (Rev. CoP18)[1] on *Permits and certificates*, and corresponds therefore to a whole animal, or readily recognizable part or derivative of an animal, specified on the accompanying CITES permit or certificate, that:
      i) is raw, processed or manufactured;
      ii) was legally obtained by the hunter through hunting for the hunter's personal use; and
      iii) is being imported, exported or re-exported by or on behalf of the hunter, as part of the transfer from its country of origin, ultimately to the hunter's State of usual residence; and
   c) a Scientific Authority of the State of export takes into account the concepts and non-binding guiding principles contained in Resolution Conf. 16.7 (Rev. CoP17) on *Non-detriment findings* in determining whether the export of the hunting trophy would be detrimental to the survival of the species; which may include:
      i) information relating to distribution, status and trends of populations based on national conservation plans, where applicable, and which informs harvests; and
      ii) a review of the sustainability of harvest levels taking account all mortality sources affecting the wild population of the species, including mortality due to illegal killing;
3. RECOMMENDS that Parties exporting hunting trophies of CITES-listed species ensure that trophy hunting is sustainably managed, does not undermine the conservation of target species and, as appropriate, provides benefits to local communities by having in place:
   a) a robust regulatory framework relating to the harvesting of trophies;
   b) an effective enforcement mechanism with adequate deterrents in the form of penalties for non-compliance;
   c) a monitoring system designed to effectively monitor population trends and status; and

[1] *Corrected by the Secretariat following the 18th meeting of the Conference of the Parties.*

d) an adaptive management system through which harvest levels can be adjusted according to the needs of the specific population and based on results of the monitoring programme;

4. FURTHER RECOMMENDS that trophy hunting activities relating to species listed in Appendix I should produce conservation benefits for the species concerned and thus may benefit from having a benefit sharing or incentive system in place to ensure that harvesting contributes to the offsetting of the cost of living with certain species, such as elephants;

5. URGES Parties trading in hunting trophies to apply the *Guidelines for the preparation and submission of CITES annual reports* in order to assess adherence to quotas and compliance with the provisions of the Convention;

6. RECOMMENDS that importing and exporting countries maintain a close dialogue as necessary, and that these countries share information, upon request, regarding the finding of the Scientific Authorities;

7. FURTHER RECOMMENDS that Parties consider the contribution of hunting to species conservation and socio-economic benefits, and its role in providing incentives for people to conserve wildlife, when considering stricter domestic measures and making decisions relating to the import of hunting trophies; and

8. FURTHER RECOMMENDS that Parties make every reasonable effort to notify range States of the species concerned at as early a stage as possible prior to the adoption of stricter measures relating to trade in hunting trophies, as recommended in Resolution Conf. 6.7 on *Interpretation of Article XIV, paragraph 1, of the Convention*.

Conf. 17.10

穿山甲的保护与贸易

关注到 由于栖息地质量下降、过度猎捕、非法贸易的共同作用，全部八种穿山甲 (Manis spp.) 被评级为极度濒危、濒危、或易危；

忆及 缔约方大会于1994年决定将穿山甲 (Manis spp.) 所有种都列入附录II，并于2000年以备注方式修改附录“印度穿山甲 (Manis crassicaudata) 、菲律宾穿山甲 (M. culionensis) 、马来穿山甲 (M. javanica) 和中国穿山甲 (M. pentadactyla) 野外获得标本的商业性年度出口限额为零”；

留意到 按照Conf. 12.8 (Rev. CoP17)号决议“附录 II 物种标本的大宗贸易回顾”，野外来源穿山甲 (Manis spp.) 的标本、部分、衍生物的贸易是《大宗贸易回顾》的对象；

关注到 这些措施并未能阻挡穿山甲种群数量下降，第十七次缔约方大会将所有穿山甲列入附录I；

赞赏 一些分布国、中转国、消费国及其他缔约方为解决穿山甲标本、部分、衍生物的非法及不可持续贸易而做出的努力；

鼓励 所有利害相关方注意2015年6月24日到26日在越南岘港举办的《第一次穿山甲分布国会议》形成的最终报告；

强调 穿山甲野外种群很难研究、管理和监测，急需穿山甲种群规模与保护状态的综合数据；

也认识到 因为低生育率和易被捕获，穿山甲种群面对过度猎捕很脆弱；

进一步认识到 为满足国际需求，穿山甲标本、部分、衍生物的非法贸易急剧增长；

也忆及 在Conf. 17.8号决议《非法贸易及没收的公约附录物种活体标本的处置》中，缔约方大会敦促各国管理机构，咨询各国科学机构和其他关注方，为处置查获与罚没的活体标本制定行动计划，并**忆及**制定这些穿山甲计划对于缔约方的重要性；

忆及 根据Conf. 10.16 (Rev.)号决议《人工繁育的动物物种标本》规定，穿山甲繁育机构应能证明繁殖基群来源合法，并有能力在受控环境下成功繁育穿山甲到子二代 (F2)及以上；及

进一步忆及 在Conf. 10.19 (Rev. CoP14)号决议《传统医药》中，缔约方大会建议各缔约方与传统医药从业者和消费者群体紧密合作以实施公众教育和意识项目，努力消除非法使用濒危物种、提升意识来消除过度开发利用；

公约缔约方大会

1. 敦促 所有缔约方:

a) 采取并执行国家综合立法，如适用，回顾已有立法，立法应设立针对本土或非本土穿山甲标本非法贸易的遏制性条款；

b) 确保严格执法控制以应对穿山甲标本非法贸易；

c) 进一步强化国内部门间合作及国际合作，加强分布国、中转国、目的地国家的集体行动，以协调行动、交换有关贸易路径、模式和执法响应的信息，以打击穿山甲标本贸易；

d) 开展能力建设活动，尤其聚焦于:

i) 对被非法贸易穿山甲的探测辨识方法和技术，包括来自疑似人工繁育计划的；

ii) 有关罚没活体穿山甲安全处置、照管与恢复、放归野外的最佳实践协定；及

iii) 促进对穿山甲贸易、利用相关法律条款的理解；及

e) 促进技术发展，包括应用法医科学，来鉴定贸易中的穿山甲部分和衍生物；

2. **敦促** 领土内有穿山甲繁育场的各缔约方确保这类场所具备有效管理实践和控制措施，包括繁育场注册和常规监督控制，以防止穿山甲部分和衍生物进入非法贸易；

3. **鼓励** 领土内有穿山甲部分和衍生物的各缔约方确保具备足够控制措施来保管库存，确保严格实施这些措施；

4. **强烈鼓励** 消费国、中转国、分布国在包括司法部门在内的执法圈、包括猎人在内的当地社区、例如运输公司等相关经营机构、及消费者等人群中提升关于穿山甲保护状态及非法贸易对穿山甲生存构成威胁的意识；

5. **鼓励** 分布国与当地社区合作制定非消耗型生计项目、教育项目和资料，以帮助当地社区可持续管理穿山甲种群；

6. **鼓励** 消费国开展有关穿山甲标本利用的研究和有关消费者及其消费穿山甲部分和衍生物动机的研究，包括甲片、肉、皮革及其他文化类利用，以基于这类研究的结果开展降低非法穿山甲标本需求的措施，并倡导有针对性的传播运动；

7. **敦促** 分布国与适当团体合作，制定和实施穿山甲就地管理和保护项目，包括种群评估、种群贸易非致危性判定、监测、管理和保护措施；及

8. **呼吁** 所有政府、政府间组织、国际援助机构及非政府组织为包括部分和制品的穿山甲标本非法贸易所涉分布国、中转国、消费国所做努力提供支持以应对这类贸易，可能需要时，包括提供能力建设干预、技术支持、运作支持、资金支持、教育干预、执法支持和合作。

Conf. 17.10 Conservation of and trade in pangolins

CONCERNED that all eight species of pangolins, *Manis* spp., are considered critically endangered, endangered or vulnerable, by the combined effects of habitat degradation, overexploitation and illegal trade;

RECALLING that the Conference of the Parties decided in 1994 to include all species of pangolins, *Manis* spp., in Appendix II, and to amend this listing in 2000 with the annotation, "a zero annual export quota has been established for *Manis crassicaudata*, *M. culionensis*, *M. javanica* and *M. pentadactyla* for specimens removed from the wild and traded for primarily commercial purposes";

MINDFUL that the trade in specimens, parts and derivatives of *Manis* spp. of wild origin has been the subject of the Review of Significant Trade, in compliance with Resolution Conf. 12.8 (Rev. CoP18)[1] on *Review of Significant Trade in specimens of Appendix-II species*;

CONCERNED that these measures have not prevented declines of pangolin populations, and that the Conference of the Parties at its seventeenth meeting included all pangolins in Appendix I;

COMMENDING the efforts made by some range, transit and consumer States and other Parties to address the illegal and unsustainable trade in pangolins and their parts and derivatives;

ENCOURAGING all stakeholders to take note of the recommendations of the final report of the First Pangolin Range States Meeting, held from 24 to 26 June 2015 in Da Nang, Viet Nam;

EMPHASIZING that pangolin populations in the wild are difficult to research, manage and monitor, and that more comprehensive data on the population size and conservation status of pangolin species are urgently needed;

RECOGNIZING also that pangolin populations are vulnerable to overexploitation because of their low reproduction rates and ease of capture;

RECOGNIZING further that, the illegal trade in pangolin specimens and parts and derivatives has increased significantly to meet international demand;

RECALLING also that, in Resolution Conf. 17.8 on the *Disposal of illegally traded and confiscated specimens of CITES-listed species*, the Conference of the Parties urges Management Authorities, in consultation with Scientific Authorities and other bodies concerned, to develop action plans to deal with seized and confiscated live specimens, and RECALLING the importance for Parties to develop such plans for pangolins;

RECALLING that, in accordance with the provisions of Resolution 10.16 (Rev.) on *Specimens of animal species bred in captivity*, pangolin breeding facilities should be able to demonstrate the legal origin of any founder stock and ability to successfully breed pangolins to at least the F2 generation in a controlled environment; and

RECALLING further that, in Resolution Conf. 10.19 (Rev. CoP14) on *Traditional medicines*, the Conference of the Parties recommends that Parties work closely with groups of traditional-medicine practitioners and consumers in developing public education and awareness programmes to work towards the elimination of illegal use of endangered species, and developing awareness of the need to avoid over-exploitation;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. URGES all Parties to:

[1] *Corrected by the Secretariat following the 18th meeting of the Conference of the Parties.*

a) adopt and implement comprehensive national legislation or, where applicable, review existing legislation, that makes provision for deterrent penalties to address illegal trade in specimens of native and non-native pangolin species;

b) ensure strict enforcement controls to address illegal trade in pangolin specimens;

c) further strengthen national inter-agency cooperation and international cooperation and to enhance collective efforts as range, transit and destination States to coordinate activities, exchange information on trade routes and patterns and law enforcement responses to combat illegal trade in pangolin specimens;

d) carry out capacity-building activities with a particular focus on:

i) methods and techniques to detect and identify illegally traded pangolins, including specimens from alleged captive-breeding operations;

ii) best practice protocols for safe handling, care and rehabilitation, and release back into the wild of live confiscated pangolins; and

iii) promoting the understanding of legal provisions concerning trade in and use of pangolins; and

e) promote the development of techniques, including the application of forensic science, for identifying parts and derivatives of pangolins in trade;

2. URGES Parties in whose territory there are pangolin breeding facilities to ensure that such facilities have in place effective management practices and controls to prevent parts and derivatives from entering illegal trade, including through the registration of breeding facilities, and regular monitoring and control;

3. ENCOURAGES Parties on whose territories stocks of parts and derivatives of pangolins exist, to ensure that adequate control measures are in place to secure these stocks, and to ensure strict application of these measures;

4. STRONGLY ENCOURAGES consumer, transit and range States to raise awareness among the law enforcement community including the judiciary, local communities, including hunters, relevant business sectors such as courier companies, and consumers about the conservation status of pangolins and the threats posed to their survival by illegal trade;

5. ENCOURAGES range States to work with local communities to develop non-consumptive livelihood programmes and educational programmes and material to assist local communities in sustainably managing pangolin populations;

6. ENCOURAGES consumer States to conduct research on the uses of pangolin specimens, and on consumers and their motivations for consumption of pangolin parts and derivatives, such as scales, meat, leather and other cultural uses, to implement measures to reduce the demand for illegal pangolin specimens on the basis of the results of such research, and to initiate targeted communication campaigns;

7. URGES range States to work with appropriate bodies to develop and implement *in situ* pangolin management and conservation programmes, which include population assessments, the making of non-detriment findings for trade in the species, monitoring, and management and conservation measures; and

8. CALLS UPON all governments, intergovernmental organizations, international aid agencies and non-governmental organizations to support the efforts of range, transit and consumer States concerned with the illegal trade in pangolin specimens, including parts and derivatives, in tackling this trade, including through the provision of capacity-building interventions, technical assistance, operational support, funding support, educational interventions, and law enforcement support and cooperation, as may be needed.

Conf. 17.11

盔犀鸟的保护和贸易

忆及 盔犀鸟 (*Rhinoplax vigil*) 是公约附录一所列物种，从1975年开始，其部分和衍生物的一切商业性国际贸易就受到公约的管制；

承认 盔犀鸟对东南亚的地方社区具有文化和象征意义；

意识到 由于盔犀鸟栖息地需求巨大、自然种群密度低，繁殖率相对低下，而且它在结果果树上群集的习性使它易于被猎人猎杀，所以对过度利用极其敏感；

关切地注意到 从2011年开始，对印度尼西亚盔犀鸟野生种群的非法猎杀日益加剧，来满足对头胄原料和其制品的需求，即“犀鸟象牙”或“红象牙”的来源；

也注意到 在非法猎杀增长的同时，中国和东南亚的中国消费者对犀鸟象牙这种奢侈收藏品的需求及其黑市价格也在增加；

注意到 为了应对近期大规模的非法猎杀，2015年IUCN红色名录将这个物种的威胁级别从近危提高到了极危；

认识到 随着印度尼西亚种群的枯竭，非法猎杀者很可能会把他们的注意力转向其他分布国家；

另外注意到 IUCN物种存续委员会通过亚洲物种行动伙伴关系 (ASAP) 所进行的工作，包括制定盔犀鸟保护行动计划；

关注到 如果不紧急采取综合性的保护和执法措施，及消费国和分布国采取协调一致的行动，该物种将面临立即灭绝的危险；

意识到 有效执法、宣传教育、减少需求和与地方社区合作在该物种的有效就地保护中，包括控制大规模非法猎杀，起着极其关键的辅助作用；

赞誉 印度尼西亚为推进盔犀鸟保护合作和打击非法猎杀所采取的行动；及

认识到 然而，在所有相关缔约方之间，包括分布国和实际及潜在消费国，经提升的技术合作和财政支持，将会更有效地保护盔犀鸟；

公约缔约方大会

1. **敦促** 所有缔约方，特别是消费国和分布国；

   a) 采取，作为一项紧急事务，综合性立法、执法控制和有效处罚，来禁止猎杀盔犀鸟，根除非法猎杀盔犀鸟和非法贸易盔犀鸟部分和衍生物；

   b) 除保护、科学研究、文化活动、教育和法医学调查等目的外，禁止盔犀鸟标本，包括部分和衍生物的展示、国内销售和获取，包括网络销售；

   c) 为盔犀鸟提供最严格的法律保护，并按照上述 a)、b)项的要求，加大执法和起诉力度，填补立法和执法空缺；

   d) 毗邻分布国开展跨边界合作，管理连续的栖息地；加强执法控制，包括在盔犀鸟分布国内采取反偷猎措施；收集并在执法机构和国际刑警组织之间分享非法猎杀盔犀鸟、贩运和非法销售 (包括网络销售) 盔犀鸟及其部分和衍生物的情报；

   e) 监测狩猎对盔犀鸟种群的影响；

f) 开展公众宣传教育，提高当地群众对盔犀鸟及其栖息地保护的认识，减少对盔犀鸟标本需求，包括部分和衍生物，提高适用法律的认识，特别是在雕刻行业内；及

g) 盔犀鸟分布国采取一切其他必需的措施，制订和实施盔犀鸟保护行动计划；及

2. **呼吁** 所有政府、捐助方和资助组织及相关政府间组织和非政府组织，作为一项紧急事务，支持行动计划的实施，消除盔犀鸟的非法猎杀和非法贸易，包括采取以下的活动：

a) 向相关缔约方提供资助，并为本决议的实施向秘书处和国际打击野生动植物犯罪同盟的其他相关伙伴提供资助；

b) 为执法、培训、能力建设和教育、种群监测及收集和交换科学、技术和法律信息及技能提供援助。

Conf. 17.11 Conservation of and trade in helmeted hornbill

RECALLING that the helmeted hornbill (*Rhinoplax vigil*) is included in Appendix I of the Convention, and that all commercial international trade in its parts and derivatives has been regulated by the Convention since 1975;

RECOGNIZING that the helmeted hornbill is of cultural and symbolic significance to local communities in Southeast Asia;

AWARE that the helmeted hornbill is highly vulnerable to overexploitation due to its extensive habitat requirements, naturally low population densities, relatively low reproductive rate, and habit of flocking at fruiting trees where it may be easily shot by hunters;

NOTING WITH CONCERN that the wild population of the helmeted hornbill in Indonesia has been increasingly threatened since 2011 by poaching to supply demand for raw and carved casques, the source of 'hornbill ivory' or 'red ivory';

NOTING ALSO that this increase in poaching has been paralleled by an increase in demand for, and in the black market price of, hornbill ivory as a luxury collectable item in China and among Chinese consumers in Southeast Asia;

NOTING that, in response to recent large-scale poaching, the threat status of the species was formally upgraded in 2015 from Near Threatened to Critically Endangered on the IUCN Red List;

AWARE that, as populations become depleted in Indonesia, poachers are likely to shift their attention to other range States;

NOTING IN ADDITION the work under the auspices of the IUCN Species Survival Commission through the Asian Species Action Partnership (ASAP), including the development of an Action Plan for the conservation of the helmeted hornbill;

CONCERNED that without urgent and integrated conservation and law enforcement measures, as well as coordinated efforts on the part of both consumer and range States, the species may be in imminent danger of extinction;

CONSCIOUS that effective enforcement, raising awareness of the issue, education and demand reduction, and cooperation with local communities are critically important complements to effective *in situ* conservation of the species, including control of large-scale poaching;

COMMENDING the initiatives by Indonesia to facilitate cooperation in conservation of the helmeted hornbill and to address illegal hunting of the species; and

RECOGNIZING, however, that strengthened technical cooperation among all relevant Parties, including range and actual or potential consumer States, as well as financial support, would contribute to more effective conservation of the helmeted hornbill;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. URGES all Parties, especially consumer and range States, to:

   a) adopt as a matter of urgency comprehensive legislation, enforcement controls and effective penalties, with the aim of prohibiting any hunting for helmeted hornbill, eliminating poaching of helmeted hornbill and illegal trade in its parts and derivatives;

   b) prohibit the display, domestic sale and acquisition of helmeted hornbill specimens, including online sales, including parts and derivatives, except for *bona fide* purposes, including conservation, scientific research, cultural activities, education and forensic investigation;

c) designate highest legal protection status for the helmeted hornbill and, in relation to subparagraphs 1 a) to b) above, increase current enforcement efforts and prosecutions and address legislative and enforcement gaps;

d) undertake cross-border cooperation between neighbouring range States for the management of contiguous habitat; strengthen enforcement controls, including anti-poaching measures in helmeted hornbill range States; collate and share information among law enforcement agencies and INTERPOL related to incidents of poaching, trafficking and illegal sale (including online sale), of helmeted hornbills and their parts and derivatives;

e) monitor the impact of hunting pressure on hornbill populations;

f) undertake public education campaigns to increase awareness of local people about the conservation of helmeted hornbill and its habitat, as well as to reduce demand for helmeted hornbill specimens, including parts and derivatives, and to promote awareness of applicable laws, particularly within the carving industry; and

g) take any other steps necessary for helmeted hornbills range States to develop and implement the Action Plan for the conservation of the helmeted hornbill; and

2. CALLS UPON all governments, donor and funding organizations, and relevant intergovernmental and non-governmental organizations, as a matter of urgency, to support efforts to implement the Action Plan, eliminate poaching and illegal trade in helmeted hornbill, including by:

a) providing funding to relevant Parties and, for the purposes of this Resolution, to the CITES Secretariat and other relevant partners of the International Consortium on Combating Wildlife Crime; and

b) providing assistance with enforcement, training, capacity building and education, population monitoring, and the gathering and exchange of scientific, technical and legal information and expertise.

Conf. 17.12

蛇类的保护、可持续利用和贸易

意识到 一些蛇类物种能够成功地进行人工繁育、被从野外捕捉并在分布国和分布国外被大量贸易，而且为食物、皮张、传统医药等用途和宠物贸易的需求提供了供给；

意识到 对一些物种来说，对它们的捕捉、初步加工其皮张和身体其他部分，对当地社区具有经济上的重要性并为当地社区收入做出了重要贡献；

承认 不受管制的或不可持续的蛇类贸易对野外种群构成重大威胁，迫切需要开展国际合作应对这些威胁；

察觉 对蛇类的捕捉是通过陷捕者、捕猎者和中间商构成的广泛非正式网络开展的，这些采集工作和贸易量是可观的，尤其是在亚洲；

承认 第Conf. 10.16 (Rev.)号决议：人工繁育动物种的标本；

承认 第Conf. 12.10 (Rev. CoP15)号决议：为商业性目的人工繁育附录Ⅰ动物物种设施的注册；

注意到 第Conf. 14.7 (Rev. CoP15)号决议：国家建立的出口限额的管理； 及

注意到 第Conf. 16.7 (Rev. CoP17)号决议“非致危性判定”在考虑贸易是否对一个物种的生存构成危害方面，其概念和不具法律约束力的指导原则；

公约缔约方大会

关于非致危性判定(NDFs)

1. **鼓励** 希望出口附录II蛇类物种的分布国使用现有的指南，尤其是2008年坎昆NDF研讨会的结论，以为野外来源的蛇类的贸易制定非致危性判定，并也考虑使用有关其他物种的指南；
2. 还**鼓励** 从事蛇类保护、可持续利用和贸易的缔约方和利益相关方分享关于制定NDF的经验和教训；及
3. **敦促** 缔约方和秘书处在能力建设研讨会和相关培训材料中使用Conf. 16.7 (Rev. CoP17)号决议中的一般性NDF指南和任何由动物委员会和常委会建议的进一步的指南；

关于野生蛇类种群的管理

4. **鼓励** 缔约方建立蛇类物种的国家猎捕、贸易和管理政策；
5. **邀请** 缔约方识别受国际贸易影响的蛇类物种，在适当的情况下，提出可能的列入CITES附录的提案并执行国家管理战略，包括建立出口限额规模和猎捕限额规模或实施季节性限制，及其他措施，以进一步加强相关物种的保护；
6. **鼓励** 所有缔约方探索加强私营部门参与蛇类物种的保护、可持续利用和贸易的方式；及
7. **鼓励** 缔约方和利益相关方提高有关蛇类提供的生态系统服务、非致危的合法贸易所带来的益处和效果及蛇类及其部分和衍生物非法贸易对物种野外生存的威胁的公众

意识；

关于监测和贸易控制

8. **鼓励** 缔约方使用为监测野生种群和控制人工繁育单位及其他生产系统而开发的指南；分享他们在使用这些指南中所得到的经验和教训；

9. **鼓励** 分布国应用区分贸易中的野生的和人工繁育的CITES附录蛇类标本的方法；

10. **敦促** 有蛇类活体或部分或衍生物的贸易的缔约方根据现有法律紧急加强管制和加大执法力度；

11. **建议** 从事蛇类贸易的缔约方确认贸易中的标本的来源并确保恰当地使用来源代码；

12. **敦促** 缔约方通过以下方式消除重大的非法的和不报告的CITES附录蛇类标本贸易，无论其是活体、部分还是衍生物：

    a) 对这些标本的贸易，确保CITES许可证和证明书得到了正确地发放；

    b) 将这些标本的信息纳入其年度报告；

    c) 确保他们的年度报告根据Conf. 11.17 (Rev. CoP17)号“年度报告”决议遵守了最新版的“CITES 年度报告编制和提交准则”；

    d) 检查他们关于这些标本的贸易的执法努力，确保采取了充足的措施阻止和检查出非法的和不报告的贸易；及

    e) 向蛇类农场，蛇的活体、部分和衍生物的购买者、出售者，产品制造商，承运人，中间商和从事控制和监测这些贸易的政府机构官员们开展教育和推广活动，以确保蛇类标本的贸易遵守了国家法律和CITES规定；及

13. **敦促** 缔约方加强野生动植物执法机构间和在执法机构和国家CITES机构间在国家层面和国际层面在控制蛇类贸易方面的合作；

14. **鼓励** 缔约方在分布国和消费国测试和考虑引入创新的追溯和执法方式，并优先加强执法努力；

15. **敦促** 在其领土范围内有蛇类人工繁育或捕养设施的缔约方对这些设施开展定期监测，要考虑亲本来源及它们是否是合法获得的并对野外种群无害，及生产声称的子代的能力和现实性，对那些繁殖附录I物种的设施，应根据第Conf. 12.10 (Rev. CoP15)号决议向CITES秘书处注册这些设施；及

16. **鼓励** 缔约方开发和推广法庭方法以协助缔约方识别蛇的部分和衍生物、检查那些标称含有蛇类部分和衍生物的产品；

关于蛇类皮张的追溯系统

17. **鼓励** 缔约方考虑从执行其他CITES附录物种的追溯项目中获得的教训；

18. **鼓励** 缔约方分享使用CITES附录蛇类物种标本的追溯系统的经验，包括使用识别技术；

19. **建议**：

    a) 缔约方在执行蟒蛇皮张追溯系统之前，清查和标记这些皮张并提供这些信息给秘

书处作为基线；

b) 缔约方确保其所使用的标记方法能够及时区分初始皮张库存和此后收获的皮张；

c) 缔约方确保对初始库存的清查包含物种信息、皮张的加工阶段信息 (外皮，干皮等)和对应的数量和标记号码，还要包含新进入库存的皮张的收获年份；

d) 追溯系统的开始时间应尽可能接近动物的获取时间点或者皮张的生产时间点。应强制要求这个追溯要一直到并且包括皮张成品；

e) 识别皮张应该使用防篡改的和价格合理的介质，应独立序列编号并至少包含以下信息：物种、来源国 (相关区域代码) 、获取或生产年份、特立序列号、来源代码或可能满足同样要求的技术。此外，鼓励缔约方增加其认为必要的信息；及

f) 秘书处应编纂有关现有识别技术和项目的信息并分享给缔约方；

20. **号召** 各国政府以及政府间组织、国际援助机构、非政府组织、业界和其他出资方提供资金支持和其他支持，以执行本决议；及

21. **鼓励** 缔约方开展可追溯系统的开发以探索提高私营部门和其他利益相关方的参与度的方法。

Conf. 17.12 Conservation, sustainable use of and trade in snakes

AWARE that certain species of snakes are successfully bred in captivity, collected from the wild and traded in high numbers in and outside range States, *inter alia* to supply the demand for use as food, skins, traditional medicine, and for the pet trade;

AWARE that the harvesting of snakes and, in the case of some species, the initial processing of their skins and other body parts, is of economic importance and contributes important revenue to local communities;

ACKNOWLEDGING that unregulated or unsustainable trade in snakes can pose significant threats to wild populations, and that international cooperation is needed to address these threats urgently;

OBSERVING that the collection of snakes is carried out through an extensive informal network of trappers, hunters and middlemen, and that collection efforts and trade volumes are considerable, especially in Asia;

ACKNOWLEDGING Resolution Conf. 10.16 (Rev.) on *Specimens of animal species bred in captivity*;

ACKNOWLEDGING Resolution Conf. 12.10 (Rev. CoP15) on the *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes*;

NOTING Resolution Conf. 14.7 (Rev. CoP15) on *Management of nationally established export quotas*; and

NOTING Resolution Conf. 16.7 (Rev. CoP17) on *Non-detriment findings* and its concepts and non-binding guiding principles in considering whether trade would be detrimental to the survival of a species;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

Regarding non-detriment findings (NDFs)

1. ENCOURAGES range States that wish to export species of snakes listed in Appendix II to make use of available guidance, in particular the results of the Cancun workshop on NDFs in 2008, for making non-detriment findings for trade in snakes of wild origin, and guidance on other species as appropriate;

2. ENCOURAGES ALSO Parties and stakeholders in snake conservation, sustainable use and trade to share their experiences and lessons learned with regard to making NDFs; and

3. URGES Parties and the Secretariat to use the general NDF guidance contained in Resolution Conf. 16.7 (Rev. CoP17) and any further guidance recommended by the Animals and Standing Committees in capacity-building workshops and relevant training materials;

Regarding management of wild snake populations

4. ENCOURAGES Parties to establish national harvest, trade and management policies for snake species;

5. INVITES Parties to identify those snake species that are impacted by international trade and, where appropriate, propose possible CITES listings and implement national management strategies, including establishment of export and harvest quotas, size or season restrictions, among others, to further the conservation of the species concerned;

6. ENCOURAGES all Parties to explore ways to enhance the participation of the private sector in the conservation of and sustainable use of and trade in snake species; and

7. ENCOURAGES Parties and stakeholders to increase public awareness of the ecosystem services provided by snakes, of the benefits and consequences of non-detrimental and legal trade and the threats to the survival of the species in the wild and livelihoods posed by illegal trade in snakes and their parts and derivatives;

Regarding monitoring and trade controls

8. ENCOURAGES Parties to use guidance developed for monitoring wild populations and controlling captive-breeding operations and other production systems; and to share their experiences and lessons learned in the use of such guidance;
9. ENCOURAGES range States to apply methodologies for differentiating wild and captive-bred specimens of CITES-listed snake species in trade;
10. URGES Parties with trade in live snakes and/or their parts and derivatives to enhance and increase regulation and enforcement with regard to existing legislation as a matter of urgency;

11. RECOMMENDS that Parties engaged in the snake trade verify the origin of specimens traded and ensure the appropriate use of source codes;

12. URGES Parties to eliminate the important illegal and unreported trade in specimens, whether live or parts and derivatives, of CITES-listed snake species by:

    a) ensuring that CITES permits and certificates are properly issued for trade in these specimens;
    b) including information on trade in these specimens in their CITES annual reports;
    c) ensuring that their annual reports are following the most recent version of the *Guidelines for the preparation and submission of CITES annual reports*, in compliance with Resolution Conf. 11.17 (Rev. CoP18) on *National reports*[1];
    d) examining their enforcement efforts regarding trade in these specimens to ensure that adequate steps are taken to deter and detect illegal and unreported trade; and
    e) undertaking education and outreach activities directed towards snake farms, buyers and sellers of live snakes, parts and derivatives, product manufacturers, shippers, brokers and staff from government agencies involved in controlling and monitoring this trade to ensure that snake specimens are traded in compliance with national laws and CITES provisions;

13. URGES Parties to enhance cooperation among wildlife law enforcement agencies at national and international levels concerning control of trade in snakes, and between enforcement agencies and national CITES authorities;

14. ENCOURAGES Parties to test, and consider the introduction of innovative traceability and enforcement methods in range and consumer States and, as a matter of priority, to strengthen enforcement efforts;

15. URGES Parties that have snake captive-breeding or ranching facilities in their territories to engage in regular monitoring of such facilities, taking into account the origin of parental stock and whether they were obtained legally and without detriment to wild populations, as well as the practicality and capacity of producing the offspring claimed and, for those facilities that breed Appendix I species, to register those facilities with the CITES Secretariat in accordance with Resolution Conf. 12.10 (Rev. CoP15); and

16. ENCOURAGES Parties to pursue the development and dissemination of forensic methods to assist Parties in the identification of snake parts and derivatives, and for examination of products labelled as containing parts and derivatives of snakes;

Regarding traceability systems for snake skins

[1] *Corrected by the Secretariat following the 18th meeting of the Conference of the Parties.*

17. ENCOURAGES Parties to take into account lessons learned from projects on traceability implemented for other CITES-listed species;

18. ENCOURAGES Parties to share experiences in the use of traceability systems for specimens of CITES-listed snake species, including the use of identification technologies;

19. RECOMMENDS:

    a) that Parties, prior to the implementation of a traceability system for python skins, inventory and tag those skins and provide this information to the Secretariat as a baseline;

    b) that Parties ensure that the tagging method used distinguishes between skins of the initial stockpiles and skins harvested at later points in time;

    c) that Parties ensure that the inventories of the initial stockpiles contain information on the species concerned, the stage of processing of the skins (crust, dried, etc.) and the corresponding quantities and tag numbers, and also the year of harvest for skins newly entering the stockpiles;

    d) the traceability systems commence as close to the point of harvest of the animal or production of the skin as possible. It should be made mandatory up to and including finished skins;

    e) the identification of skins make use of devices that are tamper-proof, affordable, uniquely serially numbered and contain the following minimum information: species, country of origin (where relevant regional code), year of harvest or production, unique serial number, and source code, or technologies that may accomplish the same requirements. In addition, Parties are encouraged to add other information they deem necessary; and

    f) the Secretariat should compile such information on available identification technologies and projects to make them available to Parties;

20. CALLS UPON governments and intergovernmental organizations, international aid agencies, non-governmental organizations, the industry and other donors to provide financial support and other assistance to implement this Resolution; and

21. ENCOURAGES Parties to engage in the development of traceability systems and to explore ways to enhance the participation of the private sector and other stakeholders in this process.

Conf. 18.1

2020-2022年未来三年秘书处财政和支出计划

忆及 1979年在波恩会议上通过，1987年4月13日起生效的公约财政修正案；

并忆及 在第十七次缔约方大会 (约翰内斯堡，2016) 上通过的Conf.17.2号决议“2017-2019未来三年秘书处财政和支出计划”；

注意到 秘书处2017-2018年实际资金支出情况 (CoP18 Doc.7.3)；

审查了 秘书处提交的2020-2022年未来三年支出计划 (CoP18 Doc. 7.4) ；

承认 濒危野生动植物种国际贸易公约大会常委会与联合国环境规划署 (UNEP) 执行主任之间达成的关于秘书处事务和公约支持的谅解备忘录，于2011年9月1日生效；

注意到 公约缔约方和公约附录物种数量的增加，及公约受关注程度的提高，还注意到 缔约方需要更多支持以便更好地履约，实施缔约方大会通过的所有决定和决议、及第十八次缔约方大会修订的《CITES战略愿景：2008-2020》需要充足的支持，及由此产生的公约秘书处不断增长的开支及其对秘书处构成的压力；

忆及 联合国可持续发展大会 (即里约+20会议) 题名“我们期待的未来”203段结果文件，强调CITES的重要性；

进一步忆及 联合国大会通过的关于“打击野生动植物的非法贩运”的69/314号决议认识到CITES公约提供了法律框架，及CITES发挥的重要作用，及关于“世界野生动植物日”的68/205号决议，宣布CITES公约的签署日3月3日为“世界野生动植物日”，并指定CITES秘书处负责推广联合国日历上对野生动植物来说这特殊日子的庆祝活动；

认识到 加强CITES履约的资金支持，以协助缔约方更加有效地达到公约所需的目标价值和需求；

重申 CITES战略愿景，并强调充分有效实施CITES，对加强公约为实现相关爱知生物多样性目标，及2020年后全球生物多样性框架相关目标做出贡献的重要性；

进一步认识到 全面有效履行CITES公约对联合国大会通过《可持续发展目标》定下的相关目标达成能做的的贡献；

注意到 缔约方指示秘书处的决定影响秘书处的运行和开支；

欢迎 联合国环境大会通过关于联合国环境规划署和多边环境协议的关系的2/18号决议，并已提供给公约秘书处；

注意到 联合国大会关于“投资联合国，打造更强全球组织”的60/283号决议，通过此决议联合国大会批准了“国际公共部门会计准则 (IPSAS) ”；及

认识到 “国际公共部门会计准则”要求为四年以上未支付捐赠资金的呆账制定完整条款，为最近未支付的捐赠资金制定适当条款，致使公约2018年底基金结存款需扣除385,761美元来消除呆账，这笔钱将不能在2020-2022年惠及任何缔约方；

公约缔约方大会

1. 表达 对瑞士政府作为秘书处东道国对于秘书处工作的支持的感谢，同时注意到 作为对秘书处通过Conf.17.2号决议发出的邀请的回应，瑞士政府加强了对CITES秘书处的支持；

2. 接受和批准 公约常委会第69和70次会议 (分别于2017年11月在索契，和2018年10月在日内瓦) 签署的2016和2017年度支出报告；

3. 接受和批准 2018年度支出报告；

4. 特别批准 在2019年使用信托基金(CTL)积累的盈余(基金结余)中的152,000美元弥补组织缔约方大会第十八届会议造成的缺额；

5. 要求 秘书处与联合国环境规划署(UNEP)保持联系，以便环境规划署向常委会第73次会议提供项目支持费用的份额分摊情况和共同服务分摊信息，并忆及常委会和环境规划署执行主任之间关于为公约提供秘书处服务的谅解备忘录；

6. 要求 秘书处2020-2022年的支出和预算报告继续使用秘书处引进、常委会第62次会议“财务与预算小组委员会”推荐、常委会赞同的新格式，如有需要调整的情况，须与Umoja系统保持一致；

7. 满意地注意到 秘书处提出的三个2020-2022年的预算报告，并要求 秘书长采用同样的格式准备预算提案，以便在第19次缔约方大会上考虑，至少要包括一个名义零增长预算情境和一个实际零增长预算情境，及同常委会协商后，如果需要，提供第三份方案；

8. 请环境规划署执行主任与常委会协商，在今后所有财务报表和预算要求中提供以下补充财务信息，以提高财务透明度：

   a) 按以下分类的收入类别：信托基金(CTL)的常规来源，其他来源和成本回收；

   b) 在最大程度上，使用联合国基金和项目采用的统一格式，方法和术语；及

9. 要求 秘书处，作为进一步加强努力提高透明度和问责制的一种方法，

   a) 确定、实现和报告通过秘书处实施增效措施节省的成本，并就下一个三年期的潜在增效提供指示性预测；及

   b) 在秘书处网站上设立一个版面，发布与公约治理有关的最新信息或提供此信息链接，尤其是，已完成及接受的审计报告，适用的财务规则和规定，及任何其他相关的预算和财务信息；

10. 决定 2020-2022年未来三年支出计划 (附件1) 的实施，应包括信托基金预算 (附件2和3) 支付2020年5,907,043美元，2021年6,080,945美元，2022年6,697,571美元，及《公约事务信托基金》 (附件3) 的支持，并采用 附件5中注明的2020-2022的捐款比例；

11. 同意在2020-2022年期间设立两个临时职位–一名项目管理人员(海洋物种)P-2和一名研究助理(GS)，由信托基金(CTL)累积盈余(资金余额)供资，并将在下届缔约方大会上被进一步审查；

12. 要求 秘书处密切监测汇率变动，如果需要的话，调整开支水平；并决定 秘书处作为最后一个手段，能够要求常委会在例外情况下从信托基金余额中提取；

13. 要求 秘书处保持为平均年度预算的15%的运营资金储备，以确保资金流动性，并授权 秘书处，经常委会同意，在运营资金储备不降到上述水平以下的情况下，每年底可从公约信托基金余额中提取额外资金，包括如2020-2022年预算采用的联合国标准工资薪酬成本实际被低估，可提取额外资金来弥补差额；

14. 注意到 支持公约事务的信托基金2020-2022年预算区间的资金估计，及敦促 秘书处，

在涉及外部资金的活动时，最好是寻找非专用的资金来完成工作支出项目中的活动；

15. 鼓励 秘书处加大努力，加强能力建设活动，包括根据需求，在两次缔约方大会期间根据可用资源，至少为每个区域的CITES管理/科学机构和执法实体举办一次培训研讨会；

16. 批准 附件6中的信托基金职责管理范围的预算起止时间是从2020年1月1日至2022年12月31日；

17. 指示 常委会继续对信托基金管理职责范围进行评估，并在第19次缔约方大会上提出任何必要的修改提案以供考虑；

18. 决定：

a) 信托基金的捐款比例依据最新联合国会费估计比例*，并在考虑到并非所有联合国成员国都是公约缔约方的情况下，进行周期性修改和调整；

b) 未经所有出席缔约方大会并参加表决的缔约方同意，不得采用任何其他会费预算方案；及

c) 对于可能增加某一缔约方的捐款份额的基本捐款分摊标准的任何变动，必须得到该缔约方的同意，对于欲改变现行基本捐款标准的提案，必须提交缔约方大会讨论和审议，且必须由秘书处在会前至少150天将该提案通知各缔约方；

19. 期望 缔约方根据基本捐款分摊标准及时缴纳捐款，并且在任何可能时候，鼓励缔约方在常规捐款的基础上，向信托基金做特别捐款；

20. 要求 各缔约方尽可能在前一年交纳其下一年的信托基金捐款，或者及时于当年(1月1日至12月31日)年初交纳其所分担的信托基金份额；

21. 深深忧虑地注意到 有些缔约方尚未支付捐款到信托基金，进而对公约履约造成负面影响；

22. 要求 秘书处通过以下方式持续监测欠费的缔约方：

每年发两次催缴单，并抄送至缔约方常驻日内瓦使团；并且

推迟交纳捐款三年或以上的缔约方，启动和缔约方常驻日内瓦使团交谈；

23. 敦促 所有欠费的缔约方同秘书处合作，安排交纳所欠会费，不要拖延；

24. 邀请 非公约缔约方、其他政府组织、政府间组织、非政府组织和其他机构向公约事务信托基金提供捐款；

25. 决定 在第73次常委会做出下次缔约方大会新收费标准前，对除联合国及其专门机构之外的所有观察员组织参加缔约方大会的收费标准为：第一位最少600美元，其余的为300美元；对不是东道国游客的其他国际游客，参会收费标准为100美元(秘书处根据财政和预算次级委会需要并商定后的除外)。并敦促此类组织在可能的情况下提供更多资金，以便至少能达到他们的有效参会费用；

26. 进一步决定 对除联合国及其专门机构之外的所有观察员组织参加常委会和动物、植物委员会会议的收费标准为：每个观察员参会者至少100美元(秘书处根据财政和预算

* 联合国大会A / RES / 73/271号决议

次级委会需要并商定后的除外)；

27. 重申：

所有缔约方大会和常委会、动物委员会、植物委员会的例行会议应该在秘书处的东道国举行，除非候选承办国担负所建议地点与在秘书处东道国支出的差额部分；及

为在秘书处东道国以外举行会议，候选东道国应在缔约方大会作出决定后的六个月内或在委员会决定的六十天后签署《东道国协定》；及

在两次例行缔约方大会期间，常委会、动物委员会和植物委员会的例行会议均不应超过两次；

28. 指示 秘书处做好资金预留，用于支付成员的合理旅行花费，包括出席委员会相关会议、及常委会、动物委员会和植物委员会主席的其他费用，但来自发达国家的委员除外；

29. 指示 常委会核查由CITES公约常委会和联合国环境规划署执行主任之间达成的关于秘书处事务和公约支持的谅解备忘录的实施；

30. 要求 秘书处：

在寻求资金用于履行外部资金项目时，对包括聘用临时工作人员和咨询等在内的所有秘书处可能发生的费用做出预留；

寻求最有效的翻译和口译服务成本；

在必要时，与提案国磋商，就缔约方大会预算方面问题提出建议，包括其工作人员开支在内；及

与动物委员会和植物委员会主席磋商，分配科学咨询专家和确定特定科学背景项目的职责范围。该过程的执行不应对预算带来负面影响，而应通过技术委员会主席，有效利用缔约方可用于秘书处的的科学专家知识；

31. 鼓励 秘书长根据联合国的有关规定，利用即将到来的空缺机会，在预算范围内寻找机会加强秘书处能力，包括结构调整，并向下一次常委会会议报告任何已实施的改变；

32. 欢迎 CITES秘书处努力促进获得全球环境基金 (GEF) 关于CITES适合的资助项目，并邀请秘书处继续与GEF秘书处、生物多样性公约及生物多样性联络组密切合作关系，获得关于CITES的GEF资助项目；

33. 鼓励 缔约方在修改国内生物多样性策略和实施方案时，将公约的目标和项目整合进来，促使获得与公约相关全球环境基金项目，包括物种项目的机会；

34. 邀请 全球环境基金会理事会在制定下一个全球环境基金会授权的生物多样性战略、2011-2020生物多样性战略计划、爱知生物多样性目标及2020年后生物多样性战略相关目标时关注CITES公约相关决议和决定；

35. 决定 向生物多样性公约缔约方大会传递CITES公约为支持爱知目标所制定的目标和工作重点，并邀请生物多样性公约缔约方大会在向全球环境基金会提供广泛的策略指导时，考虑CITES就此所做努力；

36. 呼吁 在2011-2020生物多样性战略计划，爱知生物多样性目标和2020后生物多样性框架相关目标的内容框架内，各缔约方、资助者、捐款者、国际组织、科研机构、非

政府组织和其他相关利益集团为CITES相关目标和工作重点提供充分和及时的支持；

37. 决定：

秘书长在整体财政预算内，根据CITES公约常委会和联合国环境规划署执行主任之间达成的关于秘书处事务和公约支持的谅解备忘录，应该可以根据支出计划，在必要时制定人事决策，以便更好地履行公约；

任何由新的决议或决定产生的支出变化只能在必需的额外资金业已确定，或者在该项决议或决定在缔约方大会通过及支出计划已被优先列出时；及

公约秘书处和生物多样性公约秘书处合作，继续寻求同全球环境基金会的更加紧密的工作关系，在生物多样性战略框架内，并和CITES及全球环境基金会职责一致时，优先考虑CITES事务；

38. 要求 环境规划署执行主任根据现有的谅解备忘录，在2020-2022三年期进行一次全面审计，其后由联合国内部监督事务处定期进行全面审计，并要求联合国审计委员会出具环境规划署关于CITES执行情况的报告，并统合报告和管理反馈，形成文件提交给下一次缔约方大会；及

39. 废除 Conf. 17.2号决议(约翰内斯堡，2016)——秘书处2017-2019年财政和支出项目，但仍保留其记录，作为同意但尚未支付年度信托基金的缔约方的期望捐款水平的说明。

附件 1 - 2020-2022 年 COTES 秘书处财政和支出计划

请见：https://cites.org/sites/default/files/eng/res/18/E-Res-18-01-A1.pdf

附件 2 - CITES 核心信托基金(CTL)业务预算

请见：https://cites.org/sites/default/files/eng/res/18/E-Res-18-01-A2.pdf

附件 3 - 联合国 Umoja 格式 CITES 核心信托基金(CTL)业务预算

请见：https://cites.org/sites/default/files/eng/res/18/E-Res-18-01-A3.pdf

附件 4 - 支持 CITES 活动(QTL)的指向性预算

请见：https://cites.org/sites/default/files/eng/res/18/E-Res-18-01-A4.pdf

附件 5 - 2020-2022 三年期 CITES 信托基金(CTL)的分摊比额表

请见：https://cites.org/sites/default/files/eng/res/18/E-Res-18-01-A5.pdf

附件 6 濒危野生动植物种国际贸易公约信托基金管理的职责范围

1. 濒危野生动植物种国际贸易公约信托基金(以下简称信托基金)应再延续3年(2020年1月

1日-2022年12月31日)，以便为实现公约目标提供财政支持。

2. 遵照联合国财政规定和规章，联合国环境规划署(UNEP)执行主任在得到UNEP执董会和联合国秘书长的批准下，为了公约的管理，应延续该信托基金。

3. 信托基金的拨款应来自：

   a) 缔约方按附件5表中所列份额交纳的会费，包括新加入的缔约方按照附表要求交纳的会费；及

   b) 根据缔约方大会的决定从基金结余提出的款项。

4. 对每个财政期限内各公历年度的财政预算，应按支出项目予以说明，并附上捐款方所要求的、或者联合国环境规划署(UNEP)执行主任认为有用的材料。

5. 预算包括构成财政期限的每一公历年的各项收入和支出，按美元计算，并应提交缔约方大会的定期例会核准。秘书处应至少在缔约方大会例会召开150天前，将建议的预算及所有必要的信息发给各缔约方。

6. 预算应得到出席缔约方大会例会并参加表决的缔约方的四分之三多数通过。

7. 联合国环境规划署(UNEP)执行主任在预计本年度可能会出现资金短缺的情况下，应同公约秘书长磋商，秘书长则应就开支的优先顺序征求常委会的意见。

8. 授权公约秘书长在不违反联合国规章和财务规定的情况下：

   a) 可在附件1的主要事务项中进行转支，最多可将预算中某一子项目预算经费的10%转用到另一子项目。如有转支情况发生，则应向此后召开的最近一次常委会会议报告。对某一预算子项目的预算调整幅度如需超出10%，则必须得到常委会的同意之后方可做出，且

   b) 在不同财政年度见的转支，限于同一事物项。任何此类调动只有在常委会同意后方可进行。

   但，所有费用的调整只能在已通过的三年预算总额之内开展。

9. 对不符合信托基金来源范围的捐款，只有当其属于公约必要的收入范围时，才能接受。

10. 所有捐款能以任何可自由兑换的货币支付。任何捐款的额度至少应等值于付款当日的美元兑换总量。于财政期限开始之后成为缔约方的国家，应在财政期限剩余的时间内按相应比例缴费。

11. 在每个财政年末，环境规划署执行主任应向各缔约方提交该年度的账目。他还应在切实可行的范围内尽快提交该财务期的经审计的帐目。

12. 在上述帐目和报告提交的同时或稍后，公约秘书长应向常委会提供下一公历年度的支出预算。

13. 用以规范联合国环境规划署(UNEP)资金运转的一般程序和联合国的财务规章制度，同样用来规范公约信托基金的财政运行。

14. 上述职责范围应对2020年1月1日至2022年12月31日的财政期限生效，并有待第十九次缔约方大会上修订。

Conf. 18.1 Financing and the costed programme of work for the Secretariat for the triennium 2020-2022

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

ALSO RECALLING Resolution Conf. 17.2 on *Financing and the costed programme of work for the Secretariat for the triennium 2017-2019* adopted at the 17th meeting of the Conference of the Parties (Johannesburg, 2016);

HAVING NOTED the 2017-2018 actual expenditures incurred by the Secretariat (document CoP18 Doc. 7.3);

HAVING REVIEWED the proposed costed programme of work for the triennium 2020-2022, submitted by the Secretariat (document CoP18 Doc. 7.4);

ACKNOWLEDGING the Memorandum of Understanding between the Standing Committee of the Conference of the Parties to the Convention on International Trade in Endangered Species of Wild Fauna and Flora and the Executive Director of the United Nations Environment Programme (UNEP) concerning Secretariat Services to and Support of the Convention, effective 1 September 2011;

NOTING the increase in the number of Parties to the Convention and species listed in its Appendices, as well as the growing level of interest in the Convention and FURTHER NOTING the need for greater assistance to the Parties to achieve more effective implementation, the necessity to provide adequately for implementation of all Decisions and Resolutions of the Conference of the Parties as well as the *CITES Strategic Vision: 2008-2020* as revised at the 18th meeting, and the resulting increasing expenditure incurred by and pressures placed on the Secretariat;

RECALLING paragraph 203 of the outcome document of the United Nations Conference on Sustainable Development (also known as Rio+ 20) entitled *The future we want*, highlighting the importance of CITES;

FURTHER RECALLING resolution 69/314 adopted by the United Nations General Assembly (UNGA) on *Tackling Illicit trafficking in wildlife* recognizing the legal framework provided by and the important role of CITES as well as resolution 68/205, on *World Wildlife Day*, in which the UNGA proclaimed 3 March, the day of the adoption of CITES, as World Wildlife Day, and designated the CITES Secretariat as the facilitator for the global observance of this special day for wildlife on the UN calendar;

RECOGNIZING the value of and expressed need for enhanced financing for CITES implementation to assist Parties in more effectively meeting the objectives of the Convention;

REITERATING the *CITES Strategic Vision* and stressing the importance of full and effective implementation of CITES as a means of strengthening the Convention's contribution towards achieving the relevant Aichi Biodiversity Targets and any relevant goals and targets that are agreed as part of the post-2020 global biodiversity framework;

FURTHER RECOGNIZING the contribution that the full and effective implementation of CITES can make towards achieving relevant Goals and Targets adopted by the UN General Assembly through the Sustainable Development Goals;

NOTING that Decisions of the Parties directed to the Secretariat have an impact on the operation and expenditures incurred by the Secretariat;

WELCOMING the adoption by the UN Environment Assembly of resolution 2/18 on relationship between the UNEP and the Multilateral Environmental Agreements for which it provides Secretariat;

TAKING NOTE of General Assembly resolution 60/283, on *Investing in the United Nations for a stronger organization worldwide*, by which the Assembly approved the adoption of the International Public Sector Accounting Standards (IPSAS) by the United Nations; and

RECOGNIZING that the International Public Sector Accounting Standards require that full provision be made for doubtful debt in respect of debt for which there is more than four years of non-payment of contributions and that proportionate provision be made for recent non-payment of contributions and that, as a result, an amount, estimated at USD 385,761, will have to be deducted from the end 2018 fund balance of the Convention to cover doubtful debt and cannot be used for the benefit of all Parties during the triennium 2020-2022;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. EXPRESSES its appreciation to the Government of Switzerland as the Host Country for its support to the Secretariat, and NOTES its response to the invitation extended to it through Resolution Conf. 17.2 by providing enhanced support to the CITES Secretariat;

2. ACCEPTS and APPROVES the report of expenditures against the costed programme of work for the years 2016 and 2017, as endorsed by the Standing Committee at its 69th and 70th meetings in Geneva, November 2017 and Sochi, October 2018 respectively;

3. ACCEPTS and APPROVES the report of expenditures against the costed programme of work for the year 2018;

4. APPROVES on exceptional basis to use USD 152,000 from the Trust Fund (CTL) accumulated surplus (fund balance) for the year 2019 to contribute to the shortfall for the organization of the 18th meeting of the Conference of the Parties;

5. REQUESTS the Secretariat to liaise with the United Nations Environment Programme (UNEP) in order for UNEP to provide to the Standing Committee at its 73rd meeting the cost allocation of the share of the Programme Support Costs and information on the common services breakdown, recalling the Memorandum of Understanding between the Standing Committee and the Executive Director of UNEP concerning the provision of Secretariat services to the Convention;

6. REQUESTS the Secretariat to continue to use the new format of the costed programme of work and the budgetary presentations for the triennium 2020-2022, as introduced by the Secretariat and endorsed by the Standing Committee, on the recommendation of its Finance and Budget Subcommittee, at its 62nd meeting, and to make any necessary adjustments, as needed, in line with the implementation of Umoja;

7. NOTES with appreciation the three budget proposals submitted by the Secretariat for the triennium 2020-2022 budget period and REQUESTS the Secretary-General to prepare budget proposals in the same format for consideration of the Conference of the Parties at its 19th meeting, including, as a minimum, a zero nominal growth budget scenario and a zero real growth budget scenario and, in consultation with the Standing Committee, if necessary, a third scenario;

8. REQUESTS the Executive Director of UNEP, in consultation with the Standing Committee, to increase financial transparency by providing the following supplementary financial information in all future financial statements and budget requests:

   a) categorization of income utilizing the following categories: Regular Resources, Other Resources and Cost Recovery in the Trust Fund budget (CTL);

   b) to the greatest extent possible, the harmonized format, methodology, and terminology adopted by the UN Funds and Programmes; and

9. REQUESTS the Secretariat, as a means to further enhance efforts to foster transparency and accountability,
   a) to identify, realize and report on cost savings from efficiency measures implemented by the Secretariat and provide indicative projections on potential efficiency gains for the next triennium; and
   b) to establish a section on the website of the Secretariat to publish or provide links to up-to-date information relevant to the governance of the Convention, including, *inter alia*, completed and

accepted audit reports, applicable financial rules and regulations, and any other relevant budgetary and financial information;

10. DECIDES that the implementation of the costed programme of work for the triennium 2020-2022, Annex 1, shall be covered by the Trust Fund budget (CTL), Annexes 2 and 3, in the amounts of USD 5,907,043 for 2020, USD 6,080,945 for 2021 and USD 6,697,571 for 2022 and by the Support to CITES Activities Trust Fund (QTL), Annex 3, and ADOPTS the scale of contributions for 2020- 2022 as contained in Annex 5;

11. AGREES to establish two temporary positions for the period 2020-2022 – one Programme Management Officer (Marine Species), P-2 and one Research Assistant, (GS) funded through the Trust Fund (CTL) accumulated surplus (fund balance) and to be further reviewed at the next meeting of the Conference of the Parties;

12. REQUESTS the Secretariat to carefully monitor exchange rate fluctuations and adjust levels of expenditure, where necessary; and DECIDES that the Secretariat, as a last resort, can request the Standing Committee to draw down from the Trust Fund Balance on an exceptional basis;

13. REQUESTS the Secretariat to maintain a working capital cash reserve of 15 % of the average annual budget to ensure financial liquidity and AUTHORIZES the Secretariat, with the approval of the Standing Committee, to draw additional funds from the CITES Trust Fund balance at the end of each year, including funds to cover any shortfall should the UN standard salary costs used to develop the budgets for 2020-2022 prove to be underestimated, provided that it is not reduced below the working capital reserve specified above;

14. TAKES NOTE of the funding estimates of the Trust Fund on Support to CITES Activities (QTL) for the 2020-2022 budget period and URGES the Secretariat, where activities that are to be externally funded are concerned, to seek funds, preferably non-earmarked, for the implementation of activities identified in the costed programme of work;

15. ENCOURAGES the Secretariat to increase its efforts to strengthen its capacity building activities, including by conducting at least one training workshop for CITES Management Authorities/Scientific Authorities and Enforcement entities per region, upon request, between the meetings of the Conference of the Parties, intersessionally, depending on availability of resources;

16. APPROVES the Terms of Reference for the Administration of the Trust Fund, in Annex 6, for the budget period beginning on 1 January 2020 and ending on 31 December 2022;

17. INSTRUCTS the Standing Committee to continue to review the Terms of Reference for the Administration of the Trust Fund and make proposals for consideration at the 19th meeting of the Conference of the Parties for any necessary changes;

18. DECIDES that:

    a) contributions to the Trust Fund (CTL) are based on the most recent United Nations scale of assessment[1], as amended periodically and adjusted to take account of the fact that not all members of the United Nations are party to the Convention;

    b) any other basis of calculation of contributions shall not be used without the consent of all Parties present and voting at a meeting of the Conference of the Parties; and

    c) any change in the basic scale of contributions that would increase the expected contribution of a Party does 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 150 days before the meeting;

[1] *United Nations General Assembly Resolution A/RES/73/271*

19. EXPECTS Parties to pay their contributions to the Trust Fund (CTL) in a timely manner and in accordance with the basic scale and ENCOURAGES them to make special contributions to the Trust Funds above their regular contributions whenever possible;

20. REQUESTS 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 (1 January to 31 December) to which the contributions apply;

21. NOTES with deep concern that a number of Parties have pending contributions to the Trust Fund (CTL), thus affecting adversely the implementation of the Convention;

22. REQUESTS the Secretariat to continue to monitor Parties that have pending contributions to the Convention by:

    a) sending reminders twice yearly, with copies to the permanent missions in Geneva; and

    b) initiating talks with the permanent missions in Geneva of the Parties with pending contributions for three or more years;

23. URGES all Parties with pending contributions to cooperate with the Secretariat in arranging for the payment of their outstanding contributions without delay;

24. INVITES States not party to the Convention, other governmental, inter-governmental and non-governmental organizations, and other sources to contribute to the Trust Fund in Support of CITES Activities (QTL);

25. DECIDES that the standard participation charge for all observer organizations other than the United Nations and its specialized agencies at meetings of the Conference of the Parties shall be set at a minimum of USD 600 for the first delegate and USD 300 for any additional delegate and that a standard charge is set at USD 100 for international visitors attending such meetings not applicable to host country visitors (except as otherwise decided by the Secretariat as required and following consultation with the Finance and Budget Subcommittee) unless a new standard charged has been determined for the next meeting of the Conference of the Parties by the Standing Committee at its 73rd meeting, and URGES such organizations to make a greater contribution, if possible, at least to meet their effective costs of participation;

26. FURTHER DECIDES that the standard participation charge for all observer organizations other than the United Nations and its specialized agencies at meetings of the Standing Committee and the Animals and Plants Committees shall be set at a minimum of USD 100 for each observer participant (except as otherwise decided by the Secretariat as required and following consultation with the Finance and Budget Subcommittee);

27. AFFIRMS that:

    a) all meetings of the Conference of the Parties and all regular meetings of the Standing Committee, the Animals Committee and the Plants Committee should be held in the Host country of the Secretariat unless a candidate host country pays the difference in costs between its proposed venue and the Host country; and

    b) candidate host country is to sign the Host Country Agreement no later than six months after the decision is made by the Conference of the Parties or 60 days after the decision is made by the Committees to hold the meeting outside the host country of the Secretariat; and

    c) no more than two regular meetings each of the Standing Committee, and the Animals and Plants Committees should be convened between regular meetings of the Conference of the Parties;

28. DIRECTS the Secretariat to make provision for the payment, if requested, of reasonable and justifiable travel expenses of members, including attendance at the relevant committee meetings, and other expenses of the Chairs of the Standing Committee, the Animals Committee and the Plants Committee, other than members from developed countries;

29. INSTRUCTS the Standing Committee to keep under review the implementation of the Memorandum of Understanding between the CITES Standing Committee and the Executive Director of UNEP concerning Secretariat Services to and Support of the Convention;

30. REQUESTS the Secretariat:

    a) to make provisions for all the costs the Secretariat incurs, including costs associated with the hiring of temporary staff and consultants, when seeking funds for the implementation of externally funded projects;

    b) to seek the most cost effective translation and interpretation services;

    c) in consultation with proponent Parties, when necessary, to advise the Conference of the Parties on proposals with budgetary implications, including staff costs; and

    d) in consultation with the Chairs of the Animals and Plants Committees, to assign scientific consultants and define terms of reference for specific science-based projects. Such a process should be implemented in a fashion that would not have a negative impact on the budget, but rather effectively utilize the scientific expertise of the Parties which is available to the Secretariat via the Chairs of the technical committees;

31. ENCOURAGES the Secretary-General, in line with UN rules, to use opportunities provided by any upcoming vacancies to explore ways to strengthen the capacity of the Secretariat within its assigned budget, including through structural change and report to the next meeting of the Standing Committee on any change implemented;

32. WELCOMES the efforts of the CITES Secretariat to facilitate access to Global Environment Facility (GEF) funding for GEF-eligible projects relevant for CITES, including species-based projects, and INVITES the Secretariat to continue to closely collaborate with the GEF Secretariat, the Secretariat of the Convention on Biological Diversity (CBD) and the Biodiversity Liaison Group on the issue of gaining access to GEF funding for GEF-eligible projects relevant for CITES;

33. ENCOURAGES Parties, in the revision of their national biodiversity strategies and action plans, to integrate CITES objectives and priorities in order to facilitate identification of opportunities for GEF-eligible projects relevant for CITES, including species-based projects;

34. INVITES the GEF Council to note relevant Resolutions and Decisions of the Conference of the Parties to CITES in the development of the next *GEF Biodiversity Strategy* consistent with the GEF's mandate and the *Strategic Plan for Biodiversity 2011-2020,* the *Aichi Biodiversity Targets* and any relevant goals and targets that are agreed as part of the post-2020 global biodiversity framework;

35. DECIDES to convey to the Conference of the Parties of the Convention on Biological Diversity (CBD CoP) the CITES objectives and priorities in support of the Aichi Targets and INVITES the CBD CoP to take these into account in providing the broad strategic guidance to the GEF;

36. Within the context of the Sustainable Development Goals and the *Strategic Plan for Biodiversity 2011-2020,* the *Aichi Biodiversity Targets* and any relevant goals and targets that are agreed as part of the post-2020 global biodiversity framework, CALLS upon Parties, established financing mechanisms, donors, international organizations, academia, non-governmental organizations and other relevant stakeholders to provide adequate and timely support for the relevant CITES objectives and priorities;

37. DECIDES that:

    a) the Secretary-General shall have the authority to make staffing decisions as necessary to implement the priorities of the Parties in accordance with the costed programme of work, provided they are within the overall budget and taken in accordance with the Memorandum of Understanding between the CITES Standing Committee and the Executive Director of UNEP concerning Secretariat Services to and Support of the Convention;

b) any change in the costed programme of work of the Secretariat deriving from a new Resolution or Decision shall be made only if the source of the necessary additional funds has been identified or if that programme is reprioritized at the time such a Resolution or Decision is adopted by the Conference of the Parties; and

c) the Secretariat, in collaboration with the Secretariat of the Convention on Biological Diversity, shall continue to explore a closer working relationship with the GEF to address CITES priorities within the context of its Biodiversity Strategy, and consistent with CITES' and the GEF's mandates;

38. REQUESTS the Executive Director of UNEP, in accordance with the existing Memorandum of Understanding, to have a comprehensive audit undertaken during the triennium 2020-2022 and thereafter on a regular basis by the Office of Internal Oversight Services and to ask for reports on UNEP from the United Nations Board of Auditors on CITES performance, and to have the reports submitted as part of the documentation for the next meeting of the Conference of the Parties, together with the management response; and

39. REPEALS Resolution Conf. 17.2 (Johannesburg, 2016) – *Financing and the costed programme of work for the Secretariat for the triennium 2017-2019*, which, however, remains on the record as an indication of the expected levels of annual contributions for Parties that have not paid these amounts.

Annex 1 – Costed programme of work of the CITES Secretariat for 2020-2022

Annex 2 – Operational budget under the general CITES Trust Fund (CTL)

Annex 3 – Operational budget under the general CITES Trust Fund (CTL) in UN Umoja format

Annex 4 – Indicative budget under the Support to CITES activities (QTL)

Annex 5 – CITES Trust Fund (CTL) scale of assessment for the triennium 2020-2022

Annex 6

Terms of Reference for the Administration of the Trust Fund (CTL) 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 three calendar years, which begins on 1 January 2020 and ends on 31 December 2022, 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 administration of the Convention.

3. The appropriations of the Trust Fund shall be financed from:

   a) the contributions made by the Parties by reference to the table attached in Annex 5, including contributions from any new Parties which are to be added to the table; and

   b) a drawdown from the Fund balance upon decision of the Parties.

4. The estimates for each of the calendar years covered by a budget period shall be specified in a costed programme of work 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.

5. The proposed costed programme of work covering the income and expenditure for each of the calendar years constituting the financial period to which it relates, prepared in United States dollars, including all the necessary information, shall be dispatched by the Secretariat to all Parties at least 150 days before the date fixed for the opening of the next regular meeting of the Conference of the Parties.

6. The costed programme of work shall be adopted by a three-quarters majority of the Parties present and voting at the regular meeting.

7. 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.

8. The Secretary-General of the Convention is authorized, to the extent consistent with the Financial Regulations and Rules of the United Nations, to:

   a) transfer resources between main activity lines, as reflected in the costed programme of work, Annex 1 to present Resolution, up to a maximum of 10 % over and above the annual amount foreseen in the costed programme of work under any activity line. When any such transfers are made, these shall be reported to the Standing Committee at its following meeting. Any adjustments between main activity lines over and above the 10 % flexibility mentioned above may be made only after they have been agreed by the Standing Committee; and

b) transfer resources between financial years within the same activity line. Any such transfers may be made only after they have been agreed by the Standing Committee.

However, all adjustments to the costed programme of work will be made within the overall level of the approved triennial budget.

9. Commitments against the resources of the Trust Fund may be made only if they are covered by the expected income of the Convention.

10. All contributions shall be paid in any convertible currency. The amount of any payment, however, shall be equal to the amount payable in United States dollars 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 pro-rata basis for the balance of the financial period.

11. At the end of each calendar year, 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.

12. 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 paragraph.

13. 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 Funds for the Convention.

14. These Terms of Reference shall be effective for the financial period of 1 January 2020 to 31 December 2022, subject to amendments at the 19th meeting of the Conference of the Parties.

Conf. 18.2

委员会的建立

忆及 同委员会建立事宜有关的Conf. 9.1 (Rev.)号决议曾在其第九次缔约方大会 (劳德代尔堡，1994)上获得通过、在第十次缔约方大会 (哈拉雷，1997)和上得到修订，及Conf. 11.1 (Rev. CoP17) 号决议；

忆及 公约前言，包括其认识到，为了保护某些野生动植物种不致由于国际贸易而遭到过度开发利用，国际合作必不可少；

认识到 在整个分布区将CITES物种维护于与它们在生态系统中作用相符水平的重要性；

承认 公约自其1975年生效以来，日益发挥的作用，包括列入CITES附录的物种数量、缔约方数量、CITES贸易成交量，及缔约方大会处理的一系列问题都在增加；

重申 缔约方大会在确定公约政策方向上的作用，并重申其指示的重要性；

认识到 在缔约方大会会议期间，提供指导对引导公约工作和业绩的重要性；

强调 科学咨询和专门知识对支持缔约方大会采纳的、旨在实现公约宗旨的行动和政策的重要性；

认识到 向缔约方大会和单个缔约方提供充足的动植物贸易和管理方面的生物学数据和专家知识的重要性；

认识到 在可行的情况下，缔约方大会建立的各个委员会采纳与其一致的议事规则，将有助于运作所有CITES会议；

公约缔约方大会

关于各委员会的建立

建立 缔约方大会的常务委员会，该委员会应为高级委员会，并依照本决议附件1的职权范围，向缔约方大会报告；

指示 常务委员会设立一个财政和预算次级委员会并指定其职责范围；

设立 动物委员会和植物委员会，作为其科学咨询机构，依照本决议附件2的职权范围，应向缔约方大会的会议报告，如有要求，还应在缔约方大会休会期间向常委会报告；

决定：

a) 缔约方大会应选举本决议附件所规定建立的委员会成员；

b) 所有经缔约方大会设立的委员会，其职权范围应包括在本决议附件中；

c) 在可行的情况下，缔约方大会建立的委员会应采纳与缔约方大会相一致的各自的议事规则；

d) 任何缔约方有权派代表以观察员身份参加委员会会议；

e) 因解决一些具体问题需要，缔约方大会建立的委员会可以为特定的职责范围建立工作组。这些工作组通常需要一个明确期限，

f) 时长不应超过直到下一次缔约方大会会议的时间，此时如有必要，可以重新设立。工作组应向建立其的委员会报告，应使用由常委会通过和不定期修订，并由秘书

处派发的《改进CITES工作组要求的物种特别报告的指南》和《基于物种的报告模板》。秘书处应保留和在CITES网站上发布一份关于由每个委员会建立的活跃的会间工作组清单，包括这些工作组的主席和成员。

g) 除常务委员会的财务和预算分委会外，由缔约方大会建立的委员会可以建立具体有特定职权范围的，由委员会成员和缔约方组成的分委会。除非经缔约方大会的决议和决定建立，这些分委员会需要一个明确期限，期限不应超出下次缔约方大会，此时如有必要，可以重新设立；

h) 在出席缔约方大会要求的活动或会议之外，缔约方大会所建立委员的委员和候补委员不代表任何委员会或CITES机构，除非相关委员会主席或缔约方大会提出了特别指示；

关于财务安排

决定：

a) 缔约方大会采纳的公约运转预算(CTL)应包括支持委员会会议和符合条件的差旅费要求的相关财务资源；

b) 委员会成员应尽其努力自行承担差旅费；

c) 秘书处应依照联合国规则和条例，为来自发展中国家的合格委员会成员出席其各自委员会的会议列支差旅费，并应缔约方大会或常务委员会要求，为委员会主席的其他差旅费列支；

d) 秘书处应寻求预算外资金，以确保滏阳河条件的委员会成员可以参加或出席缔约方大会期间的委员会工作，并支持举办区域性会议，包括，如果在可能的情况下，联合举行木输出组织的区域性研讨会或其他相关会议；

关于秘书处的支持

进一步决定 出公约赋予它的职能外，秘书处应提供在缔约方大会通过的决议、决定和费用确定的工作方案内，向各委员会提供服务；

关于缔约方大会期间的地区会议

同意：

a) 缔约方大会每次会议都需要召开地区会议，这些会议需要具有官方性质，且需要议程；

b) 每一次地区会议的主席应该是常务委员会的该地区代表；

c) 每一个地区应在这种会议上完成特定的如下任务：

i. 酌情选举缔约方作为常务委员会委员和候补委员，选举专家作为动物和植物委员会委员和候补委员；

ii. 委员会中成员多于一个的地区，应在每次缔约方大会上审查委员席位的行使方式；及

iii. 取决于缔约方大会议程的其他更多的会议任务。

关于成员由个人组成的委员会的利益冲突

同意 “利益冲突”是指，任何可能严重损害个人作为委员会成员，履行其职责的公正性、客观性或独立性的任何当前经济利益。候选人的工作本身不会自动构成利益冲突。对由个人选举成的委员会，如动物委员会和植物委员会，适用以下程序：

a) 在选举委员的缔约方大会前，推选委员或候补委员候选人的缔约方须，将除姓名和简历外，每位候选人提供一份利益声明，传阅地区各缔约方。在该声明中，候选人在由常务委员会统一的标准披露表中，披露可能使其作为委员会委员或候补委员，履行其职责的公正性、客观性或独立性受到质疑的任何当前经济利益。

b) 选举之后，相关委员会的主席和成员，及常委会的主席应该通过秘书处知晓每位委员和候补委员的利益声明和简历；

c) 在委员会每次会议之初，每位委员或代理委员应采用由常务委员会统一的标准披露表，声明他们是否获得可能使其作为委员会委员或候补委员，履行其职责的公正性、客观性或独立性受到质疑的任何当前经济利益。任何可信来源都可查明利益冲突，并由秘书处通过提请委员会主席注意。如果某位成员具有此类财务利益，他或她可以参加相关问题讨论，但不能参与有关问题议程项目的决策。如果某位成员有潜在的利益冲突，他/她就不能成为此类问题会议或次级会议的主席；及

废除 Conf.9.1 号决议-委员会的建立(劳德代尔堡，1994；修订于哈拉雷，1997)和 Conf.11.1 (Rev17)号决议-委员会的建立。

附件 1 缔约方大会常务委员会的职权范围

目的

作为缔约方大会的高级委员会，常务委员会在指导缔约方大会会间工作和履行方面发挥重要作用；

职能

常务委员会根据缔约方大会在其决议和决定中的指示和授权，应：

承担缔约方大会指示的任务，包括处理一般的或特定的遵约事项；

就公约的实施，向秘书处提供总的政策和运作指示；

就准备各会议所需议程和其他要求，及关于秘书处在履行其职能时提请其注意的任何其他事项，向秘书处提供指导和建议；

代表缔约方，监督秘书处从信托基金和其他来源获得的预算的制定和执行，及秘书处为履行经缔约方大会授权的具体职能而开展的筹资的所有方面，并监督此类筹资活动的支出;

执行，并根据需要回顾和修订常务委员会与联合国环境规划署执行主任之间的谅解备忘录(MoU)；

根据需要向本决议建立的其他委员会提供协调和建议，并向其工作组和分委会提供指导和协调；

如有必要，在缔约方大会的两次会议之间，代表缔约方大会开展临时活动，包括就缔约方或秘书处确定的新出现的业务或政策性问题提供咨询，直到缔约方大会就此事提供指示为止；

起草供缔约方大会审议的决议或决定；

向缔约方大会报告其在缔约方大会休会期间的工作情况；

在缔约方大会会议上担任主席团，直到具体会议的缔约方大会主席团成立为止；

履行缔约方大会委派的任何其他职能；

成员

常务委员会的成员须由缔约方大会选举，并包括：

按照下列标准，从非洲、亚洲、欧洲、北美洲、中南美洲及加勒比海地区、大洋洲等六个主要地理区中选举缔约方作为地区委员：

拥有不超过15个缔约方的地区选出一个代表；

拥有16至30个缔约方的地区选出两个代表；

拥有31至45个缔约方的地区选出三个代表；

拥有45个以上缔约方的地区选出四个代表；

公约保存国政府；及

缔约方大会会议的前一次主办国和下一次主办国

每个地区委员应有一个候补地区委员，只有在地区委员未出席会议时，才有权作为代理委员代表地区。

当地区选举其地区委员和候补地区委员时，建议执行以下操作：

对于只有一个地区委员和一个候补地区委员的地区，应考虑轮换选举，对于具有一个以上地区委员和一个候补地区委员的地区，选举应尝试实现平衡呈现(地理上、文化上、生态上)；

地区候选国名单应在提出选举的缔约方大会召开的120天前，由感兴趣的缔约方通过管理机构提交给秘书处。秘书处应尽快将这些候选国名单向该地区所有缔约方通报；

如果某地区的候选国数量超过该地区在常委会中拥有的席位数，应在该地区在缔约方大会期间举行的一次地区会议上进行投票。赢得选举，需要一个候选国获得该地区内经认证出席会议缔约方的绝对多数票 (即半数以上选票)；且

地区委员和候补地区委员的选举，应在前任任期结束时，按照上述程序，通过单一过程连续投票。

地区委员和候补地区委员的任职期限应从其当选的那次缔约方大会例会结束时算起，直到此后定期召开的第二次缔约方例会结束时止；对只拥有一个地区委员和一个候补地区委员的地区而言，应在每个第二次会议上进行选举。对拥有一个以上地区委员和一个以上候补地区委员的地区，为保证一定的连续性，在同一次会议上不应更换所有委员和候补委员；

常务委员会将从地区代表中选举出一位主席和一位副主席。主席和副主席的任期应从其

当选的缔约方大会例会结束的补充会议时算起，一般应在缔约方大会第二次例会结束时止。

常务委员会的成员资格应在缔约方大会每次例会上重新审议。

常务委员会地区委员的职责

所有委员会委员应努力出席常务委员会会议。

常委会地区委员应同主席、候补地区委员、其地区各缔约方及秘书处保持通畅及持久的联系。在常委会会议召开前，地区委员应就会议议程事项联系候补地区委员和其地区的各缔约方，以征求意见，其中特别应就同本地区或有关国家相关的议题征求意见。地区委员应将会议结果通知候补地区委员和其地区缔约方。

在每两次缔约方大会之间，应召开地区会议，包括专门处理拟提交下一次缔约方大会的提案。常务委员会地区委员应在资金允许的情况下召集这些会议。

在候补地区委员的协助下，地区委员应确定在缔约方大会期间的地区会议议程。议程应该审议缔约方大会所成立的各委员会委员选举，并讨论缔约方大会议程的主要事项，

尤其是该地区关注的特别议题。地区委员和候补地区委员应在地区会议上详细报告其活动、举措和成果。

会议程序

在缔约方大会确认必要的财务拨款后，常务委员会通常应在缔约方大会例会之间举行两次例会。常务委员会的例会会期应为五天。常务委员会还应在缔约方大会会议之前和之后立即举行补充会议，主要目的是分别安排缔约方大会的会议和其自身的工作。

只有地区委员或代理地区委员才具有表决权，但在表决结果出现平局的情况下，公约保存国政府则有权参加表决以打破平局。

常务委员会的会议将根据其议事规则向观察员开放。非常务委员会成员国应有权派观察员参加包括闭门环节的会议，但观察员只有参加会议的权力，而没有表决权。作为一条基本原则，缔约方大会设立的任何其他委员会的主席应被邀请作为观察员参加常务委员会的会议，但其无表决权。其他无表决权的观察员也可以被接纳参加常务委员会的会议。

如果在缔约方大会的例会期间召开一次特别会议，会议的举办国应参与与组织该会议相关的常务委员会工作。

财务支持

缔约方大会确定秘书处的预算，包括支持常务委员会会议和相关合规差旅费所需的财务资源。代表发展中国家每个地区委员的一个人有资格要求支付旅行费用，以参加常务委员会的每次例会。

附件 2 缔约方大会动物委员会和植物委员会的职权范围

目的

作为缔约方大会的科学咨询委员会，动物和植物委员会在为履行缔约方大会采纳的一系列广泛决定，提供科学和技术专业知识和建议上具有重要作用；Conf.14.8(Rev. CoP17)号有关附录I和附录II物种周期性回顾决议、Conf. 12.8(Rev. CoP18)有关附录II物种标本大宗贸易回顾的决议，和Conf. 12.11(Rev. CoP18)有关标准命名的决议的通过证明了这一点。此外，缔约方认识到就来自不同来源、分布和生产系统的CITES所列物种，提供最佳技术和科学建议的重要性，及根据Conf. 16.7(Rev. CoP17)关于非致危性判定决议，协助缔约方做出非致危性判定并支持其科学机构的重要性。缔约方还认识到，如果通过采用标准命名文献，对附录或列入新物种的提案所使用的命名法标准化将极其有利于缔约方，也会有助于CITES所列物种标本贸易的鉴定和追踪，并与其他多边环境协定相协调合作。

职能

动物和植物委员会应根据缔约方大会决议和决定所作出的指示和委托权限：

就有关公约附录所列动植物种国际贸易方面的事务，向缔约方大会、其他委员会、秘书处和缔约方提出科学建议和指导；

承担缔约方大会通过相关决议和决定指示的任务，包括：

根据Conf. 12.8(Rev. CoP18)附录II物种标本大宗贸易回顾决议，回顾具重要贸易水平附录II物种的生物学，贸易和其他相关信息；

根据 Conf. 14.8 (Rev. CoP17) 附录I和II所列物种周期性回顾决议，对附录I和II中包含的物种开展定期回顾；

根据Conf. 12.11 (Rev. CoP18) 标准命名决议，确定和解决命名问题；及

根据Conf. 17.7 (Rev. CoP18)对报称产自圈养动物标本的贸易回顾决议，对具重要贸易水平，采用C、D、F或R来源代码的动物物种，回顾其生物学，贸易和其他相关信息；

应缔约方或秘书处的要求，在第 Conf. 16.7 (Rev. CoP17)非致危性判定决议的范围内对非致危性判定提供建议，并在Conf. 14.7 (Rev. CoP15) 国家建立的出口限额管理决议的范围内，对限额管理提供建议；

对鉴定问题，培训和其他能力建设材料、工具和指南提供科学建议，已提高其准确性和可用性；

应缔约方要求，对附录修订提案的科学、技术和命名方面问题提供建议；

1由秘书处在第十八次缔约方大会后修正。

*2 由秘书处在第十八次缔约方大会后修正。

应缔约方的要求，就管理来自不同来源，产地和生产系统，包括人工繁育和人工培植的CITES所列物种的标本贸易的管理，向缔约方提供技术，科学和命名建议；

在对该工作有预算并指出资金来源的情况下，起草有关动植物科学事务方面的决议草案，供缔约方大会审议；

履行由缔约方大会或常委会指派的任何其他职责；及

就其在缔约方大会休会期间所开展或监督的工作情况向缔约方大会报告，如有要求还应向常务委员会报告；

缔约方大会和常务委员会同意在向动物、植物委员会提出指示时，应注意该工作的性质是否在段落2的委员会职责范围内，及委员会是否有资源、时间和专家开展该工作；

在上文第2 c)，e)和f)段中提出要求时，各缔约方应注意委员会的资源有限。

成员

动物委员会和植物委员会应在缔约方大会上选举委员，其组成有：

由北美和大洋洲组成的每个主要地理区域，根据这些地区的缔约方提名的候选人选出一人；

根据地区的缔约方提名，从非洲、亚洲、中南美洲及加勒比海和欧洲地区各选出2人；及

根据缔约方大会提名，选出一位动物学命名专家 (动物委员会)和一位植物学命名专家 (植物委员会)，他们有职权，但不能投票；

对于以上第5款中所列的每位委员，还应选择并选举一人作为候补委员，只有在其委员缺席的情况下，才能在会议上充当代理。

委员会的成员资格应在缔约方大会例会上重新审议。委员的任职期限应从其当选的那次缔约方大会结束时算起，直到缔约方大会第二个例会结束时止；

应从地区委员中选举出一名主席和一名副主席，其任职通常应至当选后第二次例会结束。在主席未出席会议的情况下，副主席应担任主席。

主席作为地区委员的角色由其候补委员替代。如果某次会议该候补委员缺席，则主席也应特别承担作为其地区委员的职责。

有关候选人提名，应执行下列准则：

缔约方在提名委员或候补委员候选人时，应确保其将支持该候选人，并让他们能获得开展活动所必需的办法和手段；

应最迟于拟选举代表的缔约方大会120天之前，将被提名的候选人及其简历正式提交给秘书处。秘书处应尽快将候选名单通知给该地区的所有缔约方；如果是命名专家，则应将拟议候选人的姓名和简历发送给有关委员会；

理想的情况下，候选人最好同科学机构有关，具有足够的CITES知识，在履行义务过程中能取得足够的制度性支持。这些信息也应包括在简历中；及

拟议的候选人应为个人；即使有缔约方打算在以后确定一个人，也不应将该缔约方作为提议的候选。

关于更换地区委员和候补委员的时间，程序应与上述常务委员会的程序相同，且：

由于候补委员是特定委员的候补，应在选举相应委员的同时选举；

如果某一地区希望重新选举一位委员或候补委员，不应阻止其这么做；及

在截止日期之前未收到任何提名时，若期望如此，并能够做到的话，则该代表的职责将继续，直至选出新的代表；

如果在缔约方大会的例会之间，委员会委员或候补委员出现空缺，则应采用以下程序：

秘书处应将有关空缺通知常务委员会主席和有关地区的常务委员会委员(就命名专家而言，可能是所有区域)；

秘书处应立即向各缔约方发出通知，要求有关地区的缔约方提名，以临时填补空缺；

秘书处应将所收到的候选人的姓名和简历提供给常务委员会主席和有关地区的常务委员会的委员，或者当涉及到空缺命名专家时，提供给相关的委员会。他们将临时决定填补空缺的人，直到缔约方大会下届例会为止；

在成员空缺的情况下作出决定之前，适用以上第6段的规定；及

在缔约方大会下次例会上，应根据本附件第5段填补空缺。任何情况都不得阻止临时任命的人员在随后填补该职位。

动物和植物委员会委员的职责

动物委员会和植物委员会选举的委员及其候补委员具有如下职责：

每位委员应该尽最大努力，尽可能公正，并努力在对可用材料进行客观和科学评估的基础上给出其判断和主张；

每位委员应同其候补委员协作，完成在委员会休会期间的工作；

每位委员应同其地区的各缔约方保持定期联系；

当一个地区有不止一名代表时，代表们还应商定其代表的缔约方。还应与该地区的非缔约方建立联系；

每位委员应通过一系列机制，如参加秘书处或其他组织举办的地区性和次地区性研讨会或相关会议，增加对本委员会的作用、功能，及其职责和本地区所关注的事务的了解；

在委员会召开会议之前，委员应就会议议程，及特别是同本地区缔约方相关的议题向本地区的各缔约方进行转发和征求意见；

委员应向本委员会的每一次会议提交一份有关其在本次会议之前一段时间内工作的书面报告；

委员应将委员会每次会议的结果，特别是与该地区国家特别相关的事项，通知其所在地区的缔约方；

委员如不参加最近即将召开的委员会会议，应事先尽早通知其候补委员；及

委员应将同本地区有关的所有活动情况提供给其继任者；

动物和植物委员会的动物学和植物学命名专家应对专家们为完成缔约方赋予的职责而提出的建议进行协调、监督和分析；

会议程序

当背靠背的动物委员会和植物委员会会议包括联席会议时，单独的委员会会议应为4天；但当并非背靠背会议时，每一会议应为5天，除非主席和秘书处认为更短的会议就足够。

财务支持

缔约方大会确定秘书处的预算，包括支持动物和植物委员会会议和相关合规差旅费所需的财务资源。每位来自发展中国家的委员和命名专家都有资格要求支付差旅费用，以参加动物和植物委员会的每次例会。

敦促缔约方和地区应利用或建立长期的可持续经费机制来支持其在委员会中的代表，及命名专家。

Conf. 18.2

Establishment of Committees

RECALLING Resolution Conf. 9.1 (Rev.), adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994) and amended at its 10th meeting (Harare, 1997), and Resolution Conf. 11.1 (Rev. CoP17) relating to the establishment of committees;

RECALLING the Preamble of the Convention, including its recognition that international cooperation is essential for the protection of certain species of wild fauna and flora against over-exploitation through international trade;

RECOGNIZING the importance of maintaining CITES species throughout their range at a level consistent with their role in the ecosystems;

ACKNOWLEDGING the increasing role of the Convention since its entry into force in 1975, including the growth in number of species listed on the CITES Appendices, number of Parties, number of CITES trade transactions, and range of issues addressed by the Conference of the Parties;

REAFFIRMING the role of the Conference of the Parties in setting the policy direction for the Convention and reiterating the importance of its instructions;

RECOGNIZING the importance of providing guidance on steering the work and performance of the Convention between meetings of the Conference of the Parties;

STRESSING the importance of scientific advice and expertise to support the actions and policies adopted by the Conference of the Parties and aimed at fulfilling the purposes of the Convention;

RECOGNIZING the importance of providing adequate biological data and expert knowledge of animal and plant trade and management to the Conference of the Parties and individual Parties;

RECOGNIZING that aligning rules of procedure adopted by each committee established by the Conference of the Parties as far as practicable will help facilitate the operation of all CITES meetings;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

Regarding the establishment of committees

1. ESTABLISHES the Standing Committee of the Conference of the Parties, which shall be the senior committee and shall report to the Conference of the Parties in accordance with its Terms of Reference as found in Annex 1 of this Resolution;

2. DIRECTS the Standing Committee to establish a Finance and Budget Subcommittee and specify its terms of reference;

3. ESTABLISHES the Animals Committee and the Plants Committee as its scientific advisory bodies, which shall report to the Conference of the Parties at its meetings and, if so requested, to the Standing Committee between meetings of the Conference of the Parties in accordance with their Terms of Reference as found in Annex 2 of this Resolution;

4. DECIDES that:

   a) the Conference of the Parties shall elect the Members of the committees established by this Resolution as set out in the annexes to this Resolution;

   b) the terms of reference for all committees established by the Conference of the Parties shall be included in the annexes to this Resolution;

   c) the committees established by the Conference of the Parties shall adopt their own Rules of Procedure, which shall be aligned with the Rules of Procedure of the Conference of the Parties as far as is practicable;

   d) any Party shall be entitled to be represented at meetings of the committees as an observer;
   e) the committees established by the Conference of the Parties may establish working groups with specific terms of reference as required to address specific problems. These working groups shall normally have a defined life span which shall not exceed the period until the next

meeting of the Conference of the Parties, at which time they may be re-established if necessary. Working groups shall report to the committee which established them and are advised to use the *Guidelines for improving species specific reporting requests by CITES working groups* and the *Template for species based reporting* as adopted and amended from time to time by the Standing Committee and distributed by the Secretariat, as appropriate. The Secretariat shall maintain and publish on the CITES website a list of active intersessional working groups, established by each committee, including Chairs and members of such groups;

f) in addition to the Finance and Budget Subcommittee of the Standing Committee, committees established by the Conference of the Parties may establish subcommittees composed of committee Members and Parties, with specific terms of reference. Unless otherwise established by a resolution or decision of the Conference of the Parties, these subcommittees shall have a defined lifespan, which shall not exceed the period until the next meeting of the Conference of the Parties, at which time they may be re-established if necessary; and

g) when attending events or meetings outside those called for by the Conference of the Parties, Members and alternate Members of committees established by the Conference of the Parties do not represent the relevant committee or any CITES body unless specific instructions to do so have been provided by the relevant committee Chair or by the Conference of the Parties;

Regarding financial arrangements

5. RESOLVES that:

a) the operational budget (CTL) of the Convention adopted by the Conference of the Parties should include the financial resources needed to support meetings of committees and associated eligible travel expenses;

b) committee Members should make every effort to pay their own travel expenses;

c) the Secretariat shall make provision for the payment of travel expenses, in accordance with the Rules and Regulations of the United Nations, of eligible committee Members from developing countries to attend meetings of their respective committees, and also for the payment of expenses for other travel undertaken by the committee Chairs at the request of the Conference of the Parties or the Standing Committee; and

d) the Secretariat should seek extra-budgetary funding to ensure that eligible Members of the committees can attend and participate in the committees' work during meetings of the Conference of the Parties, and to support the holding of regional meetings, including, where possible, in association with regional seminars or other related meetings organized by the Secretariat;

Regarding support of the Secretariat

6. FURTHER RESOLVES that in addition to the functions conferred upon it by the Convention, the Secretariat shall provide services to the committees within the resolutions, decisions, and the costed programme of work adopted by the Conference of the Parties;

Regarding regional sessions at meetings of the Conference of the Parties

7. AGREES that:

a) regional sessions should be held at each meeting of the Conference of the Parties; such sessions should have an official character and should have an agenda;

b) the Chair of each regional session should be the representative of a regional Member of the Standing Committee;

c) each region has specific tasks to fulfil, as follows:

i) selection, as appropriate, of Parties as Members and alternate Members of the Standing Committee, and experts as Members and alternate Members of the Animals and Plants Committees;

ii) the regions with more than one Member on a committee should review at each meeting of the Conference of the Parties the way the representation should be exercised; and

iii) other tasks depending to a large extent on the agenda of the meeting of the Conference of the Parties.

Regarding conflict of Interest in committees where the membership consists of individuals

8. AGREES that a “conflict of interest” refers to any current financial interest which could significantly impair an individual’s impartiality, objectivity or independence in carrying out his or her duties as a Member of a committee. A candidate’s employment by itself does not automatically constitute a conflict of interest. For committees where individuals are elected as Members, such as the Animals Committee and Plants Committee, the following procedures apply:

   a) Parties proposing candidates as Members or alternate Members are to request that, together with their names and *curricula vitae*, each candidate provides a Declaration of Interest which should be circulated to the Parties of the region concerned before the meeting of the Conference by the Parties at which the Members will be elected. In that declaration in the standard disclosure form agreed by the Standing Committee, the candidate should disclose any current financial interest that might call into question his or her impartiality, objectivity or independence in carrying out his or her duties as a Member or alternate Member of the committee;

   b) Following an election, the declaration of interest and the *curriculum vitae* of each Member and alternate Member shall be made available by the Secretariat to the Chair and the Members of the committee concerned, and to the Chair of the Standing Committee; and

   c) Each Member and acting Member shall, at the beginning of each meeting of the committee using the standard disclosure form agreed by the Standing Committee, declare whether they have any financial interests that he or she considers call into question his or her impartiality, objectivity or independence regarding any subject on the agenda for that meeting of the committee. A conflict of interest may also be identified by any credible source and brought to the attention of the Chair of the committee through the Secretariat. If a Member has such a financial interest, he or she may take part in discussions but not in the decision-making regarding the agenda item in question. If the Member is the subject of the potential conflict of interest, he or she shall not chair the meeting or sub-meeting for the agenda item in question; and

9. REPEALS Resolution Conf. 9.1 (Fort Lauderdale, 1994, as amended at Harare, 1997) – *Establishment of committees* and Resolution Conf. 11.1 (Rev. CoP17) on *Establishment of committees*.

Annex 1 Terms of Reference of the Standing Committee of the Conference of the Parties

Purpose

1. As the senior committee of the Conference of the Parties, the Standing Committee plays an important role in steering the work and performance of the Convention in the periods between the meetings of the Conference of the Parties.

Functions

2. The Standing Committee, in accordance with instructions from and authority delegated by the Conference of the Parties in its resolutions and decisions, shall:

   a) undertake the tasks directed to it by the Conference of the Parties, including those related to the handling of general and specific compliance matters;

   b) provide general policy and general operational direction to the Secretariat concerning the implementation of the Convention;

   c) provide guidance and advice to the Secretariat on the preparation of agendas and other requirements of meetings, and on any other matters brought to its attention by the Secretariat in the exercise of its function;

   d) oversee, on behalf of the Parties, the development and execution of the Secretariat's budget as derived from the Trust Fund and other sources, and all aspects of fund raising undertaken by the Secretariat in order to carry out specific functions authorized by the Conference of the Parties, and to oversee expenditures of such fund-raising activities;

   e) implement and, as needed, review and revise the Memorandum of Understanding (MoU) between the Standing Committee and the Executive Director of the United Nations Environment Programme;

   f) provide coordination and advice as required to the other committees established by this Resolution and provide direction to and coordination of its working groups and subcommittees;

   g) carry out, between one meeting of the Conference of the Parties and the next, such interim activities on behalf of the Conference of the Parties as may be necessary, including advising on emerging operational or policy issues identified by Parties or the Secretariat until direction on the matter is provided by the Conference of the Parties;

   h) draft resolutions or decisions for consideration by the Conference of the Parties;

   i) report to the Conference of the Parties on the activities it has carried out between meetings of the Conference;

   j) act as the Bureau at meetings of the Conference of the Parties, until such time as the Bureau of the Conference of Parties for the specific meeting has been constituted; and

   k) perform any other functions as may be entrusted to it by the Conference of the Parties.

Membership

3. The membership of the Standing Committee shall be elected by the Conference of the Parties and consist of:

   a) regional Members that are Parties elected from each of the six major geographic regions consisting of Africa, Asia, Central and South America and the Caribbean, Europe, North America and Oceania, according to the following criteria:

      i) one representative for regions with up to 15 Parties;

      ii) two representatives for regions with 16 to 30 Parties;

      iii) three representatives for regions with 31 to 45 Parties; or

      iv) four representatives for regions with more than 45 Parties;

   b) the Depositary Government; and

c) the previous host Party of a meeting of the Conference of the Parties and the next host Party of a meeting of the Conference of the Parties.

4. Each regional Member shall also have an alternate regional Member that shall be entitled to represent the region as acting regional Member only in the absence at a meeting of the regional Member for which it is the alternate.

5. When regions select their regional Members and alternate regional Members, the following is recommended:

   a) for regions with one regional Member and one alternate regional Member, a rotation in the selection should be considered and, for regions with more than one regional Member and one alternate regional Member, the selection should try to achieve a balanced representation (geopolitical, cultural, ecological);

   b) the regional candidatures should be officially submitted to the Secretariat by the Management Authority of the interested Parties, at least 120 days before a meeting of the Conference of the Parties at which they are proposed for election. These candidatures should be communicated to all the Parties of the region as soon as possible thereafter by the Secretariat;

   c) if more candidatures are submitted than there are positions available for any region, a vote should take place in a session of the Parties of that region to be held during the meeting of the Conference of the Parties. To be selected, a candidate should obtain an absolute majority (i.e. more than half the votes) of votes from the duly accredited Parties within the region present at the session; and

   d) the selection of regional Members and alternate regional Members should take place at the end of the term of office of their predecessors, in accordance with the above-mentioned procedure, through successive votes during a single process.

6. The terms of office of the regional Members and their alternate regional Members shall commence at the close of the regular meeting of the Conference of the Parties at which they are elected and shall expire at the close of the second regular meeting thereafter. For regions with one regional Member and one alternate regional Member, the selection should occur at every second meeting. For regions with more than one regional Member and one alternate regional Member, to guarantee some continuity, not all Members and alternate Members should be changed at the same meeting.

7. The Standing Committee will have a Chair and a Vice-Chair elected by, and from amongst the regional Members. The terms of office of the Chair and Vice-Chair shall commence at the supplementary meeting held immediately after the close of the regular meeting of the Conference of the Parties at which they are elected and should normally expire at the close of the second regular meeting of the Conference of the Parties thereafter.

8. The membership of the Standing Committee shall be reviewed at every regular meeting of the Conference of the Parties.

Duties of the regional Members of the Standing Committee

9. All committee Members shall endeavour to participate in meetings of the Standing Committee.

10. Regional Members shall maintain a fluid and permanent communication with the Chair, alternate regional Members, Parties of their region and the Secretariat. Before the meetings of the Standing Committee, the regional Members should communicate with the alternate regional Members and Parties of their region regarding the items on the meeting agenda and request their opinions, preferably on matters specifically relevant to the countries or the region. Regional Members should also inform the alternate regional Members and Parties in their region of the results of the meetings.

11. Regional meetings should take place between meetings of the Conference of the Parties, including one specifically to deal with proposals to be submitted to the Conference at its next meeting. The regional Members of the Standing Committee should convene these meetings, subject to the availability of funding.

12. The regional Members, assisted by the alternate regional Members, should establish the agenda of the regional sessions that take place during meetings of the Conference of the Parties. This agenda should consider selection of Members for committees established by the Conference of the Parties, as well as discussion of the main items on the agenda of the meeting of the Conference

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of the Parties, in particular those of special interest to the region concerned. The regional Members and alternate regional Members should report in detail on their activities, initiatives and achievements at these regional sessions.

Meeting Procedures

13. Subject to confirmation of the necessary financial provisions by the Conference of the Parties, the Standing Committee shall normally hold two regular meetings between regular meetings of the Conference of the Parties. The duration of regular meetings of the Standing Committee should be five days. The Standing Committee shall also hold supplementary meetings immediately before and immediately after meetings of the Conference of the Parties, primarily for the purposes of making arrangements for the meeting of the Conference of the Parties and for organizing its own work, respectively.

14. Only the regional Members or acting regional Members shall have the right to vote except in the case of a tie vote, when the Depositary Government shall have the right to vote to break the tie.

15. Meetings of the Standing Committee will be open to observers, in accordance with its Rules of Procedure. Parties not Members of the Standing Committee shall be entitled to be represented at meetings of the Standing Committee, including at any closed session, by observers who shall have the right to participate but not to vote. The Chairs of any other committee established by the Conference of the Parties shall be invited on a regular basis to the meetings of the Standing Committee and may participate in meetings of the Standing Committee as observers without the right to vote. Other observers without the right to vote may also be admitted to participate in meetings of the Standing Committee.

16. If an extraordinary meeting of the Conference of the Parties is held between two regular meetings, the host Party of that meeting shall participate in the work of the Standing Committee on matters related to the organization of the meeting.

Financial support

17. The Conference of the Parties determines the budget of the Secretariat, including the financial resources provided to support meetings of the Standing Committee and associated eligible travel expenses. One person representing each regional Member from a developing country is eligible to seek payment of travel expenses to attend each regular meeting of the Standing Committee.

Annex 2 Terms of Reference of the Animals and Plants Committees of the Conference of the Parties

Purpose

1. As the scientific advisory committees of the Conference of the Parties, the Animals and Plants Committees play an important role in providing scientific and technical expertise and advice for the implementation of a broad range of decisions adopted by the Conference of the Parties. This is evidenced in the adoption of Resolution Conf. 14.8 (Rev. CoP17) on the *Periodic Review of species included in Appendices I and II,* Resolution Conf. 12.8 (Rev. CoP18)[1] on the *Review of Significant Trade in specimens of Appendix II species* and Resolution Conf. 12.11 (Rev. CoP18)[2] on *Standard nomenclature*, for example. Further, Parties have recognized the importance of making available the best technical and scientific advice regarding CITES-listed species from different sources, origins and production systems, as well as the importance of assisting Parties in making non-detriment findings, and supporting their Scientific Authorities in accordance with Resolution Conf. 16.7 (Rev. CoP17) on *Non-detriment findings.* Parties have additionally recognized that nomenclature used in the Appendices or for proposals for listing new species in the Appendices will be most useful to the Parties if standardized through adoption of standard nomenclatural references, which also facilitates identification and tracking of specimens of CITES- listed species in trade and harmonises cooperation with other multilateral environmental agreements.

Functions

2. The Animals and Plants Committee shall, in accordance with instructions from and authority delegated by the Conference of the Parties in its resolutions and decisions:

   a) provide scientific advice and guidance to the Conference of the Parties, the other committees, the Secretariat and Parties on matters relevant to international trade in animal and plant species included in the Appendices;

   b) undertake the tasks which are directed to them by the Conference of the Parties through relevant resolutions or decisions including:

      i) review the biological, trade and other relevant information on Appendix-II species, subject to significant levels of trade in accordance with Resolution Conf. 12.8 (Rev. CoP18) on *Review of Significant Trade in specimens of Appendix II species*;

      ii) conduct periodic reviews of species included in Appendix I and II in accordance with Resolution Conf. 14.8 (Rev. CoP17) on *Periodic Reviews of species included in Appendix I and II*;

      iii) identify and address nomenclatural issues in accordance with Resolution Conf. 12.11 (Rev. CoP18) on *Standard nomenclature*; and

      iv) for the Animals Committee review biological, trade and other relevant information regarding animal species subject to significant levels of trade using source codes C, D, F or R in accordance with Resolution Conf. 17.7 (Rev. CoP18) on *Review of trade in animal specimens reported as produced in captivity*;

   c) upon request by Parties or the Secretariat, provide advice on the making of non-detriment findings in the context of Resolution Conf. 16.7 (Rev. CoP17) on *Non-detriment findings*, and on the management of quotas in the context of Resolution Conf. 14.7 (Rev. CoP15) on *Management of nationally established export quotas*;

   d) provide scientific advice on identification issues, and on training and other capacity-building materials, tools and guides to promote their accuracy and availability;

   e) upon request by Parties, provide advice related to scientific, technical and nomenclatural aspects of proposals to amend the Appendices;

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[1] *Corrected by the Secretariat following the 18th meeting of the Conference of the Parties.*

[2] *Corrected by the Secretariat following the 18th meeting of the Conference of the Parties.*

f) upon request by Parties, provide technical, scientific and nomenclatural advice to Parties concerning the management of trade in specimens of CITES-listed species from different sources, origins and production systems, including captive breeding and artificial propagation;

g) draft resolutions or decisions on scientific matters related to animals or plants, for consideration by the Standing Committee and the Conference of the Parties, with a budget for the work involved and an indication of the source of funding;

h) perform any other functions that may be entrusted to them by the Conference of the Parties or the Standing Committee; and

i) report to the Conference of the Parties and, if so requested, to the Standing Committee, on the activities they have carried out or supervised between meetings of the Conference.

3. In giving instructions to the Animals and Plants Committees, the Conference of the Parties and the Standing Committee agree to pay due attention to whether the nature of the work is within their mandate as set out in paragraph 2, and whether the committees have the resources, time and expertise to undertake such work.

4. When making requests in the context of paragraph 2 c), e) and f) above, Parties should be mindful of the limited resources of the committees.

Membership

5. The membership of the Animals and Plants Committee shall be elected by the Conference of the Parties and consist of:

a) one person selected by each of the major geographic regions consisting of North America and Oceania based on candidates nominated by Parties from these regions;

b) two persons selected by each of the major geographic regions consisting of Africa, Asia, Central and South America and the Caribbean, and Europe based on candidates nominated by Parties from these regions; and

c) a specialist on zoological nomenclature (Animals Committee) and a specialist on botanical nomenclature (Plants Committee) selected by their respective Committees based on candidates nominated by Parties, and who are *ex-officio* and non-voting.

6. One person shall also be selected and elected as an alternate Member for each of the Members listed in paragraph 5 above to serve as an acting Member at meetings only in the absence of the Member for whom he/she is the alternate.

7. The membership of the Committees shall be reviewed at every regular meeting of the Conference of the Parties. The terms of office of the Members shall commence at the close of the regular meeting at which they are elected and shall expire at the close of the second regular meeting thereafter.

8. A Chair and a Vice-Chair shall be elected by the Committee from amongst the regional Members and shall normally serve until the close of the second regular meeting after being elected. In the absence of the Chair at a meeting, the Vice-Chair shall be acting as the Chair.

9. The Chair should be replaced in his/her role of regional Member by his/her alternate. In the absence at a meeting of the alternate in question, the Chair shall serve also as regional Member for his/her region on an *ad hoc* basis.

10. Regarding nomination of candidates, the following guidelines should be implemented:

a) Parties proposing candidates as Members or alternate Members should confirm, at the time of nomination, that the candidate will be supported and that they will obtain the necessary means to undertake their activities;

b) the names of the proposed candidates, and their *curricula vitae*, should be officially submitted to the Secretariat at least 120 days before the meeting of the Conference of the Parties at which the representatives will be elected. These candidatures should be communicated to all the Parties of the region concerned as soon as possible thereafter by the Secretariat. In case of the nomenclature specialists, the names and their *curricula vitae* of the proposed candidates shall be circulated to the relevant committee;

c) ideally the candidates should be associated with a Scientific Authority, have adequate knowledge of CITES and receive sufficient institutional support to carry out their duties. This information should also be included in the *curricula vitae*; and

d) proposed candidates should be persons; a Party should not be accepted as a proposed candidate even if it plans to identify a person at a later time.

11. Regarding the timing of replacement of regional Members and alternate Members, the procedure should be the same as that described above for the Standing Committee and:

a) as alternate Members are alternates of specified Members, they should be elected at the same time as the Members;

b) if a region wishes to re-elect a Member or alternate Member, there is nothing to prevent it from doing so; and

c) in the event that no nominations have been received before the deadline the incumbent shall remain, if so willing and able, as a representative until a replacement is elected.

12. In the event of a vacancy arising amongst the Members or alternate Members of a committee between regular meetings of the Conference of the Parties, the following procedure shall apply:

a) the Secretariat shall notify the vacancy to the committee concerned, the Chair of the Standing Committee and the regional Member(s) of the Standing Committee from the region concerned (which may be all regions in the case of a nomenclature specialist);

b) the Secretariat shall immediately issue a Notification to the Parties calling for nominations from Parties in the region or regions concerned for a person to fill the vacancy on an interim basis;

c) the Secretariat shall provide the names and *curricula vitae* of the candidates received to the Chair of the Standing Committee and to the Standing Committee's Regional Member(s) from the region concerned or, in the case of a vacancy for a nomenclature specialist, to the committee concerned. They will decide on the person to fill the vacancy on an interim basis until the next regular meeting of the Conference of the Parties;

d) until a decision is reached in the case of a vacancy of a Member, the provisions of paragraph 6 above apply; and

e) At the next regular meeting of the Conference of the Parties, the vacancy shall be filled in accordance with paragraph 5 of the present Annex. Nothing shall prevent the person appointed on an interim basis from being later proposed to fill the position.

Duties of the Members of the Animals and Plants Committees

13. The duties of the Members elected to the Animals and Plants Committees and their alternates are as follows:

a) each Member should, to the best of his/her abilities, act as impartially as possible and endeavour to base his/her judgements and opinions upon an objective, scientific assessment of the available evidence;

b) each Member should collaborate with his/her alternate regarding the work to be done between the meetings of the committee;

c) each Member should maintain regular communication with the Parties in his/her region;

d) when a region has more than one representative, the representatives should also agree which Parties each represents. Contact should also be established with non-Parties in the region;

e) each Member should increase the awareness of the role and function of the committee, its mandate and the issues of concern to his/her region through mechanisms such as participation in seminars or in related meetings organized by the Secretariat and by other organizations at regional or sub-regional level;

f) before the meetings of the committee, the Members should inform and consult the Parties in their regions about the agenda and in particular on matters specifically relevant to the countries of the region;

g) the Members should submit a written report, covering the preceding period, to each meeting of the committee;

h) the Members should inform the Parties in their regions of the results of each meeting of the committee in particular on matters specifically relevant to the countries of the region;

i) the Members must inform the alternates well in advance if they will not attend a forthcoming committee meeting; and

j) the Members should provide to their successors all relevant information on the activities in the region.

14. The zoological and botanical nomenclature specialists of the Animals and Plants Committees shall coordinate, monitor and analyse the input needed from specialists in fulfilling their responsibilities as assigned by the Parties.

Meeting Procedures

15. When back-to-back meetings of the Animals and Plants Committees include a joint session, the duration of the separate committee meetings should be four days, but when not back-to-back, the length of each meeting should be five days, unless the Chair and the Secretariat consider that a shorter meeting may be sufficient.

Financial Support

16. The Conference of the Parties determines the budget of the Secretariat, including the financial resources provided to support meetings of the Animals and Plants Committees and associated eligible travel expenses. Each Member from a developing country and the nomenclature specialists are eligible to seek payment of travel expenses to attend each regular meeting of the Animals or Plants Committee.

17. Parties and regions are urged to utilize or develop long-term sustainable funding mechanisms to support their representatives in the Committees, including the nomenclature specialists.

Conf. 18.3

CITES 战略愿景 2021-2030

重申 公约旨在通过国际贸易促进国际合作，以保护某些野生动植物物种免遭过度开发，并认识到在物种分布范围内保持一定数量的物种以维持其在生态系统中的作用的重要性；

认识到 从美学，科学，文化，娱乐，礼仪和经济的角度野生动植物不断增长的价值，及其对当地社区因保护和可持续利用的惠益；

意识到 确保在全球范围内有效执行公约的必要性；

承认 公约目标的实现依赖人民和国家对公约的成功实施，他们是并且应该是当地野生动植物资源最好的保护者；

忆及 联合国可持续发展大会的成果文件“我们想要的未来”，并重申《濒危野生动植物种国际贸易公约》位于贸易、环境与发展三者的交汇处，旨在促进生物多样性的保护和可持续利用，应为土著人民和当地社区贡献有实实在在的利益，同时应确保没有任何物种因进入国际贸易而遭受灭绝的威胁；

还忆及 联合国大会第70/1号决议关于《改变我们世界： 2030年可持续发展议程》及其中的可持续发展目标和指标；

确认 《濒危野生动植物种国际贸易公约》缔约方大会欲为《 2030年可持续发展议程》及其可持续发展目标做出贡献；

回顾 《 CITES战略愿景(2008-2020)》考虑到了各生物多样性相关的公约之间的合作的重要性及公约对实现《生物多样性战略计划 (2011-2020)》各项目标的贡献的重要性；

指出 《2020后全球生物多样性框架》将被缔约方在2020年的第十五次生物多样性公约缔约方大会上采纳；

认识到 《CITES战略愿景(2021-2030)》可为2020后全球生物多样性框架做出重要贡献；

认可 政府间生物多样性和生态系统服务科学-政策平台的《2019年生物多样性和生态系统服务的全球评估报告》对CITES工作的重要性;及

还**确认** 全球合作对解决野生动植物非法贸易所导致的威胁的重要性，这一点在联合国大会关于打击野生动植物非法贩运的第69/314号决议中已予以认可，及在野生动植物犯罪国际联盟中发挥重要作用；

公约缔约方大会

1. 采纳 通过CITES 战略愿景2021-2030，本决议附件；及
2. 废除 关于CITES战略愿景的16.3(Rev. CoP17)决议： 2008-2020*

* 来自秘书处的记录：从第17.18号决定中可以明显看出，缔约方意欲在大会第16.3号决议(Rev. CoP17)关于CITES公约战略愿景(2008-2020)持续执行到2020年底。因此，秘书处将继续将大会第16.3号决议(Rev. CoP17)放置于CITES网站上供参考，直至2020年12月31日。

附件　CITES 战略愿景 2021-2030

引言

《濒危野生动植物种国际贸易公约》(CITES)于1973年3月3日缔结，并于1975年7月1日正式生效。CITES为所列的物种的合法和可持续的国际贸易提供了一个全球框架。现今，CITES规范了多达36 000种野生动植物的贸易。CITES已经被广泛视为最重要的国际保护工具之一。自1975年以来，缔约方大会通过采纳决议和决定，修改框架来适应不断变化的环境，证明其通过制定切实可行的方案以解决日益复杂的野生动植物贸易和保护等方面挑战的能力。

在第十一次缔约方大会(吉吉里，2000年)上通过了第一个战略愿景即《到2005年的战略愿景》和一项行动计划。随后，在第十三次缔约方大会(2004年，曼谷)上将此战略愿景期限延长至2007年底。

最初，在第十四次缔约方大会(2007年，海牙)上提及；在第十六次缔约方大会(2013年，曼谷)上达成愿景修订版，第十七次缔约方大会(2016年，约翰内斯堡)上各缔约方同意了一项新的公约战略愿景即《 CITES战略愿景(2008-2020)》 。达成的修订版描述了CITES活动对实现《 生物多样性战略计划(2011-2020)》和被生物多样性公约缔约方采纳的有关《爱知生物多样性目标》的贡献，及对实现《2030年可持续发展议程 》及其与CITES相关目标与战略的贡献。

通过本次新《战略愿景》，CITES缔约方大会已勾勒出CITES在2021-2030年时间段履行其职责方面的新方向。此外，人们认识到，缔约方为执行公约所做的努力也可能使其他论坛正在开展的工作受益并从中汲取力量，从这个意义上讲，它突出了CITES与以下所列进程和行动之间的联系：

- 《2030年可持续发展议程》及其与CITES有关的可持续发展目标，包括陆地和海洋野生动植物的可持续发展目标；
- 《生物多样性公约》缔约方正在制定的《 生物多样性战略计划(2011-2020)》和《 生物多样性框架(2020后)》；
- 生物多样性和生态系统服务政府间科学-政策平台关于《2019年生物多样性和生态系统服务全球评估报告》的结论；及
- 联合国大会的有关决议。

《CITES战略愿景》为CITES决议和决定的未来发展提供了框架，同时为要实现的目标和目的提供了指导。缔约方大会将通过其决议和决定以酌情确定缔约方、常务委员会或秘书处应采取的行动。本《战略愿景》也可以作为一个工具，依照高效和透明使用资源的需求，为缔约方确定开展活动的优先性，并且决定如何最好地提供资助这些活动。

《愿景》声明

到2030年，所有野生动植物国际贸易都是合法的和可持续的，与物种的长期保护相一致，从而有助于制止生物多样性的丧失，确保其可持续利用并实现2030年可持续发展议程。

价值观

CITES缔约方在国际贸易中为保护物种的最大利益而行动，努力确保其利用是合法和可持续的，并力求采取与预期对物种造成的风险相称的措施。为此，缔约方对公平、公正、地域和性别平衡及透明性有着共同的承诺。

目的

战略愿景的双重目的是：

- 优先改善公约的工作，使得野生动物和植物的国际贸易[†]在可持续层面合法开展，同时为所列入物种的保护提供支持；及
- 确保CITES政策制定与国际环境优先领域形成相互支持，并在与CITES基本规定一致的情况下考虑新的国际倡议。

战略目标

为了达到这一目的，五个优先级等同的广义目标，被确定为《战略愿景》的关键组成部分：

- 目标1：为实现保护和可持续利用，CITES所列物种的贸易需完全遵守公约规定。
- 目标2：缔约方的决策需得到最好的科学和信息支持；
- 目标3：缔约方(独自和集体)拥有有效实施和执行公约的工具、资源和能力，有助于保护、可持续利用和减少CITES附录野生动植物物种的非法贸易；
- 目标4：CITES政策发展也有助于实现可持续发展，并从国际努力中汲取经验；及
- 目标5：通过合作，使得CITES的战略愿景得以完善；

上述目标致力于巩固CITES现有实力，确保CITES的执行和优先实现总体目标，进一步改善与互补的国际努力的关系，实现保护和可持续发展，包含与相关多边环境协定、公约、协议及协会的关系。

目标1 认识到只有通过确保遵守CITES的规定，才能实现公约的目标。该目标说明公约的执行情况，及公约如何有效地保护和可持续利用CITES附录中的野生动植物。认识到 公约在实现其愿景方面的有效性取决于所有缔约方的全面执行。全面执行包括每个缔约方对公约及其原则的承诺。同样重要的是，每个缔约方承诺将国际合作具体化，这对公约的成功至关重要。为实现该目标而采取的行动可能包括开发创新工具，以用于识别和追踪贸易中的物种、做出非致危性判定、确定合法来源，并用于分享贸易信息。它要求各缔约方制定适当的贸易规定，并且可以在不过于繁复的情况下执行。

在目标2中，CITES缔约方认识到有必要产生并有渠道获得最佳可用的科学和信息，以支持其贸易风险评估、提出附录物种提案、许可和执行决策。尤其是可能被发现于科学文献、种群调查、原产地记录或专业文献和标准的，用于支持非致危性判定、，确定合法来源和评估活体标本照料情况的信息相关信息应该可被国家和国际专家平等分享，包括土著居民和当地社区的相关知识。此外，在不确定的情况下，无论是关于物种的状况还是贸易影响，缔约方承诺为保护该物种的最佳利益而采取行动，并旨在采取与预期对被

[†] 需要注意，《战略愿景》中所用的“贸易”一词的含义与CITES文本第1条含义相同

考量物种造成的风险相称的措施。

目标3 认识到有必要适当支持各缔约方以有效执行公约。CITES缔约方负责确保强制执行和一致履行公约义务，从而最终负责如何有效实现本《公约愿景》。实际上，除了在内部为每个缔约方分配适当的资源外，充分执行CITES还要求提供及时的能力建设的条款和充足的财政资源。该目标的根本是应认识到有效的执法是打击非法和不可持续的贸易对野生动植物构成威胁的关键。缔约方认识到CITES在打击偷猎和贩运物种的全球努力中的重要作用(包括通过提高土著居民和地方社区寻求可持续生计机会的能力)，来应对非法野生动植物产品的供需，并处理有组织犯罪和包括腐败在内的低劣治理。

目标4 明确承认CITES对《 2030年可持续发展议程》的重要贡献，该议程旨在通过平衡经济、社会和环境的发展来实现可持续发展。它是一个被广泛接受和适用范围广的国际进程，它包含直接或间接取决于有效执行CITES的若干目标，包括支持合法、可持续的野生动植物贸易及打击非法和不可持续的野生动植物贸易。CITES缔约方理解并旨在传达有效执行公约对实现全球可持续发展目标的重要贡献。CITES缔约方同样认识到有必要从关于可持续发展的全球论辩中吸取教训，认识到CITES处于贸易、环境与发展的交汇处。

最后，目标5旨在利用现有或新的伙伴关系或联盟来帮助实现其战略愿景。这也包括与现有伙伴关系的工作，例如其他公约、国际协议和组织、政府组织、非政府或政府间组织或其他伙伴，及国家或地区级别的伙伴关系。它还反映了发展相关的新的伙伴关系或联盟，并以此推进公约的目标，并将CITES的执行工作纳入到相关部门和利益相关者的主要任务中。这类合作的目的是相互支持的，通过促进CITES目标的实现，CITES缔约方还可以同步帮助推进其他国际目标或指标。

在每个目标框架中，本《战略愿景》确定了一系列将要实现的具体目标。

CITES 战略目标

确保国际野生动植物贸易不威胁野生动植物种的生存：

目标 1	**在为实现保护和可持续利用，CITES 所列物种的贸易需完全遵守公约规定**
目标 1.1	缔约方通过采纳和执行适当的立法、政策和程序来履行公约义务。
目标 1.2	缔约方设立了 CITES 管理结构、科学机构和执法联络人，以有效地履行公约和有关决议规定的职责。
目标 1.3	国家层面的履约需与缔约方大会所采纳的决议和决定协调一致。
目标 1.4	CITES 附录正确反映保护状况和物种需求。
目标 1.5	缔约方改善 CITES 附录标本的保护状况，采取国家保护行动，支持其可持续利用并促进在管理野生动植物共享资源方面的合作。
目标 2	**缔约方的决策能被最佳科学和信息支持**

目标 2.1　缔约方的非致危性判定基于可获得的最佳科学信息，其合法来源判定基于可获得的最佳技术和法律信息。

目标 2.2　缔约方合作分享与执行 CITES 有关的信息和工具。

目标 2.3　缔约方掌握足够信息来执行公约。

目标 2.4　缔约方有足够的信息来做出反映物种保护需求的列入决定。

目标 2.5　确立并解决关键物种的信息空白和需求。

目标 3　缔约方(独自和集体)拥有有效实施和执行公约的工具、资源和能力，有助于保护、可持续利用和减少 CITES 所列野生动植物物种的非法贸易

目标 3.1　缔约方设有透明、实用、连贯的和用户友好的行政程序，以减少不必要的行政负担。

目标 3.2　缔约方和秘书处应开发、采纳和执行合乎需求的能力建设项目。

目标 3.3　在国家和国际水平上都具有充足资源来支持必要的能力建设项目，同时确保公约的完全遵守、履行和执法。

目标 3.4　缔约方认识到野生动植物的非法贸易为严重犯罪，并有适当的系统予以侦查和制止。

目标 3.5　为了贸易合法化和可持续发展，缔约方跨分布、中转和目的地国展开合作，以解决整个非法贸易链，包括通过减少非法产品供需战略。

目标 3.6　缔约方采取措施禁止、预防、侦查和制裁腐败。

目标 3.7　对 CITES 能力建设方面的投资应是优先的、协调的，并对其成功进行监控，以确保逐步改进。

目标 3.8　缔约方应充分利用新兴技术的发展来提升履约和执法的效率。

目标 4　CITES 政策发展也有助于并汲取经验于实现可持续发展的国际努力

目标 4.1　缔约方支持可持续的野生动植物贸易政策，尤其是那些提高土著居民和当地社区谋生能力的政策。

目标 4.2　认识到实现 CITES 目标对实现相关的可持续发展目标及《全球生物多样性框架（2020 年后）》的重要性。

目标 4.3　在全球范围内提升关于 CITES 的作用、目标和成就的意识。

目标 4.4　缔约方知悉可能与实现 CITES 目标有关的国际可持续发展行动。

目标 5 **通过合作使得 CITES 的战略愿景得以传播**

目标 5.1 缔约方和秘书处支持并加强现有的合作伙伴关系，以实现其确定的目标。

目标 5.2 缔约方鼓励 CITES 与相关国际伙伴之间建立新的、创新的和交互可持续的联盟，以促进 CITES 的目标和使得保护和生物多样性的可持续利用成为主流。

目标 5.4 为了支持公约履行和实施的活动，应加强 CITES 与国际财政机制及其他相关机构合作。

Conf. 18.3 CITES Strategic Vision: 2021-2030

REITERATING the aim of the Convention to promote international cooperation for the protection of certain species of wild fauna and flora against over-exploitation through international trade and recognizing the importance of maintaining those species throughout their range at a level consistent with their role in the ecosystem;

ACKNOWLEDGING the ever-growing value of wild fauna and flora from an aesthetic, scientific, cultural, recreational, ceremonial and economic point of view, and the benefits to local communities arising from the conservation and sustainable use of wild flora and fauna;

CONSCIOUS of the need to ensure the effective implementation of the Convention globally;

RECOGNIZING that achieving the aim of the Convention is reliant on its successful implementation by peoples and States, who are and should be the best protectors of their own wild fauna and flora;

RECALLING the outcome document of the United Nations Conference on Sustainable Development, "The Future we Want", and reiterating that CITES stands at the intersection between trade, the environment and development, promotes the conservation and sustainable use of biodiversity, should contribute to tangible benefits for indigenous peoples and local communities, and ensure that no species is threatened with extinction by entering into international trade;

RECALLING also Resolution 70/1 of the United Nationals General Assembly on *Transforming our World; the 2030 Agenda for Sustainable Development,* and the Sustainable Development Goals and Targets contained therein;

RECOGNIZING the intent of the Conference of the Parties to contribute to the 2030 Agenda for Sustainable Development and its Sustainable Development Goals, as relevant to CITES;

RECALLING the importance that the *CITES Strategic Vision 2008-2020* placed on cooperation among the biodiversity-related Conventions and the contribution of the Convention to meeting the goals and targets of the *Strategic Plan for Biodiversity 2011-2020;*

NOTING that the post-2020 Global Biodiversity Framework will be adopted by Parties to the Convention on Biological Diversity at their 15th Conference of the Parties in 2020;

RECOGNIZING that the CITES Strategic Vision 2021-2030 can make an important contribution to the post 2020 Global Biodiversity Framework;

RECOGNIZING the importance of the findings in the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services 2019 Global Assessment Report on Biodiversity and Ecosystem Services to the work of CITES; and

ALSO ACKNOWLEDGING the importance of global cooperation to address the threats posed by illegal trade in wildlife as recognized in, among others, Resolution 69/314 of the United Nations General Assembly on *Tackling illicit trafficking in wildlife* and the important role of the International Consortium on Combatting Wildlife Crime in this regard;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. ADOPTS the *CITES Strategic Vision: 2021-2030*, annexed to this Resolution; and

2. REPEALS Resolution Conf. 16.3 (Rev. CoP17) on *CITES Strategic Vision: 2008-2020.*[1]

[1] *Note from the Secretariat: It is clear from Decision 17.18 that the Parties intended the Strategic Vision in Resolution Conf. 16.3 (Rev. CoP17) on* CITES Strategic Vision: 2008-2020 *to continue until the end of 2020. The Secretariat will therefore maintain Resolution Conf. 16.3 (Rev. CoP17) on the CITES website for reference until 31 December 2020.*

Annex CITES Strategic Vision: 2021-2030

Introduction

The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) was concluded on 3 March 1973 and entered into force on 1 July 1975. CITES provides a global framework for the legal and sustainable international trade in CITES-listed species. Today, CITES regulates trade in more than 36 000 species of wild animals and plants. CITES is widely regarded as one of the most important international conservation instruments. Since 1975, the Conference of the Parties has adapted this framework to changing circumstances and, through the adoption of Resolutions and Decisions, has demonstrated an ability to construct practical solutions to increasingly complex wildlife trade and conservation challenges.

The Conference of the Parties adopted its first strategic plan, the *Strategic Vision through 2005*, and an *Action Plan* at its 11th meeting (Gigiri, 2000). These were subsequently extended until the end of 2007 at the 13th meeting of the Conference of the Parties (Bangkok, 2004).

Initially, at its 14th meeting (The Hague, 2007), and with amendments agreed at its 16th (Bangkok, 2013) and 17th (Johannesburg, 2016) meetings, the Conference of the Parties agreed a new Strategic Vision for CITES for the period 2008-2020. The agreed amendments describe the contribution of CITES' activities to the achievement of the Strategic Plan for Biodiversity 2011-2020 and the relevant *Aichi Biodiversity Targets* adopted by the Parties to the Convention on Biological Diversity, as well as to the achievement of the 2030 Agenda for Sustainable Development, and its Goals and targets relevant to CITES.

With this new Strategic Vision, the Conference of the Parties to CITES outlines the Convention's direction for the 2021-2030 timeframe in fulfilment of its mandate. It is additionally recognized that Parties' efforts to implement the Convention may also provide benefit to, and draw strength from, efforts being undertaken in other fora, and in this sense highlights the linkages between CITES and, *inter alia*, the processes and actions listed below:

– the 2030 Agenda for Sustainable Development and its Sustainable Development Goals and targets relevant to CITES, including those for terrestrial and marine wildlife;

– the Strategic Plan for Biodiversity 2011-2020 and the post-2020 Biodiversity Framework being developed by Parties to the Convention on Biological Diversity;

– the findings of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services 2019 Global Assessment Report on Biodiversity and Ecosystem Services; and

– relevant resolutions of the United Nations General Assembly.

The *CITES Strategic Vision* provides a framework for the future development of the CITES Resolutions and Decisions and provides guidance on goals and objectives to be achieved. The Conference of the Parties, through its Resolutions and Decisions, will determine actions to be taken by Parties, the Committees or the Secretariat, as appropriate. The Strategic Vision also serves the Parties as a tool for the prioritization of activities, and decisions on how best to fund them, in light of the need for the efficient and transparent use of resources.

Vision Statement

By 2030, all international trade in wild fauna and flora is legal and sustainable, consistent with the long-term conservation of species, and thereby contributing to halting biodiversity loss, to ensuring its sustainable use, and to achieving the 2030 Agenda for Sustainable Development.

Values

Parties to the Convention on International Trade in Endangered Species of Wild Fauna and Flora act in the best interest of the conservation of species, working to ensure their use is legal and sustainable, and aim to adopt measures proportionate to the anticipated risks to the species under consideration. In doing so, Parties have a shared commitment to fairness, impartiality, geographic and gender balance, and to transparency.

Purpose

The twofold purpose of the Strategic Vision is:

– as a priority, to improve the working of the Convention, so that international trade[1] in wild fauna and flora is conducted legally at sustainable levels and supports the conservation of listed species; and

– to ensure that CITES policy developments are mutually supportive of international environmental priorities and take into account new international initiatives, consistent with the terms of the Convention.

Strategic Goals

In order to achieve this purpose, five broad goals, of equal priority, have been identified as the key components of the *Strategic Vision*:

– **Goal 1**: Trade in CITES-listed species is conducted in full compliance with the Convention in order to achieve their conservation and sustainable use;

– **Goal 2**: Parties' decisions are supported by the best available science and information;

– **Goal 3**: Parties (individually and collectively) have the tools, resources and capacity to effectively implement and enforce the Convention, contributing to the conservation, sustainable use and the reduction of illegal trade in CITES-listed wildlife species;

– **Goal 4:** CITES policy development also contributes to and learns from international efforts to achieve sustainable development; and

– **Goal 5**: Delivery of the CITES Strategic Vision is improved through collaboration.

The goals aim at consolidating the existing strengths of CITES, ensuring the implementation of CITES and the achievement of its overarching aim as a priority, and further improving the relationship with complementary international efforts to achieve conservation and sustainable development, including with other relevant multilateral environmental agreements and related conventions, agreements and associations.

Goal 1 recognizes that only through ensuring compliance with CITES provisions will the aim of the Convention be achieved. This goal speaks to the performance of the Convention and how effectively it is resulting in the conservation and sustainable use of CITES-listed wild fauna and flora. It recognizes that the effectiveness of the Convention at achieving its Vision depends upon its full implementation by all Parties. Full implementation includes commitment by each Party to the Convention and its principles. Equally important is the commitment of each Party to embody the international co-operation essential for the success of the Convention. Actions to achieve the intent of this goal might include developing innovative tools for the identification and traceability of species in trade, the making of non-detriment findings, determining legal acquisition and for the sharing of trade information. It requires Parties to develop provisions for trade that are proportionate and that can be implemented without undue complexity.

In Goal 2, CITES Parties recognize the need to generate and have access to the best available science and information for supporting their trade risk assessments, listing proposals, permitting and enforcement decisions. Among others, information to support the making of non-detriment findings, determining legal acquisition and evaluating the care of live specimens might be found in the scientific literature, population surveys, provenance records or professional literature and standards. Information might equally be held by national and international experts, including the relevant knowledge of indigenous peoples and local communities. Further, in cases of uncertainty, either as to the status of a species, or the impact of trade, Parties commit to act in the best interest of the conservation of the species and aim to adopt measures proportionate to the anticipated risks to the species under consideration.

Goal 3 recognizes the necessity of appropriately supporting Parties to effectively implement the Convention. It is the CITES Parties that are responsible for ensuring enforcement and consistent application of the Convention's obligations, and thus ultimately responsible for how effectively the Convention achieves its Vision. Practically, in addition to appropriate resources allocation to each Party internally, full implementation of CITES also demands the provision of timely capacity building and of

[1] *It should be noted that all references to 'trade' in the Strategic Vision refer to trade as defined in Article I of the Convention.*

adequate financial resources. Underlying this goal is the recognition that effective enforcement is key to combatting the threat illegal and unsustainable trade poses to wild flora and fauna. Parties recognize the important role of CITES in global efforts to combat poaching and trafficking of species (including by increasing the capacity of indigenous peoples and local communities to pursue sustainable livelihood opportunities), to address both demand and supply of illegal wildlife products, and to tackle organized crime and poor governance, including corruption.

Goal 4 explicitly recognizes the important contribution of CITES to the 2030 Agenda for Sustainable Development, which seeks to achieve sustainable development through balancing the economic, social and environmental dimensions. It is a widely accepted and broad-scope international process, and it contains several goals and targets that are directly or indirectly dependent on effective implementation of CITES, including supporting legal, sustainable wildlife trade, and tackling both illegal and unsustainable wildlife trade. CITES Parties understand and aim to communicate the important contribution the effective implementation of the Convention has in achieving the global Sustainable Development Goals. CITES Parties equally recognize the need to draw lessons from the global debate on sustainable development, in recognition that CITES stands at the intersection between trade, the environment and development.

Finally, Goal 5 aims to use existing or new partnerships or alliances to help achieve its Strategic Vision. This could include work within existing partnerships, such as other conventions, international agreements and organizations, governments, non-governmental or intergovernmental organizations or others, as well as partnerships at the national or regional level. It also reflects work to develop new partnerships or alliances, as relevant and in order to advance the aim of the Convention, and mainstream CITES implementation with relevant sectors and stakeholders. The aim of such collaborations is mutually supportive, where CITES Parties can also help advance other international goals or targets by simultaneously advancing the achievement of CITES goals.

Within the framework provided by each of these goals, this Strategic Vision identifies a number of objectives to be achieved.

CITES Strategic Objectives

To ensure that international wildlife trade does not threaten the survival of wild species of flora and fauna:

GOAL 1 TRADE IN CITES-LISTED SPECIES IS CONDUCTED IN FULL COMPLIANCE WITH THE CONVENTION IN ORDER TO ACHIEVE THEIR CONSERVATION AND SUSTAINABLE USE

Objective 1.1 Parties comply with their obligations under the Convention through the adoption and implementation of appropriate legislation, policies, and procedures.

Objective 1.2 Parties have established CITES Management and Scientific Authorities and enforcement focal points that effectively carry out the duties required of them under the Convention and relevant Resolutions.

Objective 1.3 Implementation of the Convention at the national level is consistent with Resolutions and Decisions adopted by the Conference of the Parties.

Objective 1.4 The Appendices correctly reflect the conservation status and needs of species.

Objective 1.5 Parties improve the conservation status of CITES-listed specimens, put in place national conservation actions, support their sustainable use and promote cooperation in managing shared wildlife resources.

GOAL 2 PARTIES' DECISIONS ARE SUPPORTED BY THE BEST AVAILABLE SCIENCE AND INFORMATION

Objective 2.1 Parties' non-detriment findings are based on best available scientific information and their determination of legal acquisition is based on the best available technical and legal information.

Objective 2.2 Parties cooperate in sharing information and tools relevant to the implementation of CITES.

Objective 2.3 Parties have sufficient information to enforce the Convention.

Objective 2.4 Parties have sufficient information to make listing decisions that are reflective of species conservation needs.

Objective 2.5 Information gaps and needs for key species are identified and addressed.

GOAL 3 PARTIES (INDIVIDUALLY AND COLLECTIVELY) HAVE THE TOOLS, RESOURCES AND CAPACITY TO EFFECTIVELY IMPLEMENT AND ENFORCE THE CONVENTION, CONTRIBUTING TO CONSERVATION, SUSTAINABLE USE AND THE REDUCTION OF ILLEGAL TRADE IN CITES-LISTED WILDLIFE SPECIES

Objective 3.1 Parties have in place administrative procedures that are transparent, practical, coherent and user-friendly, and reduce unnecessary administrative burdens.

Objective 3.2 Parties and the Secretariat develop, adopt and implement adequate capacity-building programmes.

Objective 3.3 Sufficient resources are available at the national and international levels to support necessary capacity-building programmes and ensure compliance with and full implementation and enforcement of the Convention.

Objective 3.4 Parties recognize illegal trade in wildlife as serious crime and have adequate systems in place to detect and deter it.

Objective 3.5 Parties work collaboratively across range, transit and destination states, to address entire illegal trade chains, including through strategies to reduce both the supply of and demand for illegal products, in order for trade to be legal and sustainable.

Objective 3.6 Parties take measures to prohibit, prevent, detect and sanction corruption.

Objective 3.7 Investments in building capacity of CITES are prioritized, coordinated, and their success monitored to ensure stepwise improvement through time.

Objective 3.8 Parties take full advantage of emerging technological developments to improve the effective implementation and enforcement of the Convention.

GOAL 4 CITES POLICY DEVELOPMENT ALSO CONTRIBUTES TO AND LEARNS FROM INTERNATIONAL EFFORTS TO ACHIEVE SUSTAINABLE DEVELOPMENT

Objective 4.1 Parties support sustainable wildlife trade policies, especially those that increase the capacity of Indigenous peoples and local communities to pursue livelihoods.

Objective 4.2 The importance of achieving CITES' aim as a contribution to achieving the relevant Sustainable Development Goals, as well as the post-2020 global biodiversity framework, is recognized.

Objective 4.3 Awareness of the role, purpose and achievements of CITES is increased globally.

Objective 4.4 CITES Parties are informed of international actions for sustainable development that may have a bearing on achieving the goal of CITES.

GOAL 5 DELIVERY OF THE CITES STRATEGIC VISION IS IMPROVED THROUGH COLLABORATION

Objective 5.1 Parties and the Secretariat support and enhance existing cooperative partnerships in order to achieve their identified objectives.

Objective 5.2 Parties encourage the formation of new, innovative and mutually sustainable alliances between CITES and relevant international partners, where appropriate to advance CITES' objective and mainstream conservation and of sustainable use of biodiversity.

Objective 5.3 Cooperation between CITES and international financial mechanisms and other related institutions is enhanced in order to support activities that contribute to CITES implementation and enforcement.

Conf. 18.4

与生物多样性和生态系统服务政府间科学政策平台的合作

忆及 CITES战略愿景 (2008-2020)的目标 [大会决议16.3(第十七次全体会议决议]，旨在加强与相关国际环境、贸易和发展的组织合作和CITES战略愿景(2021-2030)(大会决议 18.3)的目标是通过合作，使得CITES的战略愿景得以实现；

意识到 生物多样性和生态系统服务政府间科学政策平台(IPBES)是一个于2012年成立的独立政府间机构。该机构建立了沟通联合国环境规划署、联合国教科文组织、联合国粮农组织和联合国开发计划署等机构的联系；

认识到 IPBES的目标是为了增进生物多样性和生态系统服务的科学政策互动，来保护和可持续利用生物多样性及人类长期福祉和可持续发展，其目标与CITES的目标一致；及

注意到 CITES秘书处与IPBES秘书处于2017年3月7日签署合作备忘录；

公约缔约方大会

1. 鼓励缔约方采取进一步行动来强化IPBES和CITES之间的联系，增强在国家、国际层面上科学—政策方面的联系，包括在可能的情况下通过IPBES的管理机构适当展开工作；
2. 同时，为了及时向IPBES反馈有关CITES公约的参与情况，邀请缔约方向秘书处提供信息。
3. 指导常委会与动植物委员会主席和秘书处一同发挥作用；及
   a) 确保CITES公约和IPBES之间的双向关系，CITES公约既是IPBES的使用者或受益者，也是其贡献者；
   b) 确保CITES公约和IPBES之间沟通的有效性；
   c) 应增强国家的科学机构和管理机构对IPBES工作的需求，促进应用科学在CITES履约中发挥作用，包括非致危性判定和合法来源判定，及相关贸易决议和决定；
   d) 确保向IPBES承担的会间工作和常规工作发出CITES请求和投入资源时，能够按照相关时间表完成；及
   e) 确保CITES给IPBES投入任何资源前，需常委会主席经与委员会、动植物委员会主席磋商后同意，再由秘书处代表常委会传达；
4. 进一步指示常委会在每一次缔约方大会报告该项工作的成果；
5. 指示动物和植物委员会通过其主席协助常务委员会执行本决议，在与外部资源相关且受其制约的情况下，以观察员身份参加IPBES多学科专家小组(MEP)，从而加强多学科专家小组和CITES科学委员会之间的联系；及
6. 指示 秘书处：
   a) 协助常委会执行此项决定；
   b) 追踪IPBES管理机构的会间工作和常规工作，同时根据可用的外部资金，以观察员身份加入IPBES管理机构，从而加强IPBES管理机构和CITES管理机构之间的联系；及

c) 寻求外部资金，支持动植物委员会主席和秘书处参加IPBES会议。

Conf. 18.4 Cooperation with the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services

RECALLING the objective of the CITES Strategic Vision 2008-2020 [Resolution Conf. 16.3 (Rev. CoP17)] that cooperation with relevant international environmental, trade and development organizations is enhanced and the goal of the CITES Strategic Vision 2021-2030 (Resolution. Conf. 18.3) that delivery of the CITES Strategic Vision is improved through collaboration;

AWARE that the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES) was established in 2012 as an independent intergovernmental body and that an institutional link between the Plenary of IPBES and the United Nations Environment Programme, the United Nations Educational, Scientific and Cultural Organization, the Food and Agriculture Organization of the United Nations and the United Nations Development Programme has been established;

ACKNOWLEDGING that the objective of IPBES – to strengthen the science-policy interface for biodiversity and ecosystem services for the conservation and sustainable use of biodiversity, long-term human well-being and sustainable development – has relevance for the objectives of CITES; and

NOTING the Memorandum of Cooperation between the CITES and IPBES Secretariats signed on 7 March 2017;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. ENCOURAGES Parties to promote actions to reinforce linkages between IPBES and CITES and to strengthen the science-policy interface at the national and international levels, including through the governing body of IPBES, as appropriate;
2. INVITES Parties to provide inputs to the Secretariat in order to provide timely responses to IPBES in regard to CITES engagement.
3. INSTRUCTS the Standing Committee, working with the Chairs of the Animals and Plants Committees and the Secretariat, to:
   a) ensure that there is a two-way relationship between CITES and IPBES in which CITES is a user or beneficiary of IPBES, as well as a contributor to IPBES;
   b) ensure that communication between CITES and IPBES is effective;
   c) promote the needs of national Scientific and Management Authorities in the work of IPBES to foster the use of applied science for the implementation of CITES, including the making of non-detriment findings and legal acquisition findings, and related trade resolutions and decisions;
   d) ensure that CITES requests and input to intersessional and regular work undertaken by IPBES are provided in accordance with relevant timelines; and
   e) ensure that any inputs are conveyed to IPBES, with the endorsement of the Chair of the Standing Committee after consultation with the Committee and the Chairs of the Animals and Plants Committees, by the Secretariat on behalf of the Standing Committee;
4. FURTHER INSTRUCTS the Standing Committee to report at each meeting of the Conference of the Parties on the results of this work;
5. INSTRUCTS the Animals and Plants Committee, through their Chairs, to assist the Standing Committee with the implementation of this Resolution and, to participate, when relevant and subject to external resources, as observers in the IPBES Multidisciplinary Expert Panel (MEP) and thereby reinforce linkages between the MEP and the CITES scientific committees; and
6. INSTRUCTS the Secretariat to:
   a) assist the Standing Committee with the implementation of this Resolution;

b) track the intersessional and regular work of IPBES bodies and, as appropriate and subject to external funding, participate as an observer in the governing body of IPBES and thereby reinforce linkages between that body and the governing bodies of CITES; and

c) seek external funding to support attendance at IPBES meetings by the Chairs of the Animals and Plants Committees and the Secretariat.

Conf. 18.5

与世界遗产公约的合作与协同

忆及 Conf.16.4号决议《关于CITES公约与其他生物多样性相关公约的合作》；

意识到 世界自然遗产和双重遗产承载了多种本公约附录物种，且占全球数量很大比例；

注意到 从许多世界遗产地非法获取CITES所列物种的行为正在进一步威胁这些物种的生存，这也是许多此类遗址被指定为濒危世界遗产的原因之一；

承认 通过建立与生物多样性相关公约联络小组，本公约与《世界遗产公约》之间正在持续开展的合作；

认识到 世界遗产委员会第41届会议7号决定的第35和36段，鼓励CITES与《世界遗产公约》之间的合作；及

认识到 CITES与《野生动物迁徙物种公约》之间的联合工作方案如何为保护许多共同关心的物种做出了贡献，从而在实践中为CITES与其他公约之间的实际合作提供可借鉴模式；

公约缔约方大会

1. 鼓励 秘书处和教科文组织世界遗产中心，酌情并在可获得外部资源的情况下，在共同关心的遗址和物种上开展更密切的合作；
2. 鼓励 既是联合国教科文组织《世界遗产公约》缔约国也是CITES缔约方的管理结构和科学机构与各自国家的《世界遗产公约》联络员展开合作；
3. 邀请 捐助者支持惠益CITES和联合国教科文组织《世界遗产公约》共同目标的活动；及
4. 敦促 在其领土内拥有自然遗产或双重遗产的各缔约方，在其完整性受到CITES所列物种的偷猎及相关非法贸易的威胁时，加强其他原产国、中转国和消费国的外联，作为它们为解决这一问题而做出的努力的一部分。

Conf. 18.5 Cooperation and synergy with the World Heritage Convention

RECALLING Resolution Conf. 16.4, on *Cooperation of CITES with other biodiversity-related Conventions*;

AWARE that Natural and Mixed World Heritage Sites host a high proportion of the global populations of many CITES-listed species;

NOTING that illegal offtake of CITES-listed species from many World Heritage sites is further endangering these species, and is one of the reasons why many such sites have been designated as World Heritage in Danger;

ACKNOWLEDGING the ongoing cooperation between CITES and the World Heritage Convention via the Liaison Group of Biodiversity-related Conventions;

RECOGNIZING Paragraphs 35 and 36 of Decision 41 COM 7 of the World Heritage Committee, which encourages cooperation between CITES and the World Heritage Convention; and

RECOGNIZING how the joint programme of work between CITES and the Convention on Migratory Species of Wild Animals (CMS) is contributing to the conservation of many species of mutual concern, and thus provides a model for cooperation between CITES and other Conventions at a practical level;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. ENCOURAGES the Secretariat and the UNESCO World Heritage Centre to engage in closer cooperation, as appropriate and subject to availability of external resources, on sites and species of mutual concern;
2. ENCOURAGES the CITES Management and Scientific Authorities of those Parties that are also Party to the UNESCO World Heritage Convention to cooperate with their respective World Heritage Focal Points;
3. INVITES donors to support activities that benefit the objectives of both CITES and the UNESCO World Heritage Convention; and
4. URGES Parties with World Heritage natural or mixed sites within their territory, whose integrity is threatened by poaching of CITES-listed species and associated illegal trade to reach out to other range, transit and consumer countries as part of their efforts to address the issue.

Conf. 18.6

管理机构的指定和作用

忆及 根据公约第九条要求各缔约方指定一个或多个有资格代表该缔约方发放许可证或证书的管理机构；

也忆及 一国交存批准书、接受书、核准书或加入书时应将其授权与其他缔约方和秘书处联系的管理机构的名称和地址通知保存国政府，公约第九条规定的指定或授权若发生任何的更改，都应通知秘书处，以转送所有其他缔约方；

也忆及 公约和相关决议描述了管理机构的主要职责；

确认 管理机构在管控CITES所列物种国际贸易及执行和遵守公约方面的基本作用和责任；

认识到 各缔约方有必要向管理机构提供足够的资源、稳定性和必要的培训及专业发展，因为它们的日常任务具有很高的技术性，有时甚至是复杂性，并且在确保有效执行公约方面发挥了关键作用；

谨记 Conf. 8.4 (Rev. CoP15)号决议指示秘书处查明那些国内措施未能提供相关权限的缔约方，尤其是未能提供指定至少一个管理机构权限的；

确认 其他缔约方和秘书处有能够轻松地与每个缔约方适当的管理机构进行沟通并联系的需求；及

进一步忆及 各缔约方参与Conf. 17.6号决议《禁止、预防、侦查和打击助长违反约活动的腐败》；

公约缔约方大会

1. 在本决议中设立以下章节：
   I. 关于管理机构的指定
   II. 关于签发许可证和证明书
   III. 关于报告义务
   IV. 关于注册
   V. 关于协调和能力建设
   VI. 关于与秘书处和其他缔约方的通讯
   VII. 附录修订提案的格式
   VIII. 关于标本的标记和可追溯性
   IX. 关于没收活体标本的处理：
   X. 关于意识提升

I. 关于管理机构的指定

2. 决定：
   a) 每个缔约方通过法律文书或行政法规指定其管理机构；确保那些管理机构具有履

行职责的必要权力；并将管理机构和科学机构的职能分开；

b) 在指定后，各缔约方通过外交部长，主管部长或常驻代表团将指定管理机构的名称和联系方式告知秘书处，以转送所有其他缔约方，并列入CITES国家机构的名录；

c) 如果缔约方指定了多个管理机构，则应任命其中一个管理机构，就下文第7、8、15和18段所述事项与秘书处和其他缔约方进行正式沟通；

d) 只能通过外交部长，主管部长或常驻代表团通知关于管理机构指定的变更；及

e) 联系人详细信息和人员的变更可能会被授权与秘书处正式沟通的管理机构负责人通知，并将反映在国家CITES机构目录中；

3. 鼓励 缔约方在通过指定管理机构的国家立法时使用CITES秘书处提供的关于野生动植物国际贸易的示范法草案；

II. 关于签发许可证和证明书

4. 提醒 各缔约方管理机构在签发许可证和证书方面的具体职能包括但不限于以下各项：

a) 根据公约和有关决议签发附录I，II和III中所包括物种标本的进出口许可证和证书，特别是Conf. 12.3 (Rev. CoP18)号决议《许可证和证明书》、 Conf. 9.6 (Rev. CoP16)号决议《关于易于辨认部分和衍生物的贸易》，及

Conf. 5.10 (Rev. CoP15)号决议《“以商业为主要目的”的定义》

b) 在签发许可证和证书之前，应根据公约第三，第四和第五条及相关决议，特别是Conf. 18.7号决议《合法来源判定》，断定该标本的获取并非违反出口国动植物保护的法律；

c) 在签发许可证和证书之前，请根据公约和有关决议，从科学机构获得有关以下方面的建议：

i) 根据公约和适当时根据Conf. 16.7 (Rev. CoP17) 号决议《非致危性判定》，该贸易不会对物种生存带来危害；

ii) 接受者容纳和照管进口所获的或从海上引进的附录I物种活体标本及受Conf. 11.20 (Rev. CoP18)号决议《“合适和可接受目的地”的定义》管制的附录II象和犀牛种群的适合性；

iii) 为获得科学交流标签而寻求注册的科学家或科研机构是否符合Conf. 11.15 (Rev. CoP18)号决议《关于博物馆、植物标本室、诊断和法庭研究样本的非商业性租借、赠送或交换》及其他标准或任何更严格的国家要求；及

iv) 在审查根据第七条第4款或第5款提交审议的所有申请时，有关设施是否符合产出人工繁育或人工培植标本的标准；

d) 在颁发从海上引进证明书或进出口许可证以授权贸易从不属于任何国家管辖范围的海洋环境中采集的附录I或II中所列物种标本时，应考虑该已获取的或将以某种方式上岸的标本是否符合国际法适用于保护和管理海洋生物物种的适用措施；是否属于Conf. 14.6 (Rev. CoP16) 号决议《从海上引进》所述的任何非法、不报告或不管制捕鱼活动；

e) 确定与贸易有关的豁免或特殊规定的适用性，根据公约第七条并根据有关决议，特别是Conf. 9.7 (Rev. CoP15)号决议《过境和转运》、Conf. 9.19 (Rev. CoP15) 号决议《以出口为目的附录I植物人工培植标本的苗圃的注册》、Conf. 10.16 (Rev.) 号决议《人工繁育动物物种的标本》、Conf. 10.20号决议《个人所有的活体动物的频繁跨境转移》、Conf. 11.15 (Rev. CoP18)号决议《关于博物馆、植物标本室、诊断和法庭研究样本的非商业性租借、赠送或交换》、Conf. 12.3 (Rev. CoP18)号决议《许可证和证明书》、Conf. 12.10 (Rev. CoP15) 号决议《为商业性目的人工繁育附录I动物物种设施的注册》、Conf. 13.6 (Rev. CoP18) 号决议《履行关于“公约前标本”的第七条第2款》、Conf. 13.7 (Rev. CoP17)号决议《个人和家庭财产贸易的控制》和Conf. 16.8 (Rev. CoP17)号决议《乐器的非商业性频繁跨境转移》。

f) 确定活体标本将按照公约和Conf. 10.21 (Rev. CoP16)号决议《活体标本运输》的规定来准备并运输，以最大程度地降低受伤、健康受损或受残忍对待的风险。

g) 根据Conf. 12.10 (Rev. CoP15) 号决议《为商业性目的人工繁育附录I动物物种设施的注册》，与科学机构合作，监督其管辖范围内每个圈养繁育的管理情况。认识到这可能涉及检查和监测圈养繁育设置和育幼场，以确认亲本种群的身份和合法来源，并检验该场所是否发生保存或出口未经许可的标本的情况；

h) 对于附录一的物种，

  i) 在签发进口许可证和从海上引进证明书之前，确定该标本将不主要用于商业目的；及

  ii) 在签发再出口证明书之前，确定该标本是按照公约规定进口到该国的；及

i) 检查许可证和证明书中是否有错误和前后不一致，查阅CITES网站上的暂停贸易列表，并就与许可证和证书有关的任何问题与其他管理机构或秘书处联络；

5. 承认 在满足公约要求的情况下，管理机构可以根据其本国法律授予或拒绝许可证或证明书，或在一定条件下授予许可证或证明书，并撤销或修改任何它们已签发的许可证或证明书；

III. 关于报告义务

6. 承认管理机构对报告公约执行情况负有主要责任；

7. 提醒 缔约方在执行公约第八条及

Conf. 11.17 (Rev. CoP18)号决议《国家报告》时，管理机构应当：

a) 保留所签发许可证和证明书数量和类型、开展此类贸易的国家、标本的数量或重量和类型、附录I、II和III中所包含的物种名称、及(如适用)所涉标本的大小和性别等记录；根据第八条第7款(a)项的要求，协调编写年度报告，并根据《CITES年度报告编写和提交指南》，在报告内容所属年份的次年10月31日前提交秘书处；及

b) 协调编写关于为执行公约规定采取的立法、法规和行政措施的执行情况的报告，不迟于缔约方大会召开之年的前一年10月31日，将该报告提交秘书处；

8. 进一步提醒 各缔约方其管理机构履行的具体报告承诺包括但不限于以下内容：

a) 根据Conf. 11.17 (Rev. CoP18)号决议《国家报告》及《 CITES年度非法贸易报告的编写和提交指南》，协调编写年度非法贸易报告，并于每年10月31日之前将报告

提交秘书处，内容涵盖上一年的行动；及

b) 当缔约方大会、常务委员会、动物委员会、植物委员会或秘书处根据有关决议、决定和通知提出要求时，酌情报告与执行公约有关的具体问题；

IV. 关于注册

9. 建议管理机构有关登记管理的特定职能包括但不限于以下各项：

a) 与科学机构协商，批准根据第七条第4款进行的圈养繁育操作，并根据Conf. 12.10 (Rev. CoP15)号决议《为商业性目的人工繁育附录I动物物种设施的注册》就每次圈养繁育设施的注册向秘书处提供信息；

b) 在与科学主管部门协商后，根据Conf. 9.19 (Rev. CoP15)号决议《以出口为目的附录I植物人工培植标本的苗圃的注册》，向秘书处注册以出口为目的人工培植附录I植物物种标本的苗圃；

c) 根据公约第七条第6款向秘书处注册科学家和科学机构，以促进标本的科学交换，并根据Conf. 11.15 (Rev. CoP18)号决议《《关于博物馆、植物标本室、诊断和法庭研究样本的非商业性租借、赠送或交换》，为每个注册的科学家和科学机构分配一个唯一的编号。

d) 向秘书处注册鱼子酱生产设施，包括在其领土内加工和包装鱼子酱的水产养殖公司及对鱼子酱进行分装的设施，并根据Conf. 12.7 (Rev. CoP17)号决议《鲟鳇鱼的养护和贸易》，明确说明其是加工工厂还是分装工厂；

e) 根据Conf. 10.20号决议《个人所有的活体动物的频繁跨境转移》，对CITES附录所列的个人所有的动物活体，批准并签发所有权证书；及

f) 根据Conf. 12.3 (Rev. CoP18)号决议《许可证和证明书》，对属于以该缔约方为基地的巡回展出机构的标本，批准并签发巡回展出证书；及

10. 根据Conf. 16.8 (Rev. CoP17)号决议《乐器的非商业性频繁跨境转移》，对包含 CITES 附录所列物种标本的乐器，批准和签发的乐器证书。

V. 关于协调和能力建设

11. 决定 根据国家法律，在协调所有在履约中发挥作用的国家政府机构方面，管理机构负有的主要责任；

12. 鼓励 管理机构建立管理机构与科学当局及其他在履约和执法中发挥作用的政府机构(包括海关，警察和检查部门)之间的协调和沟通机制，以促进根据其国家法律和惯例有效履约和执法；

13. 敦促 管理机构和执法部门，根据Conf. 11.3 (Rev. CoP18) 号决议《遵约和执法》，密切合作打击非法贩运野生动植物；

14. 鼓励 缔约方、秘书处和有关的政府间组织和非政府组织制定和支持专门设计用于管理机构改善履约的能力建设倡议；

VI. 关于与秘书处和其他缔约方的通讯

15. 决定 由该缔约方任命的指定管理机构可以就该缔约方在上文第7段和第8段及下文第15

段和第18段所述的问题提交报告并与秘书处进行正式沟通；

16. 解决了管理机构的特定沟通职能包括但不限于以下各项：

a) 根据公约第九条，向秘书处提供用以核实许可证或证明书的图章、印记及其他方法的底样，及授权签署CITES许可证和证明书的人员的签名样本；

b) 把参加CITES正式会议的缔约方代表们的姓名通知秘书处；

c) 根据公约第十一条，向缔约方大会和其他附属机构的会议提交决议草案，决定草案和其他文件；

d) 根据CITES有关机构《议事规则》要求，批准位于其领土内的国家非政府组织或机构参加公约组织的会议；

e) 根据Conf. 14.7 (Rev. CoP15) 号决议《国家建立的出口限额的管理》，酌情向秘书处传达本国建立的出口限额；

f) 根据Conf. 4.22号决议《国外法的证明》，酌情通知秘书处其具有、采纳或修订更严格的国内措施，及通知有关许可证和证明书的失效、缺陷或特殊要求；及

g) 在秘书处要求的时限内回应秘书处关于遵守情况的任何信息征询。

17. 鼓励 管理机构根据相关决议，尤其是Conf. 12.3 (Rev. CoP18)号决议《许可证和证明书》第24段 l)款和m)款的规定，对在缔约方通知中的或秘书处或其他缔约方直接向其传达的所有信息征询做出迅速答复；

18. 同意 管理机构应负责关于CITES文件有效性事务的交流与合作；

19. 提醒 管理机构交流CITES有关的事务时使用至少一种公约正式语言；

VII. 附录修订提案的格式

20. 决定 该缔约方任命的指定管理机构可以分别根据公约第十五条和第十六条提交修改附录的提案并提交列入附录III的物种；

VIII. 关于标本的标记和可追溯性

21. 建议 管理机构确保对贸易附录中所列物种的标本进行适当的标记或标签，按照公约第六条和Conf. 7.12 (Rev. CoP15)号决议《在附录I和附录II中均有其种群被列入的分类单元标本贸易的标记要求》、Conf. 8.13 (Rev. CoP17) 号决议《使用植入式代码微芯片对贸易中的活体动物进行标记》、Conf. 10.10 (Rev. CoP18) 号决议《象标本的贸易》、Conf. 10.14 (Rev. CoP16)号决议《个人用豹类狩猎纪念物和皮张的限额》、Conf. 10.15 (Rev. CoP14)号决议《建立捻角山羊狩猎纪念物限额》、Conf. 10.20 号决议《个人所有的活体动物的频繁跨境转移》、Conf. 11.12 (Rev. CoP15)号决议《鳄鱼皮鉴别的通用标签系统》，Conf. 11.16 (Rev. CoP15)号决议《捕养及由附录I降列至附录II的物种的捕养标本的贸易》、Conf. 12.7 (Rev. CoP17) 号决议《鲟鳇鱼的养护和贸易》、Conf. 12.10 (Rev. CoP15)号决议《为商业性目的人工繁育附录I动物物种设施的注册》、Conf. 13.5 (Rev. CoP18)号决议《黑犀狩猎纪念物出口限额的建立》、Resolution Conf. 16.8 (Rev. CoP17)号决议《乐器的非商业性频繁跨境转移》；

IX. 关于没收活体标本的处理：

22. 要求管理机构酌情根据公约第八条和Conf. 17.8号决议《非法贸易及没收的公约附录物种活体标本的处置》，与科学主管部门，出口国和秘书处协商，决定处置没收的活体标本；

23. 进一步忆及 管理机构根据公约第八条第5款和Conf. 17.8号决议《非法贸易及没收的公约附录物种活体标本的处置》，为被查获和没收的活体标本指定救援中心；及

X. 关于意识提升

24. 敦促 管理机构与青年，地方社区，私营部门，非政府组织，植物园，动物园，旅游组织，商业运输公司，更广泛的公众和其他利益相关方一起对公约提升意识，包括通过协调庆祝世界野生动物日和通过举办研习班和研讨会的方式。

Conf. 18.6 Designation and role of Management Authorities

RECALLING that each Party is required, in accordance with Article IX of the Convention, to designate one or more Management Authorities competent to grant permits or certificates on behalf of that Party;

RECALLING ALSO that a State depositing an instrument of ratification, acceptance, approval or accession shall at that time inform the Depositary Government of the name and address of the Management Authority authorized to communicate with other Parties and with the Secretariat and that any changes in the designations or authorizations under the provisions of Article IX of the Convention shall be communicated by the Party concerned to the Secretariat for transmission to all other Parties;

RECALLING FURTHER that the main responsibilities of the Management Authority are described in the Convention and in relevant Resolutions;

ACKNOWLEDGING the fundamental role and responsibility of Management Authorities in the regulation of international trade in specimens of CITES-listed species and the implementation of and compliance with the Convention;

RECOGNIZING the need for Parties to provide adequate resources, stability and necessary training and professional development to Management Authorities, given the highly technical and sometimes complex nature of their daily tasks and their critical role in ensuring the effective implementation of the Convention;

BEARING IN MIND that Resolution Conf. 8.4 (Rev. CoP15) on *National laws for implementation of the Convention* directs the Secretariat to identify those Parties whose domestic measures do not provide them with, *inter alia*, the authority to designate at least one Management Authority;

ACKNOWLEDGING the need for other Parties and the Secretariat to be able to easily communicate with and contact the appropriate Management Authorities of each Party; and

RECALLING FURTHER the engagement of Parties in Resolution Conf. 17.6 to prohibit, prevent, detect and counter corruption, which facilitates activities conducted in violation of the Convention;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. ESTABLISHES the following sections in the present Resolution:

   I. Regarding the designation of Management Authorities

   II. Regarding the issuance of permits and certificates

   III. Regarding reporting obligations

   IV. Regarding registers

   V. Regarding coordination and capacity-building

   VI. Regarding communication with the Secretariat and other Parties

   VII. Regarding the submission of proposals to amend the Appendices

   VIII. Regarding marking and traceability of specimens

   IX. Regarding disposal of confiscated specimens, especially live specimens

   X. Regarding awareness-raising

I. Regarding the designation of Management Authorities

2. RESOLVES that:

   a) each Party designates its Management Authorities by a legal instrument or administrative act; ensures that those Management Authorities have the necessary powers to carry out their responsibilities; and separates the functions of the Management Authorities and the Scientific Authorities;

b) upon designation, Parties communicate through the Minister of Foreign Affairs, the competent Minister or the Permanent Mission, the name and contact details of the designated Management Authorities to the Secretariat for transmission to all other Parties and inclusion in the directory of national CITES Authorities;

c) in cases where more than one Management Authority is designated, Parties appoint the Management Authority authorized to communicate officially with the Secretariat and other Parties on the matters mentioned in paragraphs 7, 8, 15 and 18 below;

d) changes in the designation of Management Authorities may only be notified through the Minister of Foreign Affairs, the competent Minister or the Permanent Mission; and

e) changes of contact details and personnel may be notified by the Head of the Management Authority authorized to communicate officially with the Secretariat and will be reflected in the directory of national CITES Authorities;

3. ENCOURAGES Parties, when adopting national legislation designating Management Authorities, to use the draft model law on international trade in wild fauna and flora provided by the CITES Secretariat;

II. Regarding the issuance of permits and certificates

4. REMINDS Parties that the specific functions of Management Authorities regarding the issuance of permits and certificates include, but are not limited to, the following:

a) issuing export and import permits and certificates for specimens of species included in Appendix I, II and III in accordance with the Convention and relevant Resolutions, in particular Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*, Resolution Conf. 9.6 (Rev. CoP16) on *Trade in readily recognizable parts and derivatives* and Resolution Conf. 5.10 (Rev. CoP15) on *Definition of 'primarily commercial purposes'*;

b) before issuing permits and certificates, determining in accordance with Articles III, IV and V of the Convention and relevant Resolutions, in particular Resolution Conf. 18.7 on *Legal acquisition findings*, that the specimen was not obtained in contravention of the laws for the protection of fauna and flora of the exporting State;

c) before issuing permits and certificates, obtaining the advice from the Scientific Authority in accordance with the Convention and relevant Resolutions on the following:

i) that trade would not be detrimental to the survival of a species, in accordance with the Convention and Resolution Conf. 16.7 (Rev. CoP17) on *Non-detriment findings*, as appropriate;

ii) the suitability of the recipient to house and care for live specimens of Appendix I species being imported or introduced from the sea and those Appendix-II populations of elephants and rhinoceros subject to Resolution Conf. 11.20 (Rev. CoP18) on *Definition of the term 'appropriate and acceptable destinations'*;

iii) whether or not scientists or scientific institutions seeking registration for the purpose of being issued labels for scientific exchange meet the criteria established in Resolution Conf. 11.15 (Rev. CoP18) on *Non-commercial loan, donation or exchange of museum, herbarium, diagnostic and forensic research specimens*, and other standards or any stricter national requirements; and

iv) 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, when reviewing all applications submitted for consideration under Article VII, paragraph 4 or 5;

d) when issuing an introduction from the sea certificate or an import or export permit authorizing trade in specimens of species included in Appendix I or II taken in the marine environment not under the jurisdiction of any State, taking into account whether the specimens were acquired or will be landed in a manner consistent with applicable measures under international law for the conservation and management of living marine species; or through any illegal, unreported or unregulated fishing activity, in accordance with Resolution Conf. 14.6 (Rev. CoP16) on *Introduction from the sea*;

e) determining the applicability of exemptions or special provisions relating to trade in accordance with Article VII of the Convention, and in accordance with relevant Resolutions, in particular Resolution Conf. 9.7 (Rev. CoP15) on *Transit and transhipment*, Resolution Conf. 9.19 (Rev. CoP15) on *Registration of nurseries that artificially propagate specimens of Appendix-I plant species for export purposes*, Resolution Conf. 10.16 (Rev.) on *Specimens of animal species bred in captivity*; Resolution Conf. 10.20 on *Frequent cross-border movements of personally owned live animals*, Resolution Conf. 11.15 (Rev. CoP18) on *Non-commercial loan, donation or exchange of museum, herbarium, diagnostic and forensic research specimens*, Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*, Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes*, Resolution Conf. 13.6 (Rev. CoP18) on *Implementation of Article VII, paragraph 2, concerning 'pre-Convention' specimens*, Resolution Conf. 13.7 (Rev. CoP17) on *Control of trade in personal and household effects*, and Resolution Conf. 16.8 (Rev. CoP17) on *Frequent cross-border non-commercial movements of musical instruments*;

f) determining that living specimens will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment in accordance with the Convention and Resolution Conf. 10.21 (Rev. CoP16) on *Transport of live specimens*;

g) monitoring the management of each captive-breeding operation under its jurisdiction, in collaboration with the Scientific Authority, in accordance with Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes*; recognising that this may involve inspecting and monitoring captive-breeding operations and nurseries to confirm the identity and legal origin of the parental stock and to detect the presence of unauthorized specimens held at or exported by the operation;

h) for Appendix-I species,

   i) determining that the specimen is not to be used for primarily commercial purposes before issuing import permits and introduction from the sea certificates; and

   ii) determining that the specimen was imported into the State in accordance with the provisions of the Convention before issuing re-export certificates; and

i) checking permits and certificates for errors and inconsistencies, consulting the list of trade suspensions on the CITES website, and liaising with other Management Authorities or the Secretariat about any issues related to permits and certificates;

5. ACKNOWLEDGES that, where the requirements of the Convention have been met, Management Authorities may, in accordance with their national laws, grant or deny a permit or certificate, or grant a permit or certificate subject to certain conditions, and revoke or modify any permit or certificate they have issued;

III. Regarding reporting obligations

6. ACKNOWLEDGES that Management Authorities have the main responsibility of reporting on the implementation of Convention;

7. REMINDS Parties that, when implementing Article VIII of the Convention and Resolution Conf. 11.17 (Rev. CoP18) on *National reports*, Management Authorities are to:

   a) maintain records of the number and type of permits and certificates granted; the States with which such trade occurred; the numbers or quantities and types of specimens, names of species as included in Appendices I, II and III and, where applicable, the size and sex of the specimens in question; coordinate the preparation of an annual report required under the provisions of Article VIII, paragraph 7(a), and submit this report to the Secretariat by 31 October of the year following the year to which the report refers in accordance with the *Guidelines for the preparation and submission of CITES annual reports*; and

   b) coordinate the preparation of an implementation report on legislative, regulatory and administrative measures taken to enforce the provisions of the Convention, and submit this report to the Secretariat by 31 October of the year preceding a meeting of the Conference of the Parties;

8. FURTHER REMINDS Parties that the specific reporting commitments implemented by their Management Authorities include, but are not limited to, the following:

a) coordinating the preparation of an annual illegal trade report and submitting this report to the Secretariat by 31 October each year covering actions in the preceding year, in accordance with Resolution Conf. 11.17 (Rev. CoP18) on *National Reports* and with the *Guidelines for the preparation and submission of the CITES annual illegal trade report*; and

b) reporting, where appropriate, on specific issues concerning the implementation of the Convention as requested by the Conference of the Parties, the Standing Committee, the Animals Committee, the Plants Committee or the Secretariat in accordance with relevant Resolutions, Decisions and Notifications to the Parties;

IV. Regarding registers

9. RECOMMENDS that the specific functions of Management Authorities regarding registers include, but are not limited to, the following:

   a) approving captive-breeding operations under Article VII, paragraph 4, in consultation with the Scientific Authority, and providing information to the Secretariat for the registration of each captive-breeding operation in accordance with Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes*;

   b) registering with the Secretariat, after consultation with the Scientific Authority, nurseries that artificially propagate specimens of Appendix I plant species for export purposes in accordance with Resolution Conf. 9.19 (Rev. CoP15) on *Registration of nurseries that artificially propagate specimens of Appendix-I plant species for export purposes*;

   c) registering with the Secretariat scientists and scientific institutions to facilitate the scientific exchange of specimens in accordance with Article VII, paragraph 6, and assigning a unique number to each registered scientist and scientific institution in accordance with Resolution Conf. 11.15 (Rev. CoP18) on *Non-commercial loan, donation or exchange of museum, herbarium, diagnostic and forensic research specimens*;

   d) registering with the Secretariat facilities producing caviar, including aquaculture operations that process and package caviar and those facilities that re-package caviar in its territory and clearly state whether it is a processing or a repackaging plant, in accordance with Resolution Conf. 12.7 (Rev. CoP17) on *Conservation of and trade in sturgeons and paddlefish*;

   e) approving and issuing certificates of ownership for personally owned live animals that are listed in CITES Appendices in accordance with Resolution Conf. 10.20 on *Frequent cross- border movements of personally owned live animals*; and

   f) approving and issuing travelling-exhibition certificates for specimens belonging to travelling exhibitions based in their State in accordance with Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*; and

   g) approving and issuing musical instrument certificates for instruments that contain specimens of species listed in CITES Appendices in accordance with Resolution Conf. 16.8 (Rev. CoP17) on *Frequent cross-border non-commercial movements of musical instruments*;

V. Regarding coordination and capacity-building

10. RESOLVES that Management Authorities have, in accordance with national law, the main responsibility of coordinating all national governmental agencies with a role in the implementation of the Convention;

11. ENCOURAGES Management Authorities to establish mechanisms for coordination and communication between Management Authorities and Scientific Authorities, as well as other government agencies with a role in the implementation and enforcement of the Convention (including, for example, customs, police and inspection services) to facilitate the effective implementation and enforcement of the Convention in accordance with their national laws and practices;

12. URGES Management Authorities and enforcement authorities to cooperate closely in the fight against illegal trafficking of wild fauna and flora in accordance with Resolution Conf. 11.3 (Rev. CoP18) on *Compliance and enforcement*;

13. FURTHER ENCOURAGES Parties, the Secretariat and interested intergovernmental and non-governmental organizations to develop and support capacity-building initiatives designed specifically to improve the implementation of the Convention by Management Authorities;

VI. Regarding communication with the Secretariat and other Parties

14. RESOLVES that the designated Management Authority appointed by the Party can submit reports and communicate officially with the Secretariat on behalf of the Party on the issues outlined in paragraphs 7 and 8 above and paragraphs 15 and 18 below;

15. RESOLVES that the specific communication functions of Managements Authorities include, but are not limited to, the following:

    a) communicating to the Secretariat impression of stamps, seals or other devices used to authenticate permits or certificates in accordance with Article IX of the Convention, as well as samples of the signatures of the persons authorized to sign CITES permits and certificates;

    b) informing the Secretariat of the names of the delegates representing their Party at official CITES meetings;

    c) submitting draft resolutions, draft decisions, and other documents for meetings of the Conference of the Parties and other subsidiary bodies in accordance with Article XI of the Convention;

    d) approving the participation of national non-governmental bodies or agencies located in their territory in meetings organized under the Convention as required by the Rules of Procedure of the CITES body concerned;

    e) communicating to the Secretariat nationally established quotas in accordance with Resolution Conf. 14.7 (Rev. CoP15) on *Management of nationally established export quotas*, where appropriate;

    f) informing the Secretariat of the existence, adoption or amendment of stricter domestic measures and of the invalidity, deficiency or special requirements of permits and certificates in accordance with Resolution Conf. 4.22 on *Proof of foreign law*, where appropriate; and

    g) responding to any request for information by the Secretariat related to compliance within the timeframe requested by the Secretariat.

16. ENCOURAGES Management Authorities to respond promptly to all requests for information conveyed to them in Notifications to the Parties or directly by the Secretariat or other Parties in accordance with *inter alia* paragraph 24 l) and m) of Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*;

17. AGREES that Management Authorities should be responsible for communication and cooperation on matters relating to the validity of CITES documents;

18. REMINDS Management Authorities to communicate on CITES-related matters in at least one of the official languages of the Convention;

VII. Regarding the submission of proposals to amend the Appendices

19. RESOLVES that the designated Management Authority appointed by the Party can submit proposals to amend the Appendices and submit species for inclusion in Appendix III in accordance with Articles XV and XVI of the Convention, respectively;

VIII. Regarding marking and traceability of specimens

20. RECOMMENDS that Management Authorities ensure that specimens of species listed in the Appendices in trade are appropriately marked or tagged in accordance with Article VI of the Convention and Resolution Conf. 7.12 (Rev. CoP15) on *Marking requirements for trade in specimens of taxa with populations in both Appendix I and Appendix II;* Resolution Conf. 8.13 (Rev. CoP17) on *Use of coded-microchip implants for marking live animals in trade*; Resolution Conf. 10.10 (Rev. CoP18) on *Trade in elephant specimens;* Resolution Conf. 10.14 (Rev. CoP16) on *Quotas for leopard hunting trophies and skins for personal use;* Resolution Conf. 10.15 (Rev. CoP14) on *Establishment of quotas for markhor hunting trophies;* Resolution Conf. 10.20 on *Frequent cross-border movements of personally owned live animals;* Resolution Conf. 11.12 (Rev. CoP15) on *Universal tagging system for the identification of crocodilian skins*; Resolution

Conf. 11.16 (Rev. CoP15) on *Ranching and trade in ranched specimens of species transferred from Appendix I to Appendix II*; Resolution Conf. 12.7 (Rev. CoP17) on *Conservation of and trade in sturgeons and paddlefish;* Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes;* Resolution Conf. 13.5 (Rev. CoP18) on *Establishment of export quotas for black rhinoceros hunting trophies;* and Resolution Conf. 16.8 (Rev. CoP17) on *Frequent cross-border non-commercial movements of musical instruments*;

IX. Regarding disposal of confiscated specimens, especially live specimens

21. RECALLS that Management Authorities decide on the disposal of confiscated live specimens, in consultation with their Scientific Authority, the State of export and the Secretariat, as appropriate, and in accordance with Article VIII of the Convention and Resolution Conf. 17.8 on *Disposal of illegally traded and confiscated specimens of CITES-listed species;*

22. FURTHER RECALLS that Management Authorities designate rescue centres for seized and confiscated living specimens in accordance with Article VIII, paragraph 5, of the Convention and Resolution Conf. 17.8 on *Disposal of illegally traded and confiscated specimens of CITES-listed species*; and

X. Regarding awareness-raising

23. URGES Management Authorities to raise awareness of the Convention with youth, local communities, the private sector, non-governmental organizations, botanical gardens, zoos, tourist organizations, commercial transport companies, the wider public and other stakeholders, including through coordinating the celebration of World Wildlife Day and through the development of workshops and seminars.

Conf. 18.7

合法来源判定

忆及 公约第三条第2(b)款、第四条第2(b)款和第五条第2(a)款规定，要求出口国管理机构确认，该标本的获得并不违反本国有关保护动植物的法律；

忆及 公约正文第三条第4(a)款和第四条第5(a) 款规定，再出口国的管理机构确认，该标本系遵照本公约的规定进口到本国的；

忆及 公约正文第二条第4款规定，除遵守本公约各项规定外，各缔约国均不应允许就附录I、附录II、附录III所列物种标本进行贸易；

同时忆及 公约正文第八条第1款规定，缔约国应采取相应的措施执行本公约的规定，并禁止违反公约规定的标本贸易；第Conf.8.4(Rev. CoP15)号关于履行公约的国家法律的决议第2段，敦促所有缔约方采取适当的措施以有效履行公约；

进一步忆及 第Conf.12.3(Rev. CoP18)号关于许可证和证明书的决议第5j)和i)段，建议“缔约方如果有理由相信标本在原产国是非法获得的则不批准其进口”和“将不对已知是非法获得的标本核发出口和再出口证，即使是按照国家立法进口的，样本之前已被没收除外”；

考虑到 第Conf. 11.3 (Rev. CoP18) 号关于遵约与执法的决议第2a)段，建议“如果进口国或再出口国有理由相信CITES物种标本的贸易违反任何国家的法律，或者有理由相信附带CITES文件的标本可能没有按照公约的规定贸易(例如，当它们有理由相信标本可能不是合法获得的，可能未作出所需的非致危性判定，或者可能未满足任何其他CITES规定)，则应：i)直当认为有关国家的法律已被违反，直接与该国管理机构进行沟通，并向该管理机构尽可能提供有关贸易文件的复印件；ii)当合法来源判定、所需的非致危性判定或其他CITES要求存在不确定性时，则在适当的情况下请求给出相关决定的依据；iii)如果在与有关国家的管理机构协商之后，进口或再出口国的管理机构未收到满意的信息，包括关于确定标本是合法获得的，或要求的非致危性判定或其他CITES要求的确定的依据，则不应授权有关标本的进口或再出口，也不应签发进口许可证或再出口证书；iv)如果没有满意的答复，则根据公约第十三条和第Conf14.3 (Rev. CoP18)号决议中的职责，寻求秘书处的协助；v)如需要，利用公约第十四条第1款a)的规定，对该贸易采取更严格的措施；”

进一步认识到，公约给予CITES管理机构相当大的责任，以确保进入国际贸易的所列物种的标本具有合法来源；及

强调 本决议旨在支持管理机构在签发批准标本出口的CITES文件之前，确定CITES所列物种标本的合法获得；

公约缔约方大会

1. 建议：

   a) 为了公约第三条第2(b)款、第四条第2(b)款和第五条第2(a)款的目的，当指在签发CITES出口许可证之前，管理机构为使其自身确定该标本并非违反该国家保护动植物的法律法规而获得的(换句话说，该标本是合法获得的)而进行的检查，缔约方使用术语“合法来源判定”；

   b) 在可能的范围内，确定是否没有违反该国保护动植物的法律和法规而获得标本的决定应考虑使标本从其来源到成为出口者财产的整个系列行动；及

   c) 根据上下文，当考虑豁免和附件2提到的其他规定时，也应当使用以上定义术语，

视个案而定；

2. 同意：

a) “申请人”是指申请从海上出口、进口、再出口或从海上引入CITES所列物种样本所需的CITES文件的个人或实体；

b) “监管链”是指在切实可行的范围内，并根据适用的法律和记录，对于从野外移出标本和随后该标本所有权的交易进行按时间排序的文件记录；及

c) “风险评估”是指对CITES所列物种的标本并未合法获得的可能性的评估；

指导原则

3. 建议缔约方使用以下一般原则来验证出口标本的合法来源：

a) 进行合法获得验证的程序应足够灵活，以允许采用风险评估方法；

b) 在可能的范围内，管理机构验证出口标本的合法获得所使用的程序应该公开，以方便所需信息的收集和清楚地提供给出口许可证申请人；

c) 申请人有责任向管理机构提供足够的信息，以确定标本是合法获得的，例如在宣誓下作出的带有伪证处罚的附誓书面证词或者声明、相关执照或许可、发票和收据、林业特许编号、狩猎许可证或标签或其他文件证据；

d) 管理机构要求申请人验证来源合法性的信息应与CITES所列物种标本非法获得的可能性相称；及

e) 鼓励管理机构保留已签发许可证的记录，包括申请人提供的有关合法来源的信息；

4. 建议管理机构以第Conf. 11.3(Rev. CoP18)号关于遵约和执法的决议第2a)段的建议，包括附录I物种的标本，及第12.3 (Rev. CoP18)号关于许可证和证明书的决议第5 j)段和第24 k)到 m)段为指导；

5. 建议缔约方在验证根据公约正文第三条第2b)款、第四条第2b)款和第五条第2a)款进行交易的CITES标本的合法来源和根据公约正文第七条第4、5段进行贸易标本的基群的合法来源时，使用本决议附件1中的指导；

6. 进一步建议缔约方注意本决议附件2中所列的其他情况，这些情况要求对合法取得和其他法律结论进行验证，并在适用的范围内利用本决议附件1中的指导；及

7. 邀请所有缔约方、政府内、政府间和非政府组织及其他来源提供资金和/或技术援助，以编写合法来源验证培训材料，并在CITES网站上维护专门的最新网页，及组织与执行本决议有关的研讨会和其他能力建设活动。

附件 1 合法来源判定指南

1. 出口国根据公约文本第三条第2b)款，第四条第2b)款和第五条第2a)款的规定对出口CITES所列物种的标本作出合法来源判定的一般建议

a) 建议缔约方在其国家监管框架中纳入管理机构在签发任何CITES出口许可证之前验证出口CITES所列物种样本是否合法获得的义务。

b) 为确保适当的程序并协助申请人提供证明合法来源的信息，每个缔约方可在适当

和可能的情况下，就申请人所需信息准备一般性书面说明，并公开提供该信息。指令可以详述管理机构根据某一特定贸易的性质可能需要其他信息。

c) 管理当局可以选择基于风险评估方法来验证合法来源，这可以包括以下因素的考虑和平衡，以使其与某一特别的CITES文件要求相关(因素列出顺序不指明任何优先级)：

   i) 物种列入的附录；

   ii) 标本的来源(考虑标本是否是野生采集、经营牧场、人工饲养或人工繁育、还是来历不明)；

   iii) 物种在处理该申请的缔约方的控制环境中的出现情况；

   iv) 地理因素(例如标本来源地是否受到武装冲突影响或其他也许增加非法来源可能性的因素)；

   v) 有记录的非法收获或非法贸易；

   vi) 贸易目的(商业或非商业)；

   vii) 申请人的申请历史，包括任何不遵约的历史；

   viii) 标本的货币价值；及

   ix) 相似物种的存在情况。

d) 在考虑并平衡上述因素之后，如果管理机构得出结论认为，合法出口的标本存在很高的非法来源风险，则可以选择要求提供更多信息并加强监管链进一步监督。如果管理机构认为非法来源的风险较低，则可以选择进行较少的监督并要求较少的申请人信息。

2. 出口国对合法来源验证的实际步骤

a) 为了验证合法来源，管理机构必须首先知道并了解其有关保护动植物的法律。

b) 为了验证是否合法，管理机构应审查申请人提供的所有文件资料和其他信息。文件资料应在切实可行的范围内，将整个监管链的信息提供回标本来源。此类信息可能包括证明标本或亲本已根据相关法律(执照，收集许可证等)从野外移走的记录，标识特定标本(带编号或其他标记等)并载有所有权转让历史(销售，收据，发票等)的记录，及例如表明标本是在特定设施养育的记录。如果管理机构认为证据不完整，则应为申请人提供一次提交更多信息的机会。如果在审查文件并考虑到所有其他相关要素后，管理机构认为该标本是合法获得的，则满足对合法来源验证的要求。

c) 如果管理机构不确认该标本是合法获得的，则不应发所要求的CITES文件。

d) 管理机构可以选择在CITES文件上共享有关标本合法获得的相关信息。此类信息可以包含在标准CITES文件的第5栏(或其他位置)中，并且可以包括例如进出口许可证编号、林业特许编号、狩猎许可证或标签编号。

3. 相关机构与CITES管理机构之间的合作

a) 为了确保参与规范获得CITES所列物种的标本采集过程的国内机构(国家、省、地

方、部落)之间的有效合作，各缔约方可考虑建立机构间合作机制。

b) CITES管理机构可就有关合法来源验证和尽职调查要求的履行情况咨询主管的政府间机构。

c) 当一出口国或再出口国收到进口国关于确认CITES许可证或证明书的真实性和有效性的要求时，它应按照第Conf. 12.3 (Rev. CoP18) 号关于许可证和证明书决议第24l和m)段作出一切努力。

4. 实用工具

a) 为了建立监管链，各缔约方可利用信息系统和可追溯性工具。

b) 在核实合法性时，缔约方可能希望咨询现有的国际法律数据库，例如ECOLEX，FAOLEX和世界法律信息研究所。

c) 如果缔约方认为认可标本为合法获得需进一步确定，则缔约方可以求助于申请人使用诸如DNA测试、稳定同位素分析和放射性碳年代测定等法庭工具进行验证。

d) 为了方便起见，管理机构可以使用下面的验证合法来源的快速指南。

5. 验证合法获得快速指南

每当管理机构收到授权出口CITES所列物种的标本的请求时，管理机构可以会问自己几个问题，以验证是否合法获得：

1. 是否有根据《濒危野生动植物种国际贸易公约》(CITES)验证合法获得的要求？

   是的，根据公约第三条第2(b)款、第四条第2(b)款或第五条第2(a)款出口标本时，另见本决议附件2。

2. 是否存在标本可能为非法获得的高风险？见本附件第1 c)和d)段。

3. 根据风险评估和情况，申请人是否有必要并切实可行地提供整个监管链的文件？

4. 申请人提交的信息是否足以证明合法获得？如果不是，则还需要哪些其他信息？

见本决议第3 c)段。

5. 如果管理机构对标本为合法获得感到满意，那么在标准的CITES文件第5栏(或其他位置)共享任何类型的信息(如果有)是否可行？

   见本附件第2e)段。

6. 如果管理机构对标本为合法获得感到满意，那么将任何文件或其他信息保存作记录是否可行？

   见本决议第3 e)段。

附件 2 需要验证合法来源或其他合法判定的其他情况

缔约方大会建议在以下情况下对合法来源和其他合法判定进行验证，例如验证获得日期。

圈养或人工繁育的标本的繁育或亲本种群

1. 根据第Conf. 10.16 (Rev.) 号关于人工繁育动物物种标本的决议第2 b ii)段和第Conf. 11.11(Rev. CoP18)号关于植物贸易规定的决议第1 b)i)段，出口国的管理机构应核实根据公约第七条第4款和第5款圈养或人工繁育的标本的繁育或亲本种群是否合法获得。

公约前标本

2. 根据公约第七条第2款及

第Conf. 13.6(Rev.CoP18)号关于第七章第2款关于“公约前”标本执行情况的决议，为授权出口“公约前标本”，管理机构应确认在公约规定对其生效前所获，因此应确定获得日期或任何人首次拥有最早可证明的日期。

从不属于任何国家管辖的海域中取得的附录一和附录二标本

3. 根据第Conf.14.6(Rev. CoP16)号关于海上引进的决议第2 b)段，“无论何时，当在一国注册的船只从不属于任何国家管辖的海域中取得列入附录一或附录二物种标本，并运往另一国家时，运送标本的船只的注册过为出口国，标本转运的目的国为进口国，公约第三条第2、3款，第四条第2、3、4款规定分别适用”。在这种情况下，出口国应验证标本的合法来源。

4. 就租船业务而言，当公约第三条第2、3款或第四条第2、3、4款的规定适用于第Conf. 14.6(Rev. CoP16)号决议第2 c)段时，出口国应验证来自非任何国家管辖范围海域的标本的合法来源。

5. 根据第Conf. 14.6(Rev. CoP16)号决议第3段，引进国、出口国和进口国应“考虑标本是否通过下列方式已经或即将被获得并到岸：

i) i)与保护和管理海洋生物资源的国际法，包括保护和管理相关海洋物种的任何其他条约、公约或协议所要求的合适措施一致；及

ii) ii)通过任何非法、不报告、不管制的(IUU)渔业活动。

其他豁免和特殊规定

6. 根据第Conf. 13.7(Rev.CoP17)关于个人和家庭财产贸易的控制的决议第1b)段，公约第七条第3款中的术语“个人或家庭财产”是指合法获得的标本(还有其他要求) 。

7. 根据Conf. 10.20号关于个人所有的活体动物的频繁越境转移的决议第1 c)款，如果申请人合法拥有该动物并且获得该动物未违反公约规定(除其他要求外)，才能可以签发附录中所列物种的活体动物所有权证明书。根据第Conf. 11.15(Rev. CoP18)号关于博物馆标本、腊叶标本、诊断和法庭调查标本的非商业租借、赠送或交换的决议第3 g)iv)款，根据公约第七条第6款贸易的标本应仅限于在注册的科学机构之间合法获得的标本(还有他要求)。

8. 根据第Conf. 12.3(Rev. CoP18)号关于许可证和证明书的决议第14 b)段，一缔约方应仅只对以该国为基地、在管理机构注册、运输CITES物种标本到其他国家仅以展览为目的、标本为合法获得且将会返回其为基础的国家的CITES标本签发巡回展出证明书。

9. 根据第Conf. 16.8(Rev. CoP17)号关于乐器的频繁非商业性跨境转移的决议第1 b)款，

公约管理机构只有认为所生产乐器的公约标本是在没有违反公约规定(还有其他要求)的情况下获得的，才能核发乐器证明书。

10. 根据第Conf. 17.9号关于列入附录I或II的物种的狩猎纪念物贸易的决议第2 a)段，只有在出口国管理机构满意于标本不是违反其国家为保护动物的法律(还有其他要求)获得时，列入附录一或附录二的物种的狩猎纪念物的出口才应被授权。

Conf. 18.7

Legal acquisition findings

RECALLING the provisions of Article III, paragraph 2 (b), Article IV, paragraph 2 (b), and Article V, paragraph 2 (a) of the Convention, which require a Management Authority of the State of export to be satisfied that the specimen was not obtained in contravention of the laws of that State for the protection of fauna and flora;

RECALLING the provisions of Article III, paragraph 4 (a), and Article IV, paragraph 5 (a) which require a Management Authority of the State of re-export to be satisfied that the specimen was imported into that State in accordance with the provisions of the Convention;

RECALLING the provisions of Article II, paragraph 4, which states that Parties shall not allow trade in specimens of species included in Appendices I, II, and III except in accordance with the provisions of the Convention;

RECALLING ALSO the provisions of Article VIII, paragraph 1, of the Convention, which requires the Parties to take appropriate measures to enforce the provisions of the Convention and to prohibit trade in specimens in violation thereof and Resolution Conf. 8.4 (Rev. CoP15) on *National laws for implementation of the Convention*, paragraph 2, which urges all Parties to adopt appropriate measures for effective implementation of the Convention;

RECALLING FURTHER Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*, paragraph 5 j) and i), which recommend that "Parties not authorize the import of any specimen if they have reason to believe that it was not legally acquired in the country of origin" and that "no export permit or re-export certificate be issued for a specimen known to have been acquired illegally, even if it has been imported in accordance with the national legislation unless the specimen has previously been confiscated";

CONSIDERING Resolution Conf. 11.3 (Rev. CoP18) on *Compliance and enforcement*, paragraph 2 a), which recommends that "if the Management Authority of the State of import or re-export has reason to believe that specimens of CITES species are traded in contravention of the laws of any country involved in the transaction, or has reason to believe that the specimen accompanied by a CITES document may not have been traded in accordance with the provisions of the Convention (e.g., when they have reason to believe that the specimen may not have been legally acquired, that the required non-detriment finding may not have been made, or that any other CITES requirement(s) may not have been fulfilled), it should: i) immediately consult with the Management Authority in the country whose laws were thought to have been violated and, to the extent possible, provide that Management Authority with copies of all documentation relating to the transaction; ii) where there is uncertainty with regard to the legal acquisition finding, the required non-detriment finding, or other CITES requirement(s), if appropriate request the basis for the relevant determination; iii) if after consulting with the Management Authority of the relevant State, the Management Authority of the State of import or re-export has not received satisfying information including regarding the basis for the determination that the specimen was legally acquired, or the required non-detriment finding or other CITES requirement(s), it should not authorize the import or re-export of the specimen concerned and should not issue an import permit or a re-export certificate; iv) if there is no satisfactory response, call upon the assistance of the Secretariat, in the context of its responsibilities in Article XIII of the Convention and Resolution Conf. 14.3 (Rev. CoP18); and v) if needed, make use of the provisions of Article XIV, paragraph 1. a), of the Convention to take stricter measures with regard to that transaction;

RECOGNIZING FURTHER that the Convention places considerable responsibility upon the CITES Management Authorities to ensure that specimens of listed species entering international trade are of legal origin; and

EMPHASIZING that this Resolution is aimed at supporting Management Authorities in verifying the legal acquisition of specimens of CITES-listed species prior to the issuance of CITES documents authorizing their export;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOMMENDS that:

a) for the purposes of Article III, paragraph 2 (b), Article IV, paragraph 2 (b), and Article V, paragraph 2 (a) of the Convention, the term “Legal Acquisition Finding” be used by Parties when referring to the examination conducted by a Management Authority prior to issuing a CITES export permit to satisfy itself that the specimen was not obtained in contravention of the laws and regulations of that State for the protection of fauna and flora (in other words, it was legally acquired);

b) to the extent possible, the determination of whether a specimen was not obtained in contravention with the laws and regulations of that State for the protection of fauna and flora should take into account the whole series of actions through which the specimen is brought from its source into the possession of an exporter; and

c) depending on the context, the term defined above should also be used when considering exemptions and other special provisions mentioned in Annex II, on a case-by-case basis;

2. AGREES that:

a) “Applicant” means a person or an entity who applies for a CITES document required to export, import, re-export or introduce from the sea a specimen of a CITES-listed species;

b) “Chain of custody” means chronological documentation, to the extent practicable and in accordance with applicable laws and records, of the transactions pertaining to the removal from the wild of a specimen and the subsequent ownership of that specimen; and

c) “Risk assessment” means the evaluation of the likelihood that a specimen of a CITES-listed species was not legally acquired;

Guiding principles

3. RECOMMENDS that the following general principles be used by Parties for verifying the legal acquisition of specimens to be exported:

a) procedures to conduct the verification of legal acquisition should be sufficiently flexible to allow for a risk assessment approach;

b) to the extent possible, procedures used by a Management Authority for verifying the legal acquisition of specimens to be exported should be publicly available to facilitate the collection of required information and provide clarity to applicants requesting export permits;

c) the applicant is responsible for providing sufficient information for the Management Authority to determine that the specimen was legally acquired, such as statements or affidavits made under oath and carrying a penalty of perjury, relevant licenses or permits, invoices and receipts, forestry concession numbers, hunting permits or tags, or other documentary evidence;

d) the information that the Management Authority requires of an applicant for verifying the legality of acquisition should be proportionate with the likelihood that a specimen of a CITES-listed species was not legally acquired; and

e) Management Authorities are encouraged to maintain records of permits issued, including the information provided by the applicant regarding the legality of acquisition;

4. RECOMMENDS that Management Authorities be guided by the recommendations in Resolution Conf. 11.3 (Rev. CoP18) on *Compliance and enforcement*, paragraph 2 a), including with respect to specimens of Appendix-I species, and Resolution 12.3 (Rev. CoP18) on *Permits and certificates*, paragraph 5 j) and paragraph 24 k) to m);

5. RECOMMENDS that Parties use the guidance contained in Annex 1 of this Resolution, when verifying the legal acquisition of CITES specimens traded under Article III, paragraph 2 (b), Article IV paragraph 2 (b) and Article V, paragraph 2 (a) and the legal acquisition of founder stock of specimens traded under Article VII paragraph 4 and 5;

6. RECOMMENDS FURTHER that Parties take note of the additional circumstances listed in Annex 2 of this Resolution where verification of legal acquisition and other legal findings are required and utilize the guidance in Annex 1 of this Resolution to the extent that is applicable; and

7. INVITES all Parties, governmental, intergovernmental and non-governmental organizations and other sources to provide financial and/or technical assistance for the development of training material on the verification of legal acquisition, maintaining a dedicated up-to-date webpage on the CITES website, and the organization of workshops and other capacity-building activities related to the implementation of this Resolution.

Annex 1

Guidance for making legal acquisition findings

1. General recommendations for the making of legal acquisition findings by the State of export for specimens of CITES-listed species to be exported in accordance with Article III, paragraph 2 b), Article IV, paragraph 2 b), and Article V, paragraph 2 a) of the Convention

a) Parties are recommended to include in their national regulatory framework the obligation of a Management Authority to verify, prior to issuing any CITES export permit, whether a specimen of CITES-listed species to be exported was legally acquired.

b) To ensure due process and assist applicants in providing information demonstrating legal acquisition, each Party may, where appropriate and possible, prepare general written instructions regarding the information required of an applicant and make that information publicly available. The instructions may specify that a Management Authority may require additional information depending on the nature of a specific transaction.

c) Management Authorities may choose to verify legal acquisition based on a risk assessment approach, which may include the consideration and balancing of the following factors to the extent that they may be relevant to a particular CITES document request (the order of listing of the factors does not indicate any priority):

i) the Appendix in which the species is listed;

ii) the source of the specimen (considering whether the specimen is wild-collected, ranched, bred in captivity or artificially propagated, or of unknown origin);

iii) occurrence of the species in a controlled environment in the Party dealing with the application;

iv) geographical factors (e.g. whether the territory from which the specimen originated is affected by armed conflicts or other factors that may increase the likelihood of illegal acquisition);

v) documented illegal harvest or illegal trade;

vi) purpose of trade (commercial or non-commercial);

vii) history of applications from the applicant, including any history of non-compliance;

viii) monetary value of the specimens; and

ix) existence of look-alike species.

d) Where, after considering and balancing the above factors, a Management Authority concludes that there is a high risk that the specimen to be exported was not legally acquired, it may choose to require additional information and engage in further scrutiny of the chain of custody. Where a Management Authority concludes that the risk of illegal acquisition is low, it may choose to engage in less scrutiny and require less information of the applicant.

2. Practical steps for the verification of legal acquisition by the State of export

a) To verify legal acquisition, a Management Authority must first be aware of and understand their relevant laws for the protection of fauna and flora.

b) To verify legal acquisition, the Management Authority should review all the documentary and other information presented by the applicant. The documentation should, to the extent practicable, provide information on the entire chain of custody back to the source of the specimen. Such information may include records demonstrating that the specimen or parental stock was removed from the wild in accordance with relevant laws (licenses, collections permits, etc.), records identifying the specific specimen (band numbers or other marks, etc.) and documenting the history of transfers of ownership (sales, receipts, invoices, etc.), and records showing that the specimen was reared at a particular facility, for example. Where a Management Authority considers that the evidence is incomplete, it should provide the applicant with an opportunity to produce additional information.

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c) If upon the review of the documentation and taking into account all other relevant elements, a Management Authority is satisfied that the specimen was legally acquired, the requirement of verification of legal acquisition is fulfilled.

d) Where a Management Authority is not satisfied that the specimen was legally acquired, it should not issue the requested CITES document.

e) A Management Authority may choose to share relevant information about the legal acquisition of the specimen on the CITES document. Such information may be included in Box 5 (or another location) of the standard CITES document and may include import or export permit numbers, forestry concession numbers, hunting permit or tag numbers, for example.

3. Cooperation between relevant agencies and CITES Management Authorities

a) To ensure effective cooperation between domestic authorities (national, provincial, local, tribal) involved in the process of regulating the acquisition of specimens of CITES-listed species, the Parties may consider establishing mechanisms of inter-agency cooperation.

b) CITES Management Authorities may consult competent intergovernmental bodies regarding the verification of legal acquisition and the fulfilment of due diligence requirements.

c) When an exporting or re-exporting State receives a request from an importing State to verify the authenticity and validity of a CITES permit or certificate, it should make every effort to respond as indicated in Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates* in paragraph 24 l) and m).

4. Practical tools

a) For the purpose of establishing the chain of custody, the Parties may make use of information systems and traceability tools.

b) In verifying legal acquisition, Parties may wish to consult existing international legal databases such as ECOLEX, FAOLEX, and the World Legal Information Institute.

c) Where Parties consider that more certainty is required to establish that a specimen was legally acquired, Parties may have recourse to request verification by the applicant using forensic tools such as DNA testing, stable isotope analysis, and radiocarbon dating.

d) Management Authorities may use for their convenience the rapid guide for verifying legal acquisition below.

5. Rapid guide for the verification of legal acquisition

Whenever a Management Authority receives a request to authorize the export of a specimen of a CITES-listed species, the Management Authority may ask itself several questions to verify legal acquisition:

1. Is there a requirement to verify legal acquisition under CITES?

   Yes, where the specimen is exported under Article III, paragraph 2 (b), Article IV, paragraph 2 (b), or Article V, paragraph 2 (a) of the Convention, see also Annex 2 to the present resolution.

2. Is there a high risk the specimen may have been acquired illegally?
   See paragraphs 1 c) and d) to the present Annex.
3. Depending on the risk assessment and circumstances, is it necessary and practicable for the applicant to provide documentation of the entire chain of custody?

4. Is the information submitted by the applicant sufficient to demonstrate legal acquisition? If not, what additional information should be required?

   See the present resolution, paragraph 3 c).

5. If the Management Authority is satisfied that the specimen has been legally acquired, what kind of information if any, is it practicable to share in Box 5 (or another location) of the standard CITES document?

   See paragraph 2 e) in the present Annex.

6. If the Management Authority is satisfied that the specimen has been legally acquired, what documents / other information is it practicable to keep for the record?

See the present resolution, paragraph 3 e)

Annex 2

Additional circumstances requiring the verification of legal acquisition or other legal findings

The Conference of the Parties has recommended that verification of legal acquisition and other legal findings, such as verifying the date of acquisition, be made in the following circumstances.

Breeding/parental stock of specimens bred in captivity or artificially propagated

1. Pursuant to Resolution Conf. 10.16 (Rev.) on *Specimens of animal species bred in captivity*, paragraph 2 b ii), and Resolution Conf. 11.11 (Rev. CoP18) on *Regulation of trade in plants*, paragraph 1 b) i), a Management Authority of the State of export should verify legal acquisition of the breeding/parental stock of specimens bred in captivity or artificially propagated to be exported under Article VII, paragraphs 4 and 5 of the Convention.

'Pre-Convention' specimens

2. In accordance with Article VII, paragraph 2 of the Convention and pursuant to Resolution Conf. 13.6 (Rev. CoP18) on *Implementation of Article VII, paragraph 2, concerning 'pre-Convention' specimens*, to authorize the export of a 'pre-Convention specimen', a Management Authority shall be satisfied that a specimen was acquired before the provisions of the Convention applied to it and should therefore establish the date of acquisition or the earliest provable date on which it was first possessed by any person.

Specimens of Appendix I and II species taken in the marine environment not under the jurisdiction of any State

3. Pursuant to Resolution Conf. 14.6 (Rev. CoP16) on *Introduction from the sea*, paragraph 2 b), "whenever any specimen of a species included in Appendix I or II is taken in the marine environment not under the jurisdiction of any State by a vessel registered in one State and is transported into a different State, the provisions of Article III, paragraphs 2 and 3, or Article IV, paragraphs 2, 3 and 4, respectively, should be applied, with the State in which the vessel that took the specimen is registered being the State of export and the State into which the specimen is transported being the State of import". Under those circumstances, the State of export shall verify the legal acquisition of the specimen.

4. In the case of chartering operations, where the provisions of Article III, paragraphs 2 and 3, or Article IV, paragraphs 2, 3 and 4 apply pursuant to Resolution Conf. 14.6 (Rev. CoP16), paragraph 2 c), the State of export shall verify the legal acquisition of the specimen taken in the marine environment not under the jurisdiction of any State.

5. Pursuant to Resolution Conf. 14.6 (Rev. CoP16), paragraph 3, the State of introduction, the State of export and the State of import should "take into account whether or not the specimen was or will be acquired and landed:

   i) in a manner consistent with applicable measures under international law for the conservation and management of living marine resources, including those of any other treaty, convention or agreement with conservation and management measures for the marine species in question; and

   ii) through any illegal, unreported or unregulated (IUU) fishing activity".

Other exemptions and special provisions

6. Pursuant to Resolution Conf. 13.7 (Rev. CoP17) on *Control of trade in personal and household effects*, paragraph 1 b), 'personal or household effects' within the meaning of Article VII, paragraph 3 of the Convention, means specimens that are legally acquired (among other requirements).

7. Pursuant to Resolution Conf. 10.20 on *Frequent cross-border movements of personally owned live animals*, paragraph 1 c), a certificate of ownership for a live animal of a species listed in the Appendices may be issued if the animal is legally possessed by the applicant and that the animal has not been acquired in contravention of the provisions of the Convention (among other requirements).

8. Pursuant to Resolution Conf. 11.15 (Rev. CoP18) on *Non-commercial loan, donation or exchange of museum, herbarium, diagnostic and forensic research specimens*, paragraph 3 g) iv), specimens traded under Article VII, paragraph 6 of the Convention should be limited to shipments of legally obtained specimens between registered scientific institutions (among other requirements).

9. Pursuant to Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*, paragraph 14 b), a Party should only issue a Travelling Exhibition Certificate for CITES specimens belonging to a travelling exhibition based in its State, registered with the Management Authority, and wishing to transport specimens of CITES species to other States for exhibition purpose only, on the condition that they were legally acquired and will be returned to the State in which the exhibition is based (among other requirements).

10. Pursuant to Resolution Conf. 16.8 (Rev. CoP17) on *Frequent cross-border non-commercial movements of musical instruments*, paragraph 1 b), a musical instrument certificate should only be issued when a competent CITES Authority is satisfied that the CITES specimens used in the manufacture of the musical instrument have not been acquired in contravention of the provisions of the Convention (among other requirements).

11. Pursuant to Resolution Conf. 17.9 on *Trade in hunting trophies of species listed in Appendix I or II*, paragraph 2 a), the export of hunting trophies of species listed in Appendix I or II should only be authorized when a Management Authority of the State of export is satisfied that the specimen was not obtained in contravention of the laws of that country for the protection of fauna (among other requirements).

Conf. 18.8

小羊驼(*Vicugna vicugna*)保护和其纤维及产品贸易

意识到 小羊驼作为通过其分布国、安第斯高地社区和国际合作的协调努力与承诺，恢复濒临灭绝物种的一个成功范例的重要性；

承认 基于活体剪毛的小羊驼可持续利用对分布国中安第斯高地社区的重要性，及该物种对那些社区的经济文化价值；

认识到 《小羊驼保护管理公约》作为管制该物种可持续利用的区域机制，其所提供的法律框架和重要作用；

欢迎 在这方面通过的关于分布国之间管理小羊驼种群的共同政策的有关决定，包括使用标记和可追溯系统，及预防和打击盗猎及其相关的小羊驼纤维非法贸易；

忆及 自1987年以来，小羊驼种群已逐步从附录I转移到附录II；

严重关切 小羊驼的盗猎水平，它对几个签署国的物种种群构成了潜在威胁；

认识到 在全球尺度上，小羊驼纤维非法贸易是保护和可持续利用小羊驼的障碍，并触及范围超出了分布国和传统消费国；

同时赞扬 分布国和非分布国为控制和减少盗猎及取自死体的小羊驼纤维非法贸易，而采取的措施和付出的努力；

也**忆及** Conf. 16.6(Rev. CoP18)号决议《*公约与生计*》，其关于有效赋权和让乡村社区管理小羊驼种群，以最大程度地提高此类社区生计的需要；

认识到 在每个国家的分布区，小羊驼盗猎活动都有惊人的激增，包括智利地理上隔离的种群，这正在影响边缘分布的残留种群并使它们更加脆弱；

进一步**认识到** 有必要与来自五个签署国和一些主要进口国的CITES机构一起讨论与注释1实施有关的许多问题，包括营销流程、增值、可追溯性、在与小羊驼纤维有关的谈判过程中遇到的困难以及“Vicuña [Country of origin]”标记（用于衣服）和“Vicuña [Country of origin] - Artesanía”标记（用于手工艺品）的使用；

意识到 由于连续不断的再出口将纤维转变为织物和制成品(具有不同百分比的小羊驼纤维含量和不同的标识形式)，小羊驼纤维的可追溯性并未在整个价值链中实现 - 在某些情况下甚至丢失了原产国标识；

认识到 需要依靠缔约方的支持和国际合作以向五个分布国提供援助，并保护小羊驼种群及其栖息地及受益于这种重要的标志性物种的可持续利用的安第斯高地社区；

公约缔约方大会

1. 敦促：

分布国

a) 更新有关注释1实施的法规和行政程序，以确保有效的贸易和管理措施到位；

b) 对其控制措施保持警觉，包括防止偷猎和非法获取、及早发现潜在的违法犯罪分子、采取适当的的惩罚措施作为有效威慑；

c) 加强和促进研究、能力建设及数据记录和分析，以改善该物种的贸易控制和管

理；

d) 确保对列入附录II的种群进行可持续管理，并确保小羊驼纤维和制成品贸易惠益安第斯高地社区；

再出口国/进口国和其他缔约方

e) 再出口国/进口国作为优先事项，通过推动鼓励所有用户和行业群体之间合作的激励措施，实施旨在消除使用非法小羊驼纤维的战略；

f) 所有贸易小羊驼纤维的缔约方识别和记录现有的小羊驼纤维量，以便确保纤维适当的可追溯和控制，并防止非法标本进入合法市场；

g) 所有缔约方对取自活体小羊驼的纤维制品贸易，强制使用注释1所要求的强制性标签；

h) 所有缔约方采取适当措施，帮助分布国减少偷猎和小羊驼纤维非法贸易，并酌情与有关执法机构合作；及

i) 小羊驼分布国和进口国通过现有的国际、区域和国家执法机制，加强执法方面的合作；

2. **指导** 秘书处，在可获得外部资金支持的情况下，要：

a) 在制定包含有促进物种可持续管理和根除非法贸易措施的国家和区域保护计划方面，向分布国提供援助；及

b) 协助小羊驼分布国实施本决议的规定；

3. **敦促** 小羊驼分布国、再出口国/进口国、其他缔约方和利益相关者，合作汇编小羊驼非法贸易数据，以根据年度非法贸易报告的要求提交给秘书处；

4. **呼吁** 所有政府、政府间组织、相关国际机构和非政府组织，为实施该物种的保护活动提供资金，特别是在保护小羊驼种群、让安第斯高地社区参与、强化标记和可追溯系统、防止小羊驼偷猎和根除小羊驼纤维非法贸易方面；

5. **敦促** 所有小羊驼分布国、小羊驼纤维和服装的主要进口国，组织有效和扣人心弦的培训、意识提升运动及研讨会，以制止该物种的非法贸易；

6. **敦促** 公约所有缔约方进行建设性的参与，并与《小羊驼保护管理公约》协同增效，以实现本决议的目标。

Conf. 18.8 Conservation of vicuña (*Vicugna vicugna*) and trade in its fibre and products

AWARE of the importance of the vicuña as a successful example of recovering a species on the brink of extinction through the coordinated efforts and commitment of its range States, the high Andean communities and international cooperation;

ACKNOWLEDGING the importance of sustainable use of vicuña, based on the shearing of live animals, for high Andean communities in the range States, and the economic and cultural value of the species for those communities;

RECOGNIZING the legal framework provided by and the important role of the *Convention for the conservation and management of the vicuña* as the regional mechanism for regulating the sustainable use of the species;

WELCOMING in this regard the relevant decisions adopted regarding common policies among ranges States to manage the vicuña populations, including the use of marks and traceability systems, as well as the prevention and combatting of poaching and the related illegal trade in vicuña fibre;

RECALLING that vicuña populations have been gradually transferred from Appendix I to Appendix II since 1987;

EXPRESSING SERIOUS CONCERN over the levels of vicuña poaching as a potential threat to populations of the species in several signatory countries;

RECOGNIZING that illegal trade in vicuña fibre is an obstacle to the conservation and sustainable use of vicuñas on a global scale, and reaches beyond range States and traditional consumer countries;

COMMENDING, at the same time, the measures adopted, and the efforts deployed by range States and by non-range States to control and reduce vicuña poaching and the illegal trade of vicuña fibre obtained from dead animals;

ALSO RECALLING Resolution Conf. 16.6 (Rev. CoP18) on *CITES and livelihoods* concerning the need to effectively empower and engage rural communities managing vicuña populations, maximizing the livelihoods of such communities;

RECOGNIZING the alarming surge in vicuña poaching throughout its range in each of the countries, including geographically isolated populations in Chile, which is affecting relict populations with a marginal distribution and making them more vulnerable;

FURTHER RECOGNIZING the need to discuss a number of issues related to the implementation of annotation 1, including marketing processes, added value, traceability, difficulties faced in negotiation processes relating to vicuña fibre, and the use of the marks *Vicuña* [*Country of origin*] and *Vicuña [Country of origin] – Artesanía,* together with CITES Authorities from the five signatory countries and some of the major importing countries;

AWARE that the traceability of vicuña fibre is not occurring throughout the entire value chain because of the successive re-exports that turn fibre into fabric and manufactured products, with varying percentages of vicuña fibre content and different forms of identification – in some cases, even losing the identification of its country of origin;

RECOGNIZING the need to rely on the support of the Parties and international cooperation to provide assistance to the five range States and protect vicuña populations, their habitat, and the high Andean communities that benefit from the sustainable use of this important, emblematic species;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. URGES:

Range States

a) to update their legislation and administrative procedures with regard to the implementation of annotation 1 to ensure that effective trade and management measures are in place;

b) to be vigilant in their controls, including the prevention of poaching and illegal offtake, early detection of potential offenders, and the application of appropriate penalties as effective deterrents;

c) to strengthen and foster research, capacity-building, and data recording and analysis in order to improve trade control and management of the species;

d) to guarantee the sustainable management of populations listed in Appendix II, and to ensure that trade in vicuña fibre and manufactured products benefits the high Andean communities;

Re-exporting/importing States and other Parties

e) re-exporting/importing States, as a matter of priority, to implement strategies aimed at eliminating the use of illegal vicuña fibre by promoting incentives that encourage the collaboration amongst all groups of users and industries;

f) all Parties trading in vicuña fibre to identify and record existing volumes of vicuna fibre in order to ensure appropriate traceability and control of the fibre, and prevent illegal specimens to enter legal markets;

g) all Parties to enforce the use of mandatory labelling required by annotation 1 for trade in products derived from vicuña fibre sheared from live animals;

h) all Parties to take measures as appropriate to help range States reduce poaching and their illegal trade in vicuña fibre, and to cooperate, where appropriate, with relevant enforcement authorities; and

i) vicuña range States and importing countries to increase cooperation on enforcement matters through existing mechanisms for the enforcement of international, regional, and national laws;

2. INSTRUCTS the Secretariat, subject to the availability of external funding, to:

a) provide assistance to range States in developing national and regional conservation plans that include measures intended to promote sustainable management of the species and eradicate illegal trade; and

b) assist range States of *Vicugna vicugna* in the application of the provisions of this Resolution;

3. URGES vicuña range States, re-exporting/importing States, other Parties and stakeholders to cooperate in compiling data on illegal trade in vicuña to submit under the annual illegal trade report to the Secretariat;

4. CALLS UPON all governments, intergovernmental organizations, relevant international agencies, and non-governmental organizations to provide funding for the implementation of conservation activities for this species, particularly activities aimed at conserving the vicuña populations, engaging high Andean communities, strengthening marking and traceability systems, preventing vicuña poaching and eradicating the illegal trade of vicuña fibre;

5. URGES all vicuña range States and main importing countries of vicuña fibre and garments to organize effective and compelling training and awareness-raising campaigns and seminars to put an end to the illegal trade in the species; and

6. URGES the constructive engagement of all Parties to the Convention, and synergies with the Convention for the Conservation and Management of Vicuña in order to achieve the objectives of this Resolution.

第三部分

有效决定

行政和财政事务

议事规则(18.1)

18.1	*指示常委会*	在秘书处的支持下，常委会应审查缔约方大会《议事规则》第 7 条第 2 款 a）和第 25 条，并酌情向第十九次缔约方大会提出修正案，以确保会议的有效进行。

委员会工作(18.2-18.3)

18.2	*指示常委会*	常委会应考虑是否应将常委会财政和预算分委会的职权范围作为新决议《委员会的建立》的附件。
18.3	*指示秘书处*	秘书处应准备指导草案，以协助各委员会建立的工作组的各主席履行任务，以需供常委会审议。

获取资金(18.4-18.12)

18.4	*指示缔约方*	邀请缔约方向 CITES 秘书处提供无偿人事援助，请注意无偿援助人员的工资和行政费用由缔约方承担，且这些人员仍由派遣方的行政当局管理。无偿援助人员应忠实于 CITES 公约秘书处委任的工作，履行其职责。
18.5	*指示缔约方*	鼓励缔约方： a) 与全球环境基金(GEF)国家协调中心合作，参与国家 GEF 进程，并通过全球野生动植物计划(GWP)促进已分配的 GEF 资金的使用； b) 与本国 GEF 项目的相关人员沟通，知会其 CITES 公约的相关要求和程序，促进和实施含有 CITES 公约相关内容的 GEF 项目；及 c) 关注 GEF 全球野生动植物计划及其国际项目的进展，在适当的地方加强缔约方履行 CITES 公约义务的能力。
18.6	*指示缔约方、政府、政府间和非政府组织及其他实体*	邀请所有缔约方、政府、政府间和非政府组织及其他实体提供资金和技术协助，确保缔约方大会通过的决定和决议的有效实施。
18.7	*指示缔约方、政府、政府间和非政府组织及其他实体*	在提供财务援助时，鼓励缔约方、政府、政府间组织和非政府组织及其他实体，考虑到确保资金充足的必要的行政和财务管理支持，保证支持的活动以高效、有效和负责的方式进行管理，并且不影响秘书处的核心行政任务。

18.8 *指示秘书处* 秘书处应：

a) 继续参加 GEF 全球野生动植物项目指导委员会,以确保该项目下的GEF项目尽可能与CITES的决定和决议保持一致，并为加强 CITES 的实施做出贡献;及

b) 在全球野生动植物计划下，为缔约方制定和实施其 GEF 项目提供技术咨询和实物支持。

18.9 *指示秘书处* 视外部可用资金，秘书处应与世界银行及其他相关金融机构、合作机构及潜在捐赠方合作，组织一次以野生动植物可持续利用为主题的野生动植物捐赠圆桌会议，以：

a) 分享关于现有野生动植物资助方案的信息；

b) 了解发展中国家履行公约的长期资金需求;及

c) 寻求潜在增量资金来源，确保满足野生动植物保护和可持续利用所需。

18.10 *指示秘书处* 秘书处应向常委会报告 18.4 号和 18.5 号决定的实施情况，及其发现和建议；必要时，并向第十九次缔约方大会汇报。

18.11 *指示常委会* 常委会应审查 18.4 号至 18.10 号决定的实施情况；必要时，在第十九次缔约方大会上提出建议。

赞助代表项目(18.12)

18.12 *指示秘书处* 秘书处应：

a) 继续采用明确的甄选标准，同时考虑到甄选标准的各种可能选择以及对受益方进行优先排序的其他方式，包括经济合作与发展组织-发展援助委员会(OECD-DAC)的指南以及对小岛屿发展中国家和最不发达国家的优先安排；

b) 进一步探讨在“资助代表项目下为参加动物委员会、植物委员会和常委会会议的代表提供支持的实际安排；及

c) 适时向常委会和缔约方大会提出建议。

国际打击野生动植物犯罪同盟(ICCWC)(18.13)

18.13 *指示缔约方* 鼓励各缔约方继续向国际打击野生动植物犯罪同盟(ICCWC)提供资金支持，以实施其《 2016-2020 年战略计划》以及任何新近制定的未来战略计划，以确保该联盟继续在为执法界提供协调性的全球支持方面承担引领作用。

树木物种项目(18.14-18.17)

18.14	*指示缔约方*	邀请缔约方向秘书处提供关于以下方面的经验、教训和建议的信息： a) 在 ITTO-CITES 合作项目下开展的有关热带木材树种履约的既往工作及该工作对各缔约方履约的贡献； b) 在 CITES 树木物种项目下开展的附录 II 所列树木物种履约工作。
18.15	*指示植物委员会*	植物委员会应审议秘书处提交的有关 CITES 树木物种项目执行情况的任何报告，并酌情向秘书处和常委会提供建议。
18.16	*指示常委会*	常委会应审议秘书处和植物委员会提交的有关 CITES 树木物种项目的报告，并考虑其他与能力建设活动相关的讨论，向秘书处、缔约方和各组织提供有关 CITES 树木物种项目及其长期规划的建议。
18.17	*指示秘书处*	秘书处应： a) 收集关于 18.14 号决定的信息并将其提供给植物委员会； b) 向植物委员会和常委会报告有关 CITES 树木物种项目的执行进度； c) 与常委会商议，向第十九次缔约方大会报告 CITES 树木物种项目的执行进度；及 d) 继续与林业相关组织，如国际热带木材组织(ITTO)和森林合作伙伴关系(CPF)的其他成员合作，在所列树木物种履约方面加强对缔约方的支持。

ETIS 项目回顾(18.18-18.20)

18.18	*指示秘书处*	秘书处应将根据 Conf. 10.10(Rev. CoP18)关于象标本贸易的决议和 Conf. 11.17(Rev. CoP18)关于国家报告的决议提出的重叠报告要求问题和不同数据共享政策带来的挑战列入象贸易信息系统(ETIS)项目回顾的范围，并与执行回顾的顾问紧密合作以找出可能的解决方案。
18.19	*指示秘书处*	秘书处应在第 73 次常委会会议上报告常委会要求的 ETIS 项目回顾结果，以及由回顾得出的任何建议。

18.20 *指示常委会* 常委会应审查秘书处根据 18.19 号决定报告的结论和建议，并提出建议供第十九次缔约方大会审议。

MIKE 和 ETIS 项目(18.21-18.22)

18.21 *指示秘书处* 秘书处应就解决 MIKE 和 ETIS 项目的财务和业务可持续性的可能方法制定一项提案供第 73 次常委会会议审议。

18.22 *指示常委会* 常委会应当审查秘书处关于 18.21 号决定报告的结论和建议，并提出建议供第十九次缔约方大会审议。

战略事务

CITES 战略愿景 (18.23-18.26)

18.23 *指示缔约方* 鼓励各缔约方的管理机构与国家生物多样性公约联络机构(人)进行交流，以确保将 CITES 的目标反映在其国内进程的成果中，以期为将于 2020 年通过的生物多样性框架做出贡献。

18.24 *指示秘书处* 秘书处应：

a) 为了说明已通过的 CITES 战略愿景(2021-2030)与《2030 年可持续发展议程》的目标以及即将通过的《2020 年后生物多样性框架》之间的联系，需开展比较分析，并将分析结果提交常务委员供其参考；及

b) 对照现行 CITES 决议和决定，回顾 CITES 战略愿景(2021-2030)的目标，向动植物委员会和常委会确认 CITES 现行政策（以决议和决定体现）似乎未采取行动以支持的那些目标 (如果这种目标存在的话)。

18.25 *指示动物和植物委员会* 依据 18.24 决定 b 款，动物委员会和植物委员会应审阅由秘书处履行 18.24 决定 b 款而备的报告，并为常委会提出相关建议。

18.26 *指示常委会* 常委会应：

a) 与动植物委员会主席商议，并考虑到缔约方通过执行情况报告提供的信息以及秘书处根据 18.24 号决定 a 款准备的比较分析报告，就 CITES 战略愿景（2021-2030）中的新的或修订的进展指标提出建议, 供第十九次缔约方大会审议; 及

b) 回顾秘书处在 18.24 号决定中提供的信息以及动植物委员会的意见，并向第十九次缔约方大

会提出建议。

公约回顾 (18.27)

18.27	*指示常委会*	常委会应考虑对公约执行情况开展有针对性回顾的必要性，同时考虑到以往对公约的回顾以及现有公约审查机制，并在适当的情况下拟定一项费用估算的提案，包括职权范围草案，由第十九次缔约方大会审议。

附录 I 所列物种 (18.28-18.29)

18.28	*指示秘书处*	视可用资源，秘书处应： a) 与顾问签订合同，酌情开展以下工作： i 快速评估附录I所列物种的保护状况，及合法和非法贸易； ii 与分布国商议，对相关物种或所选物种的保护状况、威胁、贸易的相关性、正在开展的就地和异地保护战略或恢复计划，以及可用资金/资源进行详细评估；及 iii 制作一份报告，确定并优先考虑可能从CITES公约未来行动中获益的那些附录I物种；及 b) 制作一份报告并附其建议，分别提交第32次动物委员会会议和第26次植物委员会会议审议。
18.29	*指示动物和植物委员会*	动物委员会和植物委员会应回顾秘书处根据 18.28 号决定提供的报告和建议，并酌情形成其建议，通知缔约方并供第十九次缔约方大会审议。

公约的语言战略 (18.30)

18.30	*指示常委会*	常委会应在秘书处的帮助下： a) 考虑在公约的工作语言中增加阿拉伯文、中文和俄文的部分，包括对公约的行政管理、预算、执行和有效性； b) 将这些语言中任意一种添加为公约工作语言都需要特别注意所特有的利益和挑战，考虑 CoP18 第 8 号文件“关于公约语言战略的决议草案” 和联合国大会关于多语言的 71/328 号决议；及 c) 向第十九次缔约方大会报告其结论和有关任何进一步行动的建议。

土著民众和当地社区的参与*(17.57(Rev. CoP18), 18.31-18.32)

17.57 (Rev. CoP18)	*指示常委会*	常委会应： a) 检查不同决议和决定中使用的“土著民众”、“ 当地社区”或“乡村社区”的词语；及 b) 向第十九次缔约方大会建议这些词语在这些决议和决定中是否有必要统一。
18.31	*指示常委会*	常委会应： a) 建立一个会间工作组，考虑如何有效地使土著民众和当地社区参与*CITES 进程，同时考虑到最近一次会间讨论以及根据 18.32 号决定提供的任何信息，并将其发现和建议提交常委会。 b) 在建立会间工作组时，努力实现缔约方和观察员的区域平衡，并对土著民众和当地社区代表的参与*给予特别照顾； c) 制定无法律约束力的指导，支持缔约方提交修正附录的提案时与土著民众和当地社区*进行商议。 d) 向第十九次缔约方大会提出有关土著民众和当地社区*参与 CITES 进程的建议。

18.32 *指示秘书处* 秘书处应：

a) 发布通知，邀请各缔约方提供其在促进土著民众和当地社区*参与 CITES 进程中的经验与教训；

b) 与相关组织和专家进行磋商和合作，以收集有关经验与教训的信息，以补充根据上述 a）款从各缔约方获得的信息；及

c) 汇编从各缔约方和其他有关组织收集的信息，并向常委员会提供一份摘要。

生计*(18.33-18.37) *这些决定中的“土著民众和当地社区”应理解为包括乡村社

18.33 *指示缔约方* 邀请缔约方：

a) 使用标准模板整理或开展新的案例研究，以证明 CITES 附录物种的可持续利用如何促进涉及此类利用的土著民众和当地社区的生计*，可持续利用具体包括该物种的贸易和保护等方面。包括促进诸如与野生动植物有关的主管部门和其他利益相关者参与的例子，并将其提交秘书处；

b) 使土著民众和地方社区*参与国家层面的 CITES 的决策和实施进程，以更好地实现公约目标；及

c) 在适当的情形中，将与 CITES 履约和生计相关的事项纳入各国的野生动植物保护和社会经济发展计划中，并纳入争取外部资助的相关项目中，包括来自全球野生动植物项目的全球环境基金的资助。

18.34 *指示常委会* 常委会应建立一个 CITES 与生计的会间工作组，该工作组应与秘书处展开合作：

a) 监测缔约方在执行 18.33 号决定方面的进展，以使土著民众和当地社区*参与 CITES 的决策过程，为了更好地实现公约目标；及

b) 回顾秘书处关于根据 18.35 号决定取得的进展以及 Conf. 16.6(Rev. CoP 18)关于 CITES 和生计决议执行情况的报告，并酌情向第十九次缔约方大会提出建议。

18.35 *指示秘书处* 视外部可用资金，秘书处应：

a) 支持按照 18.33 号决定 a 款的规定，整理或开展关于 CITES 和生计的新案例研究，并协助缔约方，在合适的平台上、以对目标受众最有效的形式和方式，来介绍案例研究；

b) 委托由不同学科的专家组成的独立审查团队，对现有和新的 CITES 和生计的相关案例研究、野生动植物可持续利用和土著民众和当地社区*参与可持续利用的现有准则开展独立审核，以确认最佳实践；

c) 在专家审查的基础上，就履约和 CITES 附录物种贸易中如何最大程度惠及土著民众和当地社区*制定指导；

d) 考虑 CoP 18 Doc. 42 号文档中报告的可追溯性并参考相关的过去工作，探讨对土著民众和当地社区*根据 CITES 规定生产列入 CITES 附录物种产品时使用注册认证标志的可能性，利用现有的、新的以及其他可追溯性机制，以增强保护和生计成果；

e) 协助组织工作组来审查上文 c）款制定的指导，介绍有关 CITES 和生计的新案例研究，并促进与有关国际和区域组织的合作经验交流；

f) 根据案例研究，组织制作宣传材料，包括出版物和短片，以提高对履约对生计改善的认识并推广相关的最佳实践，包括履约对联合国可持续发展目标(SDGs)的贡献，并在适当的平台包括 CITES 网站、社会媒体渠道、外部媒体和展览分享此类材料；及

g) 努力与包括保护组织和发展机构在内的相关国际和区域组织建立全球伙伴关系，以共同开展有关 CITES 和生计的工作。

18.36 *指示秘书处* 秘书处应向常委会报告在执行 18.35 号决定和 Conf. 16.6(Rev. CoP18)关于 CITES 和生计的决议方面取得的进展。

18.37 *指示秘书处* 视外部可用资金，秘书处应组织一次关于土著民众和当地社区*会间工作组与 CITES 与生计会间工作组的联席会议，以支持 18.31 号和 18.34 号决定的执行。

世界野生动植物日(18.38)

18.38	*指示常委会*	常委会应考虑在未来的世界野生动植物日指定主题，以聚焦农村和当地社区以及土著民众的生计。

能力建设(18.39-18.46)

18.39	*指示缔约方*	邀请缔约方： a) 给秘书处提供能在缔约方之间分享的能力建设材料和成果的信息； b) 利用公约虚拟学院支持能力建设活动，向秘书处提供知识等投入和资金支持，以更新和改善学院的服务，包括将其内容翻译成各国语言； c) 使用公约履约报告，也可直接表达意向，向秘书处通报自己的能力需求； d) 通过提供当面培训的奖学金或培训机会，以及将培训材料翻译成非公约语言等方式，来支持其他缔约方的能力建设成果；及 e) 根据 18.46 号决定 a 款，根据秘书处签发的给各缔约方的通知，分享能力建设框架相关的想法、经验和信息。
18.40	*指示动物和植物委员会*	动物委员会和植物委员会应回顾秘书处履行 18.46 号决定 c 款的报告，并为常委会提供知识等投入和做出推荐。
18.41	*指示常委会*	常委会应建立一个能力建设的工作组，就 18.42 和 18.43 号决定概述的为改善履约而制定一个整合能力建设框架的具体行动，工作组向常委会给出建议。 能力建设工作组应该包括，但不限于以下人员组成：常委会、动物委员会和植物委员会、预算和财政次级委员会以及秘书处的成员。能力建设小组还应该包括每个地区平衡后的缔约方代表、捐赠国，以及能力建设支持受益国。
18.42	*指示常委会*	常委会应给秘书处提供指导，来精炼和压实能力建设工作的领域，并将“遵约协助项目“和”国家层面大宗贸易回顾“的讨论，以及在 18.43 号决定中概要规划的整合能力建设框架的讨论考虑进来。

18.43 *指示常委会* 常委会应采取以下措施：

a) 回顾 Conf. 3.4 关于技术合作决议整合能力建设需求；

b) 考虑到依照 18.40 号决定中动物委员会和植物委员会的知识等投入和建议；及

c) 根据 18.46 号决定以及 CoP18 Doc. 21.2 和 21.3 号文件的结果，如果合适的话，提出建议，包括能力建设相关的可能的新决议草案或决议修改草稿，以及模型、工具和指导文件，供第十九次缔约方大会审议。

18.44 *指示秘书处* 秘书处应：

a) 搜集缔约方和其他组织能力建设的信息和成果，并通过 CITES 网站公开展示；

b) 视外部可用资金，进行 CITES 网站和虚拟学院的改版和更新，包括所选网络课程，以更新内容和改善其为缔约方提供获取能力建设资源的效率；

c) 视外部可用资金，给缔约方提供遵约相关和其他一般性的能力建设支持；

d) 当能力建设材料需要常委会、动物委员会和植物委员会回顾或投入知识等，通知它们；及

e) 视外部可用资金，与诸如联合国粮食及农业组织（FAO）、生物多样性和生态系统服务科学-政策平台（IPBES）、国际打击野生动植物犯罪同盟（ICCWC）(包括其成员)、国际贸易中心（ITC）、国际热带木材组织（ITTO）、安达卢西亚国际大学（UNIA）、联合国贸易与发展会议（UNCTAD）、联合国计划开发署（UNDP）、联合国环境规划署（UNEP）、世界动物卫生组织（OIE）和世界贸易组织（WTO）等机构或组织进一步合作，给缔约方提供与 CITES 相关的联合能力建设援助，提供当面培训的奖学金或培训机会，将公约文件翻译为非工作语言。

18.45 *指示秘书处* 在实施能力建设时，秘书处要特别关注那些通过遵约程序发现的缔约方、新加入公约的缔约方、发展中国家、小岛屿发展中国家的需求。

18.46 *指示秘书处* 秘书处应：

a) 基于 CoP18 Doc.21.3 文件附件 5，并与常委会商议，形成一个问卷，并以通知的形式向各缔约方发放问卷，就计划形成的整合能力建设框架搜集信息；

b) 与其他多边环境协定联合，收集他们如何确立、完成和追踪能力建设成果的信息；

c) 准备一个报告，概括 18.46 号决定 a 款和 b 款的实施情况，以及 SC66Doc.20.2(Rev.1)号文件总结的需求评估工作组的结果，以及缔约方通过其执行报告提供的有关能力建设需求的信息，供动物委员会和植物委员会审议；及

d) 视外部可用资金，并与常委会、动物委员会、植物委员会以及预算和财务分委会商议，组织一次研讨会，促进常委会在 18.42 和 18.43 号决定中规定的任务得以落实。

合作

与其他生物多样性相关公约的合作(17.55 (Rev. CoP18) – 17.56 (Rev. CoP18) & 18.47 – 18.48)

17.55 (Rev. CoP18)	*指示缔约方*	鼓励各缔约方在国家层面上，通过提高国家协调中心之间的合作与协调，以及加强能力建设等，来加强生物多样性多边环境协定间的协同效应。
17.56 (Rev. CoP18)	*指示常委会*	常委会应在秘书处的支持下，寻求符合 CITES 战略愿景要求的新途径，在所有相关层面来加强 CITES 与《生物多样性 2011-2020 战略规划》（及其爱知目标和 2020 世界全球多样性框架）的合作、协作和协同，在适当时，与《2030 可持续发展议程》及其可持续发展目标）亦如此。这应涉及生物多样性相关公约的联络小组成员，在适当时，并与其他相关组织和进程接触，包括《里约三公约》下等的一些进程。常委会应在第十九次缔约方大会上报告本决定的执行情况。
18.47	*指示秘书处*	秘书处应准备一份报告，总结 CITES 现有的决议和决定中与其他生物多样性相关的协同、伙伴关系和合作，并在这方面就加强公约履约的措施提供建议，结合其他与生物多样性有关的相关公约的实践，并和它们理事机构的决议和决定所形成的产出相结合。
18.48	*指示常委会*	常委会应： a) 根据 18.47 号决定审议秘书处的报告，以及向缔约方大会提交的任何旨在加强 CITES 履约的措施，即通过更精简、更有凝聚力和有效的协

同增效的方法，来实现与其他生物多样性相关公约的协同、伙伴关系与合作；及

b) 就本决定的执行情况编写一份报告，并提交相关建议，供第十九次缔约方大会审议。

与全球植物保护战略的合作(18.49-18.51)

18.49	*指示秘书处*	秘书处应： a) 根据第 23 和 24 次植物委员会，以及第十八次缔约方大会上的相关更新，在公约网站上发布和持续更新以下总结：为附录Ⅰ和附录Ⅱ物种修订而向缔约方大会提交的定期回顾、为定期回顾而筛选出来的附录 I 和附录 II 分类群，以及附录 II 物种的大宗贸易回顾； b) 与植物委员会合作，更新 CITES 公约对实施全球植物保护战略(GSPC)的贡献的报告[见 CoP17 Doc. 14.6(Rev. 1)文件]，将 PC24 Inf.6 文件中包含的分析以及第十八次缔约方大会的有关成果考虑在内，并将其提供给生物多样性公约(CBD)秘书处，供其在第十五次缔约方大会上进一步审议； c) 就 2020 后 GSPC 的未来咨询 CBD 秘书处，并与植物委员会合作起草 Conf. 16.5 关于与 2011-2020 年全球植物保护战略决议的任何必要修订；及 d) 向植物委员会报告实施 a 至 c 款的进展情况。
18.50	*指示植物委员会*	植物委员会应： a) 根据 18.49 号决定，审议秘书处更新的报告； b) 与秘书处合作，考虑到《生物多样性公约》有关 2020 后 GSPC 的未来的讨论，在适当时起草对 Conf. 16.5 号决议的修订，以确保能够体现这两个公约之间的双向合作；及 c) 酌情向常委会或第十九缔约方大会提出其建议。
18.51	*指示常委会*	常委会应审议回应 18.50 号决定而编写的任何报告，并与植物委员会协调，将其建议转至第十九次缔约方大会。

与世界遗产公约的合作(18.52 – 18.54)

18.52	*指示秘书处*	秘书处应与联合国教科文组织世界遗产中心交流，以期制定谅解备忘录，并在适当的情况下，视外部可用资源，制定一项联合工作计划。
18.53	*指示秘书处*	秘书处应将与联合国教科文组织世界遗产中心的谅解备忘录草案提交常委会审核、建议和批准。
18.54	*指示常委会*	常委会应审议秘书处提交的与联合国教科文组织世界遗产中心合作的谅解备忘录草案，提出建议或批准。

黑海宽吻海豚 (*Tursiops truncatus ponticus*)(18.55)

18.55	*指示秘书处*	根据 Conf. 13.3 关于同《保护迁徙野生动物物种公约》(CMS)的合作与协同决议，秘书处应继续与《黑海、地中海和毗连大西洋地区的鲸类保护公约》(ACCOBAMS)合作，以有效保护公约所列黑海和地中海的鲸类物种。

CITES-CMS 非洲食肉动物联合倡议(18.56 – 18.61)

18.56	*指示秘书处*	秘书处应： a) 将非洲食肉动物倡议纳入新的 2021-2025 年 CMS-CITES 联合工作计划提案中，该工作计划将在执行 Conf. 13.3 同《保护迁徙野生动物物种公约》(CMS)的合作与协同决议的背景下制定； b) 视外部可用资源，与 CMS 秘书处合作，并酌情与世界自然保护联盟(IUCN)合作： i 根据 CITES 第十八次缔约方大会、CMS 第十三次缔约方大会以及 CITES-CMS 非洲食肉动物联合倡议(ACI)分布国第一次会议的成果，为 CITES-CMS 非洲食肉动物联合倡议制定专门的工作计划；将工作计划草案提交常委会审查和适当修订；及 ii 支持非洲食肉动物分布国通过 ACI 执行相关的 CITES 决议和决定； c) 酌情向动物委员会和常委会报告本决定的执行情况；及 d) 在第十九次缔约方大会报告本决定的执行情况。
18.57	*指示常委会*	常委会应审查秘书处根据 18.56 号决定 b(i)款提交的工作计划草案，做出适当的建议或修订，审议秘

		书处执行 18.56 号决定的任何报告，酌情制定对分布国和秘书处的指导和建议。
18.58	*指示动物委员会*	动物委员会应审议秘书处执行 18.56 号决定的任何报告，并酌情制定对分布国和秘书处的指导和建议。
18.59	*指示非洲食肉动物的分布国*	敦促非洲食肉动物的分布国通过 CITES-CMS 非洲食肉动物联合倡议开展工作，以执行与该倡议所涉物种有关的 CITES 决议和决定。
18.60	*指示缔约方、政府间组织和非政府组织*	邀请缔约方认识到 CITES-CMS 非洲食肉动物联合倡议在执行与该倡议所涉物种有关的 CITES 决议和决定中的重要性，以及在酌情寻求协同以执行互补的 CMS 决议和决定方面的重要性。
18.61	*指示缔约方、政府间组织和非政府组织*	鼓励缔约方、政府间组织和非政府组织通过 CITES-CMS 非洲食肉动物联合倡议，支持相关的非洲食肉动物分布国执行与该倡议所涉物种有关的 CITES 决议和决定。

解释和履约事务

一般性遵约和执法

履行公约的国家公约(18.62 – 18.67)

18.62	*指示缔约方*	敦促根据“国家立法项目”(NLP)，立法被列入二类和三类的缔约方，尽快使用公约的三种工作语言之一，不迟于第 74 次常委会会议前向秘书处提交详细信息，说明其为有效履行公约采取的适当措施。这些缔约方还应随时向秘书处通报立法进展情况，并最迟于第 73 次常委会会议前 90 天向秘书处提供立法进展的书面更新情况。
18.63	*指示缔约方*	鼓励在“国家立法项目”中立法被列入一类的缔约方将任何相关的立法进展告知秘书处，并直接或通过秘书处向受 18.62 号决定影响的缔约方提供技术或财政援助。
18.64	*指示常委会*	常委会应在其第 73 和 74 次会议上，审查各缔约方为有效履行公约而采取的适当措施的进展。在秘书处的协助下，常委会可以确定其他需要常委会重点关注的缔约方，并应特别注意这些缔约方。对于受到 18.62 号决定影响但未采取适当措施或未采取重大实质性步骤来有效执行公约的缔约方，常委会应采取适当的遵约措施。对 2011 年 8 月后加入公约的缔约方，常委会可决定延长其采取适当履约措施的时间。

18.65 *指示常委会* 上述遵约措施可包括建议暂停与受 18.62 号决定影响但未能采取适当措施来有效履行公约的缔约方开展贸易，尤其是确定为重点关注的缔约方。任何与相关缔约方暂停贸易的建议应在该建议得到通过 60 天后生效，除非所涉缔约方在 60 天内采取了适当措施、或采取了重大实质性步骤。

18.66 *指示常委会* 常委会将根据执行 18.67 号决定 c 款的要求向秘书处提供支持。

18.67 *指示秘书处* 秘书处应：

a) 在第十九次缔约方大会之前汇编和分析缔约方提交的关于采取措施的信息，以完成公约文本和缔约方大会 Conf. 8.4 (Rev. CoP15)号关于履行公约的国家法律决议中的规定；

b) 协助常委会审查缔约方在采取适当措施有效执行公约方面的进展，并确定其他需要重点关注的缔约方；

c) 必要时审查和修订在 CITES 网站“国家立法项目”下提供的所有指导材料，包括《 CITES 示范法》，以确保这些指导材料符合公约及其有关决议规定的义务，聚焦于缔约方大会 Conf. 8.4 (Rev. CoP15)号决议第 1(a)款，并向第 73 次常委会会议报告相关修订情况；

d) 视外部可用资金，就制定有效履行公约的适当措施向缔约方提供法律建议和协助，包括对 CITES 履约机构、立法起草人、决策者、司法机构、议员和其他负责制定和通过 CITES 相关法律的政府官员提供立法指导和培训；

e) 视外部可用资金，在提供立法协助时，与联合国机构和政府间组织如联合国粮食及农业组织(FAO)、联合国开发计划署(UNDP)、联合国毒品和犯罪问题办公室(UNODC)、联合国环境规划署(UNEP)、世界银行和区域开发银行，及区域组织如非洲、加勒比和太平洋国家集团(ACP)、亚马逊合作条约组织(ACTO)，东南亚国家联盟(ASEAN)，阿拉伯国家联盟(LAS)，美洲国家组织(OAS)和太平洋区域环境计划(SPREP)的法务项目开展合作；

f) 向常委会例行会议报告缔约方为有效履行公约而采取适当措施的进展，并在必要的情况下，建议采取适当的遵约措施，包括暂停 CITES 附录物种标本贸易的建议；

g) 在第十九次缔约方会议上报告 Conf. 8.4(Rev. CoP15)号决议和 18.62 至 18.67 号决定的相关实施进展。

遵约协助项目(18.68 – 18.70)

18.68 *指示缔约方* 邀请缔约方：

a) 按照 Conf. 14.3(Rev. CoP 18)关于 CITES 遵约程序决议的规定，向受履约机制和其他相关履约措施约束的缔约方提供财政或技术支持，以进一步加强其机构能力，包括向有关各方提供短期“工作安排”或“借调”的可能性，以及作为“遵约协助项目”一部分的同行能力建设活动(例如双边合作和由另一方的同行当局提供指导)；及

b) 向秘书处提供有关向 CITES 遵约措施的缔约方提供的双边或多边财政或技术援助的任何相关信息，以确保公约条款和常委会的建议得到有效执行。

18.69 *指示秘书处* 秘书处应视外部可用资金，设立一个遵约协助项目(CAP)，及:

a) 向缔约方发出通知，要求提供有关政府、政府间和非政府实体目前提供的任何遵约协助的信息；

b) 根据要求，开展技术任务，促成能够从遵约协助项目受益的缔约方组织国内协助协调机制；

c) 与安达卢西亚国际大学主办的“贸易物种管理与保护，国际框架”硕士课程及其他相关硕士课程商议，探寻培训和部署短期顾问或实习生以帮助缔约方从遵约协助项目中受益的可能性和可行性；

d) 与全球环境基金(GEF)秘书处和潜在捐助国的发展援助机构商议，考虑常委会的建议和有关缔约方的需求，通过制定一个基于 CITES 遵约协助的次级项目，探寻加强以遵约为基础的全球环境基金全球野生动植物计划和其他相关计划的可能性和可行性；

e) 与《蒙特利尔议定书》和其他相关的多边环境协定合作，对实施多边基金下的《蒙特利尔议定书》的遵约协助项目以及其他专门提供履约协助的类似举措的经验教训进行快速评估；及

f) 向常委会报告 18.68 号和 18.69 号决定的执行进

		展情况，以及将遵约协助内容纳入全球环境基金全球野生动植物计划和其他相关计划主流的可行性。
18.70	*指示常委会*	常委会应监督遵约协助项目实施的进度；考虑是否应修改 Conf. 14.3(Rev. CoP18)关于 CITES 遵约程序决议，以反映出 CAP 的创建，并评估秘书处提交的关于与安达卢西亚国际大学主办的“贸易物种的管理和保护，国际框架”的硕士课程和其他相关硕士课程的合作报告；将遵约协助纳入全球环境基金全球野生动植物方案和其他相关方案的主流的可行性；并向第十九次缔约方大会报告其调查结果和建议。

国家范围内大宗贸易回顾(18.71 – 18.73)

18.71	*指示秘书处*	秘书处应： a) 审议 AC30 Doc. 12.3/PC24 Doc. 13.3 号文件附件所述的有关国家范围内大宗贸易回顾的“展望和建议”，以及开展此类回顾所需要的资源，并就马达加斯加国家大宗贸易回顾中确定的科学和管理问题是否可以纳入其他现有的 CITES 机制或方案活动，包括遵约协助项目拟议的能力建设活动，或是否应开发一个新机制在国家一级向缔约方提供有针对性的支持； b) 确定缔约方如何在现有“国家范围内回顾”机制下或任何新机制下满足或申请支持；及 c) 就发现和建议准备报告，供第 32 次动物委员会会议和 26 次植物委员会会议分别审议，随后由第 74 次常委会会议审议。
18.72	*指示动物和植物委员会*	动物和植物委员会应回顾秘书处提交的报告，并酌情向常委会或缔约方大会提出建议。
18.73	*指示常委会*	常委会应在其第 74 次会议上回顾动物和植物委员会提交的报告和建议，并与秘书处商议，向第十九次缔约方大会提出建议供审议，其中可能包括有 Conf.12.8(Rev.CoP18)关于附录 II 标本大宗贸易的决议或其他现有决议的修正案，或提出一项新决议。

大宗贸易回顾(17.108 (Rev. CoP18) – 17.110 (Rev. CoP18)

17.108 (Rev. CoP18)	*指示秘书处*	秘书处应在第十八次缔约方大会后的六个月内，以迄今已完成的工作为基础，开发、测试和建立一个大宗贸易回顾追踪和管理数据库，将其作为回顾有效实施和进程透明化的重要工具。

17.109 (Rev. CoP18)	*指示秘书处*	视可用资金，秘书处应在第十八次缔约方大会后的六个月内，制定一份便于使用的大宗贸易回顾指南，该指南也可包括在给各分布国的启动信中。
17.110 (Rev. CoP18)	*指示秘书处*	视可用资金，秘书处应在缔约方大会第十八届会议后九个月内，开发一个关于大宗贸易回顾的综合培训模块(如可能，包括案例研究)。

Conf. 11.3(Rev. CoP18)关于遵约和执法决议的回顾 (18.74)

18.74	*指示常委会*	常委会应回顾 Conf.11.3(Rev. CoP18)关于遵约和执法的决议，旨在进行重组以提高实用性和可读性，在需要时进行更新和澄清，并找出空缺。在回顾的基础上，常委会应酌情提出 Conf. 11.3(Rev. CoP18)号决议的修订建议，并提出建议以弥补已查明的空缺，供第十九次缔约方大会审议。

年度非法贸易报告(18.75 – 18.76)

18.75	*指示秘书处*	秘书处应视外部可用资金，与联合国毒品和犯罪问题办公室签约，以建立、托管和维护一个数据库，用于存储和管理通过年度非法贸易报告收集的非法贸易数据，以满足 CoP18 Doc.36 文件附件 1 有关通过缔约方年度非法贸易报告收集的非法贸易数据收集和管理的要求。
18.76	*指示缔约方*	敦促各缔约方遵守 Conf.11.17 (Rev. CoP18) 关于国家报告的决议，按照秘书处分配的报告格式，分别于 2020 年 10 月 31 日和 2021 年 10 月 31 日前提交涵盖之前一年中行动的年度非法贸易报告。

执法(18.77 – 18.80)

18.77	*指示缔约方*	鼓励各缔约方积极追求和促进使用《野生动植物管理机构廉政指南》，以加强应对和克服腐败带来的风险和挑战。
18.78	*指示秘书处*	秘书处应视外部资金，与联合国毒品和犯罪问题办公室(UNODC)以及国际打击野生动植物犯罪同盟(ICCWC)中的其他伙伴组织共同推动《野生动植物管理机构廉政指南》的使用，并应其要求，支持缔约方采取行动和措施应对腐败带来的风险和挑战。
18.79	*指示秘书处*	秘书处应视外部资金，设立一个 CITES 所列树木物种标本非法贸易特别行动组，行动组由受到该类标本非法交易影响的缔约方代表、国际打击野生动植物犯罪同盟(ICCWC)伙伴组织以及联合国粮食及农业组织(FAO)等其他政府间组织、区域执法网络以及其他专家组成。特别行动组应该制定打击 CITES 所列树木物种标本非法贸易的策略，包括推动和进

一步加强区域和国际合作的措施。秘书处应向常委会报告本决定的执行情况和特别行动组的工作情况，并考虑常委会提出的建议。

18.80 *指示常委会* 常委会应审查 18.79 号决定要求秘书处提交的报告，并酌情提出建议。

网络野生动植物犯罪(18.81 – 18.85)

18.81 *指示缔约方* 鼓励各缔约方根据需要，为其打击网络野生动植物犯罪的工作，利用国际刑警组织全球创新中心（新加坡）所建立的能力，来获取建议和援助。

18.82 *指示缔约方* 鼓励各缔约方在调查网络野生动植物犯罪案件时，充分利用国际刑警组织制定的关于如何打击网络野生动植物犯罪的指南。

18.83 *指示缔约方* 缔约方应：

a) 如果其网络野生动植物犯罪的国家法律以及其他有关国内措施有任何改变的话，应通知秘书处；

b) 向秘书处提交信息关于遵守以打击和防止野生动植物非法贸易行为守则的那些网站的信息；

c) 告知秘书处关于管制网络交易场所和社交媒体平台的任何最佳实践典型；

d) 公布对网络应用与野生动植物犯罪率之间关系的科学研究的结果，并与公约秘书处交流这些结果；及

e) 告知秘书处经辨识的任何网络野生动植物犯罪趋势，包括已观察到的贸易路线和运输方式的任何变化。

18.84 *指示秘书处* 秘书处应：

a) 继续在打击网络野生动植物犯罪的最佳做法和典型国内措施方面，与国际打击野生动植物犯罪同盟(ICCWC)的伙伴合作；

b) 在适当的情况下，在 CITES 网站网络野生动植物犯罪网页链接上，分享来自缔约方（根据 18.83 号决定）、来自 ICCWC 伙伴机构（根据 18.84 号决定 a 款），以及来自其他有关组织或专家的关于采取措施和行动以打击网络野生动植物犯罪的信息；及

c) 修订所有相关的决议和决定，以确保在打击野生动植物网络犯罪方面一贯使用“网络野生动植物犯罪”一词，并酌情将该词列入 CITES 词

汇表和 CITES 网站有关网络野生动植物犯罪新的网页上。

18.85 *指示秘书处* 秘书处应向常委会报告 18.83 号和 18.84 号决定的执行情况，并向第十九次缔约方大会报告。

打击非法贸易的减少需求战略(18.86-18.87)

18.86 *指示秘书处* 视外部资金，秘书处应:

a) 考虑秘书处根据 17.48 号决定 a 款委托研究的结果以及根据 17.48 号决定 b 款召开的研讨会提出的任何建议，形成关于打击 CITES 所列物种非法贸易的减少需求战略的指导；

b) 召开一次研讨会，供缔约方和专家审阅指导并为缔约方提供培训，以设计和实施减少需求的运动，以打击 CITES 所列物种的非法贸易；

c) 向常委会提交关于打击 CITES 所列物种的非法贸易的减少需求战略的指导草案供审议；及

d) 支持有兴趣的缔约方实施打击 CITES 所列物种的非法贸易的减少需求战略，并持续向这些缔约方提供必要的技术合作。

18.87 *指示常委会* 常委会应审查 18.86 号决定形成的指导，并提出建议，供第十九次缔约方大会考虑。

西非和中非的野生动植物犯罪执法支持(18.88 – 18.93)

18.88 *指示西非和中非缔约方* 西非和中非的缔约方应：

a) 利用《西非和中非威胁评估报告》（可见于 CoP18 Doc.34 号文件附件 4）中提供的信息和建议，以及 CoP18 Doc.34 号文件附件 2 中的建议，以加强 CITES 履约和打击野生动植物犯罪；及

b) 确定可以从支持中受益的优先行动，并将这些行动提交国际打击野生动植物犯罪同盟(ICCWC)、捐助者和发展社团，以寻求实施的支持。

18.89 *指示西非和中非缔约方* 被确定为受该区域内野生动植物非法贸易影响的中、西非缔约方，应参与区域和双边活动，分享打击非法贸易的国家立法和监管措施的信息，交流经验和最佳实践，并确定机会开展区域和跨界合作与联合行动，包括酌情制定 Conf 11.3(Rev.CoP18)关于履约和执法决议 14 a)ii)款和 10 f)款所预期的国家

或区域行动计划，同时还需考虑该决议 15 q)款的规定。

18.90 *指示从西非和中非进口 CITES 标本的缔约方*

鼓励从西非和中非进口 CITES 标本的缔约方通过实施打击野生动植物犯罪和支持仅限于可持续水平的合法贸易的措施，以协助其在西非和中非的同行，特别是通过以下措施：

a) 通过推动做出可信度高的非致危性判定的科学研究，来支持确定和确保可持续贸易水平的努力；

b) 密切审查从西非和中非进口的 CITES 所列物种的托运货物以及随附的 CITES 文件，以确保非法贸易标本不被洗白进入合法贸易；及

c) 作为优先事项，与出口国或动物委员会、植物委员会、常委会或秘书处联系，提高对进口货物的关切。

18.91 *指示缔约方、政府间组织和非政府组织*

鼓励各缔约方、政府间组织和非政府组织向西非和中非缔约方提供资金和技术援助，并调动资源处理 CoP18 Doc.34 号文件附件 4 中《西非和中非威胁评估报告》中确定的事项；CoP18 Doc.34 号文件附件 2 的建议，SC70 Inf.2 号和 Inf.3 号信息文件的指南；以及常委会做出的任何进一步的建议。

18.92 *指示常委会*

常委会应：

a) 考虑秘书处根据 18.93 号决定 d 款做出的报告，以及西非和中非缔约方加强 CITES 履约取得的进展，并酌情给出进一步建议；及

b) 根据第 70 次常委会会议商定的建议，审议植物委员会的任何报告，其中涉及将所有分布国的刺猬紫檀(*Pterocarpus erinaceus*)纳入大宗贸易回顾，并根据需要提出建议。

18.93 *指示秘书处*

秘书处应：

a) 提请有关联合国机构、非洲联盟、中非森林委员会、全球环境基金和发展机构注意，CoP18 Doc.34 号文件附件 4《西非和中非威胁评估报告》和附件 2 中的建议，和 SC70 Inf.2 号和 Inf.3 号信息文件中的指南；并鼓励这些实体在两个次区域发起的工作方案或活动中考虑到这些；

b) 视外部资金，与国际打击野生动植物犯罪同盟(ICCWC)的伙伴合作，以支持西非和中非缔约方打击野生动植物非法贸易，包括处理《西非和中非威胁评估报告》（可见于 CoP18 Doc.34

号文件附件 4）中确定的事宜；CoP18 Doc.34 号文件附件 2 的建议，SC70 Inf.2 号和 Inf.3 号信息文件的指南，以及常委会做出的任何进一步建议；

c) 视外部可用资金，并应缔约方要求，考虑到 SC70 Inf.2 号和 Inf.3 号信息文件的内容，开展一般性和有针对性的能力建设活动，以加强这两个次区域 CITES 的有效履行；

d) 酌情向常委会报告根据 18.93 号决定 a 到 c 款开展的活动结果；及

e) 在能力建设执行过程中，秘书处应优先考虑包含在 SC70 Inf.2 号和 Inf.3 号信息文件中的西非缔约方同意的指南。

马达加斯加的花梨木和玫瑰木(*Dalbergia* spp.)和乌木(*Diospyros* spp.) (18.94 – 18.99)

18.94	*指示马达加斯加黄檀属所有种和柿属所有种的来源国、中转国和目的国；*	敦促马达加斯加黄檀属和柿属物种标本的来源国、中转国和目的国： a) 执行 CITES 常委会对来自马达加斯加黄檀属和柿属物种标本有关商业性贸易建议的所有措施，包括暂停贸易； b) 有效管理来自马达加斯加的黄檀属所有种和柿属所有种木材的库存；及 c) 向第 73 次和第 74 次常委会会议提供书面报告，说明本决定 a 和 b 款的执行进展。
18.95	*指示缔约方和其他相关伙伴*	邀请缔约方和相关伙伴，例如国际热带木材组织(ITTO)、联合国粮食及农业组织(FAO)、国际打击野生动植物犯罪同盟(ICCWC)以及其他政府间国际组织和非政府组织： a) 执行 CITES 常委会对来自马达加斯加的黄檀属所有种和柿属所有种树木物种标本的商业性贸易建议的所有措施，包括暂停贸易； b) 与马达加斯加合作，执行使用计划中达成共识的部分，以管理马达加斯加的这些物种的木材库存；及 c) 为支持 18.96 号决定的执行提供技术和财政援助。
18.96	*指示马达加斯加*	马达加斯加应： a) 继续与秘书处和相关伙伴如国际热带木材组织(ITTO)、联合国粮食及农业组织(FAO)、其他政府间组织和非政府组织等合作，继续鉴别马

达加斯加的黄檀属和柿属中有商业价值的主要物种；

b) 继续在制定发展黄檀属和柿属中具有商业价值物种的非致危判定方面取得进展，包括实施适当的监测机制；

c) 与 CITES 秘书处合作，基于科学上可靠的非致危性判定，为那些在 a 款中识别的物种设置一个预防性的出口限额；

d) 继续开发马达加斯加黄檀属和柿属木材及其木制品的识别材料；

e) 对 a)款识别的物种，在国家层面上加强控制和执法措施，以打击木材非法采伐和出口；包括没收、调查、逮捕、起诉和制裁，而不考虑违法者的头衔和责任程度；

f) 视可用资金，确保马达加斯加黄檀属和柿属的木材库存(包括未申报和隐藏的库存)的安全，并定期提交经过审计的库存更新和基于透明的和独立监督机制的使用计划，以供常委会审议、批准和进一步指导；

g) 与秘书处共享预算提案，以寻求缔约方以及技术和财务伙伴的援助，来执行本决定；及

h) 向第 25 次和第 26 次植物委员会会议以及第 73 次和第 74 次常委会会议提供执行 18.96 号决定的进展报告。

18.97 *指示植物委员会* 植物委员会应，在其第 25 次和 26 次会议上：

a) 酌情审议马达加斯加和秘书处关于 18.96 号决定执行进展的报告，并向常委会和秘书处提出建议；及

b) 为马达加斯加执行 18.96 号决定提供协助。

18.98 *指示常委会* 常委会应，在第 73 和 74 次常委会会议上：

a) 审查马达加斯加和秘书处关于 18.96 和 18.97 号决定的执行进展的报告，并酌情向马达加斯加、有关缔约方和秘书处提出建议，若马达加斯加执行 18.96 号决定的行动未能令人满意，将根据 Conf. 14.3 (Rev. CoP18)关于 CITES 遵约程序决议的规定采取措施。

b) 考虑建立一个小型的缔约方会间咨询小组，为马达加斯加实施有关黄檀属和柿属树木物种的所有措施提供协助和建议。

18.99 *指示秘书处* 秘书处应：

a) 协助执行 18.94 至 18.97 号决定；

b) 视外部资金，协助马达加斯加和马达加斯加黄檀属和柿属物种标本贸易相关的中转国和目的国开展相关能力建设活动；

c) 发布一项通知，呼吁马达加斯加黄檀属和柿属的非法贸易的潜在的目的国采取适当措施，确保该货物不被非法运输或交易，包括禁止入境、旅客到达时查货相关样品，以及根据公约的规定对贩运者采取适当的制裁；及

d) 酌情向植物委员会和常委会提供本决定实施进展的报告。

亚洲大型猫科动物(Felidae spp.)的非法贸易(17.226 & 18.100 – 18.109)

17.226 *指示拥有亚洲大型猫科动物圈养设施的缔约方* 要求在其管辖境内拥有亚洲大型猫科动物圈养设施的缔约方：

a) 审查针对此类设施的现行国家管理惯例和控制措施，以确保这些管理惯例和控制措施足以防止亚洲大型猫科动物标本从此类设施进入或通过此类设施进入非法贸易市场。

b) 确保严格实施所有管理惯例和控制措施，以规范圈养亚洲大型猫科动物设施的活动，包括圈养下死亡的亚洲大型猫科动物标本的处置；及

c) 向秘书处报告执行本决定的进展情况。

18.100 *指示缔约方* 鼓励受亚洲大型猫科动物标本非法贸易影响的缔约方，特别是在 CoP18 Doc 71.1 号文件中确定的缔约方，考虑 CoP18 Doc. 71.1 号文件附件 4 中的信息，并采取执法行动以应对这种非法贸易，包括通过发起联合调查和行动以制止整个非法贸易链中有组织犯罪网络的成员。

18.101 *指示缔约方* 鼓励在其领土上存在着助长涉及亚洲大型猫科动物标本非法跨境贸易的游客市场的缔约方，加强与其邻国的执法合作，以打击此类非法贸易。

18.102 *指示缔约方* 邀请管辖境内设有 18.108 号决定 a 款所述的亚洲大型猫科动物圈养设施的缔约方，欢迎来自秘书处的代表团访问这些设施。

18.103 *指示缔约方* 鼓励第十七次缔约方大会以来缉获过虎皮的所有缔约方，按照 Conf. 12.5(Rev. CoP18)关于虎及其他附录I亚洲大型猫科动物的保护和贸易的决议第 1 段 l 款的规定，在 2019 年 12 月 31 日前分享缉获虎皮的

图像，并鼓励所有缔约方在此类缉获发生后的 90 天内分享被查扣的任何虎皮的图像。

18.104 *指示缔约方* 鼓励各缔约方根据其国家法规，与捷克共和国国家联络点分享来自活体动物、缉获的动物或可能包含虎 DNA 的产品的虎标本的样本，以供基因研究项目 TigrisID 使用，该项目正致力于开发新技术以协助打击虎标本的非法贸易。

18.105 *指示缔约方* 鼓励各缔约方，尤其是 CoP18 Doc 71.1 号文件附件 4 第 3.1.5 节中提到的缔约方，认真考虑 CoP18 Doc. 71.1 号文件附件 4 概述的关于豹部分和衍生物非法贸易的关切，并采取措施解决这些问题。

18.106 *指示缔约方* 敦促虎和其他亚洲大型猫科动物标本的消费国采取行动，结束对非法虎和其他大型猫科动物部分和衍生物的需求。如，通过与消费者行为改变、社会营销和传播专家等相关专家合作开展有针对性的行为改变行动，确保行动证据可靠、基准正确并具有强大的监测和评估功能，包括用于评估功效的适当指标；通过和实施适当的立法与监管措施，阻止消费者购买任何非法的大型猫科动物产品。

18.107 *指示缔约方* 邀请各缔约方及时向秘书处报告 18.100 至 18.106 号决定的执行情况，以便秘书处按照 Conf. 12.5(Rev. CoP18)号决议第 2 a 款的要求向常委会和缔约方大会报告。

18.108 *指示秘书处* 秘书处应：

a) 视外部资金，向 SC70 Doc. 51 号文件确定的缔约方以及领土上有可能令人关切的亚洲大型猫科动物圈养设施的缔约方派出代表团，以便对这些设施的运营和活动有更好的了解；及

b) 向第 73 次和第 74 次常委会会议报告 18.107 至 18.108 号决定 a 款的执行情况以及有关代表团的工作进展，并提出建议供常委会审议。

18.109 *指示常委会* 在第 73 次和第 74 次常委会会议上，应审查秘书处关于 18.100 至 18.108 号决定执行情况的报告和建议，并决定是否需要采取进一步的有时限的、针对具体国家的措施，以强化对公约、14.69 号决定以及 Conf. 12.5(Rev. CoP18)号决议第 1h 款的执行。

犀(Rhinocerotidae spp.)(18.110 – 18.116)

18.110 *指示缔约方* 缔约方应确保及时向分布国报告缉获情况并提供 DNA 样本；继续审查与非法杀害犀和犀标本非法贸易有关的趋势，以及为打击这些犯罪而正在采取

		的措施和活动，以确保这些措施和活动保持有效并迅速适应新发现的趋势；及时向秘书处报告，以供常委会审议在这方面开展的任何活动。
18.111	*指示缔约方*	鼓励中国、莫桑比克、缅甸、纳米比亚、南非和越南尽一切努力，进一步加强其对 Conf. 9.14(Rev. CoP17)关于非洲和亚洲犀的保护与贸易的决议第 1 e 和 2 d 款的执行，包括通过开展旨在解决整个非法贸易链上有组织犯罪网络成员的联合调查和行动，并向秘书处报告在这方面开展的任何活动，供常委会及时审议。
18.112	*指示缔约方*	鼓励津巴布韦在法庭上迅速有效地办结与犀偷猎和犀角走私的案件，考虑可采取的利于将来迅速处理此类案件的措施，并向秘书处报告在这方面开展的任何活动，供常委会及时审议。
18.113	*指示常委会*	在第 74 次常委会会议上，审查根据 18.115 号决定报告的秘书处建议，以及根据 18.114 号决定提请其注意的任何引起关注的问题，对进一步行动提出其他建议，酌情要求进行其他报告，并编写供第十九次缔约方大会审议的提案。
18.114	*指示秘书处*	秘书处应审查根据 18.110、18.111 和 18.112 号决定收到的报告，并提请第 74 次常委会会议注意任何可能引起关注的问题。
18.115	*指示秘书处*	秘书处应与感兴趣的缔约方、IUCN/SSC 非洲和亚洲犀专家组以及国际野生物贸易研究组织(TRAFFIC)商议，探讨反思挑战和最佳实践的方案，以协助应对根据 Conf. 9.14(Rev. CoP17)号决议第 7 段为缔约方大会编写的报告中提及的犀偷猎和犀角贩运问题，并提出建议供常委会在其第 74 次会议上审议。
18.116	*指示缔约方*	鼓励存在犀角非法市场的缔约方，根据 Conf. 17.4 关于打击 CITES 所列物种非法贸易的减少需求战略决议的规定，并利用其他法域和其他组织积累的经验与专业知识，针对主要目标受众制定减少需求计划。敦促各缔约方关闭那些助长偷猎或非法贸易的市场。

常见非法贸易标本的国内市场(17.87 (Rev. CoP18) – 17.88 (Rev. CoP18))

17.87 (Rev. CoP18)	*指示秘书处*	要求秘书处，视外部资金，并在与相关缔约方商议的基础上： a) 对除象牙外国际贸易主要是非法贸易的公约所列物种标本消费市场的国内管控进行研究；及

b) 向常委会报告研究结果和建议，以及其本身的建议。

17.88 (Rev. CoP18) *指示常委会* 常委会在第 73 次常委会会议上应审查 17.87 号(Rev. CoP18)决定所指出的报告的结论和建议，以及秘书处的任何建议，并提出建议供第十九次缔约方大会审议，包括酌情修订现有决议，加强打击以非法国际贸易为主的 CITES 所列物种标本的国内管制。

关闭国内象牙市场(18.117 – 18.119)

18.117 *指示缔约方* 要求尚未关闭国内生象牙和加工象牙商业贸易市场的缔约方，向秘书处报告为确保其国内象牙市场不会助长偷猎或非法贸易而采取的措施，供第 73 和第 74 次常委会会议审议。

18.118 *指示秘书处* 秘书处应编制这些报告，并在常委会会议之前将其提供给各缔约方。

18.119 *指示常委会* 常委会应：

a) 审议 18.118 号决定中的报告；及

b) 向第十九次缔约方大会报告，并酌情根据公约的范围和任务提出建议。

猛犸象牙贸易(18.120 – 18.121)

18.120 *指示秘书处* 视外部资金，秘书处应就猛犸象牙的贸易及其对象牙非法贸易和大象偷猎的影响和贡献进行研究，并向第 74 次常委会会议报告结论。

18.121 *指示常委会* 在第 74 次常委会会议上审议秘书处根据 18.120 号决定提供的报告和结论，并向第十九次缔约方大会提出建议。

贸易规定

合法来源判定指导(18.122 – 18.124)

18.122 *指示缔约方* 邀请缔约方：

a) 向秘书处提供与使用 Conf.18.7 关于合法来源判定决议附件 1 的指导，以核查出口 CITES 标本的合法来源有关的任何相关信息、经验或示例，以及附件 1 中指导是否适用于 Conf. 18.7 号决议附件 2 中其他情况的任何相关信息；及

b) 根据要求向发展中国家提供援助，以提高其根据国家需求确定的合法来源判定的能力。

18.123 *指示秘书处* 秘书处应：

a) 根据 18.122 号决定 b 款向缔约方发出通知，要求输入；

b) 在缔约方提交的信息、经验和示例基础上向常委会报告 Conf.18.7 号决议的实施进展；

c) 视外部资金，在 CITES 网站上维护一个专门关于合法来源验证的网页，并定期更新；及

d) 视外部资金，组织研讨会和与 Conf.18.7 号决议实施有关的其他能力建设活动，并分发用于 CITES 标本合法来源验证的培训材料。

18.124 *指示常委会* 常委会应监测 Conf.18.7 号决议的执行进展，评估秘书处提交的关于缔约方执行决议的报告，并酌情向第十九次缔约方大会提出建议，以改进缔约方对合法来源的验证。

电子系统和信息技术(18.125 – 18.128)

18.125 *指示缔约方* 邀请缔约方：

a) 考虑 eCITES 实施框架在计划和实施电子 CITES 系统方面的潜在用途，并反馈哪些信息对其自身的特定努力有用，以及需要哪些额外的支持来解决影响实施的其他问题，例如治理结构、技术能力以及执法限制；

b) 呼吁捐助机构注意发展中国家管理机构的兴趣，以采用自动化的电子许可证解决方案，并为这些解决方案的实施提供资金；

c) 考虑以旨在提高许可证发放和控制过程的透明度和效率的方式实施 eCITES 系统，杜绝欺诈性许可证的使用，并提供优质数据以改进可持续评估；

d) 注意到联合国贸易和发展会议(UNCTAD)aCITES 系统(电子 CITES 认证系统)是一种低成本、现成的解决方案，可供缔约方实施；

e) 如果使用电子 CITES 系统：

i 在电子 CITES 电子许可系统和交易中实施签名和图章的电子等效文件时，考虑联合国贸易促进和电子商务中心(UN/ CEFACT)关于贸易文件认证的建议 14 是很好的实践；

ii 对使用用户名和密码和/或类似技术，或同时使用两者的每个有权访问电子系统的用户进行身份验证；

iii 确保电子 CITES 系统保持审计追踪，例如保留电子记录(包括但不限于带有相关时间印花和消息标题的传输和接收确认)，使得管理机构能够识别请求、批准、处理、发行、认可或更改 CITES 电子许可证和证明书的每个人；

iv 保留审计追踪档案的有效期在许可证截止日期后不少于五年，或者在该缔约方的年度报告中该交易报告之日起不少于五年，以较晚的日期为准；

v 根据公约第 4 条第 4 款和 Conf.12.3(Rev.CoP18)关于许可证和证明书的决议第 3q 款的要求，向 CITES 秘书处提供其用于签发许可证和证明书的所有有效电子签名的副本；

vi 当经过身份验证的用户被删除或不再被认可时，立即通知秘书处；及

vii 认识到在满足上述 i-iv 要求的电子 CITES 系统中，可以通过以下任何人的经过身份验证的身份提供物理签名和图章的电子等效文件：许可证申请人；签发或授权许可证或证明书的官员；更改许可证或证明书的官员；发证机关；认可许可证或证明书的检查官员；

f) 在管理机构与国家海关和边境管理机构之间建立系统的对话和持续的合作关系，以在可行和适当的情况下为 CITES 所列物种的国际贸易实施高效、基于风险的管制系统；及

g) 向秘书处提供有关 CITES 许可流程的自动化状态以及 CITES 所列物种国际贸易控制系统实施情况的信息，并分享其经验教训。

18.126 *指示常委会和秘书处* 常委会和秘书处应采取以下措施：

a) 与联合国贸易促进和电子商务中心(UN / CEFACT)、联合国贸易与发展会议合作(UNCTAD)、国际贸易中心(ITC)、世界银行、世界海关组织(WCO)、世界贸易组织(WTO)和其他相关伙伴合作，以继续开发联合项目，使缔约方便利地获得电子许可服务，并使其与国

际贸易标准和规范保持一致，例如进一步发展和实施 UNCTAD eaCITES 系统；

b) 与所有相关伙伴合作，开发用于交换 CITES 许可证和证书的电子许可证信息交换(EPIX)的标准和解决方案，并改善 CITES 管理部门和海关官员对 CITES 许可证数据的验证；

c) 与《国际植物保护公约》(IPPC)秘书处、国家植物保护组织(NPPO)和其他相关组织合作，在 CITES 所列标本的跨境贸易中频繁使用的许可、许可证和证书的标准和程序的统一方面所做的努力，交流信息和经验；

d) 监督并为缔约方提供有关为 CITES 所列物种标本开发可追溯系统的工作的建议，以促进其与 CITES 许可证和证书的协调；

e) 支持管理机构的能力建设，特别是最需要的管理机构，使用与秘书处和其他管理机构兼容的系统，以电子方式收集、保护、维护和传输数据的能力；及

f) 如有必要，为秘书处修订 Conf. 12.3(Rev. CoP18)关于许可证和证书的决议和 Conf. 11.11(Rev. CoP18)关于 CITES 年度报告的编写和提交指南的决议提供建议。

18.127 *指示秘书处* 视外部可用资金，秘书处应：

a) 与世界海关组织和其他相关伙伴合作，组织一次关于简化合规贸易和打击野生动植物的非法贸易等现代海关程序的国际研讨会，以改善 CITES 所列物种的贸易控制，并向常委会提出建议；

b) 与世界海关组织(WCO)、联合国贸易和发展会议(UNCTAD)、联合国区域委员会、联合国毒品和犯罪问题办公室(UNODC)、世界贸易组织(WTO)和世界银行等国家和国际组织合作，支持缔约方利用信息技术和现代贸易控制程序，对 CITES 许可程序的自动化进行有效和基于风险的程序的实施，以控制 CITES 所列物种；

c) 提供能力建设和咨询服务，支持有兴趣实施电子方案的缔约方管理 CITES 许可证和证明书，支持缔约方建立电子许可证系统和信息交流；

d) 与相关合作伙伴合作，探索新兴技术，包括与区块链相关的技术，以安全有效地发行、交换和控制 CITES 许可证和证书；

e) 提交根据 18.125、18.126 和 18.127 号决定开展活动的报告，并酌情向常委会提出建议。

18.128 *指示常委会* 常委会应回顾秘书处根据 18.127 号决定提交的报告和建议，并根据要求，就电子系统和信息技术，向第十九次缔约方大会提出建议。

许可证认证和控制(18.129 – 18.131)

18.129 *指示缔约方* 鼓励缔约方向秘书处提供有关其在 CITES 许可证的认证和控制中的方法和经验的信息。

18.130 *指示秘书处* 视外部资金，秘书处应：

a) 与感兴趣的缔约方商议，对 CITES 许可证认证和控制的现行做法进行深入研究，以选定的缔约方为案例研究，以说明当前贸易惯例和技术使用如何影响其 CITES 贸易监管流程；及

b) 确定为缔约方提供指导的相关决议中可能存在的空缺，特别是从调整 CITES 许可程序以适应当前贸易惯例范围的角度来看。

18.131 *指示常委会* 常委会应审议秘书处编写的关于 CITES 许可证的认证和控制的报告，并在必要时向缔约方大会提出建议。

CITES 许可证和证明书的目的代码(14.54 (Rev. CoP18))

14.54 (Rev. CoP18) *指示常委会* 常委会应重新设立一个会间联合工作组，参照以下要求，审查缔约方对交易目的代码的使用：

a) 工作组应由尽可能由来自全部六个 CITES 地区的缔约方以及适当的政府间组织和非政府组织组成，这些组织应在许可证发放过程和贸易数据分析中具有发放 CITES 文件和使用交易目的代码进行评估的专门知识；

b) 工作组应通过电子媒体进行交流，着重于明确定义交易目的代码，以鼓励使用的一致性，并考虑可能移除现行代码或纳入新的代码；

c) 工作组还应阐明描述物理位置的交易目的代码与描述活动的交易目的代码之间的重叠，其中一个或多个可能与任何给定许可有关；

d) 工作组还应考虑与交易目的代码有关或受其影响的任何决议，以确保解释的一致性；及

e) 工作组应在第 74 次常委会会议上提交一份报告，以及对 Conf 12.3(Rev. CoP18)关于许可证和证明书的决议进行修订的任何建议，或对以上根据 d 款确定的任何其他决议进行修订的建议，常委会应在第十九次缔约方大会上报告其建议。

非致危性判定(18.132 – 18.134)

18.132 *指示秘书处* 秘书处应：

a) 清点并回顾缔约方可获取的开展非致危性判定(NDFs)的材料和指导，确定任何明显的空缺或需求(如有关分类学、地理范围、形式或格式、全面性、可及性、语言、更新、实用性等)，包括对不同来源(W、R 和 F)标本的贸易开展 NDFs 指导，及在决定和决议中优先/要求的分类单元的 NDFs；

b) 经与动物和植物委员会及缔约方商议，根据分析，确定补充或改进 NDF 指导材料，以及解决明显空缺和需求的优先事项；

c) 视外部资金，通过以下方式解决能力建设中商定的优先事项：

i 与有关专家、缔约方和组织合作，开展针对性研究，以支持开发新的或经更新分热 NDF 指导材料；及

ii 在动物和植物委员会协助下，组织一次或多次有关 NDF 的多学科专家研讨会，包括第二次非致危性判定国际专家研讨会，在会上回顾、改进和完成 NDF 指导材料草案；

d) 向动物和植物委员会介绍工作结果供其审议，并就如何更好使用产出帮助科学机构开展 NDFs 提出建议；及

e) 在 CITES 网站上向缔约方提供现有决定产出的 NDF 指导材料。

18.133 *指示动物和植物委员会* 动植物委员会应：

a) 回顾秘书处对 NDF 材料和指导的空缺分析，协助确定补充或改进 NDF 指导材料，以及解决明显空缺和需求的优先事项；

b) 酌情出席将要回顾、改进和完成 NDFs 指导材料草案的 NDF 跨学科研讨会；

c) 协助秘书处，根据 2008 年坎昆会议以来取得的进展，并作为后续，准备第二次非致危性判定国际专家研讨会；

d) 回顾关于跨学科专家 NDFs 研讨会的相关产出、NDFs 最终指导材料草案、这些产出对科学机构开展 NDFs 的支持，以及在 CITES 网站上的发布等，并提出建议；及

e) 在第十九次缔约方大会上汇报上述事项。

18.134 *指示缔约方* 鼓励缔约方：

a) 对执行 18.132 号决议，包括第二次非致危性判定国际专家研讨会提供资金支持；

b) 对有关用于制定 NDFs 的方法论、工具、科学信息、专业知识和其他资源提供任何帮助和信息，以便为此类研讨会做出贡献，应将结果提交第十九次缔约方大会审议；及

c) 使用产自执行 18.132 和 18.133 号决定的有关 NDFs 的指导材料，将经验和发现报告给动物和植物委员会。

鉴定资料(18.135 – 18.139)

18.135 *指示秘书处* 秘书处应：

a) 继续收集鉴定资料信息，并通过 CITES 网站和 CITES 虚拟学院分享；及

b) 视外部可用资金，并根据 18.137 号决定要求建立的联合工作组的输入，修订和重新设计 CITES 虚拟学院，以便以更加用户友好的方式提供鉴定资料。

18.136 *指示秘书处* 秘书处应对 Conf. 11.19(Rev. CoP16)有关鉴定手册的决议进行回顾，应：

a) 收集和汇编当前有关物种鉴定和需求的信息，并评估它们与 Conf. 11.19(Rev. CoP16)决议的相关性；

b) 审议 Conf. 11.19(Rev. CoP16)号决议最好是被修订、还是被一个有关 CITES 所列物种标本鉴定的新决议替代，并准备修订或新决议的文本草案；

c) 与动植物委员会和常委会商议，提出修订决议；及

d) 酌情在动物委员会、植物委员会会议和常委会的会议上报告进展情况并提出建议。

18.137 *指示动物和植物委员会* 动植物委员会应与秘书处商议，建立一个关于缔约方用来鉴定 CITES 附录物种的鉴定资料的联合工作组，并向秘书处提供工作组的成果：

a) 回顾选定的鉴定资料，包括根据 18.136 号决定 a 款中汇编的资料，考虑到缔约方已经完成或正在编写的资料，以及决定或决议要求的资料，评估修订和改进的必要性；

b) 回顾 Conf. 11.19(Rev. CoP16)关于鉴定手册的决议，考虑到 18.137 号决定 a 和 c 款的回顾结果，提高鉴定资料的准确性和可用性；

c) 审议提高 CITES 附录物种鉴定资料的准确性和可用性的方法；

d) 在下一次动物委员会和植物委员会会议上报告上述工作的进展。

18.138 *指示常委会* 常委会应：

a) 为秘书处编写、动物委员会和植物委员会修订的决议草案提供意见，确保缔约方和野生动植物执法当局对鉴定资料的需求都得到满足；及

b) 在十九次缔约方大会上提交修订后的决议草案。

18.139 *指示缔约方* 鼓励缔约方支持鉴定资料工作组的工作，通过向秘书处提供可用的鉴定和指导资料信息，特别是执法和查验官员使用的信息，以助于公约的履行。

木材及其他木制品的鉴定(18.140 – 18.143 & 16.58 (Rev. CoP18))

18.140 *指示植物委员会* 植物委员会应与利益相关者合作，以现有计划的信息为基础：

a) 确定用于木材鉴定的不同工具和知识资源的空缺和互补性，例如现有的现场识别指南和关键特征，以及它们的可获得性和实用性；

b) 制定标准化的信息模板和其他工具，供缔约方使用，以促进有关木材标本搜集的内容和状态的信息共享，并与研究机构、执法机构和其他管理部门进行交换；

c) 协助缔约方确定现有的木材和木制品鉴定实验室服务，并加强对贸易中的 CITES 所列树种的筛查和司法鉴定能力；

d) 确定促进全球、区域和国家间木材识别技术最佳实践方法的交流；及

e) 酌情向常委会汇报执行 18.140 至 18.142 号决定的进展情况;并将其结果和建议供第十九次缔约方大会审议。

18.141 *指示缔约方* 鼓励缔约方与植物委员会，利益相关方及其执行 18.140 号决定的现有举措展开合作，通过以下方式：

a) 与具有木材鉴定专业技能的机构合作，以便为执法人员和海关官员共享与木材鉴定方法、工具和协议相关的信息；

b) 确定现有的木材和木制品鉴定实验室服务，加强贸易中 CITES 所列树木物种的现场和法庭鉴定能力；

c) 为执法人员和海关人员确定有效的木材识别培训方法、工具和协议；

d) 优先考虑那些能够从木材鉴定工具、协议和材料的发展中获益最多的玫瑰木和花梨木物种；及

e) 向植物委员会报告现有实验室、供执法和海关使用的有效木材鉴定培训方法、工具和协议，以及玫瑰木和花梨木优先树种的信息。

18.142 *指示秘书处* 秘书处应：

a) 与具有木材鉴定相关专业知识的组织保持联系，包括全球木材追踪网络(GTTN)、国际木材解剖学家协会(IAWA)、国际热带木材组织(ITTO)、杜能木材溯源研究中心、欧洲森林研究所(EFI)、联合国毒品和犯罪问题办公室(UNODC)和世界资源研究所(WRI)，在与植物委员会商议后确定共同的优先事项，包括优先树种、新兴技术、标准化程序和可用于木材追踪工具的样品收集和共享；

b) 通过 CITES 网站向缔约方提供当前可用的木材识别指导；及

c) 向植物委员会报告执行本决定的进展情况。

18.143 *指示常委会* 常委会应回顾植物委员会提交的有关 18.140 至 18.142 号决定执行情况的任何更新信息，并酌情向植物委员会提供建议。

16.58 *指示秘书处* 秘书处应：

(Rev. CoP18)

a) 从已开发 CITES 所列树木物种的鉴定和测量、木材货运实地检查的工具与程序的缔约方收集信息和材料；

b) 在 CITES 网站发布信息，使得 CITES 植物检查和执法机构能够获取这些信息；及

c) 将这些信息纳入与木材贸易有关的能力建设活动中。

鲟鳇鱼的鉴定和可追溯性(Acipenseriformes spp.)(16.136 (Rev. CoP18) – 16.138 (Rev. CoP18))

16.136 (Rev. CoP18)	*指示秘书处*	秘书处应： a) 视外部资金，并与动物委员会商议，组织一项研究： i 提供一个关于分子、DNA 为基础的和其他法庭方法的回顾，以帮助识别贸易中的鲟形目 Acipenseriformes 标本的物种和种群，确定标本的来源或年龄，将野外来源和人工繁殖或水产养殖的标本区分开来； ii 回顾本领域的相关进展，包括现有统一识别系统的可用性及可靠性； iii 评估不同的方法的优劣(包括实用性、成本、时间效率、可靠性及技术要求等)；及 iv 形成供 CITES 缔约方、执法机构、私营部门和其他利益相关方使用的相关指导； b) 在开展研究过程中，确保与许可鲟鳇鱼标本贸易的缔约方、相关专家、机构和组织以及私营部门商议； c) 将研究结果交动物委员会审议；及 d) 将常委会根据 16.138 (Rev. CoP18) 号决定形成的建议以通知的形式告知缔约方。
16.137 (Rev. CoP18)	*指示动物委员会*	动物委员会应协助秘书处确定 16.136 (Rev. CoP18) 号决定所提及的研究的各项指标并监测它的实施，酌情回顾该项研究的报告，并做出合适的建议供常委会审议。
16.138 (Rev. CoP18)	*指示常委会*	常委会应回顾根据 16.136 (Rev. CoP18) 号决定做出的研究，以及动物委员会根据 16.137 (Rev. CoP18) 号决定做出的建议，并酌情提出建议，供相关缔约方讨论，或第十九次缔约方大会上审议。

可追溯性(18.144 – 18.145)

18.144 *指示缔约方* 鼓励缔约方：

a) 在可行的情况下，使用 CITES 可追溯性的工作定义：

可追溯性是获取 CITES 附录物种供应链中标本和事件信息的能力*；

*该信息应视具体情况，逐件进行，从切实可行、尽可能接近的收获时间点，一直到便于验证合法获取和非致危性判定，并有助于防止产品的非法洗白。

b) 酌情注意 CITES 网页上有关可追溯性的信息，例如可追溯性的工作定义；CITES 可追溯性的技术标准；规划和实施 CITES 可追溯系统的管理最佳实践指南；与可追溯性有关的项目，这些项目可以为制定或实施 CITES 可追溯性项目的缔约方提供指导。

18.145 *指示秘书处* 秘书处应：

a) 将 18.144 号决定 a 款提到的可追溯性的工作定义纳入 CITES 词汇表；

b) 继续在 CITES 可追溯性网页上提供 CITES 相关可追溯性项目和最新动态的信息；

c) 视外部可用资金，继续向缔约方提供支持，以实施涉及 CITES 所列标本的可追溯系统；

d) 继续与联合国贸易便利化和电子商务中心(UN/CEFACT)及其他有关标准制定机构合作，探讨将 CITES 可追溯系统纳入国际可追溯标准和可追溯建议的潜力；及

e) 审查缔约方提交的关于其实施可追溯性经验的报告，并在必要时向常委会报告。

鱼子酱贸易标签系统(18.146)

18.146 *指示常委会* 基于动物委员会和常委会开展的工作，并在第十七次缔约方大会至第十八次缔约方大会之间秘书处的支持下，常委会应：

a) 考虑到多数情况下鱼子酱已从野生标本到水产养殖设施生产的非野生标本转变的这一事实，审议在执行公约 Conf. 12.7(Rev. CoP17)关于鲟鱼的养护和贸易的决议附件 1 中所载的“CITES

鱼子酱贸易和鉴定通用标签系统指南”实施中所遇到的实际挑战；及

b) 根据需要，向第十九次缔约方大会提出建议，以应对已查明的挑战，以期为水产养殖生产的鱼子酱贸易找到切实可行的方法。

生物技术生产的标本(18.147 – 18.150)

18.147	*指示缔约方*	邀请缔约方就以下方面向秘书处提供信息： a) 对生物技术生产的标本，其已经签发或收到请求签发 CITES 许可证和证明书的案例； b) 其他适用于 Conf. 9.6 (Rev. 16) 关于可辨认部分和衍生物的贸易决议解释的，生物技术生产的动物和植物产品；及 c) 可能影响公约的解释和履约，导致生物技术生产标本的制造，特别是在其管辖范围内正在进行的技术发展和应用。
18.148	*指示动物和植物委员会*	动植物委员会应： a) 回顾“合成和培养 DNA 生产的野生动植物标本”的完整研究，监测可能导致合成产出 CITES 所列物种标本的最新科学和技术进展及应用，向常委会提出包括恰当修订现有决议的建议； b) 就生物技术生产标本的相关国际贸易议题，提供任何相关科学建议和指导，并酌情通报常委会。
18.149	*指示常委会*	常委会应： a) 讨论是否和如何将“可辨认部分和衍生物”这一术语应用于生物技术产品贸易，它可能以威胁该物种生存的方式（包括威胁到 CITES 条款的执行）潜在地影响 CITES 所列物种国际贸易； b) 酌情与动物和植物委员会沟通任何可能需要科学建议和指导的事项；及 c) 提出包括适当修订现有决议的建议，或就生物技术生产的标本贸易制定新决议，供第十九次缔约方大会审议。
18.15	*指示秘书处*	秘书处应： a) 向动物和植物委员会介绍“合成和培养 DNA 生产野生动植物产品”研究，及秘书处的发现和建议；

b) 整理从缔约方收到有关 18.147 号决定，以及缔约方、政府组织、政府间组织、非政府组织和其他团体提供的有关生物技术生产产品的其他信息；

c) 与生物多样性公约(CBD)、联合国粮食及农业组织(FAO)，世界自然保护联盟(IUCN)和其他相关组织进行适当沟通，了解可能与生物技术生产标本相关议题的其他讨论；及

d) 分享所整理的来自 b 和 c 款的信息，并酌情向动物和植物委员会及常委会报告本决定的实施进度。

物种附录间转移的可能影响(18.151)

18.151	*指示常委会*	常委会应在秘书处的协助下，考虑是否就转移的时期，包括附录转移的提案采纳后，到新列入生效期间，提出是否应制定进一步指导，如果需要，向第十九次缔约方大会提出修订现有决议或提出新决议。在这种情况下，常委会应与植物委员会商议，酌情考虑是否对带有注释#5 或其他注释的植物物种，使用特别的建议。

“合适和可接受目的地”的定义(18.152 – 18.156)

18.152	*指示秘书处*	秘书处应：

a) 在 CITES 网站上创建并维护一个专门网页，将 CoP 18 Doc. 44.1 号文件中的非约束性指导、汇编参考资料、已发表的文献，最佳实施案例、缔约方“合适和可接受目的地”判定、“活体标本笼舍安置和照管”判定的例子，及其他信息进行展示；

b) 在第十八次缔约方大会闭幕后 90 天内，就 Conf. 11.20 (Rev.CoP18) 关于“合适和可接受目的地”的定义的决议 2a 款，对受“合适和可接受目的地”注释管制的附录 II 所列物种活体标本，以及根据公约第三条第 3 款(b)项和第 5 款(b)项目对附录 I 活体标本的相关规定，在 CoP 18 Doc. 44.1 号文件所含的“非约束性指导”发布通告，并邀请缔约方为根据 a 款要求创建的 CITES 网页提交相关材料；

c) 搜集其他相关信息，以备列入 a 款要求创建的网页中；及

d) 在第 73 次常委会会议闭幕后 30 天内发布通告，邀请缔约方就 CoP 18 Doc. 44.1 号文件中指

导和 a 款要求创建的 CITES 网页信息的使用经验提供反馈，并酌情向动物委员会和常委会报告，供其审议和建议。

18.153 *指示秘书处* 秘书处应与其大象列在附录 II 并在 CoP11 之后将野外捕捉的大象出口到非大象分布国的缔约方商议，就其对 Conf.11.20 关于“合适和可接受目的地”的定义决议的履行，尤其考虑在公约第四条和 Conf.16.7(Rev. CoP17)关于非致危性判定的决议中出口国的角色和责任的认定，向动物委员会提供收到的信息，供其审议。

18.154 *指示缔约方* 各缔约方：

a) 邀请其在审议活体动物标本的接收方是否满足安置和照管要求时，使用 CoP 18 Doc. 44.1 号文件中的非约束性指导；及

b) 鼓励其向 18.152 号决定 a 款要求创建的网页提交相关信息。

18.155 *指示动物委员会* 动物委员会应：

a) 与秘书处商议，根据 Conf.11.20 (Rev. CoP18)号决议 2 b）款的要求，就如何判定“贸易是否可以促进就地保护”准备非约束性的最佳实施指导；

b) 与相关专家(包括物种和动物设施专家)及秘书处商议，以 CoP18 Doc.44.1 文件里现有的非约束指导为基础，准备更有针对性的非洲象和南白犀活体标本的详细指导；

c) 将指导和任何建议供常委会审议和通过；及

d) 回顾秘书处有关缔约方根据 18.152 号决定 d 款要求的反馈和建议，酌情供常委会审议。

18.156 *指示常委会* 常委会应：

a) 审议动物委员会 18.155 号决定 a 和 b 款，及 CoP18 Doc.44.1 文件里现有的非约束性指导，酌情给出建议，包括对 Conf.11.20(Rev.CoP18)号决议和其他相关决议的可能修订等，提交第十九次缔约方大会供审议；及

b) 回顾秘书处有关缔约方根据 18.152 号决定 d 款要求的反馈和建议，酌情给出建议，供第十九次缔约方大会审议。

从海上引进(17.181 & 18.157 – 18.158)

17.181	*指示秘书处*	秘书处应酌情向常委员会报告《联合国海洋法公约》关于国家管辖范围以外区域海洋生物多样性的养护和可持续利用问题，拟订一项具有法律约束力的国际法律文书。
18.157	*指示秘书处*	秘书处应继续监测 Conf. 14.6 (Rev. CoP16)号关于从海上引进决议的实施情况，包括关于租赁的规定，并酌情向常委会报告。
18.158	*指示常委会*	常委会应酌情按照 18.157 和 17.181 号决定的要求，审查秘书处提供的信息，并在必要时提出建议，供第十九次缔约方大会审议，其中可能包括对 Conf. 14.6 (Rev. CoP16)号决议的修正。

没收标本的处置(18.159 – 18.164)

18.159	*指示秘书处*	秘书处应收集有关被缉获和没收的活体动物管理的现有网络和资源的信息，并提供给缔约方。
18.16	*指示秘书处*	视外部资金，秘书处应根据需要，提供可用的可能帮助缔约方实施 Conf.17.8 关于 CITES 所列物种非法贸易和罚没标本的处置的决议附件 3 的材料。
18.161	*指示秘书处*	秘书处应就 18.159 和 18.160 号决定的实施向常委会汇报。
18.162	*指示缔约方*	鼓励缔约方利用秘书处根据 18.159 号决定和 18.160 号决定提供的信息和材料，并将其纳入能力建设活动。
18.163	*指示常委会*	常委会应审议秘书处根据 18.161 号决定提交的报告，并酌情提出建议。
18.164	*指示缔约方及其他相关方*	邀请所有缔约方、政府组织、政府间组织和非政府组织及其他实体为 18.160 和 18.162 号决定的实施提供资金和/或技术支持。

豹(*Panthera pardus*)狩猎纪念物限额(18.165 – 18.170)

18.165	*指示根据 Conf. 10.14 (Rev. CoP 16)号决议设定限额的缔约方*	要求根据 Conf. 10.14(Rev. CoP16)关于个人用豹狩猎纪念物和皮张限额已经确定限额的缔约方，以及尚未向动物委员会提供相关信息的缔约方(博茨瓦纳、中非共和国和埃塞俄比亚)，回顾这些限额并考虑这些限额是否仍设置在不危害野外物种生存的水平上，在第 31 次动物委员会会议上，分享回顾结果，以及确定限额无害的依据。
18.166	*指示根据 Conf. 10.14 (Rev. CoP*	鼓励依据 Conf. 10.14(Rev. CoP16)号决议确定豹狩猎纪念物限额的所有缔约方，就确定此类限额不危

	16)号决议设定限额的缔约方	害野外物种生存的程序方面的信息和经验教训进行交流。
18.167	*指示动物委员会*	动物委员会应审议相关分布国根据 18.165 号决定提交的信息以及任何其他相关的信息，并在必要时向这些分布国和常委会提出与该回顾有关的任何建议。
18.168	*指示动物委员会*	动物委员会应审议秘书处根据 18.169 号决定提交的任何信息，并酌情向秘书处和豹的分布国提出建议。
18.169	*指示秘书处*	视外部资源，秘书处应： a) 根据某个分布国的请求，支持由 18.165 号决定中提到的分布国开展回顾工作； b) 鼓励和支持具有依据 Conf. 10.14(Rev. CoP16)号决议确定的豹狩猎纪念物限额的所有缔约方，就有关确定此类限额不危害野外物种生存的程序方面的信息和经验教训进行交流；及 c) 与分布国和有关专家合作，制定能够帮助缔约方按照 Conf. 10.14(Rev. CoP16)号决议规定，为豹狩猎纪念物贸易开展非致危性判定的指导，与动物委员会共享指导草案以供其审议，并在 CITES 网站上提供该指导并鼓励相关缔约方使用。
18.170	*指示常委会*	常委会应审议动物委员会根据 18.167 号决定提出的任何建议，并酌情提出建议供第十九次缔约方大会审议。

豁免和特殊贸易规定

许可证和证明书简化程序(18.171)

18.171	*指示秘书处*	秘书处应与缔约方及利益相关方商议，编制关于使用简化程序的指导草案和关于对科学研究标本交换实施豁免的指导草案。指导草案应分享给常委会审查、酌情修订和批署。指导应包括除 CoP18 Doc56 文件 13 款中确定的标本之外的其他类型标本，重点关注贸易对相关物种影响微乎其微的那些国际贸易标本的流动。秘书处还应在公约网站上建立一个关于简化程序的专门页面。视外部资金，如有需要，秘书处应举办关于简化程序的培训研讨会。

人工繁育和捕养标本(14.69 & 17.102)

14.69	*指示缔约方，尤其是附录I所列亚*	存在以商业性规模繁殖虎的高强度设施的缔约方，应采取措施将圈养虎种群数量限制在仅支持保护野

	洲大型猫科动物的分布国	生虎的水平上；不应为虎的部分和衍生物的贸易为目的而繁育虎。
17.102	*指示秘书处*	视外部资金，秘书处应使用根据 16.63 决定 a 款 vii 和 15.52 号决定 a 款准备的材料参与能力建设项目。该项目应包括所有地区和各种分类单元。秘书处应向常委会报告根据本决定开展的工作。

非野生来源动植物标本贸易规定的回顾(18.172 – 18.173)

18.172	*指示动物和植物委员会*	动物委员会应在第 31 次会议(AC31)，植物委员会应在第 25 次会议(PC25)上，审议秘书处在 SC70 31.1 号文件附件 7 中对与非野生来源动植物标本贸易有关的 CITES 规定的回顾的更新，以及各缔约方在 SC70 31.1 号文件附件 8 中的相关评论和建议，发现非野生来源标本履约的关键科学问题和挑战，就这些问题和挑战在 SC73 之前及时向常委会提出建议。
18.173	*指示常委会*	常委会应： a) 在 SC73 上审议秘书处在 SC 70 Doc. 31.1 附件 7 中对与非野生来源动植物标本贸易相关的 CITES 条款的回顾的更新，以及附件 8 中各缔约方的评论和建议；可能会造成公约文本第七条第 4 款和第 5 款不被均衡实施的 CITES 政策深层假设；秘书处在 SC 70 Doc. 31.1 文件附件中的建议，以及动物委员会和植物委员会在 18.172 号决定中的建议；及 b) 回顾将公约适用于非野生标本的关键问题和挑战，提出适当建议，包括对现有决议的修订或制定新的决议或决定，以解决这些问题和挑战，供第十九次缔约方大会审议。

刺尾蜥的人工繁育(18.174 – 18.175)

18.174	*指示秘书处*	秘书处应根据 Conf. 17.7(Rev. CoP18)关于报告为圈养生产的动物标本的贸易回顾决议，就斯氏角吻蜥(*Ceratophora stoddartii*)、粗糙角吻蜥(*Ceratophora aspera*)和琴头蜥(*Lyriocephalus scutatus*)可能的物种-国家组合准备一份报告，在动物委员会第 31 次会议上审查。
18.175	*指示动物委员会*	动物委员会应审查秘书处的报告，并考虑是否根据 Conf. 17.7(Rev. CoP18)关于报告为圈养生产的动物标本的贸易回顾决议，选择斯氏角吻蜥(*Ceratophora stoddartii*)、粗糙角吻蜥(*Ceratophora*

aspera)和琴头蜥(*Lyriocephalus scutatus*)物种-国家组合进行审查。

Conf. 17.7(Rev. CoP18)决议规定的回顾(18.176 – 18.177)

18.176	*指示动物委员会*	在秘书处的协助下并根据其自身的经验，动物委员会应审查 Conf. 17.7(Rev. CoP18)关于报告为圈养生产的动物标本的贸易回顾决议的规定，并向常委会提出改进建议。
18.177	*指示常委会*	常委会应在秘书处的协助下，考虑动物委员会的报告，并根据其自身的经验，审查 Conf. 17.7(Rev. CoP18)号决议的规定，并向第十九次缔约方大会提出改进建议。

术语“人工培植”指导(18.178)

18.178	*指示秘书处*	视外部资金，秘书处应: a) 为缔约方委托准备人工培植方面的指导材料，包括术语“在控制条件下”，“培植亲本”和新的来源代码，或 CoP18 采纳的术语，补充“CITES 来源代码应用指南”； b) 向第 26 次植物委员会会议报告 a 款的进展；及 c) 在经植物委员会回顾和修改后，如果由植物委员会指示，在 CITES 网站上发布最终指导。

从野外采集的种子或孢子长成的被认为是人工培植来源的标本(18.179 – 18.181)

18.179	*指示植物委员会*	植物委员会应审查 Conf. 11.11(Rev. CoP18)关于植物贸易规定的决议第 4 款的执行情况，以及人工培植来源的附录 I 物种标本贸易情况。该报告应包括对野外种群的保护效益的考虑以及执行第 4 款后对附录 I 物种保护的任何不利影响。
18.180	*指示植物委员会*	植物委员会根据 18.179 号决定作出审查后，应考虑是否需要修订 Conf. 11.11 (Rev. CoP18) 号决议第 4 款，并酌情提交修订建议供常委会审议。
18.181	*指示常委会*	常委会应考虑植物委员会依据 18.179 和 18.180 号决定提出的建议，并酌情做出建议，供第十九次缔约方大会审议。

库存(17.170 (Rev. CoP18))

17.170 (Rev. CoP18)	*指示常委会*	常委会应在秘书处的协助下，回顾现有的经缔约方同意的有关控制 CITES 附录物种标本库存的规定。应考虑它们的目标和执行，以及对缔约方和秘书处

资源的影响，并向第十九次缔约方大会报告其结论和建议。

库存(象牙)(18.182 – 18.185)

18.182	*指示常委会*	常委会应在第 73 次常委会会议(SC73)上回顾和审议秘书处为象牙库存(包括处置)管理准备的实践指导。
18.183	*指示秘书处*	一经常委会批准，秘书处应分发象牙库存(包括处置)的管理实践指导。
18.184	*指示秘书处*	秘书处应： a) 查明尚未提供其领土内政府储备的象牙库存、私人持有的大量象牙库存或库存缺乏良好保障的缔约方，并向第 72 次和第 73 次*常委会会议报告，必要时提出建议；及 b) 每年根据缔约方提交的清单发布最新的汇总数据，并按区域而不是国家进行分类，包括按重量计的象牙总库存。
18.185	*指示常委会*	在第 72 和 73 次常委会会议*上，常委会应审议在 18.184 号决定中秘书处的报告和建议，并确定是否有必要对未提供每年其领土内政府储备的象牙库存、私人持有的大量私人象牙库存清单或库存缺乏良好保障的的缔约方采取进一步的行动。

特定物种议题

西非兀鹫(鹰科所有种)(18.186 – 18.192)

18.186	*指示秘书处*	秘书处应与《保护迁徙野生动物物种公约》(CMS)秘书处保持联系，视资源情况，协助实施兀鹫行动计划中与贸易有关的方面，包括根据动物委员会的工作共享信息。
18.187	*指示秘书处*	鼓励秘书处将兀鹫作为非致危性判定工作组的可能案例研究。
18.188	*指示秘书处*	秘书处应向各缔约方发出通知，要求提供有关西非的白兀鹫(*Neophron percnopterus*)、白头秃鹫(*Trigonoceps occipitalis*)、冠兀鹫(*Necrosyrtes monachus*)、非洲白背兀鹫(*Gyps africanus*)、黑白兀鹫(*Gyps rueppelli*)和皱脸秃鹫(*Torgos tracheliotos*)的贸易和保护的信息：

*秘书处认为，其意图是指第73和第74次常委会会议。

a) 西非兀鹫的生物学数据，包括分布区域内的种群数量、繁殖力、分布范围和趋势；

b) 关于兀鹫捕获量，以及兀鹫及其部分的合法和非法贸易水平的可用信息；

c) 这些物种的威胁因素的信息，特别是基于信仰的利用、对警哨动物的毒杀以及其他与贸易有关的威胁；

d) 有关执法行动的信息，包括缉获、对扣押标本的法庭分析，与兀鹫非法贸易有关的逮捕、起诉和判决以及扣押标本的处置；及

e) 有关兀鹫的管理、教育和提高认识方面的新进展。

18.189 *指示秘书处* 秘书处应将各缔约方的回复汇总，并将其提供给动物委员会工作组，指导其工作。

18.190 *指示动物委员会* 动物委员会应建立一个工作组，以解决与《兀鹫多物种行动计划》(Vulture MsAP)中强调的生物学和贸易相关的关键知识空缺，特别注意 18.188 号决定中提到的六个物种和西非地区，包括但不限于基于信仰使用兀鹫部分的贸易(目标 4)，偷猎者对警哨动物的毒杀(目标 5)，有助于弥补知识空缺的跨领域行动(目标 11)，以及 有助于有效实施兀鹫 MsAP(目标 12)。工作组应：

a) 回顾根据通知所提交的信息；

b) 对整个 Vulture MsAP 范围内的活鸟、蛋和兀鹫身体部位的合法和非法贸易的规模和影响进行详细评估； 及

c) 向动物委员会提供发现和建议。

18.191 *指示动物委员会* 动物委员会应向兀鹫分布国提供指导，指导他们在对这些物种进行非致危性判定时如何考虑对物种的所有已知威胁，并酌情提出建议，供常委会审议。

18.192 *指示常委会* 常委会应：

a) 酌情审议动物委员会的建议，以及有关传统/基于信仰使用兀鹫身体部位非法交易的信息，并酌情通过建议，供有关缔约方审议； 及

b) 与秘书处商议，向第十九次缔约方大会报告 18.186 至 18.191 号决定的执行情况。

猎豹(*Acinonyx jubatus*)贸易资源包(18.193)

18.193	*指示秘书处*	视外部资金，秘书处应以常委会商定的语言和格式提供 CITES 猎豹贸易资源包的最终版本。

两栖动物(Amphibia spp.)的保护(18.194 – 18.196)

18.194	*指示秘书处*	视外部可用资源，秘书处应与动物委员会密切商议： a) 为 CITES 管理和科学机构和其他有关部门以及利益相关者，就国际贸易中的两栖动物物种，举办一次或多次跨学科研讨会，包括但不限于以下目标： i 识别国际贸易中的两栖动物物种，并评估是否应建议将某个物种或某类物种列入附录； ii 分享有关两栖动物贸易的现有国家法规； iii 评估当前的贸易水平是否与这些物种在野外的保护兼容； iv 汇编受到大量国际贸易影响的两栖动物收获水平的更多数据； v 探索疾病对贸易两栖动物的新兴威胁，包括两栖动物壶菌和蛙病毒；及 vi 检查当前的执法工作，以制止和发现非法及未报告的贸易，并确定需要采取的其他措施；及 b) 向动物委员会报告上述 a 款的执行进度，包括任何相关建议。
18.195	*指示动物委员会*	动物委员会应： a) 审议秘书处根据 18.194 号决定提交的报告；及 b) 酌情向常委会和第十九次缔约方大会提出建议。
18.196	*指示常委会*	常委会应审议动物委员会根据 18.195 号决定提交的任何报告，并酌情提出建议，供第十九次缔约方大会审议。

鳗鲡 (*Anguilla* spp.) (18.197 – 18.202)

18.197	*指示欧洲鳗鲡 (Anguilla*	鼓励欧洲鳗鲡(*Anguilla anguilla*)的分布国：

anguilla)的分布国

a) 向秘书处提交任何所做的欧洲鳗鲡非致危性判定研究的报告，以便纳入 CITES 网站；探讨以鱼苗进行贸易和以活鳗(LIV)进行贸易的欧洲鳗鲡，可能采取的不同的非致危性判定的方法；与其他缔约方特别是有共享水域的缔约方，就此类研究及其成果进行合作和分享；就可能的欧洲鳗鲡非致危性判定的结果，寻求动物委员会或相关机构的审查和建议；

b) 在国家或次级国家(集水区)水平上制定和/或实施适应性欧洲鳗鱼管理计划，制定明确和有时间限制的目标，加强国家内部 CITES 机构与负责鳗鱼管理的其他利益相关方之间的合作，以及共享水体或集水区的国家之间的合作；

c) 与欧洲内陆渔业养殖咨询委员会鳗鲡联合专家组(WGEEL)、国际海洋勘探委员会及地中海渔业委员会(EIFAAC / ICES / GFCM)分享种群评估、捕捞量和监测等相关数据信息，构建全面完整的欧洲鳗鲡种群信息框架图；

d) 制定措施或更有效地执行现有措施，以提高鳗鲡贸易(活体和死体)的可追溯性；

e) 向秘书处提供有关他们为限制欧洲鳗鲡“玻璃鳗”或鳗苗贸易而采取的措施的任何变化的信息；及

f) 向秘书处提供有关本决定实施情况的信息，以便秘书处酌情向动物委员会和常委会报告。

18.198 *指示国际贸易中未列入 CITES 附录的鳗鲡属所有种动物(特别是 A. rostrata, A. japonica, A. marmorata and A. bicolor)的分布国*

鼓励国际贸易中未列入CITES附录的鳗鲡属所有种动物的分布国：

a) 在适当的情况下，实施养护和管理措施，例如适应性管理计划，加强国家内部 CITES 机构与负责鳗鱼管理的其他利益相关方之间及相关立法之间的合作，并广泛分享这些信息，确保鳗鲡属所有种的捕捞和国际贸易的可持续；

b) 与其他有共享鳗鲡属物种的分布国进行合作，为这些种群及其管理制定共同的目标，增进对这些物种的生物学的了解，开展合作项目并分享知识和经验；

c) 建立监测项目，在尚未确定资源丰度指标的国家发展这些指标。对于正在进行的项目，最好能寻找机会扩展到新的区域，和/或新的鳗鲡的生活阶段；

d) 提升鳗鲡属贸易的可追溯性(包括活体和死体)；及

e) 向秘书处提供有关本决定实施情况的信息，使得秘书处能酌情向动物委员会和常委会报告。

18.199 *指示秘书处* 秘书处应：

a) 编写有关 18.197 号和 18.198 号决定执行情况的摘要报告，酌情提交建议草案，供动物委员会和常委会审议；

b) 与包括世界自然保护联盟(IUCN)鳗鲡专家组及相关专家合作，整理欧洲鳗鲡现有的生物学信息，以确定玻璃鳗的生活史到成体鳗的存活率是否较低，并将相关结果报告动物委员会；

c) 以通知的方式邀请缔约方提交鳗鲡属物种的贸易现状和新兴的趋势信息；

d) 视资源情况，开展一项有关贸易水平和贸易模式的研究，特别是活体鳗的水产养殖情况及和供应来源，确定两者之间的差异，就未来更有效的管理收获和贸易提出相关建议；及

e) 就缔约方对通知的回复情况，和上述 c 款的研究情况编写摘要报告，如果可行的话，酌情向动物委员会和常委会提交建议草案，供审议。

18.200 *指示动物委员会* 动物委员会应：

a) 如有要求，审议缔约方提交的与欧洲鳗鲡贸易有关的非致危性判定报告，如有需要，提供相关建议和指导；

b) 审议秘书处根据 18.199 号决定 b 款编写的欧洲鳗鲡生物学报告，审议未来在水产养殖产品中对鳗鲡标本应用来源代码 R 的可能性，并酌情向缔约方和常委会提出建议；

c) 回顾将缉获的活体欧洲鳗鲡重新引入野外的可能风险和好处的相关信息，如果合适的话，考虑现有的指导和实践，就有关协议提出建议，并提交第十九次缔约方大会审议；及

d) 审议缔约方提交的进度报告，以及秘书处关于 18.197、18.198 和 18.199 号决定的报告，并第十九次缔约方大会提出建议。

18.201 *指示常委会* 常委会应：

a) 分析秘书处的报告以及其他有关欧洲鳗鲡非法贸易的可用信息，包括联合国毒品和犯罪问题办公室(UNODC)在《野生动植物犯罪报告》(第二版)中提供的有关欧洲鳗鲡走私案例，并酌情提出建议；

b) 审查动物委员会关于 18.200 号决定 b 和 d 款的有关建议，并酌情提出建议；及

c) 在秘书处的协助下，与世界海关组织一起探讨统一与鳗鲡属物种贸易有关的海关代码的可行性，并向第十九次缔约方大会汇报。

18.202	*指示捐赠方和其他有关组织*	邀请和鼓励捐助方和其他有关组织，包括联合国粮食及农业组织(FAO)和其他组织，为执行 18.197 和 18.198 号决定向鳗鲡分布国提供支持和能力建设。

珍贵珊瑚(角珊瑚目和红珊瑚科)(17.192 (Rev. CoP18) – 17.193 (Rev. CoP18))

17.192 (Rev. CoP18)	*指示动物委员会*	要求动物委员会： a) 分析珍贵珊瑚调查和 FAO 研究的结论，酌情准备建议，提出需要的行动以加强国际贸易中的所有珍贵珊瑚的养护与可持续采集和利用；及 b) 向第 73 次常委会会议报告这些建议。
17.193 (Rev. CoP18)	*指示常委会*	要求常委会考虑动物委员会根据第 17.192(Rev. CoP18)号决定所提供的信息和建议，并酌情做出自己的建议，提交第十九次缔约方大会上审议。

产沉香分类单元(*Aquilaria* spp. And *Gyrinops* spp.)(18.203 – 18.204)

18.203	*指示植物委员会*	植物委员会应： a) 监测 Conf. 16.10 关于产沉香分类单元履约决议的履行情况，以评估任何对产沉香分类单元长期生存潜在的保护影响，以及履行中可能出现的问题，通过： i 编制一份关于执行 Conf. 16.10 关于产沉香分类单元履约决议中潜在保护问题的调查问卷，以通知的方式分发给各缔约方，并分析收到的答复； ii 检查可用的贸易数据；及 iii 分析有关产沉香分类单元保护状况的现有数据；及 b) 向第十九次缔约方大会报告调查结果和建议，并就进行一项研究，以进一步评估沉香产品的采集、管理和贸易对野生产沉香分类单元保护

的影响，提供建议。

18.204 *指示秘书处* 秘书处应协助植物委员会执行 18.203 号决定。

乳香树(*Boswellia* spp.)(18.205 – 18.208)

18.205 *指示秘书处* 秘书处应向各缔约方发出通知，并酌情与乳香贸易的有关利益相关方联系，要求提供以下信息：

a) 有关乳香属物种的生物学数据，包括种群大小、分布、现状和种群趋势、识别信息及其在所处生态系统中的作用；

i 关于收获和开发水平、贸易名称、与该物种收获密切相关的利益相关者以及国内消费和国际贸易的供应链特征的可用信息；

ii 这些物种的威胁因素，特别是与再生能力差的根本原因以及收获对这些物种的影响有关的信息；

iii 任何有关人工培育或种植这些物种的措施的信息；

iv 与该物种有关的现行法规和所有权结构、生境、生境趋势的驱动因素以及已制定或正在制定的管理措施，包括可持续收获技术；及

b) 为会议或其他可能提供合作机会或分享有关这些物种的收获和管理信息的场所提出建议。

18.206 *指示秘书处* 秘书处应按照 18.205 号决定的要求，汇编收到的信息并提交植物委员会审议。

18.207 *指示植物委员会* 植物委员会应审查所收到的以及其他可用的，有关乳香属物种现状、管理和贸易的信息，突出知识上的关键空缺，并为进一步努力解决这些物种的可持续利用和保护问题提出建议，包括任何物种是否符合 CITES 列入标准。

18.208 *指示缔约方* 鼓励涉及乳香属物种的分布国，和管理、培植或贸易的缔约方，按照 18.205 号决定的要求向秘书处提供信息。

波纹唇鱼(*Cheilinus undulatus*)(18.209)

18.209 *指示秘书处* 视外部资金，秘书处应邀请联合国粮食及农业组织(FAO)和国际自然保护联盟(IUCN)石斑和波纹唇鱼专家组，协助秘书处，在有需求的情况下，支持波纹唇鱼的主要出口国和进口国，解决 CITES 履约中

尚存的挑战，确保该物种得到有序和可持续的管理和贸易。

海龟(Cheloniidae spp. and Dermochelyidae spp.)(18.210 – 18.217)

18.210 *指示秘书处* 视可用资源，秘书处应：

a) 向缔约方传达CoP18 Inf18文件中有关海龟合法和非法贸易的研究结果，告知有关的保护和管理努力；

b) 将 CoP18 Inf18 文件中的研究，提交第 73 次常委会会议和第 31 次动物委员会会议供审议；

c) 应要求，支持缔约方在 CITES 相关的开发方面，实施和/或更新海龟保护的管理和行动计划；

d) 应要求，协助缔约方发现国家立法和管理规定中与 CITES 公约海龟履约不一致、重叠和空缺；及

e) 向联合国粮食及农业组织(FAO)转达 CoP18 Inf18文件介绍的研究结果，介绍有关各方包括区域渔业组织在解决兼捕和非法捕捉问题上所做出的努力，并酌情促进合作。

f) 发出通知，要求各缔约方提供有关 18.210 至 18.214 号决定执行情况的信息，提交第 73 次常委会会议审议；及

g) 酌情向第 31 次动物委员会会议、第 73 次常委会会议，以及第十九次缔约方大会提交关于 18.210 至 18.215 号决定的执行情况报告，以及公约在海龟保护方面可向缔约方提供的任何技术、资金机制和机遇。

18.211 *指示缔约方* 敦促缔约方：

a) 分析CoP18 Inf18信息文件中提供的研究结果，将这些信息应用到有针对性的保护和管理工作中；

b) 全面执行与附录 I 所列的七种海龟有关的 CITES 的规定；

c) 参考 CoP18 Inf18 信息文件中的建议，制定和/或更新保护海龟的管理和行动计划；

d) 利用包括动物委员会和常设委员会在内的 CITES 论坛，提出并讨论与海龟非法贸易有关的挑战；

e) 以标准化的方式，收集包括在不同的管理级别的野生动植物非法贸易数据，用于监测 CITES 所列海龟的贸易情况；在向秘书处提交的年度非法贸易报告中，提交关于海龟非法贸易的全面和准确的信息；

f) 在沿海地区和交易点(例如在市场、线上、海域，以及机场和海港)，改进与海龟有关的监测、检测和执法活动；

g) 包括从缉获的样本收集海龟样本供 DNA 分析，以确定所涉物种情况及种群来源情况，并将其提供给能够可靠地确定样本来源或年龄的法庭研究机构和其他研究机构，以支持诸如研究、调查和起诉；

h) 改进与海龟非法获取和贸易相关的区域内和区域间合作、协作和情报交换；

i) 使用可用的技术确定关键贸易的路线、方法、数量和贸易“热点”，执行适用于海龟捕捞和贸易的国家和国际法规或其他机制；

j) 改进适用所有船只的问责管理，改进与海龟有关的上岸点监测和控制方法；

k) 支持渔业管理部门实施安全的或可缓解对海龟产生伤害的操作方法；

l) 在区域层面，以支持多边环境协定的方式，与缔约方和有关机构开展协作，查明贸易、利用和其他威胁因素，如渔业对海龟的影响(特别是兼捕)；及

m) 回应秘书处根据 18.210 号决定 f 款发出的关于 18.210 至 18.214 号决定执行情况的通知。

18.212 *指示有海龟分布的缔约方* 敦促有海龟分布的缔约方：

a) 完善立法或对已有的海龟保护的立法进行充分回顾，考虑对包括捕捞和误捕等活动实施管理和执法的有效性，以及与其他国家级和国家级法规、邻国及相关国际规定和承诺形成标准化或保持一致；

b) 凡在国内允许合法捕获包括卵在内的海龟标本的，应确保其国内的捕捞限额应以坚实的科学为基础和以可持续性为原则，应考虑其他共享

海龟分布的缔约方现有的捕获限额或禁止捕获的政策，同时还要考虑国家现有的执法能力；

c) 回应秘书处根据 18.210 号决定 f 款发出的关于 18.210 至 18.215 号决定执行情况的通知。

18.213 *指示缔约方、政府组织、政府间组织、非政府组织和其他实体* 邀请缔约方、政府组织、政府间组织、非政府组织合其他实体提供资金和技术协助，除此以外：

a) 在国家和区域层面对有机构进行培训和能力建设，包括实施和执行与海龟有关的国家和国际法规，以及鉴定、监测、报告和野生动植物执法能力；

b) 营造对海龟保护现状的公众和政治意识，以及促进国家层面通过履行 CITES，来实现海龟养护的重要性的意识。

c) 针对海龟的合法捕捞、非法捕捞及海龟标本(包括卵)的利用，开展社会经济学研究，评估依赖海龟社区的替代生计的可持续性及利用动机；

d) 开展不同国家和地区海龟现状及分布的基线研究；及

e) 研究国家层面(及国际层面)手工渔业、半工业渔业和工业渔业(包括非法、未报告和未管制渔业)的产业规模，对海龟种群的影响以及与非法贸易的关联性。

18.214 *指示秘书处、缔约方和其他组织* 鼓励缔约方、秘书处和其他相关多边协定，例如《保护迁徙野生动物物种公约》(CMS)、《印度洋和东南亚海龟谅解备忘录》(IOSEA)，《美洲保护和养护海龟公约》(IAC)、《国际湿地公约》和《特别保护区和野生动物议定书》(SPAW)等，在管理和可持续利用海龟方面进行交流和合作，以确保活动兼容、资源得到优化、研究得到提高，以及海龟保护协同得到增强。

18.215 *指示国际打击野生动植物犯罪同盟(ICCWC)* 鼓励国际打击野生动植物犯罪同盟(ICCWC)在其活动中，酌情使用根据 18.211 号决定 e 款由缔约方在其年度非法贸易报告中提交给秘书处的海龟非法贸易数据。

18.216 *指示动物委员会* 动物委员会被要求：

a) 在其第 31 次会议上，审查载于 CoP18 Inf.18 信息文件中的相关研究内容，及秘书处在依据 18.210 号决定 f 款发出通知后收到的回复；及

b) 酌情提出建议，供常委会参考。

18.217 *指示常委会* 常委会被要求：

a) 在其第 73 次会议上，审查载于 CoP18 Inf.18 信息文件中的相关研究内容，及秘书处在依据 18.210 号决定 f 款发出通知后收到的回复，以及动物委员会的建议；及

b) 酌情向第十九次缔约方大会提交建议。

鲨鱼和鳐(Elasmobranchii spp.)(18.218 – 18.225)

18.218 *指示缔约方* 鼓励缔约方：

a) 向秘书处提供信息，支持 18.221 号决定 a 款所要求的研究，特别是关于禁止商业捕捞或贸易的任何国家管理措施，以及对 18.220 号决定所要求的通知的回应；

b) 根据本国立法，如果适用，对在 CITES 列入生效之前储存和获得的 CITES 附录鲨鱼物种的部分和衍生物的库存进行评估，以便控制和监测其贸易，并将评估结果报告秘书处；

c) 尽可能根据其国家立法，对过境或转运的鲨鱼的部分和衍生物进行检查，以核实是否有 CITES 附录物种的存在，核实是否有公约要求的有效许可或证书，或取得能证明这些文件存在的证据；及

d) 继续支持公约的鲨鱼履约，包括为执行 18.219、18.221 和 18.222 号决定提供资金，并考虑支持秘书处增加具有渔业和水生资源可持续管理专业知识的工作人员。

18.219 *指示秘书处* 视外部资金，秘书处应根据要求，继续为缔约方提供附录 II 所列鲨鱼和鳐履约的能力建设支持。

18.220 *指示秘书处* 秘书处应：

a) 向缔约方发出通知，邀请缔约方：

i 提供有关鲨鱼和鳐养护和管理活动的最新信息的精确总结，尤其是：

A. 非致危性判定(NDF)；

B. 合法来源判定；

C. CITES 附录所列鲨鱼产品的鉴定；及

D. 记录 CITES 附录 II 所列软骨鱼的部分和衍生物的商业和/或公约前所获库存，并控制这些库存进入贸易；及

ii 关注缔约方在为 CITES 贸易数据库编制或提交有关贸易情况的文件时遇到的问题、关切或困难;

b) 在 CITES 贸易数据库中，提供自 2000 年以来关于 CITES 附录鲨鱼和鳐的商业贸易信息，按物种分类，如果可能的话，按产品分类；及

c) 由常委会根据 18.224 号决定-b 款发布已确定或新制定的，关于控制和监测鲨鱼部分和衍生物库存的指导；及

d) 整理这些信息供动物委员会和常委会审议。

18.221 *指示秘书处* 视外部资金，秘书处应，与有关组织和专家合作：

a) 开展一项研究，调查 CITES 贸易数据库中记录的附录鲨鱼产品贸易数据与附录鲨鱼捕捞数据明显不匹配的问题；

b) 酌情将 a 款的结果提交动物委员会或常委会考虑。

18.222 *指示秘书处* 视外部资金，要求秘书处与联合国粮食及农业组织(FAO)密切合作：

a) 确认缔约方的鲨鱼管理措施的信息正确地反映在 FAO 开发的鲨鱼措施数据库中(http://www.fao.org/ipoa-sharks/database-of-measures/en/)，如果没有，支持 FAO 修改信息；

b) 编制未经加工的湿鱼翅和干鱼翅的清晰图像(特别但不限于 CITES 附录所列物种)，以及相关物种水平的分类学信息，以促进完善由 FAO 开发的 iSharkFin 软件；

c) 开展一项研究，分析 CITES 附录列入鲨鱼的非鱼翅产品的贸易，包括贸易产品中多物种混合的程度，以及如何解决可能发现的物种混杂情况下的履约挑战；及

d) 酌情将 a 至 c 款的结果提交给动物委员会或常委会考虑。

18.223 *指示动物委员会* 动物委员会应与有关组织和专家合作：

a) 持续开发为支持 CITES 附录所列鲨鱼物种的非致危性判定而提供的指导，特别是在数据贫乏、多物种、小规模/手工和非目标(兼捕)情况下的指导；及

b) 向第十九次缔约方大会报告 18.223 号决定- a 款

的工作成果。

18.224 *指示常委会* 常委会应：

a) 在履行 Conf. 18.7 关于合法来源判定的决议时，开发 CITES 附录所列鲨鱼物种的合法来源判定的指南和相关的从海上引进的评估；

b) 就鲨鱼部分和衍生物的库存的控制和监测，制定新的指导或发现现有的指导，特别是那些在列入附录 II 之前捕获的标本；及

c) 向第十九次缔约方大会报告根据 18.224 号决定 a 和 b 款得出的结论。

18.225 *指示动物委员会和常委会* 动物委员会和常委会应分析和审查秘书处提交的有关 18.221 和 18.222 号决定的执行结果，并就这些决定的执行情况，在秘书处的支持下向第十九次缔约方大会准备一份联合报告。

亚洲象(*Elephas maximus*)贸易(18.226 – 18.227)

18.226 *指示缔约方* 鼓励所有参与亚洲象及其部分和衍生物贸易的缔约方：

a) 必要时对亚洲象及其部分和衍生物的非法贸易进行调查并努力执法，并在必要时，以防止非法贸易为目的，改进与亚洲象标本国际贸易有关的国家法律；

b) 制定管理亚洲象圈养种群的战略；

c) 确保活体亚洲象贸易和跨境转移活动遵守 CITES 的规定，野外来源的亚洲象应符合文本第三条第 3 款的规定；

d) 在开发和应用对活体亚洲象进行登记、标记和追踪的区域系统方面开展合作，必要时请求专家、专业机构或秘书处给予帮助；及

e) 应秘书处的要求，提供有关本决定执行情况的信息，供秘书处向常委会报告。

18.227 *指示秘书处* 秘书处应：

a) 要求所有参与亚洲象及其部分和衍生物贸易的缔约方，就 18.226 号决定 a 至 d 款的执行情况提交报告；

b) 应要求并视外部可用资金，帮助亚洲象的分布国执行 18.226 号决定；及

c) 将分布国根据 18.226 号决定 e 款要求提供的信息，酌情考虑有关亚洲象及其部分和衍生物贸

易的其他调查结果和建议，纳入其向常委会提交的 Conf. 10.10(Rev. CoP18)关于大象标本的贸易决议执行情况的定期报告中。

海马(*Hippocampus* spp.)(18.228 – 18.233)

18.228 *指示秘书处* 秘书处应在 CITES 网站上分享支持海马 CITES 履约的可用材料(非致危性判定指导、鉴定材料等)。

18.229 *指示秘书处* 秘书处应：

a) 向缔约方发出通知，请其向秘书处提供国家调节或限制海马国际贸易的管理措施及其实施和执行这些措施的情况；

b) 汇总依据本决定 a 款发出通知后收到的回复，将汇总结果以通知和官网展示的形式告知缔约方的履约机构；及

c) 视外部资金情况：

i 委托开展一项关于海马贸易的研究，包括适用的法规、海马列入附录 II 后其贸易形式的变化、海马属所有种的大宗贸易回顾分析以及履约的挑战和可能的解决方案；及

ii 组织一个海马属物种贸易 CITES 履约和执法的专家研讨会，内容包括大宗贸易回顾的成果和建议、针对履约和执法过程中的挑战所提出的实际解决路径；及

d) 酌情向动物委员会和常委会报告本决定 a 至 c 款的执行情况。

18.230 *指示缔约方* 为了支持附录 II 所列海马的有效履约，邀请各缔约方：

a) 告知秘书处有关海马国际贸易的管制和限制的国家管理措施，及这些措施的实施和执行情况；

b) 分享非致危性判定的相关信息，由秘书处在 CITES 网站发布，为其缔约方提供协助；及

c) 告知海马贸易商在其管辖范围内的限额，包括零限额以及暂停贸易的信息，由所有贸易参与者来促使遵约和执法。

18.231 *指示缔约方* 鼓励缔约方：

a) 在有效的海马 CITES 履约和执法中，使用与海马有关的已有工具；

b) 在限额、贸易暂停或两者皆有的情况下，开展国家水域的海马监测，以了解这些行动及其他有关海马养护和管理的履约和执法行动的有效性；及

c) 与秘书处分享这些方案的设计和初步结果，向第十九次缔约方大会报告。

18.233 *指示常委会* 常委会应分析和回顾根据 18.229 号决定开展的各种活动的结果，并酌情提出建议，以加强海马贸易的 CITES 履约和执法。

18.234 *指示秘书处* 秘书处应：

a) 视外部资源，进行以下研究：

i 同植物委员会的命名专家一道，提供或确认一份通常被称为“玫瑰木树种”的属的参考名单，并注意到以下属，不管是否被列入 CITES 附录，已被 CITES 履约者假定为玫瑰木：苏木属、决明属、黄檀属、双柱苏木属、古夷苏木属、军刀豆属、崖豆属、紫檀属和铁木豆属；

ii 考虑到现有信息(包括正在实施的 CITES 树种计划)，并根据现有的贸易树种清单，汇编可用的数据和信息，以作为一级优先，解决列入 CITES 附录的玫瑰木树种的生物学、种群状况、管理、利用和贸易方面的信息空缺；非 CITES 附录物种的玫瑰木树种，尤其是木材贸易中极受关注的树种则列为次级优先；

iii 评估国际贸易对关切物种野生种群的影响；及

iv 考虑到将在 18.140 至 18.143 号决定开展的关于木材和其他木制品识别的相关工作；

b) 发出通知，向各缔约方，特别是玫瑰木的出口国、再出口国和进口国以及利益相关方征求信息，以便秘书处与顾问分享，完成上文提及的 a 款所述的研究；

c) 向植物委员会报告研究进展；

d) 考虑植物委员会的建议，视外部资金，组织一次国际研讨会，邀请相关分布国、贸易国、有

关组织、行业代表和其他专家，以介绍和讨论结果，并提出建议；

e) 提交最终研究报告供植物委员会审议，以及研讨会的结果(如召开)；及

f) 寻求外部资源来支持研究，如果合适，支持研讨会。

玫瑰木树种[Leguminosae (Fabaceae)](18.234 – 18.237)

18.235	*指示缔约方*	鼓励缔约方： a) 与利益相关者密切合作，回应 18.234 号决定 b 款所述的通知；及 b) 从相关利益相关者那里寻求外部资源，支持咨询机构的工作，酌情支持研讨会。
18.236	*指示植物委员会*	植物委员会应： a) 审议秘书处报告的进展，并就该研究以及是否有必要根据 18.234 号决定开展国际研讨会提出建议； b) 考虑最终研究和研讨会的成果(如举行)，并就如何加强 CITES 所列玫瑰木树种的实施提出建议，特别侧重于非致危性判定的能力建设；并就非 CITES 附录玫瑰木树种提出进一步建议；及 c) 酌情向常委会和第十九次缔约方大会提出其建议。
18.237	*指示常委会*	常委会应审议根据 18.236 号决定编写的任何报告，并确定与玫瑰木树种国际贸易有关的任何实施和执法问题，特别是那些列入 CITES 附录的树种，为更有效履行公约提出建议。常委会还应考虑与注释修订有关的情况，识别注释中需进一步澄清的术语，并将其传达给注释工作组审议。

穿山甲(*Manis* spp.)(18.238 – 18.243)

18.238	*指示穿山甲分布国*	鼓励所有尚未制定并实施穿山甲就地管理和保护计划的穿山甲分布国，采取紧急措施，尤其是 Conf. 17.10 关于穿山甲的保护和贸易的决议第 7 款所预期的种群评估，并向秘书处报告本决定的执行情况。
18.239	*指示秘书处*	视外部资金，秘书处应与世界自然保护联盟(IUCN)物种生存委员会穿山甲专家组及其他相关专家，以及穿山甲分布国合作，为所有的穿山甲物

种制定转换参数，以便能够可靠地确定与所缉获的任何数量的穿山甲片相对应的动物个体数量，这些转换参数可供缔约方在国家法规要求将此类信息提供给法院的情况下使用。

18.240 *指示秘书处* 秘书处应：

a) 酌情向动物委员会报告 18.238 和 18.239 号决定的执行情况；

b) 根据 18.242 号决定提请其注意的任何工具或材料，以及可能提出的建议，酌情提请动物委员会或常委会，并基于动物委员会或常委会的任何建议，向缔约方提供此类工具或材料；

c) 视外部资金，与有关专家和穿山甲分布国一起，就如下内容编写一份报告，供动物委员会和常委会审查：

i. 穿山甲物种的国家保护状况，

ii. 穿山甲的合法和非法贸易状况；

iii. 穿山甲标本库存和库存管理状况；及

iv. 执法问题。

18.241 *指示常委会* 常委会应：

a) 审议秘书处根据 18.240 号决定 b 和 c 款要求提出的报告和任何建议，以及动物委员会根据 18.243 号决定提出的任何建议。

b) 酌情向缔约方或秘书处提出建议；及

c) 向第十九次缔约方大会报告其工作成果及可能提出的任何建议。

18.242 *指示缔约方、政府间组织、国际捐助机构和非政府组织* 邀请开发工具或材料来协助缔约方履行 Conf. 17.10 号决议的缔约方、政府间组织、国际援助机构和非政府组织，提请秘书处注意此类工具或材料。

18.243 *指示动物委员会* 动物委员会应审察秘书处根据 18.238、18.239、18.240 和 18.242 号决定提请其注意的任何信息，并酌情向常委会和秘书处提出建议。

18.244 *指示秘书处* 视外部资金，秘书处应与非洲狮分布国、《野生动物迁徙物种保护公约》(CMS)和世界自然保护联盟(IUCN)合作，并酌情考虑 CITES-CMS 非洲食肉动物联合倡议和《非洲狮保护指南》：

a) 支持开展与非洲狮标本贸易有关的联合非洲狮保护计划和战略的实施，以及 CITES 履约，如有必要，审查此类计划和战略；

b) 与 CMS 秘书处联合，对国家内部和国家之间的非洲狮种群趋势及保护和管理实践(如对狮的狩猎)开展比较研究，如果有的话，包括国际贸易的作用；

c) 支持在非洲狮保护和管理方面开展能力建设，包括在适当情况下非洲狮分布国根据 Conf. 16.7(Rev. CoP17)关于非致危性判定的决议开展非致危性判定，以及履行 Conf. 17.9 关于附录I或附录II所列物种的狩猎纪念物贸易的决议；

d) 协助维护有关非洲狮的 CITES-CMS 联合网络门户，该门户还可以发布和共享有关非洲狮保护和管理的信息和指导；

e) 酌情与动物委员会分享非洲狮保护指南和任何相关更新，供其审查；及

f) 向第 32 次动物委员会会议、第 74 次常委会会议以及第十九次缔约方大会报告本决定的执行情况。

18.245 *指示秘书处* 秘书处应：

a) 在召开 CITES 大型猫科动物特别工作组第一次会议之前，编制工作组职权范围和工作方式草案，并将草案提交第 73 次常委会审议和采纳，及

视外部资源：

b) 与常委会商议，成立并召集一个 CITES 大型猫科动物特别工作组(简称特别工作组)，重点关注非洲、亚洲和拉丁美洲的大型猫科物种。特别工作组由受大型猫科动物非法贸易影响最大的缔约方代表、ICCWC 伙伴组织、其他缔约方和组织，以及酌情由秘书处指定的能为特别工作组做出贡献的专家共同组成；

c) 向特别工作组提供支持，除其他外，使其能够：

i 讨论与大型猫科动物标本非法贸易有关的执法和实施问题；

ii 酌情交换大型猫科动物非法贸易的情报和其他信息；及

iii 制定战略并提出建议，以改善大型猫科动物标本非法贸易 CITES 执法方面的国际合作；及

d) 向第 74 次常委会会议报告特别工作组的调查结果和建议，供其审议并酌情提出自己的建议。

18.246 *指示秘书处* 视外部资源，秘书处应：

a) 对狮和其他大型猫科动物的合法和非法贸易做进一步的研究和分析，以更好地了解趋势、不同物种贸易的联系，以及包含或声称包含此类标本的商品；

b) 评估以目的代码“H”报告的狮标本贸易是否遵循 Conf. 12.3(Rev. CoP18)关于许可证和证明书决议第 3 h 款的指导，以及是否有其他特异性或描述需要报告；

c) 与相关专家商议，开发识别贸易中的狮和其他大型猫科动物标本的指导材料；

d) 与相关专家商议，开发和支持使用适当的法庭类型的技术，来识别贸易中的狮和其他大型猫科动物；

e) 与 CITES 大型猫科动物特别工作组分享实施本决定而产生的相关信息；及

f) 酌情向第 32 次动物委员会会议和第 74 次常委会会议，以及第十九次缔约方大会报告本决定的执行情况。

18.247 *指示动物委员会* 动物委员会应：

a) 酌情审查《非洲狮保护指南》和任何相关更新；

b) 审查秘书处根据 18.244 号和 18.246 号决定报告的信息，并酌情向秘书处、常委会和非洲狮的分布国提交建议。

18.248 *指示常委会* 常委会应：

a) 在召开第一次特别工作组会议之前，审查和采纳秘书处根据 18.245 号决定 a 和 b 款要求，提交的 CITES 大型猫科动物特别工作组职权范围、成员和工作方式草案；

b) 在第 74 次会议上，审议动物委员会和秘书处根据 18.244 至 18.247 号决定提交的报告，并酌情向动物委员会、秘书处和非洲狮的分布国提出建议；

c) 建议进一步采取的行动，包括可能需要基于 18.244、18.245 和 18.247 号决定制定关于保护非洲狮的决议草案；及

d) 向第十九次缔约方大会报告 18.248 号决定的执行情况，并酌情提出建议。

18.249 *指示缔约方* 鼓励包括非洲狮的分布国和消费国在内的各相关缔约方采取以下行动：

a) 加大执法力度，以发现非洲狮和其他大型猫科动物标本的非法、不报告或错误报告的贸易；

b) 酌情使用南非野生动物条形码项目来帮助识别贸易中的狮的标本，并在从南非进口狮标本时，必要时与南非有关当局合作以提高此类标本的可追溯性；

c) 在 CITES 收集和传递有关狮的非法杀害和非法贸易数据时，在其年度报告中，提供贸易中观

察到的和/或已被移除的狮的身体部位的详细信息；及

d) 在狮的保护上进行合作，包括分享狮种群、非法杀害和非法贸易的信息。

18.250 *指示缔约方、政府组织、政府间组织、非政府组织、捐助者和其他实体* 鼓励所有缔约方、政府组织、政府间组织、非政府组织、捐助者和其他实体，支持非洲狮的分布国和秘书处依据《非洲狮保护指南》，在整个分布区保护和恢复非洲狮所做的努力，以及在执行 18.244 至 18.246 和 18.249 号决定中所做的工作。

美洲豹(*Panthera onca*)(18.251 – 18.253)

18.251 *指示秘书处* 秘书处应：

a) 视外部可用资金，委托开展有关美洲豹非法贸易的研究：

i 绘制美洲豹在整个分布区内的非法贸易图，包括偷猎、贸易途径和网络、推动该贸易的主要市场，以及该贸易如何与该地区其他野生动植物交易相联系；

ii 分析美洲豹标本在分布国和国际市场中的用途，以及非法来源的美洲豹产品进入国际贸易的程度；

iii 分析与美洲豹标本非法贸易有关的作案手法以及该活动的可能驱动因素；及

iv 描述非法贸易对整个分布区内美洲豹种群的总体影响；

b) 向常委会提交 18.251 号决定 a 款提到的研究结果，以及可能相关的任何建议；及

c) 发出通知，征求各缔约方，特别是受到美洲豹标本非法贸易影响的出口国、再出口国和进口国的意见，以及相关利益相关方的意见，以便完成 18.251 号决定 a 款描述的研究。

18.252 *指示缔约方，尤其是美洲豹的分布国和利益相关方* 鼓励各缔约方，特别是美洲豹分布国和利益相关方采取行动：

a) 支持根据 18.251 号决定 a 款进行研究准备；

b) 回应 18.251 号决定 c 款所述的通知；

c) 认识到美洲豹是其分布国的旗舰物种，因此该物种及其栖息地的保护是共同的优先事项；

d) 紧急通过全面立法和执法控制措施，来消除美洲豹偷猎活动及其部分和衍生物的非法贸易，包括在线销售标本的影响；

e) 促进美洲豹分布国之间保护廊道的设计和实施，强化地方、国家和区域水平的合作机制，以推广良好的保护实践，将投资引导到物种保护，减少对栖息地连通性的威胁，并增强主要参与者的能力；

f) 提高人们对美洲豹重要性、美洲豹在生态系统中的作用及其所面临的威胁(包括非法贸易)的认识；

g) 参加会议和研讨班以及其他活动，分享打击美洲豹非法贸易优先事项的经验和知识；及

h) 考虑自愿进行研究或执行其建议。

18.253 *指示常委会* 常委会应审议 18.251 号决定 a 款的研究结果，以及秘书处的报告和建议，并酌情提出建议，直至第十九次缔约方大会为止。

非洲的豹(*Panthera pardus*)(18.254 – 18.255)

18.254 *指示秘书处* 秘书处应与动物委员会分享世界自然保护联盟(IUCN)的《非洲豹保护路线图》，以便其对次报告进行审查。

18.255 *指示动物委员会* 动物委员会应审查 IUCN 的《非洲豹保护路线图》，并酌情就 CITES 履约提出建议。

鸣禽贸易和保护管理(Passeriformes)(18.256 – 18.259)

18.256 *指示秘书处* 视可用资金，秘书处应：

a) 在第十八次缔约方大会结束后的十二个月内，对国际鸣禽贸易的规模和范围进行初步研究，考虑国际鸣禽贸易中管理和保护的重要类群；

b) 咨询相关技术专家，准备上述重要类群的保护、贸易、管理、执法和管理重点的文件；

c) 召开技术研讨会，以审议研究结果和 b 款所述报告；

d) 邀请动物委员会和常委会成员、分布国、出口国、中转国和消费国的代表以及相关政府间组织和非政府组织参加研讨会； 及

e) 将研究和研讨会的结果及建议提供给动物委员会供其审议。

18.257	*指示动物委员会*	动物委员会应审查CoP18 Doc.79号文件以及关于鸣禽贸易的研究和研讨会的结果，根据秘书处 18.256 号决定的建议，酌情向常委会或第十九次缔约方大会提出自己的建议。
18.258	*指示常委会*	常委会应审议动物委员会的建议，并向第十九次缔约方大会提出自己的建议。
18.259	*指示缔约方、非政府组织、贸易商和捐赠者*	鼓励缔约方和非缔约方，政府间组织，非政府组织，贸易商和捐赠者向秘书处提供资金，以执行这些决定。

非洲李(*Prunus africana*)(18.260 – 18.262)

18.260	*指示植物委员会*	植物委员会应： a) 在“CITES 非洲树种计划区域会议”范围内审查与非洲李植物相关的讨论建议，并建议非洲李分布国采取适当行动；及 b) 就 18.260 号决定 a 款的结果提交报告，酌情向常委会提供建议，并向第十九次缔约方大会报告。
18.261	*指示秘书处*	秘书处应向第 25 次植物委员会会议报告关于在“CITES 非洲树种计划区域会议”范围内审查与非洲李植物相关的讨论建议，供审议，并向非洲李的分布国提供建议。
18.262	*指示常委会*	常委会应审查从植物委员会收到的关于18.260号决定执行情况的任何报告，并酌情向缔约方和植物委员会提出建议。

灰鹦鹉 (*Psittacus erithacus*)(17.256 (Rev. CoP18) & 17.258 (Rev. CoP18))

17.256(Rev. CoP18)	*指示灰鹦鹉分布国*	分布国应在CITES秘书处、相关专家、相关CITES缔约方、非政府组织和其他利益相关方的支持下，制定和更新国家行动计划，明确该物种保护的时间框架、产出和里程碑。应解决以下主要问题： a) 酌情采取一项以科学为基础的实地调查，以摸清该物种在分布国的种群现状和种群趋势，在灰鹦鹉的分布国回顾灰鹦鹉恢复和保护取得的进展，并支持 c 款提出的行动； b) 实施执法行动，来打击非法贸易，并在年度非法贸易报告和执行报告中报告执法行动的结果； c) 在分布国寻找合适的引入地，在适当和可行的条件下，遵照国际上认可的重引入指南，将非

		法贸易中缉获的野生来源的灰鹦鹉，实施重引入； d) 与拥有繁育设施的缔约方合作，评估为该物种建立在地保护人工繁育设施的可能性。
17.258(Rev. CoP18)	*指示缔约方和秘书处*	直至第十九次缔约方大会前，在评估根据 Conf. 12.10 (Rev. CoP15) 关于为商业性目的人工繁育附录I动物物种设施的注册的决议，提出的为商业目的注册非洲灰鹦鹉的繁殖设施的申请时，应考虑以下内容： a) 该缔约方的管理机构和科学机构的建议； b) 规范该物种的国内贸易的国家措施，这些措施应是该物种此前在附录 II 状态下所不必须的措施； c) 提供设施注册申请的缔约方的任何遵约措施；及 d) 该缔约方是否在有效列入附录日开始的前 10 年内由于就该物种而被列入大宗贸易回顾。

考氏鳍天竺鲷 (*Pterapogon kauderni*)(18.263 – 18.265)

18.263	*指示印度尼西亚*	鼓励印度尼西亚继续其养护和管理措施，确保考氏鳍天竺鲷国际贸易的可持续，并就这些措施编写进展报告，包括对动物委员会在 AC30 Com.1 (Rev. by Sec.)文件里的建议的执行情况，提交秘书处，供秘书处连同自身的建议一道提交动物委员会。
18.264	*指示缔约方*	鼓励各缔约方考虑支持印度尼西亚执行 18.263 号决定。
18.265	*指示动物委员会*	动物委员会应审查印度尼西亚根据 18.263 号决定提交的报告，并在第 31 次会议(AC31)上提出建议。

盔犀鸟(*Rhinoplax vigil*) (18.266 – 18.269)

18.266	*指示缔约方*	缔约方，特别是分布国、中转国和消费国，应向秘书处提供其执行 Conf. 17.11 关于盔犀鸟的保护和贸易决议执行情况的信息，包括所遇到的任何挑战，并根据下文 18.267 号决定 c 款发布的通知提供信息。
18.267	*指示秘书处*	秘书处应： a) 视外部可用资金，并应要求，协助相关缔约方执行 Conf. 17.11 号决议，特别是关于盔犀鸟现状回顾、分布范围内的保护战略和行动计划

(2018-2027)(“行动计划”)的执行情况，以及18.266号决定提到的挑战；

b) 酌情与国际打击野生动物犯罪同盟(ICCWC)以及其他相关网络和组织保持联络，以传达Conf. 17.11 号决议，提请注意盗犀鸟保护的行动计划，并请它们在计划和执行活动时予以考虑；及

c) 视需要通过通知和双边磋商，要求各缔约方，尤其是分布国、中转国和消费国以及其他有关专家，提供有关盗犀鸟贸易路线以及 Conf. 17.11 号决议执行情况的信息。

18.268 *指示秘书处* 秘书处应向第 73 次常委会会议提交关于执行18.266号和18.267号决定的报告，包括收到的答复及其建议，并根据常委会的建议采取适当的其他行动。

18.269 *指示常委会* 常委会应在第 73 和第 74 次会议审查 18.266 至18.268 号决定的执行情况，以及任何其他可用信息，在审议的基础上向秘书处和缔约方(分布国、中转国和消费国)就下一步行动提出建议，并在第十九此缔约方大会上汇报。

赛加羚羊(*Saiga* spp.)(18.270 – 18.274)

18.270 *指示赛加羚羊(Saiga spp.)的分布国(哈萨克斯坦、蒙古、俄罗斯、土库曼斯坦和乌兹别克斯坦)，以及赛加羚羊部分和衍生物的重要的消费国和贸易国* a）由秘书处根据 CITES 贸易数据确定的赛加羚羊分布国以及赛加羚羊部分和衍生物的重要消费国和贸易国，应全面落实在《2016–2020 年赛加羚羊中期国际工作计划》[MTIWP(2016–2020)]和《2021–2025 年赛加羚羊中期国际工作计划》[MTIWP(2021–2025)]中针对它们的各项措施，这两个《工作计划》是为了支持《关于赛加羚羊保护、恢复和可持续利用的谅解备忘录》及《赛加羚羊行动计划》而制定的；及

b) 与《2016–2020 年赛加羚羊中期国际工作计划》[MTIWP(2016–2020)]中针对赛加羚羊分布国的措施一致，鼓励赛加羚羊分布国对赛加羚羊部分建立国内市场管控制度，包括库存登记、部分和产品标识、制造商和贸易商登记，并将这些信息报告给 CITES 秘书处。

18.271 *指示秘书处* 视外部可用资源，秘书处应：

a) 协助《野生动物迁徙物种保护公约》(CMS)秘书处组织计划于2020年在俄罗斯召开的《关于

赛加羚羊保护、恢复和可持续利用的谅解备忘录》签署方第四次会议；

b) 与 CMS 秘书处合作，在制定《2021–2025 年赛加羚羊中期国际工作计划》[MTIWP(2021–2025)]时提供所需的投入，该计划旨在支持《关于赛加羚羊保护、恢复和可持续利用的谅解备忘录》及《赛加羚羊行动计划》；

c) 与 CMS 秘书处商议，根据现有合法和非法贸易数据、赛加羚羊谅解备忘录签署方第四次会议材料和成果以及利益相关者的磋商意见，回顾赛加羚羊（*Saiga* spp.）的保护和贸易状况，并就执行 Conf. 13.3 号关于同野生动物迁徙物种保护公约(CMS)的合作与协同的决议，以及 CMS–CITES 联合工作计划，向动物委员会和常委会报告任何后续调查结果和建议；

d) 与赛加羚羊的分布国及主要贸易国和消费国就其对赛加羚羊标本的库存管理进行磋商；审查程序和做法；并就确保有效的库存管理和监测提供协助，包括编制清单和加强库存安保；及

e) 酌情向动物委员会和常委会报告本决定的执行情况。

18.272 *指示动物委员会* 动物委员会应酌情审查秘书处根据 18.271 号决定提交的任何调查结果和建议，并向常委会提出建议。

18.273 *指示常委会* 常委会应酌情审查动物委员会和秘书处根据 18.271 和 18.272 号决定提交的任何调查结果和建议，并在必要时提出建议。

18.274 *指示赛加羚羊分布国、缔约方、多边环境协定、政府间组织、非政府组织和其他利益方* 鼓励赛加羚羊的分布国、缔约方、多边环境协定、政府间组织、非政府组织和其他利益方在赛加羚羊的保护和恢复方面开展合作，并支持《2016–2020 年赛加羚羊中期国际工作计划》[MTIWP(2016–2020)]和《2021–2025 年赛加羚羊中期国际工作计划》[MTIWP(2021–2025)]的实施。

大凤螺(*Strombus gigas*)(18.275 – 18.280)

18.275 *指示大凤螺的分布国* 鼓励大凤螺的分布国：

a) 合作实施“大凤螺区域渔业管理和养护计划”，并酌情制定国家大凤螺渔业管理和养护计划；

b) 考虑空间差异和物种的特点，继续收集按加工等级划分的大凤螺重量的数据，以更新和改进区域转化因子，并建立或更新国家转化因子；

c) 在区域或亚区域层面合作开展和实施联合研究项目，在考虑所有捕捞致死量的情况下，支持非致危性判定，通过区域渔业管理机构促进相关研究和能力建设，调动财政资源支持数据收集；

d) 推动和合作开展和实施关于大凤螺养护和可持续利用的公众教育和意识项目；

e) 继续合作探索强化国际贸易中的大凤螺标本可追溯性的方法，包括但不限于： 捕捞证明书、标记系统和遗传技术的应用，酌情考虑与秘书处、缔约方和常委会分享相关经验；

f) 在打击非法、不报告和不管制(IUU)渔业活动上合作；

g) 通过秘书处向常委员会提供大凤螺非法贸易的信息，酌情包括监测和执法情况；及

h) 酌情根据 18.280 号决定，向秘书处提供关于本决定 a 至 f 款执行情况的信息，以便秘书处向十九次缔约方大会第报告。

18.276 *指示动物委员会* 应大凤螺的分布国或由加勒比渔业管理委员会(CFMC)、中美洲渔业和水产养殖组织(OSPESCA)、中西部大西洋渔业委员会(WECAFC)、加勒比区域渔业机制(CRFM)和CITES 组成的大凤螺工作组的要求，动物委员会应就非致危性判定及其他技术事宜给予建议。

18.277 *指示常委会* 在秘书处按照 18.275 号决定 e 和 g 款提交报告的基础上，常委会应就审查可追溯性，特别是肉类的可追溯性及与大凤螺国际贸易有关的执法问题，并酌情提出建议。

18.278 *指示秘书处* 秘书处应继续与联合国粮食及农业组织(FAO)，CFMC / OSPESCA / WECAFC / CRFM / CITES 大凤螺工作组，WECAFC 和其他相关国际组织合作，视外部资金：

a) 向大凤螺分布国提供援助，以增强其 CITES 管理机构和科学机构、渔业管理机构和其他利益相关方的能力，来实施区域大凤螺渔业管理和养护计划、国家管理计划和开展强有力科学基础的非致危性判定；及

b) 就相关执法事宜为大凤螺分布国提供支持，并酌情就此项决定的新的进展报告常委会。

18.279 *指示秘书处* 秘书处应跟踪大凤螺追溯系统的开发情况，并酌情向常委会报告相关进展。

18.28 *指示秘书处* 秘书处应对根据 18.275 号决定 h 款提供的信息进行整理，就这些决定的执行情况向第十九次缔约方大会报告

的的喀喀水蛙(*Telmatobius culeus*)(18.281 – 18.285)

18.281 *指示的的喀喀水蛙的分布国* 鼓励分布国合作和：

a) 开展研究，旨在：

i 估计的的喀喀水蛙的种群数量；及

ii 识别和监测的的喀喀水蛙标本的所有国际非法贸易；

b) 加强的的喀喀水蛙保护的国际合作机制，打击非法贸易；

c) 制定并实施更多的减少需求战略；

d) 继续提高人们对的的喀喀水蛙保护重要性、生态作用、文化价值和威胁，特别是非法贸易的认识；及

e) 向动物委员会报告上述 a 至 d 款的执行情况。

18.282 *指示秘书处* 秘书处应根据 18.281 号决定 a 款的规定，向缔约方发放通知，要求其提供相关信息，汇编恢复，并提供这些信息给各分布国。

18.283 *指示缔约方和其他方面* 鼓励缔约方：

a) 提供财政和技术援助以支持 18.281 号决定的执行；及

b) 根据 18.282 号决定中的通知的要求提供相关信息，以补充 18.281 号决定的 a 至 d 款。

18.284 *指示动物委员会* 动物委员会应审议缔约方根据 18.281 号决定的 e 款提交的任何报告，并酌情提供建议，供常委会或缔约方大会审议。

18.285 *指示常委会* 常委会应审议动物委员会根据 18.284 号决定提交的任何报告，并酌情向缔约方大会报告。

陆龟和淡水龟鳖(Testudines spp.)(18.286 – 18.291)

18.286 *指示马达加斯加* 马达加斯加应：

a) 回顾其执行 Conf. 11.9(Rev. CoP18)关于陆龟和淡水龟鳖的保护与贸易决议的情况；及

b) 向第 73 次常委会会议报告其执行 Conf.

11.9(Rev. CoP18)决议的情况，包括为解决马达加斯加陆龟非法贸易而开展的活动所获得的任何缉获、逮捕、起诉和定罪的信息。

18.287 *指示常委会* 常委会应根据 18.286 号决定，审查马达加斯加的报告以及秘书处的任何建议，并审议马达加斯加是否需要采取任何进一步的措施，以解决影响该缔约方的陆龟非法贸易。

18.288 *指示秘书处* 秘书处应视外部资金，聘请顾问，与有关缔约方、专家和 ICCWC 合作，为负责野生动植物执法的国家机构编制关于贸易龟鳖部分和衍生物类别的指南，以提高它们对这类标本贸易的认识，使这类标本能够得到初步识别，并就可参考的进一步的识别资源和专业知识提供指导。

18.289 *指示秘书处* 秘书处应基于 CITES 陆龟和淡水龟鳖特别工作组的成果，并支持发起有针对性的调查和执法行动，与国际刑警组织(INTERPOL)一道，为召开国际刑警组织区域调查和分析案例管理(RIACM)会议做出安排。

18.290 *指示秘书处* 秘书处应在第十九次缔约方大会上报告 18.288 和 18.289 号决定的执行情况。

18.291 *指示动物委员会* 动物委员会应审查根据 18.288 号决定编制的贸易龟鳖部分和衍生物类别指南，并提出建议供秘书处审议。

加利福尼亚湾石首鱼(*Totoaba macdonaldi*)(18.292 – 18.295)

18.292 *指示缔约方* 鼓励缔约方与利益相关方合作：

a) 与秘书处和有关缔约方 CITES 管理机构交流有关缉获的加利福尼亚湾石首鱼标本、逮捕的非法捕捞和贸易人员、诉讼及为执行本决定而采取的行动等信息；

b) 参与就加利福尼亚湾石首鱼非法贸易以及该非法贸易对加湾鼠海豚(*Phocoena sinus*)保护的严重影响提升公众意识的活动，包括减少需求的活动；

c) 消除非法来源的加利福尼亚湾石首鱼标本的市场供应和需求，强化国家政策及执法措施，防止非法贸易；

d) 支持与加利福尼亚湾石首鱼和加湾鼠海豚野生种群恢复及监测有关的工作；

e) 支持墨西哥执行 18.293 号决定，包括刺网回收计划；及

f) 为实施 18.294 号决定 c 款要求的研究工作，提供财政及类似支持，该研究将在第 73 次常委会会议之前提交。

18.293 *指示墨西哥* 敦促墨西哥：

a) 在 2019 年 11 月 1 日前，通过以下措施，来应对非法贸易对加利福尼亚湾石首鱼和加湾鼠海豚造成的威胁：

i 与海军一起部署具有缉获标本和逮捕人员的法律权力的政府当局，以有效防止渔民和船只进入加湾鼠海豚保护区，邀请秘书处在 2019 年底之前评估这些措施的有效性和影响；

ii 收集和分析涉及加利福尼亚湾石首鱼非法贸易的犯罪组织团伙信息，召集多学科调查小组，与受关注关键区域的地方当局密切合作，针对加利福尼亚湾石首鱼的非法贸易开展情报驱动的行动和调查；

iii 向秘书处定期(每六个月)提供有关这些行动及其结果的最新情况；及

iv 根据 2017 年 8 月 23 日至 25 日在墨西哥恩塞纳达召开的"中国/美国/墨西哥关于打击非法贩运加利福尼亚湾石首鱼的三边会议"的要求，与相关缔约方一起，建立和运作三边执法联络小组;

b) 强化努力，以保障扩大刺网拆除工作，使加湾鼠海豚保护区成为无网区，并采取一切必要措施，保护刺网拆除工作队伍，并销毁没收的网具；

c) 坚决执行第 43 次世界遗产委员会会议通过的第 43 COM 7B.26 号决定(2019 年，巴库)；及

d) 及时向秘书处提交关于 18.293 号决定 a 至 d 款的执行情况以及 18.292 号决定 a 款所要求信息的报告，以便秘书处能与其可能的建议一起提交第 73 次常委会会议。

18.294 *指示秘书处* 秘书处应：

a) 视外部资源及 18.292 号和 18.293 号决定所要求行动的执行进展，考虑在 2019 年底之前召开一次加利福尼亚湾石首鱼分布国、中转国、消费

国、有关组织和利益相关方的会议，评估在打击加利福纳尼亚湾石首鱼的非法捕捞和消除非法来源标本市场供应和需求的工作进度，加强执法来防止非法贸易；

b) 与国际打击野生动植物犯罪同盟(ICCWC)的伙伴机构保持联系，协助其组织有针对性的从源头国到目的国的整个非法贸易链的联合调查和执法行动；

c) 视外部可用资源，与具有相关专业知识的机构商议，开展 CoP18 Doc.89(Rev1)号文件附件 2 中提出的关于加利福尼亚湾石首鱼和加湾鼠海豚的研究工作；及

d) 将与缔约方和墨西哥根据 18.292 号和 18.293 号决定开展交流的情况、本决定 a 款的会议结果，连同可能的相关建议报告第 73 次常委会会议。

18.295 *指示常委会* 常委会应：

a) 审查和评估由秘书处根据 18.294 号决定提交的任何信息和建议：及

b) 根据评估结果，如果其对 18.292 和 18.293 号决定的执行进展不满意，可在常委会职责范围内，根据 Conf.14.3(Rev.CoP18)号关于 CITES 遵约程序的决议，提出适当建议。

非洲树种(17.302)

17.302 *指示植物委员会* 植物委员会应成立一个非洲树种工作组，其职权范围及其认为适当的任何其他职权范围如下:

a) 工作组将主要通过电子交流的方式开展工作;

b) 工作组致力于促进在分布国、进口国及其他利益相关方之间，在 CITES 附录所列非洲树种的可持续利用和管理方面的经验的传递和交流；

c) 工作组将设法确定非洲树种分布国在这些树种的有效履约方面的空缺和弱点；

d) 工作组应审查各国目前制定年度出口限额的程序，与 CITES 推荐的过程进行比较，并提出协调建议；

e) 工作组应探讨不同商品类型(例如原木、锯材、树皮)之间的转换系数，并提出改进的建议；

f) 工作组应设法确定其他可以从列入 CITES 附录获益的非洲树种；

g) 工作组应就任何关于 CITES 附录中非洲树种的实施和执行的相关问题提请植物委员会注意；

h) 工作组应向植物委员会报告其调查结果和建议。

大型鲸类(14.81)

14.81	*指示动物委员会*	在国际捕鲸委员会宣布暂停捕鲸期间，不得对任何大型鲸类包括长须鲸开展周期性回顾。

海洋观赏鱼(18.296 – 18.298)

18.296	*指示秘书处*	视外部资金，秘书处应： a) 召开技术研讨会，审议与非 CITES 附录海洋观赏鱼贸易有关的保护优先事项和管理需求，尤其关注进口国和出口国的相关数据； b) 邀请动物委员会、分布国、出口国和进口国的代表、渔业利益相关方、行业代表以及相关的政府间组织和非政府组织参加该研讨会； c) 与技术专家签约为研讨会准备会议文件，包括海洋观赏鱼生物学、保护状况、贸易与管理、适用的贸易法规和执法，并邀请研讨会参与者为研讨会提交或提供相关信息和专业知识；及 d) 向动物委员会提交该研讨会的结论和建议。
18.297	*指示动物委员会*	动物委员会应分析本次研讨会的结果，并向第十九次缔约方大会提出建议。
18.298	*指示缔约方、组织和资助方*	鼓励各缔约方、政府间组织、非政府组织、私营企业和其他捐助者为执行 18.296 号决定向秘书处提供资金。

新热带树木物种(18.299)

18.299	*指示植物委员会*	植物委员会应： a) 重新建立新热带树种会间工作组，以电子方式开展工作： i 商定一份 CITES 附录所列新热带树木树种的优先清单，并选定相关的行动，这些行动应能对执行与新热带树木树种有关的决议中的任务做出最大贡献并且与植物委员会相关；

ii 在拟定上文 i 款所述的优先事项清单的过程中，应特别考虑自第十六次缔约方大会以来生效的新热带树种清单、当前正在接受大宗贸易回顾(或其他遵循机制)的新热带树种，以及已知存在的实施挑战，特别是在制定非致危性判定和贸易标本鉴定方面的问题；

iii 各国之间交流新热带树种优先物种的经验、信息和技能；及

iv 报告关于在新热带树种优先物种的管理和保护以及贸易方面取得的进展，以及从中吸取的教训，包括种群现状的研究、旨在加强木材物种贸易透明性和可持续贸易的保管系统的可追溯性和链条的实施、鉴定材料的制定和不同现有技术的训练等，重点关注可被履约机构方便使用的技术；及

b) 审查会间工作组的报告，并酌情向第十九次缔约方大会提供建议。

药用植物和芳香植物的贸易(18.300 – 18.303)

18.300 *指示秘书处* 秘书处应：

a) 与药用植物和芳香植物的贸易供应链和价值链的主要参与者保持联络，提高其对 CITES 药用植物和芳香植物的相关法规，以及药用和芳香植物贸易对 CITES 所列野生药用和芳香植物物种保护的影响的认识和理解。

b) 视可用资源，分析药用植物和芳香植物贸易有关事项的挑战和机遇，包括：

i 提供作为药用产品进行贸易的 CITES 所列植物物种国际贸易的更新概况，评估现有的含有 CITES 所列药用植物和芳香植物贸易名称的数据库是否可以链接到 CITES 清单数据库（CITES Checklist）；

ii 审查正在进行的关于药用植物和芳香植物产品的可持续、可追踪的供应和价值链工作，重点是认证方案、标准和指南。

iii 检查涉及当地及传统知识、参与式评估、监测和管理 CITES 所列药用植物和芳香植物物种的案例研究。

iv 基于前述 i-iii 款，拟定建议，以补充有关 CITES 所列药用植物和芳香植物公约实施

的现有工具，并酌情与相关政府间组织和利益相关者协同。

c) 就 a 和 b 款概述的工作成果向植物委员会提交报告。

18.301 *指示缔约方* 邀请缔约方采取行动，面向为既定用途而贸易药用和芳香植物的人群，提高他们对与此类物种保护相关的 CITES 法规的认识和理解。

18.302 *指示植物委员会* 植物委员会应考虑 CoP.18 Inf.11 号信息文件和其他相关信息，根据 18.300 号决定通报和建议进程，并根据 18.300 号决定审查秘书处的报告，酌情向常委会或缔约方大会提出建议。

18.303 *指示常委会* 常委会应根据 18.302 号决定，审查植物委员会提交的报告，并酌情向缔约方和缔约方大会提出建议。

附录修订和维持

命名(仙人掌科清单及其补遗)(18.304 – 18.306)

18.304 *指示缔约方* 缔约方应就其采用 CITES 仙人掌科清单(第三版)及其补遗(2018)的经验，及其他在使用这些清单时发现的情况，包括鉴于改进和更新仙人掌命名的反馈意见通知秘书处；

18.305 *指示秘书处* 秘书处应：

a) 秘书处应联系联合国环境署—世界保护监测中心(UNEP-WCMC)，获取 CITES 仙人掌清单(第三版)及其补遗(2018)的使用反馈，以及各缔约方在执行 18.304 号决定时对相关数据库更新时提出的任何疑问；及

b) 将其收到的缔约方反馈和建议向植物委员会报告，以其在例行会议上回顾。

18.306 *指示植物委员会* 植物委员会应回顾秘书处执行 18.305 号决定的任何报告，并酌情向第十九次缔约方大会提出建议。

CITES 所列黄檀属物种的产品(18.307 – 18.308)

18.307 *指示秘书处* 秘书处应与植物委员会命名专家密切合作：

a) 视外部可用资源，负责开发一份带有注释的 CITES 黄檀属清单，考虑到：

i CoP18 Doc. 99 文件第 7 款的相关元素，以及区分黄檀属的木材和非木材物种的关联；

ii 制作这个清单所需的研究和其他工作；及

iii 出版的相关方面；及

b) 在植物委员会的常规会议上报告该进程的进展和结果，并寻求建议和输入。

18.308 *指示植物委员会* 植物委员会应：

a) 根据 18.307 号决定，审议秘书处报告的进展和结果；及

b) 酌情向常委会和第十九次缔约方大会提供建议。

这些建议可以包括完成清单的时间表，以及采纳黄檀属标准命名文献等。

以在线数据库的特定时间版本作为标准命名文献(18.309 – 18.310)

18.309 *指示秘书处* 秘书处应：

a) 继续接触相关可以被用于标准命名文献的在线数据库的版权所有者，探索其特定时间版本用于 CITES 的的可能性；可用作标准文献的相关数据库包括并不限于 WoRMS、Fish Base、ESCHMEYER& FRICKE's Catalog of Fishes、Amphibian Species of the World 和 Corals of the World 等；及

b) 将其商议结果报告给动物委员会。

18.310 *指示动物委员会* 动物委员会应：

a) 评估秘书处的商议结果；及

b) 拟定关于使用在线数据库特定时间版本作为标准命名文献，向第十九次缔约方大会提出决定建议。

珊瑚的命名和鉴定(18.311 – 18.312)

18.311 *指示秘书处* 秘书处应：

a) 如有可能，寻求特定时间节点的 WoRMS 数据库版本；及

b) 将进展报告给动物委员会。

18.312 *指示动物委员会* 动物委员会应：

a) 考虑秘书处的报告以及后续的关于 CITES 所列珊瑚物种所采纳标准命名文献的建议；

b) 更新其珊瑚分类学名录，使得其可被鉴定到属级水平，但可能的话到种级水平，一旦确认了

		新的 CITES 所列珊瑚标准命名文献，应将更新名录提供给秘书处供散发；及 c) 在第十九次缔约方大会上报告相关建议。
18.313	*指示动物和植物委员会*	动物委员会和植物委员会应考虑 Conf. 12.11(Rev. CoP18)关于标准命名决议 2 g 款的现行指南，评估命名文献的变化如何影响附录 III 物种的列入，并根据需要提出进一步的指导和建议，供第 73 次常委会会议审议，来解决此类标准命名变化该如何被处理。

附录 III 物种的命名(18.313 – 18.314)

18.314	*指示常委会*	常委会在与秘书处商议，应在其第 73 次会议上考虑动物委员会和植物委员会的指导和建议，并就命名文献变化如何影响附录 III 物种列入提出建议，包括对 Conf. 12.11 (Rev. CoP18)或 Conf. 9.25 (Rev. CoP 18)号决议“附录 III 物种的列入”的可能修正，供第十九次缔约方大会审议。

穿山甲的命名(18.315)

18.315	*指示动物委员会*	动物委员会应检查穿山甲(Manidae spp.)的分类和命名，并提出一个澄清在附录中列出穿山甲的方法。

命名(鸟类目和科名)(17.312 (Rev. CoP18))

17.312 (Rev. CoP18)	*指示动物委员会* *指示常委会*	动物委员会应： a) 评估在科及目水平采纳新的标准命名文献影响的分析结果；及 b) 向第十九次缔约方大会提交决定建议。

注释(16.162 (Rev. CoP18) & 18.316 – 18.320)

16.162(Rev. CoP18)	*指示常委会* *动物委员会* *植物常委会*	常委会应重建注释工作组，并与动、植物委员会密切合作，要认识到动、植物委员会是缔约方有关此类科学和技术问题的专业知识和建议的重要来源。工作组应包括，但并不限于常委会、动物委员会、植物委员会、观察员国、CITES 管理机构和科学机构、执法机构的成员，包括海关和业界代表等。常委会应特别注意尽量保证进出国和出口国代表的平衡。工作组的职责范围应是： a) 与植物委员会正在进行的努力密切合作，继续审查附录注释执行中的合理性和实际挑战，包括但不限于那些生产沉香的类群(沉香属和拟沉香属植物)、玫瑰安妮樟、萨米维腊木和兰花，并根据 Conf. 11.21(Rev. CoP18)关于附录 I 和 II

中注释的使用的决议提供的指导来确定精简这些注释的选项；

b) 酌情制定或完善当前注释中所用术语的定义，包括但不限于术语“乐器”和“变形木”，将其提交缔约方大会通过，并随后纳入附录的解释部分；

c) 开展由缔约方大会、常委会和动、植物委员会指派的与注释相关的任何工作；及

d) 准备解决针对此任务相关问题的进展报告，并提交第 73 和 74 次常委会考虑。

18.316 *指示常委会* 常委员会应与动物委员会和植物委员会合作，确定缔约方大会制定和通过的要求：

a) 定期审查现有注释的机制；及

b) 对供缔约方大会审议的注释进行事前审查的机制，以支持一致执行 Conf. 11.21(Rev. CoP18)号决议中提供的注释指南。

18.317 *指示常委会* 常委会应探讨建立信息系统的可行性和要求，以处理公约规定授权的、CITES 所列树种的交易有关的贸易数据。

18.318 *指示缔约方* 邀请缔约方与利益相关方进行商议，并向秘书处提供 18.316 号决定中提议机制的相关信息、16.162(Rev. CoP18)号决定 b 款中提出的定义和附录注释执行中产生的实际挑战，包括但不限于玫瑰木树种、产沉香的类群(沉香属和拟沉香属所有物种)、玫瑰安妮樟、萨米维腊木，以及在 16.162(Rev. CoP18)号决定 a 款提到的兰花，在处理这些挑战时，提供实际解决方案的示例。

18.319 *指示常委会* 常委会应考虑根据 16.162(Rev. CoP18)号决定的工作，以及秘书处根据 18.320 号决定要求提交的报告，并适时向第十九次缔约方大会提交建议。

18.320 *指示秘书处* 秘书处应向缔约方发出通知，要求缔约方提供 18.318 号决定的信息输入，将从各缔约方收到的回复汇总，并就 18.316 号决定中建议的机制和信息系统、根据 16.162(Rev. CoP18)号决议 b 款提出的定义，以及附录注释实施中遇到的挑战，向常委会提供建议。

注释#15(18.321 – 18.322)

18.321 *指示秘书处* 秘书处应：

a) 视可用资源，进行一项研究，以评估注释#15对乐器成品、乐器零件和乐器附件成品的豁免对于国际贸易中的黄檀属/ 古夷苏木属物种的效果，及其对保护的可能影响；

b) 就任何科学或技术问题，提请植物委员会注意，并寻求其建议；及

c) 向常委会报告其评估结果及建议。

18.322 *指示常委会* 常委会应在其根据有关决定开展注释工作时，审议秘书处根据 18.321 号决定提出的任何报告，必要时进行进一步评估，并向第十九次缔约方大会报告。如果有必要，常委会可与有关缔约方合作，为第十九次缔约方大会起草修正案。

好望角芦荟(*Aloe ferox*)的注释(18.323 – 18.326)

18.323 *指示秘书处* 秘书处应在第十八次缔约方大会结束一年后，向各缔约方发出通知，要求提供如下信息：

a) 是否，以及如果是的话，注释#4 的修订如何影响好望角芦荟标本的国际贸易；及

b) 是否，以及如果是的话，注释#4 的修订如何影响好望角芦荟种群大小、分布、状况和采集等。

18.324 *指示秘书处* 秘书处应汇编缔约方根据 18.323 号决定的要求所进行的回复，并将这些回复提供给植物委员会。

18.325 *指示植物委员会* 植物委员会应审查根据 18.324 号决定收到的信息，以及其他关于好望角芦荟现状、管理和国际贸易的可用信息，以评估 CITES 豁免好望角芦荟包装好备零售的制成品的规定对该物种的自然种群是否有影响。根据审查产出，植物委员会应准备有关好望角芦荟列入的相关建议，供第十九次缔约方大会审议。

18.326 *指示缔约方* 鼓励好望角芦荟的分布国、消费国和其他与其管理、培植或贸易相关的国家根据 18.323 号决定的要求，提供该物种有关状况、管理和贸易的信息。

包含附录 II 兰花标本的产品(18.327 – 18.330)

18.327 *指示秘书处* 视外部资源，秘书处应：

a) 评估兰花产品和衍生物(野生和人工繁殖)豁免的潜在保护影响，完成已经启动的用于化妆品和个人护理产品生产中的兰花的工作，并考虑其他商品(例如药品)中使用的兰花；

b) 在必要和适当的情况下补充本条 a 款进行的评估，从缔约方和利益相关方团体(包括行业)中寻求有关信息，例如：

i 从源头到最终产品的兰花产品贸易，包括确定该贸易涉及的主要行业；

ii 如何进行非致危性判定和合法来源判定；

iii 沿供应链和利益链的可追溯性；

iv 野生种群的保护问题；及

c) 分析根据 a 和 b 款获得的信息，以期了解含兰花和兰花衍生物的产品贸易对保护的潜在影响，强调任何知识空缺，并向植物委员会报告。

18.328 *指示缔约方* 鼓励缔约方：

a) 根据 18.327 号决定的要求，向秘书处提交有关信息；及

b) 协助秘书处，向可能支持这项工作的利益相关者和用户群体寻求帮助。

18.329 *指示植物委员会* 植物委员会应：

a) 考虑 18.327 号决定的结果；

b) 与常委会商议，酌情审查附录 II 所列兰花的当前注释，并提出修改建议；及

c) 向常委会提出建议。

18.330 *指示常委会* 常委会应考虑植物委员会提交的建议，并向第十九次缔约方大会提供建议。

附录出版指南(18.331 – 18.332)

18.331 *指示秘书处* 根据其经验，考虑 CoP18 Doc.103 文件所提出的问题、与各缔约方(特别是在每次缔约方会议之后修订立法的缔约方)的讨论，以及第十八次缔约方大会就该问题的建议，秘书处应：

a) 与动物委员会和植物委员会商议，就附录如何展示才能更清晰和更可预测提供指南；

b) 以通知的形式将指南草稿发出，征求各缔约方的意见，并酌情考虑和吸纳意见，形成草案修订稿；及

c) 提交指南草案供常委会审议，将常委会的意见纳入指南，并在 CITES 网站上发布指南。

18.332 *指示常委会* 常委会应审查指南草案，并向秘书处提供评论和建议，以确定文件的终稿。

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* *For the purpose of these Decisions, "indigenous peoples and local communities" is understood to include rural communities.*

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ADMINISTRATIVE AND FINANCIAL MATTERS

Number	**Title**	*Directed to*	Text
18.1	**Rules of Procedure**	*Directed to the Standing Committee*	With the support of the Secretariat, the Standing Committee shall review Rule 7 2. a) and Rule 25 of the Rules of Procedure of the Conference of the Parties and propose amendments, as appropriate, to the 19th meeting of the Conference of the Parties with the view to ensuring the effective conduct of meetings.
18.2	**Conduct of Committees**	*Directed to the Standing Committee*	The Standing Committee shall consider whether the terms of reference of the Standing Committee Finance and Budget Subcommittee should be annexed to the new resolution on *Establishment of Committees*.
18.3	**Conduct of Committees**	*Directed to the Secretariat*	The Secretariat shall prepare draft guidance to assist chairs of working groups established by the Committees in fulfilling their tasks for consideration by the Standing Committee.
18.4	**Access to funding**	*Directed to Parties*	Parties are invited to provide non-reimbursable loan of personnel services to the CITES Secretariat noting that the salary and administrative fee of non-reimbursable loan personnel shall be covered by the Party, with such personnel remaining under the administrative authority of the sending Party. Non-reimbursable loan personnel shall carry out their duties and act in the interest of the mandate of the CITES Secretariat.
18.5	**Access to funding**	*Directed to Parties*	Parties are encouraged to: a) engage with their Global Environment Facility (GEF) national focal points in order to take part in the national GEF processes and facilitate use of allocated GEF funding through the Global Wildlife Program (GWP); b) contribute to the development and implementation of GEF projects that may have components related to the implementation of CITES, by communicating with their national GEF counterparts and informing them of relevant CITES requirements and processes; and c) monitor the progress of the GEF Global Wildlife Program and the national projects, where applicable, to enhance Parties' ability to meet their obligations under CITES.
18.6	**Access to funding**	*Directed to Parties, governmental, intergovernmental and non-governmental organizations and other entities*	All Parties, governmental, intergovernmental and non-governmental organizations and other entities are invited to provide financial or technical assistance for ensuring the effective implementation of the Decisions and Resolutions adopted by the Conference of the Parties.

18.7	**Access to funding**	*Directed to Parties, governmental, intergovernmental and non-*	In providing financial assistance, Parties, governmental, intergovernmental and non-governmental organizations and other entities are encouraged to take into consideration the administrative and financial management support needed to ensure that the funded
		governmental organizations and other entities	activities are managed in an efficient, effective and accountable manner, and that they do not affect the Secretariat's core administrative tasks.
18.8	**Access to funding**	*Directed to the Secretariat*	The Secretariat shall: a) continue to participate in the Program Steering Committee of the GEF Global Wildlife Program to ensure that GEF projects under the programme are, as far as possible, aligned with CITES Decisions and Resolutions and contribute to the enhanced implementation of the Convention; and b) provide technical advice and in-kind support to Parties in the development and implementation of their GEF projects under the Global Wildlife Program.
18.9	**Access to funding**	*Directed to the Secretariat*	Subject to the availability of external funding, the Secretariat, in collaboration with the World Bank and other relevant financial institutions, cooperation agencies and potential donors, shall organize a wildlife donor roundtable with a particular focus on sustainable use, to: a) share information on existing funding programmes on wildlife; b) understand the long-term financial needs of developing countries to implement the Convention; and c) explore the potential for scaled-up financial resources to ensure the conservation and sustainable use of wildlife.
18.10	**Access to funding**	*Directed to the Secretariat*	The Secretariat shall report on the progress on the implementation of Decisions 18.4 and 18.5 and any recommendations, as necessary, to the Standing Committee and at the 19th meeting of the Conference of the Parties.
18.11	**Access to funding**	*Directed to the Standing Committee*	The Standing Committee shall review the progress of implementation of Decisions 18.4 through 18.10 and make recommendations as necessary to the 19th meeting of the Conference of the Parties.

18.12	**Sponsored Delegates Project**	*Directed to the Secretariat*	The Secretariat shall: a) continue to apply clear selection criteria, taking into account the various possible options for the selection criteria and additional ways to prioritize beneficiary Parties, including the guidelines of the Development Assistance Committee of the Organization for Economic Cooperation and Development (OECD-DAC) and the prioritization of small island developing States and least developed countries; b) explore further the practical arrangements for the provision of support under the Sponsored Delegates Project for delegates attending the meetings of the Animals, Plants and Standing Committees; and c) bring any recommendations to the attention of the Standing Committee or the Conference of the Parties, as appropriate.
18.13	**International Consortium on Combating Wildlife Crime**	*Directed to Parties*	Parties are encouraged to continue provide funding support to the International Consortium on Combating Wildlife Crime (ICCWC) for the implementation of its Strategic Programme 2016-2020, and any newly developed future Strategic Programme, to ensure that the
			Consortium continues to take a leading role in providing coordinated global support to the law-enforcement community.
18.14	**Tree species programme**	*Directed to Parties*	Parties are invited to provide information to the Secretariat regarding their experiences, lessons learned and recommendations on: a) past work under the ITTO-CITES programme for implementing CITES for tropical timber species and its contribution to their implementation of the Convention; and b) work under the CITES Tree Species Programme for implementing CITES for tree species listed in Appendix II.
18.15	**Tree species programme**	*Directed to the Plants Committees*	The Plants Committee shall consider any reports by the Secretariat on the implementation of the CITES Tree Species Programme and provide recommendations as appropriate to the Secretariat and the Standing Committee.
18.16	**Tree species programme**	*Directed to the Standing Committee*	The Standing Committee shall consider reports by the Secretariat and the Plants Committee on the CITES Tree Species Programme, and, taking into account other discussions relating to capacity-building activities, provide recommendations to the Secretariat, Parties and organizations, on the CITES Tree Species Programme and its long-term future.

18.17	**Tree species programme**	*Directed to the Secretariat*	The Secretariat shall: a) collect information on Decision 18.14 and make it available to the Plants Committee; b) report progress made with the implementation of the CITES Tree Species Programme to the Plants Committee and the Standing Committee; c) report, in consultation with the Standing Committee, on progress made with the implementation of the CITES Tree Species Programme to the 19th meeting of the Conference of the Parties; and d) continue cooperation with organizations working on forest related matters, such as the International Tropical Timber Organization (ITTO) and other members of the Collaborative Partnership on Forests (CPF), to strengthen the support to Parties for implementing the Convention for listed tree species.
18.18	**Review of the ETIS Programme**	*Directed to the Secretariat*	The Secretariat shall include in the terms of reference for the review of the Elephant Trade Information System (ETIS) programme the issue of overlapping reporting requirements created under Resolution Conf. 10.10 (Rev. CoP18) on *Trade in elephant specimens* and Resolution Conf. 11.17 (Rev. CoP18) on *National reports* and the challenges posed by the different data-sharing policies, and work closely with the consultants carrying out the review to identify possible solutions.
18.19	**Review of the ETIS programme**	*Directed to the Secretariat*	The Secretariat shall report the findings of the review of the ETIS programme requested by the Standing Committee, and any recommendations emanating from the review, at the 73rd meeting of the Standing Committee.
18.20	**Review of the ETIS programme**	*Directed to the Standing Committee*	The Standing Committee shall review the findings and recommendations reported by the Secretariat in accordance with Decision 18.19 and make recommendations for consideration at the 19th meeting of the Conference the Parties.
18.21	**MIKE and ETIS programmes**	*Directed to the Secretariat*	The Secretariat shall develop a proposal for consideration by the Standing Committee at its 73rd meeting on possible approaches to address the financial and operational sustainability of the MIKE and ETIS programmes.
18.22	**MIKE and ETIS programmes**	*Directed to the Standing Committee*	The Standing Committee shall review the proposal developed by the Secretariat in terms of Decision 18.21 and make recommendations for consideration at the 19th meeting of the Conference of Parties.

Number	**Title**	*Directed to*	Text
18.23	**CITES Strategic Vision**	*Directed to Parties*	Parties' Management Authorities are encouraged to communicate with their national Convention on Biological Diversity (CBD) focal points to seek to ensure CITES aims are reflected in the outcomes of their domestic processes to develop contributions to the post-2020 biodiversity framework anticipated to be adopted by the Parties to the CBD in 2020.
18.24	**CITES Strategic Vision**	*Directed to the Secretariat*	The Secretariat shall: a) undertake a comparative analysis in order to illustrate the linkages between the adopted *CITES Strategic Vision 2021-2030* and the goals within the 2030 Agenda for Sustainable Development and, once adopted, the post-2020 biodiversity framework, and present their analysis to the Standing Committee for their information; and b) review the objectives of *CITES Strategic Vision 2021-2030* against the current CITES Resolutions and Decisions and identify to the Animals and Plants Committee as appropriate, and to the Standing Committee those objectives (if any) where the current CITES policies as found in the Resolutions and Decisions do not appear to address activities in support of achieving that objective of the CITES Strategic Vision.
18.25	**CITES Strategic Vision**	*Directed to the Animals and Plants Committees*	The Animals and Plants Committees shall consider the review prepared by the Secretariat under Decision 18.24, paragraph b) and provide their recommendations to the Standing Committee.
18.26	**CITES Strategic Vision**	*Directed to the Standing Committee*	The Standing Committee shall: a) in consultation with the Chairs of the Animals and Plants Committees and taking into account the information provided by Parties via the Report on Implementation as well as the comparative analysis prepared by the Secretariat under Decision 18.24, paragraph a), make recommendations on new or revised indicators of progress to be included in the *CITES Strategic Vision: 2021-2030*, for consideration by the 19th meeting of the Conference of the Parties; and b) review the information provided by the Secretariat in Decision 18.24, as well as the views of the Animals and Plants Committees, and make recommendations to the 19th meeting of the Conference of the Parties.

18.27	**Review of the Convention**	*Directed to the Standing Committee*	The Standing Committee shall consider the need for a targeted review of the implementation of the Convention, taking into consideration the prior review of the Convention and existing CITES review mechanisms, and, if appropriate, prepare a costed proposal, including draft terms of reference, for consideration by the 19th meeting of the Conference of the Parties.
18.28	**Appendix-I listed species**	*Directed to the Secretariat*	Subject to available resources, the Secretariat shall:
			a) contract consultants, as appropriate, to undertake the following: i) conduct a rapid assessment of the conservation status of, and legal and illegal trade in, species included in Appendix I; ii) in consultation with range States, produce detailed assessments on the conservation status, threats, relevance of trade, ongoing *in situ* and *ex situ* conservation strategies or recovery plans and funding/resources available or required for the species concerned and selected; and iii) produce a report identifying and prioritizing those Appendix-I species that could potentially benefit from future action under CITES; and b) produce a report with its recommendations to the Animals and Plants Committees for consideration at their 32nd and 26th meetings, respectively.
18.29	**Appendix-I listed species**	*Directed to the Animals and Plants Committees*	The Animals and Plants Committees shall review the report and recommendations submitted by the Secretariat pursuant to Decision 18.28, paragraph b), and formulate recommendations, as appropriate, for communication to the range States and consideration of the Conference of the Parties at its 19th meeting.
18.30	**Language strategy for the Convention**	*Directed to the Standing Committee*	The Standing Committee shall, with the assistance of the Secretariat: a) consider implications of adding Arabic, Chinese and Russian to the working languages of the Convention, including for the administration, budget, implementation and effectiveness of the Convention; b) particularly consider benefits and challenges specific to adding each one of these languages as working languages of the Convention, taking note of document CoP18 Doc. 8 on *Draft resolution on language strategy for the Convention* and of United Nations General Assembly resolution 71/328 on *Multilingualism*; and c) report its conclusions and recommendations to the 19th meeting of the Conference of the Parties.

17.57 (Rev. CoP18)	**Engagement of indigenous peoples and local communities*** ** For the purpose of these Decisions, "indigenous peoples and local communities" is understood to include rural communities.*	*Directed to the Standing Committee*	The Standing Committee shall: a) examine the terminology used in different Resolutions and Decisions when referring to "indigenous peoples", " local communities" or "rural communities"; and b) make recommendations to the 19th meeting of the Conference of the Parties on whether there is need for consistency of terminology across these Resolutions and Decisions.
18.31	**Engagement of indigenous peoples and local communities*** ** For the purpose of these Decisions, "indigenous peoples and local communities" is understood to include rural communities.*	*Directed to the Standing Committee*	The Standing Committee shall: a) establish an intersessional working group to consider how to effectively engage indigenous peoples and local communities* in the CITES processes, taking into account the discussions from the last intersessional period and any information provided pursuant to Decision 18.32 and present its findings and recommendations to the Standing Committee.
			b) when establishing the intersessional working group, endeavor to achieve regional balance of Parties and observers, and give special consideration to participation of representatives of indigenous peoples and local communities*; c) develop non-binding guidance that proponent Parties may use, as appropriate, in consulting with indigenous peoples and local communities* as part of the consultations that may take place on proposals to amend the Appendices. d) make recommendations on the engagement of indigenous peoples and local communities* in CITES processes to the 19th meeting of the Conference of the Parties.
18.32	**Engagement of indigenous peoples and local communities*** ** For the purpose of these Decisions, "indigenous peoples and local communities" is understood to include rural communities.*	*Directed to the Secretariat*	The Secretariat shall: a) issue a Notification inviting Parties to provide information on their experiences and lessons learned in engaging indigenous peoples and local communities* in CITES processes; b) consult and collaborate with relevant organizations and experts to gather information on experiences and lessons learned to complement information received from Parties under paragraph a) above; and c) compile the information received from the Parties and other relevant organizations and provide a summary to the Standing Committee.

18.33	**Livelihoods*** * *For the purpose of these Decisions, "indigenous peoples and local communities" is understood to include rural communities.*	*Directed to Parties*	Parties are invited to: a) collate or conduct new case studies, using the standard template, that demonstrate how sustainable use of CITES-listed species contributes to the livelihoods of the indigenous peoples and local communities* involved in such use, including trade, and to the conservation of the species. Include examples of facilitating such involvement by wildlife-related authorities and other stakeholders and submit them to the Secretariat; b) engage indigenous peoples and local communities* in CITES decision-making and implementation processes at the national level to better achieve the objectives of the Convention; and c) where appropriate, incorporate issues related to CITES implementation and livelihoods into national wildlife conservation and socio-economic development plans, as well as in relevant projects being developed for external funding, including funding from the Global Environment Facility (GEF) through the Global Wildlife Program.
18.34	**Livelihoods*** * *For the purpose of these Decisions, "indigenous peoples and local communities" is understood to include rural communities.*	*Directed to the Standing Committee*	The Standing Committee shall establish an intersessional working group on CITES and livelihoods, which will work in collaboration with the Secretariat to: a) monitor the progress made by Parties in implementing Decision 18.33 to engage indigenous peoples and local communities* in CITES decision-making processes to better achieve the objectives of the Convention; and *b)* review the report of the Secretariat on the progress made under Decisions 18.35 and on the implementation of Resolution Conf. 16.6 (Rev. CoP18) on *CITES and livelihoods* and make recommendations, as appropriate, to the 19th meeting of the Conference of the Parties.

18.35	**Livelihoods*** ** For the purpose of these Decisions, "indigenous peoples and local communities" is understood to include rural communities.*	*Directed to the Secretariat*	Subject to the availability of external financial resources, the Secretariat shall: a) support the collation or conduct of new case studies on CITES and livelihoods as described in Decision 18.33, paragraph a), and assist Parties to present the case studies in appropriate platforms, and in formats and manners that are most effective for targeted audiences; b) commission an independent review, with inputs of experts from different disciplines, of relevant case studies on CITES and livelihoods, both existing and new, as well as existing guidelines on sustainable use of wildlife and engagement of indigenous peoples and local communities*, to identify best practices; c) based on the review, prepare guidance on how to maximize the benefits for indigenous peoples and local communities* of CITES implementation and trade in CITES-listed species; d) taking into account past work on traceability reported in document CoP18 Doc. 42, explore the possibility of using registered marks of certification, existing and new, and other traceability mechanisms, for products of CITES-listed species produced by indigenous peoples and local communities* consistent with CITES provisions, in order to enhance conservation and livelihood outcomes; e) facilitate the organization of a workshop to review the guidance developed as described in paragraph c) above, to present new case studies on CITES and livelihoods, and to facilitate the exchange of experiences in collaboration with relevant international and regional organizations; f) organize the production of outreach materials, including publications and short videos based on the case studies, to raise awareness of and promote best practices in CITES implementation and livelihoods including its contribution to the United Nations Sustainable Development Goals (SDGs) and to share such materials on appropriate platforms, including the CITES website, social media channels, external media, and exhibitions; and g) make efforts to establish global partnerships with relevant international and regional organizations, including conservation organizations and development agencies to work together in activities regarding CITES and livelihoods.
18.36	**Livelihoods*** ** For the purpose of these Decisions, "indigenous peoples and local communities" is understood to include rural communities.*	*Directed to the Secretariat*	The Secretariat shall report to the Standing Committee on progress made with regard to the implementation of Decision 18.35 and Resolution Conf. 16.6 (Rev. CoP18) on *CITES and livelihoods*.
18.37	**Livelihoods*** ** For the purpose of these Decisions, "indigenous peoples and*	*Directed to the Secretariat*	Subject to the availability of external financial resources, the Secretariat shall organize a joint meeting of the intersessional working group on engagement of indigenous peoples

	local communities" is understood to include rural communities.		and local communities* and the intersessional working group on CITES and livelihoods to support the implementation of Decisions 18.31 and 18.34.
18.38	**World Wildlife Day**	*Directed to the Standing Committee*	The Standing Committee shall consider designating a future World Wildlife Day to be focused on livelihoods of indigenous peoples and rural and local communities.
18.39	**Capacity-building**	*Directed to Parties*	Parties are invited to: a) provide information to the Secretariat regarding capacity-building materials and efforts that could be shared among Parties; b) utilize the CITES Virtual College to support capacity-building activities and provide the Secretariat with inputs and financial support to update and improve its services, including translation of the contents into national languages; c) use the CITES implementation reports, as well as direct expression of interest, to inform the Secretariat about their capacity needs; d) support the capacity-building efforts of other Parties by providing scholarships for in-person training or training opportunities, and by translating materials into non-working languages of the Convention; and e) share ideas, experiences, and information related to the development of a capacity building framework in response to the Notification to Parties issued by the Secretariat under Decision 18.46, paragraph a).
18.40	**Capacity-building**	*Directed to the Animals and Plants Committees*	The Animals and Plants Committees shall review the report of the Secretariat called for in Decision 18.46, paragraph c), and provide input and make recommendations to the Standing Committee.
18.41	**Capacity-building**	*Directed to the Standing Committee*	The Standing Committee shall establish a working group on capacity-building to advise the Standing Committee on the actions outlined in Decisions 18.42 and 18.43 for the development of an integrated capacity-building framework to improve implementation of the Convention. The working group shall include, but not be limited to, participation of: members of the Standing Committee, the Animals and Plants Committees, the Budget and Finance Sub-Committee, and the Secretariat. The working group shall also include a balanced representation of Parties from each region, as well as Parties that are donors and Parties that are recipients of capacity support.
18.42	**Capacity-building**	*Directed to the Standing Committee*	The Standing Committee shall provide guidance to the Secretariat to refine and consolidate the areas of capacity-building efforts, taking into account the discussions on the Compliance Assistance Programme and Country-wide Significant Trade Reviews, as well as the discussion on the development of an integrated capacity building framework outlined in Decision 18.41.* ** The Secretariat believes that the intention was to refer to Decision 18.41 and not 18.43.*

18.43	**Capacity-building**	*Directed to the Standing Committee*	The Standing Committee shall undertake the following:
			a) review Resolution Conf. 3.4 on *Technical cooperation* with the view to incorporating capacity-building needs; b) consider the inputs and recommendations of the Animals and Plants Committees pursuant to Decision 18.40; and c) make recommendations, including a possible new or revised draft resolution as well as models, tools and guiding documents on capacity building, as appropriate, based on the outcome of the work in Decision 18.46 as well as documents CoP18 Doc. 21.2 and Doc. 21.3, for consideration by the Conference of the Parties at its 19th meeting.
18.44	**Capacity-building**	*Directed to the Secretariat*	The Secretariat shall: a) collect information on capacity-building materials and efforts from Parties and others, and make them available to Parties through the CITES website; b) subject to the availability of external funding, undertake the revision and enhancement of the CITES website and of the CITES Virtual College, including selected online courses, to update the content and to improve their effectiveness in providing access to capacity-building resources to Parties; c) subject to the availability of external funding, provide compliance-related and other general capacity-building support to Parties; d) inform the Standing, Animals and Plants Committees when needs arise for their review or inputs on capacity-building materials; and e) subject to the availability of external funding, further cooperate with institutions and organizations to provide Parties with joint capacity-building assistance of relevance to CITES, and provide scholarships for in-person training or training opportunities, and translate materials into non-working languages of the Convention, for example through: the Food and Agriculture Organization of the United Nations (FAO), the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES), the International Consortium on Combating Wildlife Crime (ICCWC) (including each of its partners), the International Trade Centre (ITC), the International Tropical Timber Organization (ITTO), the International University of Andalusia (UNIA), the United Nations Conference on Trade and Development (UNCTAD), the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), the World Organisation for Animal Health (OIE); and the World Trade Organization (WTO).
18.45	**Capacity-building**	*Directed to the Secretariat*	In carrying out capacity-building activities, the Secretariat shall pay particular attention to the needs of Parties identified through compliance procedures, recently acceded Parties, developing country Parties, and Small Island Developing States.

18.46	**Capacity-building**	*Directed to the Secretariat*	The Secretariat shall: a) based on document CoP18 Doc. 21.3 Annex 5 and in consultation with the Standing Committee, develop a questionnaire and issue a Notification to Parties transmitting the questionnaire to gather input to inform the development of an integrated capacity-building framework; b) liaise with other Multilateral Environmental Agreements to collect information regarding how their capacity-building efforts are targeted, accomplished, and tracked; c) prepare a report summarizing the outcomes of its implementation of Decision 18.46, paragraphs a) and b), the outcomes of the needs assessment working group summarized in document SC66 Doc. 20.2 (Rev.1), and the information on capacity-building needs provided by Parties through their implementation reports, for consideration by the Animals and Plants Committees; and d) subject to the availability of external funding and in consultation with the Standing Committee, Animals and Plants Committees, and the Budget and Finance Sub-Committee, organize a workshop that would facilitate the Standing Committee's tasks set out in Decisions 18.42 and 18.43.

COOPERATION

Number	**Title**	*Directed to*	Text
17.55 (Rev. CoP18)	**Cooperation with other biodiversity-related conventions**	*Directed to Parties*	Parties are encouraged to strengthen synergies among biodiversity multilateral environmental agreements at the national level by, among others, improving coordination and cooperation between national focal points and strengthening capacity-building activities.
17.56 (Rev. CoP18)	**Cooperation with other biodiversity-related conventions**	*Directed to the Standing Committee*	The Standing Committee shall, with support of the Secretariat, explore options consistent with the CITES Strategic Vision to strengthen cooperation, collaboration and synergies at all relevant levels between CITES and the Strategic Plan for Biodiversity 2011-2020, its Aichi Targets and the post-2020 global biodiversity framework, as appropriate, as well as the 2030 Agenda for Sustainable Development and its Sustainable Development Goals. This should involve the members of the Liaison Group of Biodiversity-related Conventions, and, as appropriate, engagement with other relevant organizations and processes, including processes under the Rio Conventions. The Standing Committee shall report on the implementation of this Decision at the 19th meeting of the Conference of the Parties.
18.47	**Cooperation with other biodiversity-related conventions**	*Directed to the Secretariat*	The Secretariat shall prepare a report summarizing existing CITES Resolutions and Decisions related to synergies, partnerships and cooperation with other biodiversity-related entities, and advise on any measures to enhance the implementation of the Convention in this regard, drawing on the practices of other relevant biodiversity-related entities, together with the outputs resulting from the decisions and resolutions of their governing bodies.
18.48	**Cooperation with other biodiversity-related conventions**	*Directed to the Standing Committee*	The Standing Committee shall: a) consider the report of the Secretariat under Decision 18.47 and the merits of proposing to the Conference of the Parties any measures to enhance the implementation of the Convention through a more streamlined, cohesive, and effective approach to synergy, partnership and cooperation with other biodiversity-related entities; and b) prepare a report on its implementation of the present Decision and submit any resulting recommendations for consideration by the 19th meeting of the Conference of the Parties.

18.49	**Cooperation with the Global Strategy for Plant Conservation**	*Directed to the Secretariat*	The Secretariat shall: a) publish and maintain updated on its website the summary of the Periodic Review proposals submitted to Conference of the Parties for amendments to Appendices I and II, taxa selected for Periodic Review of species included in Appendices I and II, and Review of Significant Trade in specimens of Appendix II species, with relevant updates derived from the 23rd and 24th meetings of the Plants Committee and the 18th meeting of the Conference of the Parties;
			b) in collaboration with the Plants Committee, update the report on the contribution of CITES to the implementation of the Global Strategy for Plant Conservation (GSPC) [see document CoP17 Doc. 14.6 (Rev. 1)], taking into account the analysis contained in information document PC24 Inf. 6, as well as the relevant outcomes of the 18th meeting of the Conference of the Parties, and provide it to the Secretariat of the Convention on Biological Diversity (CBD) for further consideration by the CBD at the 15th meeting of its Conference of the Parties; c) consult the Secretariat of CBD concerning the post-2020 future of the GSPC, and collaborate with the Plants Committee in drafting any required revision of Resolution Conf. 16.5 on *Cooperation with the Global Strategy for Plant Conservation 2011-2020*; and d) report on progress with the implementation of paragraphs a) to c) to the Plants Committee.
18.50	**Cooperation with the Global Strategy for Plant Conservation**	*Directed to the Plants Committee*	The Plants Committee shall: a) consider the Secretariat's updated report as per Decision 18.49 above; b) in collaboration with the Secretariat and if considered appropriate, draft a revision to Resolution Conf. 16.5, taking into account the discussions under CBD regarding the post-2020 future of the GSPC, with a view to ensure that a two-way collaboration between both Conventions is reflected; and c) present its recommendations to the Standing Committee or the 19th meeting of the Conference of the Parties, as appropriate.
18.51	**Cooperation with the Global Strategy for Plant Conservation**	*Directed to the Standing Committee*	The Standing Committee shall consider any report prepared in response to Decision 18.50, and in coordination with the Plants Committee, convey its recommendations to the 19th meeting of the Conference of the Parties.
18.52	**Cooperation with the World Heritage Convention**	*Directed to the Secretariat*	The Secretariat shall enter into dialogue with the UNESCO World Heritage Centre with a view to developing a Memorandum of Understanding and, if considered appropriate and subject to availability of external resources, a joint programme of work.

18.53	**Cooperation with the World Heritage Convention**	*Directed to the Secretariat*	The Secretariat shall submit a draft Memorandum of Understanding with the UNESCO World Heritage Centre to the Standing Committee for its review, recommendations, and approval.
18.54	**Cooperation with the World Heritage Convention**	*Directed to the Standing Committee*	The Standing Committee shall consider the draft Memorandum of Understanding transmitted by the CITES Secretariat on cooperation with the UNESCO World Heritage Centre and provide its recommendations or approval.
18.55	**Black Sea bottlenose dolphin (*Tursiops truncatus ponticus*)**	*Directed to the Secretariat*	The Secretariat shall continue its collaboration with the Agreement on the Conservation of Cetaceans of the Black Sea, Mediterranean Sea and contiguous Atlantic area (ACCOBAMS) for effective conservation of CITES-listed species of cetaceans in the Mediterranean Sea and the Black Sea, in the context of, and in accordance with,
			Resolution Conf. 13.3 on *Cooperation and Synergy with the Convention on the Conservation of Migratory Species of Wild Animals (CMS)*.
18.56	**Joint CITES-CMS African Carnivores Initiative**	*Directed to the Secretariat*	The Secretariat shall: a) include the African Carnivores Initiative in its proposals for the new CMS-CITES joint work programme for the period 2021-2025, to be developed in the context of the implementation of Resolution Conf. 13.3 on *Cooperation and synergy with the Convention on the Conservation of Migratory Species of Wild Animals (CMS)*; b) subject to the availability of external resources, and in collaboration with the CMS Secretariat and, as appropriate, the International Union for Conservation of Nature (IUCN): i) develop a dedicated Programme of Work for the Joint CITES-CMS African Carnivores Initiative (ACI), taking into consideration the outcomes of the 18th meeting of the Conference of the Parties to CITES, the 13th meeting of the Conference of the Parties to CMS, and the First Meeting of Range States for the Joint CITES-CMS African Carnivores Initiative; and submit the draft Programme of Work to the Standing Committee for its review and appropriate revision: and ii) support range States of African carnivores in implementing relevant CITES Resolutions and Decisions through the ACI; c) report, as appropriate, on the implementation of this Decision to the Animals Committee and to the Standing Committee; and d) report on the implementation of this Decision to the Conference of the Parties at its 19th meeting.

18.57	**Joint CITES-CMS African Carnivores Initiative**	*Directed to the Standing Committee*	The Standing Committee shall review the draft Programme of Work submitted by the Secretariat under Decision 18.56, paragraph b) i) and make appropriate recommendations or revisions and consider any reports of the Secretariat on its implementation of Decision 18.56, and formulate guidance and recommendations, as appropriate, to range States and the Secretariat.
18.58	**Joint CITES-CMS African Carnivores Initiative**	*Directed to the Animals Committee*	The Animals Committee shall consider any report of the Secretariat on its implementation of Decision 18.56, and formulate guidance and recommendations, as appropriate, to range States and the Secretariat.
18.59	**Joint CITES-CMS African Carnivores Initiative**	*Directed to range States of African carnivores*	Relevant range States of African carnivores are urged to work through the Joint CITES-CMS African Carnivores Initiative to implement CITES Resolutions and Decisions relating to the species covered by this Initiative.
18.60	**Joint CITES-CMS African Carnivores Initiative**	*Directed to Parties, intergovernmental organizations and non-governmental organizations*	Parties are invited to recognize the importance of the Joint CITES-CMS African Carnivores Initiative in implementing CITES Resolutions and Decisions relating to the species covered by the Initiative, and in seeking synergies as appropriate to implement complementary CMS resolutions and decisions.
18.61	**Joint CITES-CMS African Carnivores Initiative**	*Directed to Parties, intergovernmental organizations and non-governmental organizations*	Parties, intergovernmental and non-governmental organizations are encouraged to support relevant African range States, through the Joint CITES-CMS African Carnivores Initiative, in their implementation of CITES Resolutions and Decisions relating to the species covered by this Initiative.

GENERAL COMPLIANCE AND ENFORCEMENT

Number	**Title**	*Directed to*	Text
18.62	**National laws for the implementation of the Convention**	*Directed to Parties*	Parties with legislation in Category 2 or 3 under the National Legislation Project (NLP) are urged to submit to the Secretariat as soon as possible, and no later than by the 74th meeting of the Standing Committee, in one of the three working languages of the Convention details of appropriate measures that have been adopted for the effective implementation of the Convention. Such Parties are also urged to keep the Secretariat informed of legislative progress at any time and are called on to provide a written update of the legislative progress to the Secretariat, at the latest, 90 days before the 73rd meeting of the Standing Committee.
18.63	**National laws for the implementation of the Convention**	*Directed to Parties*	Parties with legislation in Category 1 under the National Legislation Project are encouraged to inform the Secretariat of any relevant legislative developments and to provide technical or financial assistance to Parties affected by Decision 18.62, either directly or through the Secretariat.
18.64	**National laws for the implementation of the Convention**	*Directed to the Standing Committee*	At its 73rd and 74th meetings, the Standing Committee shall review the progress of Parties in adopting appropriate measures for effective implementation of the Convention. With the assistance of the Secretariat, the Standing Committee may identify additional Parties that require its attention as a priority and shall pay particular attention to these Parties. The Standing Committee shall take appropriate compliance measures with regard to Parties affected by Decision 18.62 that have failed to adopt appropriate measures for the effective implementation of the Convention or to take significant and substantive steps to do so. For Parties that have acceded to the Convention since August 2011, the Standing Committee may decide to allow more time to adopt appropriate measures.

18.65	**National laws for the implementation of the Convention**	*Directed to the Standing Committee*	Such compliance measures may include a recommendation to suspend trade with Parties affected by Decision 18.62 that have failed to adopt appropriate measures for the effective implementation of the Convention, in particular Parties identified as requiring attention as a priority. Any recommendation to suspend trade with the Party concerned shall take effect 60 days after it is agreed, unless the Party adopts appropriate measures before the expiry of the 60 days or takes significant and substantive steps to do so.
18.66	**National laws for the implementation of the Convention**	*Directed to the Standing Committee*	The Standing Committee will provide support to the Secretariat as required in the implementation of Decision 18.67, paragraph c).

18.67	**National laws for the implementation of the Convention**	*Directed to the Secretariat*	The Secretariat shall: a) compile and analyse the information submitted by Parties on measures adopted before the 19th meeting of the Conference of the Parties (CoP19) to fulfil the requirements laid down in the text of the Convention and Resolution Conf. 8.4 (Rev. CoP15) on *National laws for implementation of the Convention*; b) assist the Standing Committee in reviewing progress of Parties in adopting appropriate measures for effective implementation of the Convention and in identifying additional Parties requiring attention as a priority; c) review and revise as necessary all guidance materials provided under the National Legislation Project available on the CITES website, including the CITES Model Law, to ensure that such guidance materials are consistent with the obligations under the Convention and its relevant Resolutions, focusing on the aims of paragraph 1 a) of Resolution Conf. 8.4 (Rev. CoP15), and submit a report on the revisions made to the 73rd meeting of the Standing Committee; d) subject to external funding, provide legal advice and assistance to Parties on the development of appropriate measures for effective implementation of the Convention, including legislative guidance for and training of CITES authorities, legislative drafters, policymakers, the judiciary, parliamentarians and other relevant government officials responsible for the formulation and adoption of CITES-related legislation; e) subject to external funding, cooperate, in the provision of legislative assistance, with the legal programmes of United Nations bodies and intergovernmental organizations, such as the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP), the United Nations Office on Drugs and Crime (UNODC), the United Nations Environment Programme (UNEP), the World Bank and regional development banks, as well as regional organizations, such as the African, Caribbean and Pacific Group of States (ACP), the Amazon Cooperation Treaty Organization (ACTO), the Association of South East Asian Nations (ASEAN), the League of Arab States (LAS), the Organization of American States (OAS) and the Pacific Regional Environment Programme (SPREP); e) report at the regular meetings of the Standing Committee on Parties' progress in adopting appropriate measures for effective implementation of the Convention and, if necessary, recommend the adoption of appropriate compliance measures, including, recommendations to suspend trade in specimens of CITES-listed species; and f) report at the 19th meeting of the Conference of the Parties on progress made with regard to the implementation of Resolution Conf. 8.4 (Rev. CoP15) and Decisions 18.62 to 18.67.

18.68	**Compliance Assistance Programme**	*Directed to Parties*	Parties are invited to: a) provide financial or technical support to Parties subject to compliance mechanisms and other related compliance measures as specified in Resolution Conf. 14.3 (Rev. CoP18) on *CITES compliance procedures* to further strengthen their institutional capacity, including the possibility of deploying short-term 'placements' or 'secondments' to the Parties concerned and peer capacity-building activities as part as the Compliance Assistance Programme (e.g. bilateral cooperation and mentoring by fellow authorities of another Party); and b) provide to the Secretariat any relevant information on bilateral or multilateral financial or technical assistance provided to Parties subjected to CITES compliance measures to ensure the effective implementation of the provisions of the Convention and the recommendations of the Standing Committee.

18.69	**Compliance Assistance Programme**	*Directed to the Secretariat*	The Secretariat shall establish, subject to the availability of external funding, a Compliance Assistance Programme (CAP) and: a) issue a Notification to the Parties requesting information on any compliance assistance currently provided by governmental, intergovernmental and non-governmental entities; b) upon request, conduct technical missions and facilitate the organization of in-country assistance coordination mechanisms to selected Parties eligible to benefit from the Compliance Assistance Programme; c) in consultation with the Masters Course in 'Management and Conservation of Species in Trade, the International framework' hosted by the International University of Andalucía and other relevant masters, explore the possibility and feasibility of training and deploying short term consultants or interns to assist Parties benefiting from the Compliance Assistance Programme; d) in consultation with the Secretariat of the Global Environment Facility (GEF) and development aid agencies of potential donor countries, explore the possibility and feasibility of strengthening the compliance-based component of the GEF Global Wildlife Program and other relevant programmes, by developing a subprogramme on CITES Compliance Assistance taking into account the recommendations of the Standing Committee and the needs of the Parties concerned; e) in collaboration with the Montreal protocol and other relevant multilateral environment agreements, conduct a rapid assessment of the lessons learnt from the implementation of a Compliance Assistance Programme under the Multilateral Fund for the implementation of the Montreal Protocol and any other similar initiatives that specifically provide compliance-related assistance; and f) report to the Standing Committee on the progress made in the implementation of Decisions 18.68 and 18.69 and on the feasibility of mainstreaming a compliance assistance component in the Global Wildlife Program of GEF and other relevant programmes.
18.70	**Compliance Assistance Programme**	*Directed to the Standing Committee*	The Standing Committee shall monitor progress in the implementation of the Compliance Assistance Programme (CAP); consider whether Resolution Conf. 14.3 (Rev. CoP18) on *CITES compliance procedures* should be amended to reflect the creation of a CAP and assess the report submitted by the Secretariat regarding the collaboration with the Masters

			Course in 'Management and Conservation of Species in Trade, the International framework' hosted by the International University of Andalucía and other relevant masters; the feasibility of mainstreaming a compliance assistance component in the Global Wildlife Program of GEF and other relevant programmes; and report its findings and recommendations to the 19th meeting of the Conference of the Parties.
18.71	**Country-wide Significant Trade Reviews**	*Directed to the Secretariat*	The Secretariat shall: a) consider the 'Outlook and recommendations' regarding country-wide significant trade reviews, as articulated in the Annex to document AC30 Doc. 12.3/PC24 Doc. 13.3, and the resources required to undertake such reviews, and provide advice as to whether the scientific and management issues identified in the country-wide Review of Significant Trade for Madagascar can be integrated into other existing CITES mechanisms or programme activities, including capacity-building activities the proposed Compliance Assistance Programme, or whether a new mechanism should be developed to provide targeted support to Parties at a national level; b) determine how Parties might qualify or apply for support under a 'country wide review' under existing mechanisms or any new mechanism; and c) prepare a report on its findings and recommendations, for consideration by the Animals and Plants Committees at their 32nd and 26th meetings respectively, and subsequently for the Standing Committee at its 74th meeting.
18.72	**Country-wide Significant Trade Reviews**	*Directed to the Animals and Plants Committees*	The Animals and Plants Committees shall review the report by the Secretariat and provide recommendations to the Standing Committee or the Conference of the Parties, as appropriate.
18.73	**Country-wide Significant Trade Reviews**	*Directed to the Standing Committee*	The Standing Committee shall review the report and the recommendations of the Animals and Plants Committees at its 74th meeting, and in consultation with the Secretariat, make recommendations for consideration at the 19th meeting of the Conference of the Parties, which may include proposals for amendments to Resolution Conf. 12.8 (Rev. CoP18) on *Review of Significant Trade in specimens of Appendix-II species* or other existing resolutions, or a new resolution.
17.108 (Rev. CoP18)	**Review of Significant Trade**	*Directed to the Secretariat*	The Secretariat, within six months of the 18th meeting of the Conference of the Parties and building on the work done to date, shall develop, test and establish a Review of Significant Trade Tracking and Management database as an essential tool for the effective implementation and transparency of the process.
17.109 (Rev. CoP18)	**Review of Significant Trade**	*Directed to the Secretariat*	The Secretariat, subject to the availability of funds, within six months of the 18th meeting of the Conference of the Parties, shall develop a user-friendly guide to the Review of Significant Trade that can also be included in the initial letter to range States.

17.110 (Rev. CoP18)	**Review of Significant Trade**	*Directed to the Secretariat*	The Secretariat, subject to the availability of funds, within nine months of the 18th meeting of the Conference of the Parties, shall develop a comprehensive training module on the Review of Significant Trade (including case studies as appropriate).
18.74	**Review of Resolution Conf. 11.3 (Rev. CoP18)**	*Directed to the Standing Committee*	The Standing Committee shall review Resolution Conf. 11.3 (Rev. CoP18) on *Compliance and enforcement*, with a view to, *inter alia*, reorganizing to improve usefulness and readability, updating and clarifying where needed, and identifying gaps. Based on its review, the Standing Committee shall make recommendations as appropriate to revise Resolution Conf. 11.3 (Rev. CoP18) and make recommendations to address gaps identified, for consideration at the 19th meeting of the Conference of the Parties.
18.75	**Annual illegal trade reports**	*Directed to the Secretariat*	The Secretariat shall, subject to the availability of external funds, contract the United Nations Office on Drugs and Crime (UNODC) to establish, host and maintain a database for the storage and management of illegal trade data collected through annual illegal trade reports, meeting the requirements Annex 1 to document CoP18 Doc. 36 on *Storage and management of illegal trade data collected through the Parties annual illegal trade reports*.
18.76	**Annual illegal trade reports**	*Directed to Parties*	Parties are urged, in compliance with Resolution Conf. 11.17 (Rev. CoP18) on *National reports*, to submit an annual illegal trade report by 31 October 2020 and 31 October 2021 covering actions in the preceding years and in accordance with the report format distributed by the Secretariat.
18.77	**Enforcement**	*Directed to Parties*	Parties are encouraged to actively pursue and promote the use of the *Integrity Guide for Wildlife Management Agencies* to strengthen responses to and overcome the risks and challenges posed by corruption.
18.78	**Enforcement**	*Directed to the Secretariat*	The Secretariat shall, subject to external funding, work with the United Nations Office on Drugs and Crime (UNODC) and other partner organizations within the International Consortium on Combating Wildlife Crime (ICCWC) to promote the use of the *Integrity Guide for Wildlife Management Agencies* and to, upon request, support Parties in implementing activities and measures to address the risks and challenges posed by corruption.

18.79	**Enforcement**	*Directed to the Secretariat*	The Secretariat shall, subject to external funding, convene a Task Force on illegal trade in specimens of CITES-listed tree species, consisting of representatives of Parties affected by illicit trafficking in such specimens, ICCWC partner organizations, other intergovernmental organizations such as the Food and Agriculture Organization of the United Nations (FAO), regional enforcement networks and other experts. The Task Force should work to develop strategies to combat illegal trade in specimens of CITES-listed tree species, including measures to promote and further strengthen regional and international cooperation. The Secretariat shall report to the Standing Committee on the implementation of this Decision and the work of the Task Force and take into consideration any recommendations made by the Standing Committee.

18.80	**Enforcement**	*Directed to the Standing Committee*	The Standing Committee shall review the Secretariat's report called for in Decision 18.79 and make recommendations as appropriate.
18.81	**Wildlife crime linked to the Internet**	*Directed to Parties*	Parties are encouraged to, as may be needed, draw upon the capacity established at the INTERPOL Global Complex for Innovation in Singapore, for advice and assistance in their efforts to combat wildlife crime linked to the Internet.
18.82	**Wildlife crime linked to the Internet**	*Directed to Parties*	Parties are encouraged to, as may be needed, make full use of the guidelines developed by INTERPOL, on how to combat wildlife crime linked to the Internet, in their investigation of cases of wildlife crime linked to the Internet.
18.83	**Wildlife crime linked to the Internet**	*Directed to Parties*	Parties should: a) inform the Secretariat in the event that any changes that pertain to wildlife crime linked to the Internet are made to their national legislation, as well as of any other relevant domestic measures; b) submit information to the Secretariat on websites adhering to codes of conduct to address and prevent illegal trade in wildlife; c) inform the Secretariat of any best practice models that pertain to regulation of online marketplaces and social media platforms; d) publish the results of scientific research on the correlations between use of the Internet and the rate of wildlife crime, and communicate these results to the Secretariat; and e) inform the Secretariat of any trends in wildlife crime linked to the Internet identified, including any changes in trade routes and methods of shipment that have been observed.
18.84	**Wildlife crime linked to the Internet**	*Directed to the Secretariat*	The Secretariat shall: a) continue the engagement with its partners in the International Consortium on Combating Wildlife Crime (ICCWC), regarding best practices and model domestic measures for addressing wildlife crime linked to the Internet; and b) share on the *Wildlife crime linked to the Internet* webpage on the CITES website, as appropriate, information received from Parties in accordance with Decision 18.83, ICCWC partner agencies in accordance with Decision 18.84, paragraph a), and other relevant organizations or experts, regarding measures and activities implemented to address wildlife crime linked to the Internet. c) amend all relevant Resolutions and Decisions to ensure consistent use of the term 'wildlife crime linked to the internet' with regard to reference to combating wildlife cybercrime and include as appropriate this terminology on the CITES glossary and the new webpage on *Wildlife crime linked to the internet* on the CITES website.

18.85	**Wildlife crime linked to the Internet**	*Directed to the Secretariat*	The Secretariat shall report on the implementation of Decisions 18.83 and 18.84 to the Standing Committee, and subsequently to the Conference of the Parties at its 19th meeting.
18.86	**Demand reduction to combat illegal trade**	*Directed to the Secretariat*	The Secretariat shall, subject to external funding: a) develop CITES guidance on demand-reduction strategies to combat illegal trade in CITES-listed species, taking into consideration the results of the study commissioned by the Secretariat in accordance with Decision 17.48, paragraph a), and any recommendations resulting from the workshop convened in accordance with Decision 17.48, paragraph b); b) convene a workshop for Parties and experts to review the guidance and to provide training to the Parties in designing and implementing demand-reduction campaigns to combat illegal trade in CITES-listed species; c) submit the draft CITES guidance on demand-reduction strategies to combat illegal trade in CITES-listed species to the Standing Committee for its consideration; and d) support interested Parties in implementing demand-reduction strategies to combat illegal trade in CITES-listed species and provide necessary technical cooperation to those Parties on an ongoing basis.
18.87	**Demand reduction to combat illegal trade**	*Directed to the Standing Committee*	The Standing Committee shall review the guidance developed in accordance with Decision 18.86 and make recommendations for consideration by the Conference of the Parties at its 19th meeting.
18.88	**Wildlife crime enforcement support in West and Central Africa**	*Directed to Parties of West and Central Africa*	Parties of West and Central Africa should: a) draw upon the information and recommendations provided in the West and Central Africa Threat Assessment Report available as Annex 4 to document CoP18 Doc. 34 and the recommendations in Annex 2 of document CoP18 Doc. 34, to strengthen CITES implementation and address wildlife crime; and b) identify priority actions that could benefit from support and present these to the International Consortium on Combatting Wildlife Crime (ICCWC), donors and the development community, in order to seek support to implement them.
18.89	**Wildlife crime enforcement support in West and Central Africa**	*Directed to Parties of West and Central Africa*	Parties in West and Central Africa identified as affected by illegal trade in wildlife within the region should engage in regional and bilateral activities to share information on their national legislative and regulatory measures to address such illegal trade, exchange experiences and best practices, and identify opportunities for regional and cross-border cooperation and joint actions, including where appropriate the formulation of national or regional action plans as anticipated by paragraph 14 a) ii) and 10 f) of Resolution Conf. 11.3 (Rev. CoP18) on *Compliance and enforcement*, taking into consideration the provisions of paragraph 15 q) of the same Resolution.

18.90	**Wildlife crime enforcement support in West and Central Africa**	*Directed to Parties importing CITES specimens from West and Central Africa*	Parties importing CITES specimens from West and Central Africa are encouraged to assist their counterparts in West and Central Africa, by implementing measures that will address wildlife crime and support legal trade that is limited to sustainable levels, in particular by: a) supporting efforts to determine and ensure sustainable levels of trade through scientific studies that can facilitate the making of robust non-detriment findings;
			b) closely scrutinizing consignments of CITES-listed species imported from West and Central Africa and accompanying CITES documents to ensure that illegal species are not laundered into legal trade; and c) as a priority, raise any concerns about imports with the exporting State, or with the Animals Committee, Plants Committee, Standing Committee, or the Secretariat.
18.91	**Wildlife crime enforcement support in West and Central Africa**	*Directed to Parties, intergovernmental and non-governmental organizations*	Parties, intergovernmental and non-governmental organizations are encouraged to provide financial and technical assistance to Parties in West and Central Africa and mobilize resources to address the matters identified in the West and Central Africa Threat Assessment Report available as Annex 4 to document CoP18 Doc. 34; the recommendations in Annex 2 to document CoP18 Doc. 34, the guidelines in information documents SC70 Inf. 2 and SC70 Inf. 3; and any further recommendations made by the Standing Committee.
18.92	**Wildlife crime enforcement support in West and Central Africa**	*Directed to the Standing Committee*	The Standing Committee shall: a) consider the report from the Secretariat in accordance with Decision 18.93, paragraph d) and progress made by Parties in West and Central Africa in strengthening CITES implementation and make further recommendations as appropriate; and b) consider any report from the Plants Committee, in response to the recommendation agreed at its 70th meeting, concerning the inclusion of *Pterocarpus erinaceus* from all range States in the Review of Significant Trade and make recommendations as required.

18.93	**Wildlife crime enforcement support in West and Central Africa**	*Directed to the Secretariat*	The Secretariat shall: a) draw to the attention of relevant United Nations agencies, the African Union, the Commission of Central African Forests, the Global Environmental Facility, and development agencies, the West and Central Africa Threat Assessment Report available as Annex 4 to document CoP18 Doc. 34 and the recommendations in Annex 2 to document CoP18 Doc. 34, and the guidelines in information documents SC70 Inf. 2 and SC70 Inf. 3; and encourage these to be taken into consideration in the development of work programmes or activities initiated by these entities in the two subregions; b) subject to external funding, work with its partners in the International Consortium on Combatting Wildlife Crime (ICCWC) to support Parties in West and Central Africa in addressing illegal trade in wildlife, including addressing the matters identified in the West and Central Africa Threat Assessment Report available as Annex 4 to document CoP18 Doc. 34; the recommendations in Annex 2 to document CoP18 Doc. 34, the guidelines in information documents SC70 Inf. 2 and SC70 Inf. 3; and any further recommendations made by the Standing Committee; c) subject to the availability of external funds and upon request from Parties, undertake general and targeted capacity-building activities to strengthen the effective
			implementation of CITES in the two subregions, taking into consideration the contents of information documents SC70 Inf. 2 and SC70 Inf. 3; d) report, as appropriate, to the Standing Committee on the results of the activities conducted in accordance with Decision 18.93 paragraphs a) to c); and e) the Secretariat shall give priority to the guidelines agreed by West African parties as contained in information documents SC70 Inf. 2 and SC70 Inf. 3 in the course of the implementation of its capacity-building work.
18.94	**Malagasy palisanders and rosewoods (*Dalbergia* spp.) and ebonies (*Diospyros* spp.)**	*Directed to source, transit and destination Parties for Malagasy* Dalbergia *spp. and* Diospyros *spp.*	Source, transit and destination Parties for specimens of species of the genera *Dalbergia* and *Diospyros* occurring in Madagascar are urged to: a) enforce all the measures that are recommended by the CITES Standing Committee concerning commercial trade in specimens of these species from Madagascar, including suspensions of such trade; b) effectively manage timber stockpiles of *Dalbergia* spp. and *Diospyros* spp. from Madagascar; and c) provide written reports describing progress made with implementation of paragraphs a) and b) of this Decision to the 73rd and 74th meetings of the Standing Committee.

18.95	**Malagasy palisanders and rosewoods (*Dalbergia* spp.) and ebonies (*Diospyros* spp.)**	*Directed to Parties and other relevant partners*	Parties and relevant partners, such as the International Tropical Timber Organization (ITTO), the Food and Agriculture Organization of the United Nations (FAO), the International Consortium on Combating Wildlife Crime (ICCWC) and other intergovernmental and non-governmental organizations, are invited to: a) enforce all measures that are recommended by the CITES Standing Committee concerning commercial trade in specimens of Malagasy *Dalbergia* spp. and *Diospyros* spp. from Madagascar; b) collaborate with Madagascar in the implementation of the agreed parts of the use plan to manage stockpiles of timber of these species from Madagascar; and c) provide technical and financial assistance to support the implementation of Decision 18.96.
18.96	**Malagasy palisanders and rosewoods (*Dalbergia* spp.) and ebonies (*Diospyros* spp.)**	*Directed to Madagascar*	Madagascar shall: a) continue to identify the main commercially valuable species in the genera *Dalbergia* and *Diospyros* from Madagascar, in cooperation with the Secretariat and relevant partners, such as the International Tropical Timber Organization (ITTO), the Food and Agriculture Organization of the United Nations (FAO) and other intergovernmental and non-governmental organizations; b) continue to make progress in the development of non-detriment findings for commercially valuable species in the genera *Dalbergia* and *Diospyros*, including implementation of appropriate monitoring mechanisms; c) for those species identified under paragraph a) establish, in collaboration with the CITES Secretariat, a precautionary export quota based upon a scientifically robust non-detriment finding;

			d) continue the production of identification materials for timber and timber products from species of the genera *Dalbergia* and *Diospyros* from Madagascar; e) for those species identified under paragraph a), strengthen control and enforcement measures against illegal logging and export at the national level, including seizures, investigations, arrests, prosecutions, and sanctions, regardless of the title and level of responsibility of the offenders; f) subject to available funding, secure the stockpiles (including undeclared and hidden stocks) of timber of *Dalbergia* and *Diospyros* in Madagascar, and submit regular updates on audited inventories thereof, and a use plan based on transparency and independent oversight mechanisms, for consideration, approval and further guidance from the Standing Committee; g) share with the Secretariat a proposed budget, to seek assistance from Parties and technical and financial partners for the implementation of this Decision; and h) provide reports on progress with the implementation of Decision 18.96 to the 25th and 26th meetings of the Plants Committee and the 73rd and 74th meetings of the Standing Committee;
18.97	**Malagasy palisanders and rosewoods (*Dalbergia* spp.) and ebonies (*Diospyros* spp.)**	*Directed to the Plants Committee*	The Plants Committee shall, at its 25th and 26th meetings: a) review reports from Madagascar and the Secretariat as appropriate on the implementation of Decision 18.96, and provide recommendations to the Standing Committee and the Secretariat; and b) provide assistance to Madagascar with the implementation of Decision 18.96.
18.98	**Malagasy palisanders and rosewoods (*Dalbergia* spp.) and ebonies (*Diospyros* spp.)**	*Directed to the Standing Committee*	The Standing Committee shall, at its 73rd and 74th meetings: a) review reports from Madagascar and the Secretariat on the implementation of Decisions 18.96 and 18.97, and make recommendations to Madagascar, relevant Parties and the Secretariat as appropriate, and take measures in accordance with Resolution Conf. 14.3 (Rev. CoP18) on *CITES compliance procedures* if Madagascar fails to satisfactorily implement the actions directed to it in Decision 18.96. b) consider establishing a small intersessional advisory group of Parties to assist and advise Madagascar on the implementation of all measures regarding *Dalbergia* spp and *Diospyros* spp.

18.99	**Malagasy palisanders and rosewoods (*Dalbergia* spp.) and ebonies (*Diospyros* spp.)**	*Directed to the Secretariat*	The Secretariat shall: a) assist in the implementation of Decisions 18.94 to 18.97; b) subject to external funding, assist with relevant capacity-building activities in Madagascar and transit and destination countries concerned by the trade in specimens of *Dalbergia* spp. and *Diospyros* spp. from Madagascar; c) issue a Notification calling on potential destination countries, of shipments of illegal specimens of *Dalbergia* spp. and *Diospyros* spp. from Madagascar to take appropriate measures to ensure that such timber is not illegally transported or traded, including
			prohibiting entry, seizing such specimens upon arrival and apply appropriate sanctions against traffickers in accordance with the provisions of the Convention; and d) provide reports on progress with the implementation of this Decision to the Plants Committee and the Standing Committee, as appropriate.
17.226	**Illegal trade in Asian big cats (Felidae spp.)**	*Directed to Parties with Asian big cat captive facilities*	All Parties in whose territory there are facilities keeping Asian big cats in captivity are requested to: a) review national management practices and controls that are in place for such facilities, to ensure that these management practices and controls are adequate to prevent Asian big cat specimens from entering illegal trade from or through such facilities; b) ensure strict application of all management practices and controls implemented to regulate the activities of facilities that keep Asian big cats in captivity, including with regard to the disposal of specimens from Asian big cats that die in captivity; and c) report to the Secretariat on progress with regard to the implementation of this Decision.
18.100	**Illegal trade in Asian big cats (Felidae spp.)**	*Directed to Parties*	Parties affected by illegal trade in Asian big cat specimens, in particular Parties identified in document CoP18 Doc. 71.1, are encouraged to take into consideration the information in Annex 4 to document CoP18 Doc. 71.1, and pursue enforcement efforts to address this illegal trade, including through the initiation of joint investigations and operations aimed at halting the members of organized crime networks across the entire illegal trade chain.
18.101	**Illegal trade in Asian big cats (Felidae spp.)**	*Directed to Parties*	Parties, in whose territory tourist markets exist that are contributing to illegal cross border trade involving Asian big cat specimens, are encouraged to strengthen law enforcement cooperation with their neighbouring Parties to target such illegal trade.
18.102	**Illegal trade in Asian big cats (Felidae spp.)**	*Directed to Parties*	Parties in whose territories there are facilities keeping Asian big cats in captivity referred to in Decision 18.108, paragraph a) are invited to welcome a mission from the Secretariat, to visit these facilities.

18.103	**Illegal trade in Asian big cats (Felidae spp.)**	*Directed to Parties*	All Parties that have made seizures of tiger skins since the 17th meeting of the Conference of the Parties are encouraged to share images in accordance with Resolution Conf 12.5 (Rev. CoP18) on *Conservation of and trade in tigers and other Appendix-I Asian big cat species*, paragraph 1 l) by 31 December 2019 and all Parties are encouraged to share images of any skins seized hereafter within 90 days of such seizure.
18.104	**Illegal trade in Asian big cats (Felidae spp.)**	*Directed to Parties*	Parties are encouraged, in accordance with their national regulations, to share samples of tiger specimens from living animals, seized animals or products that could contain tiger DNA with the Czech Republic national focal point for use in the genetic research project TigrisID which is focusing on the development of novel techniques to facilitate tackling illegal trade in tiger specimens.
18.105	**Illegal trade in Asian big cats (Felidae spp.)**	*Directed to Parties*	Parties, in particular those mentioned in section 3.1.5 of Annex 4 to document CoP18 Doc. 71.1, are encouraged to take serious consideration of the concerns regarding illegal
			trade in leopard parts and derivatives as outlined in Annex 4 to document CoP18 Doc. 71.1 and take measures to address these.
18.106	**Illegal trade in Asian big cats (Felidae spp.)**	*Directed to Parties*	Consumer States of specimens from tiger and other Asian big cat species, are urged to take action to end demand for illegal tiger and other big cat parts and derivatives by working with relevant specialists such as consumer behaviour change, social marketing and communication experts to conduct targeted behaviour change initiatives ensuring initiatives are underpinned by sound evidence, are properly baselined, and have strong monitoring and evaluation built in, including appropriate metrics to assess efficacy; and adopting and implementing appropriate legislative and regulatory measures, to deter consumers from purchasing any illegal big cat products.
18.107	**Illegal trade in Asian big cats (Felidae spp.)**	*Directed to Parties*	Parties are invited to report to the Secretariat on implementation of Decisions 18.100 to 18.106 in time for the Secretariat to report to the Standing Committee and the Conference of the Parties as per requirements in paragraph 2 a) of Resolution Conf. 12.5 (Rev. CoP18).
18.108	**Illegal trade in Asian big cats (Felidae spp.)**	*Directed to the Secretariat*	The Secretariat shall: a) subject to external funding, undertake a mission to those Parties identified in document SC70 Doc. 51 and in whose territories there are facilities which may be of concern keeping Asian big cats in captivity, with the purpose of gaining a better understanding of the operations and activities undertaken by these facilities; and b) report to the Standing Committee at its 73rd and 74th meetings on implementation of Decisions 18.107 to 18.108, paragraph a), and progress with regard to the missions concerned and formulate recommendations for consideration by the Standing Committee.

18.109	**Illegal trade in Asian big cats (Felidae spp.)**	*Directed to the Standing Committee*	The Standing Committee at its 73rd and 74th meetings shall review the report and recommendations of the Secretariat concerning the implementation of Decisions 18.100 to 18.108 and determine whether any further time-bound, country specific measures are needed to strengthen the implementation of the Convention, of Decision 14.69 and of paragraph 1 h) of Resolution Conf. 12.5 (Rev. CoP18).
18.110	**Rhinoceroses (Rhinocerotidae spp.)**	*Directed to Parties*	Parties should ensure the timely reporting of seizures and submission of DNA samples to range States, and continuously review trends associated with the illegal killing of rhinoceroses and illegal trade in rhinoceros specimens, and the measures and activities they are implementing to address these crimes, to ensure that these measures and activities remain effective and are quickly adapted to respond to any newly identified trends, and report to the Secretariat in time for consideration by the Standing Committee on any activities conducted in this regard.
18.111	**Rhinoceroses (Rhinocerotidae spp.)**	*Directed to China, Mozambique, Myanmar,*	China, Mozambique, Myanmar, Namibia, South Africa and Viet Nam are encouraged to make every effort to further strengthen their implementation of paragraphs 1 e) and 2 d) of
		Namibia, South Africa and Viet Nam	Resolution Conf. 9.14 (Rev. CoP17) on *Conservation of and trade in African and Asian rhinoceroses*, including by pursuing the initiation of joint investigations and operations aimed at addressing members of organized crime networks across the entire illegal trade chain, and to report to the Secretariat on any activities conducted in this regard, in time for consideration by the Standing Committee.
18.112	**Rhinoceroses (Rhinocerotidae spp.)**	*Directed to Zimbabwe*	Zimbabwe is encouraged to pursue the expeditious finalization of outstanding cases in court related to rhinoceros poaching and rhinoceros horn smuggling, to consider measures that could be implemented to facilitate the swift processing of such cases in future, and to report to the Secretariat on any activities conducted in this regard, in time for consideration by the Standing Committee.
18.113	**Rhinoceroses (Rhinocerotidae spp.)**	*Directed to the Standing Committee*	At its 74th meeting, the Standing Committee shall review the recommendations of the Secretariat reported under Decision 18.115, and any issues of concern brought to its attention under Decision 18.114 and make any additional recommendations for further action and request additional reporting, as appropriate, and prepare proposals for consideration of the 19th meeting of the Conference of the Parties.
18.114	**Rhinoceroses (Rhinocerotidae spp.)**	*Directed to the Secretariat*	The Secretariat shall review the reports received under Decisions 18.110, 18.111 and 18.112, and bring any issues of concern that may arise to the attention of the Standing Committee at its 74th meeting (SC74).

18.115	**Rhinoceroses (Rhinocerotidae spp.)**	*Directed to the Secretariat*	The Secretariat shall, in consultation with interested Parties and the African and Asian Rhino Specialist Groups of the Species Survival Commission of the International for Conservation of Nature (IUCN/SSC) and TRAFFIC, explore options to reflect on challenges and best practices to assist in addressing rhinoceros poaching and rhinoceros horn trafficking in the report prepared for the Conference of the Parties in accordance with paragraph 7 of Resolution Conf. 9.14 (Rev. CoP17) and prepare recommendations for consideration by the Standing Committee, at SC74.
18.116	**Rhinoceroses (Rhinocerotidae spp.)**	*Directed to Parties where illegal markets for rhino horn exist*	Parties in which illegal markets for rhinoceros horn exist are encouraged to develop demand reduction programmes targeted at key identified audiences, taking into consideration the provisions in Resolution. Conf. 17.4 on *Demand reduction strategies to combat illegal trade in CITES-listed species* and taking advantage of the experience and expertise developed in other jurisdictions and by other organizations. Parties are urged to close those markets that contribute to poaching or illegal trade.
17.87 (Rev. CoP18)	**Domestic markets for frequently illegally traded specimens**	*Directed to the Secretariat*	The Secretariat, subject to external funding and in consultation with relevant Parties, is requested to: a) undertake a study of the domestic controls in consumer markets for specimens of CITES-listed species for which international trade is predominantly illegal, other than elephant ivory; and
			b) report the findings and recommendations of this study, as well its own recommendations, to the Standing Committee.
17.88 (Rev. CoP18)	**Domestic markets for frequently illegally traded specimens**	*Directed to the Standing Committee*	The Standing Committee at its 73rd meeting shall review the findings and recommendations of the report referred to in Decision 17.87 (Rev. CoP18) and any recommendations of the Secretariat and make recommendations for consideration at the 19th meeting of the Conference of the Parties, including appropriate revisions to existing resolutions, to strengthen domestic controls addressing illegal trade in specimens of CITES-listed species for which international trade is predominantly illegal.
18.117	**Closure of domestic ivory markets**	*Directed to Parties*	Parties that have not closed their domestic markets for commercial trade in raw and worked ivory are requested to report to the Secretariat for consideration by the Standing Committee at its 73rd and 74th meetings on what measures they are taking to ensure that their domestic ivory markets are not contributing to poaching or illegal trade.
18.118	**Closure of domestic ivory markets**	*Directed to the Secretariat*	The Secretariat shall compile the reports and make them available to Parties in advance of the Standing Committee meetings.

18.119	**Closure of domestic ivory markets**	*Directed to the Standing Committee*	The Standing Committee shall: a) consider the reports under Decision 18.118; and b) report on this matter and make recommendations, as appropriate and consistent with the scope and mandate of the Convention, to the 19th meeting of Conference of the Parties.
18.120	**Trade in mammoth ivory**	*Directed to the Secretariat*	Subject to external funding, the Secretariat shall commission a study on the trade in mammoth ivory, and its impact and contribution to the illegal trade in elephant ivory and the poaching of elephants and report its findings to the Standing Committee at its 74th meeting.
18.121	**Trade in mammoth ivory**	*Directed to the Standing Committee*	At its 74th meeting, the Standing Committee shall consider the report and findings provided by the Secretariat in accordance with Decision 18.120 and make recommendations to the 19th meeting of the Conference of the Parties.

Number	**Title**	*Directed to*	Text
18.122	**Guidance for making legal acquisition findings**	*Directed to Parties*	Parties are invited to: a) provide to the Secretariat any relevant information, experiences, or examples regarding the use of guidance in Annex 1 to Resolution Conf. 18.7 on *Legal acquisition findings* for verifying legal acquisition of CITES specimens to be exported and any relevant information regarding the applicability of the guidance in Annex 1 to the additional circumstances in Annex 2 to Resolution Conf. 18.7; and b) offer, on request, assistance to developing countries, for the improvement of their capacity to verify legal acquisition, based on nationally identified needs.
18.123	**Guidance for making legal acquisition findings**	*Directed to the Secretariat*	The Secretariat shall: a) issue a notification to the Parties requesting input pursuant to paragraph b) of Decision 18.122; b) report to the Standing Committee on the progress made in the implementation of Resolution Conf. 18.7 on the basis of information, experiences and examples submitted by the Parties; c) subject to external funding, maintain a dedicated webpage regarding the verification of legal acquisition on the CITES website and update it regularly; and d) subject to external funding, organize workshops and other capacity-building activities related to the implementation of Resolution Conf. 18.7 and disseminate training material for the verification of the legal acquisition of CITES specimens.
18.124	**Guidance for making legal acquisition findings**	*Directed to the Standing Committee*	The Standing Committee shall monitor progress in the implementation of Resolution Conf. 18.7, and, assess the report submitted by the Secretariat regarding the implementation of the Resolution by the Parties and where appropriate, make recommendations for improving the verification of legal acquisition by the Parties for submission to the 19th meeting of the Conference of the Parties.

18.125	**Electronic systems and information technologies**	*Directed to Parties*	Parties are invited to: a) consider the *eCITES Implementation Framework* in regard to its potential usefulness in planning and implementing electronic CITES systems and report back on which information is useful to their own particular efforts and what additional support is needed to address other issues affecting implementation such as governance structure, technical capacity, and law enforcement restrictions; b) call upon donor agencies to take note of the interest of those Management Authorities from developing countries to adopt automated, electronic permit solutions and to provide funding for the implementation of these solutions; c) consider the implementation of electronic CITES systems in a manner designed to increase transparency and efficiency of the permit issuance and control process, to

			prevent use of fraudulent permits, and to provide quality data for improved sustainability assessment; d) take note of the UNCTAD aCITES system (Electronic CITES Certification System) as a low cost, off-the-shelf solution that is now available to Parties for implementation; e) if using electronic CITES systems: i) consider UN/CEFACT Recommendation 14 on *Authentication of trade documents* as good practice when implementing the electronic equivalent of signatures and seals for electronic CITES permitting systems and exchanges; ii) authenticate each user who has access to the electronic system using username and passwords, and/or similar technologies, or both; iii) ensure that electronic CITES systems keep an audit trail, i.e. keep electronic records (including, but not limited to, confirmation of transmission and receipt with associated time stamps and message headers) that enable the Management Authority to identify each person who requested, approved, processed, issued, endorsed, or altered electronic CITES permits and certificates; iv) keep archives of audit trails for no fewer than five years after the expiry date of the permit or certificate, or no fewer than five years after the date that the trade was reported in the Party's annual report, whichever is later; v) provide the CITES Secretariat with copies of all valid electronic signatures it uses for issuance of permits and certificates in accordance with Article IX (4) of the Convention and paragraph 3 q) of Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*; vi) notify the Secretariat immediately when authenticated users are removed or no longer authenticated; and vii) recognize that in electronic CITES systems that meet the above requirements i) – iv), the electronic equivalent of a physical signature and seal may be provided through the authenticated identification of any of the following individuals: the permit applicant; the official who issued or authorized the permit or certificate; the official who altered the permit or certificate; the issuing authority; and the inspecting official who endorsed the permit or certificate; f) establish a systematic dialogue and ongoing collaboration between their Management Authorities and their national customs and border control agencies to implement an efficient, risk-based control system for international trade in CITES-listed species where possible and appropriate; and g) provide information to the Secretariat on the state of automation of CITES permit processes and the implementation of control systems for international trade in CITES-listed species and share their lessons learned.

18.126	**Electronic systems and information technologies**	*Directed to the Standing Committee and to the Secretariat*	The Standing Committee and the Secretariat shall undertake the following tasks: a) work with the United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT), the United Nations Conference on Trade and Development

			(UNCTAD), the International Trade Centre (ITC), the World Bank, the World Customs Organization (WCO), the World Trade Organization (WTO) and other relevant partners, to continue the development of joint projects that would facilitate Parties' access to electronic permitting services and their alignment to international trade standards and norms, such as the further development and implementation of the UNCTAD aCITES system; b) work with all relevant partners on the development of standards and solutions for Electronic Permit Information eXchange (EPIX) for the exchange of CITES permits and certificates and to improve the validation of CITES permit data by CITES Management Authorities and customs officials; c) work with the Secretariat of the International Plant Protection Convention (IPPC), National Plant Protection Organizations (NPPOs) and other relevant organizations to exchange information and experience on the efforts towards a harmonization of standards and procedures for licenses, permits and certificates frequently used in conjunction of cross-border trade in CITES-listed specimens; d) monitor and advise on Parties' work related to the development of traceability systems for specimens of CITES-listed species to facilitate their harmonization with CITES permits and certificates; e) support the development of the capacity of Management Authorities, especially those with the greatest needs, to electronically collect, secure, maintain, and transmit data using systems compatible with those of the Secretariat and other Management Authorities; and f) make recommendations, as necessary, for the revision of Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*, Resolution Conf. 11.17 (Rev. CoP18) on *National reports* and the *Guidelines for the preparation and submission of CITES annual reports* distributed by the Secretariat.

18.127	**Electronic systems and information technologies**	*Directed to the Secretariat*	The Secretariat shall, subject to the availability of external funding: a) organize in collaboration with the World Customs Organization and other relevant partners an international workshop on modern customs procedures for improved control of trade in CITES-listed species to simplify compliant trade and combat against illegal trade in wildlife and prepare recommendations to the Standing Committee; b) work with national and international organizations, such as the World Customs Organization (WCO), the United Nations Conference on Trade and Development (UNCTAD), the UN Regional Commissions, the United Nations Office on Drugs and Crime (UNODC), the World Trade Organization (WTO) and the World Bank to support Parties in the implementation of efficient and risk-based procedures for control in CITES-listed species in relation to the automation of CITES permitting processes using information technologies and modern trade control procedures; c) provide capacity-building and advisory services to support Parties interested in implementing electronic solutions for the management and control of CITES permits
			and certificates and support Parties in establishing electronic permit systems and information exchanges; d) work with relevant partners to explore emerging technologies including Blockchain related technologies for secure and efficient issuance, exchange and control of CITES permits and certificates; and e) submit reports on activities undertaken under Decisions 18.125, 18.126 and 18.127 and make recommendations to the Standing Committee as appropriate.
18.128	**Electronic systems and information technologies**	*Directed to the Standing Committee*	The Standing Committee shall review the reports and recommendations of the Secretariat under Decision 18.127, paragraph e), and make recommendations on electronic systems and information technologies as required to the 19th meeting of the Conference of the Parties.
18.129	**Authentication and control of permits**	*Directed to Parties*	Parties are encouraged to provide the Secretariat with information on their approaches and experiences in the authentication and control of CITES permits.
18.130	**Authentication and control of permits**	*Directed to the Secretariat*	Subject to external funding, the Secretariat shall: a) prepare, in consultation with interested Parties, an in-depth study on the current practices in CITES permit authentication and control, using a selection of Parties as case studies to demonstrate the state-of-play on how current trading practices and the use of technologies affect their CITES trade regulation process; and b) identify possible gaps in relevant Resolutions that could be addressed to provide guidance to Parties, particularly from the point of view of adapting CITES permitting process to match the current range of trading practice.

18.131	**Authentication and control of permits**	*Directed to the Standing Committee*	The Standing Committee shall consider the report on authentication and control of CITES permits prepared by the Secretariat and make recommendations to the Conference of the Parties, as deemed necessary.
14.54 (Rev. CoP18)	**Purpose codes on CITES permits and certificates**	*Directed to the Standing Committee*	The Standing Committee shall re-establish an intersessional joint working group to review the use of purpose-of-transaction codes by Parties, with the following terms of reference: a) the working group shall be composed of Parties from as many of the six CITES regions as possible, and appropriate intergovernmental and non-governmental organizations, with expertise in the issuance of CITES documents and use of purpose-of-transaction codes for evaluation within the permit issuance process and trade data analysis; b) the working group shall, communicating through electronic media, focus on clearly defining purpose-of transaction codes to encourage their consistent use, and consider the possible elimination of current codes or the inclusion of new ones; c) the working group shall also clarify the overlap between purpose-of-transaction codes that describe physical locations and purpose-of-transaction codes that describe activities, one or more of which may pertain to any given permit; d) the working group shall also consider any Resolution related to or affected by purpose-of-transaction codes, to ensure coherent interpretation; and
			e) the working group shall submit a report and any recommendations for amendments to Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*, or to any revision thereof, and recommendations for amendments to any other Resolution identified under paragraph d) above to the 74th meeting of the Standing Committee, which shall report, with its recommendations, at the 19th meeting of the Conference of the Parties.

18.132	**Non-detriment findings**	*Directed to the Secretariat*	The Secretariat shall: a) inventory and review the materials and guidance for the making of non-detriment findings (NDFs) that are available to the Parties, and identify any apparent gaps or needs (e.g. regarding taxonomic or geographical coverage, form or format, comprehensiveness, accessibility, languages, updates, practicality, etc.), including guidance for making NDFs for trade in specimens from different sources (W, R and F), and NDFs for taxa prioritized/called for in Decisions or Resolutions; b) identify, in consultation with the Animals and Plants Committees and Parties, and based on the analysis, priorities for additional or improved NDF guidance materials, and for addressing apparent gaps or needs; c) subject to external funding, address the agreed priorities in capacity-building by: i) undertaking targeted research in support of the development of new or updated NDF guidance materials in collaboration with relevant experts, Parties and organizations; and ii) organising one or more interdisciplinary expert workshops on NDFs, including the 2nd international expert workshop on non-detriment findings, with assistance of the Animals and Plants Committees, where draft guidance materials on NDFs are to be reviewed, advanced or completed; d) present the results of the work to the Animals and Plants Committees for their review, and make suggestions on how best to use the outputs to assist Scientific Authorities in the making of NDFs; and e) make available to Parties on the CITES website the NDF guidance materials resulting from the implementation of the present Decision.
18.133	**Non-detriment findings**	*Directed to the Animals and Plants Committees*	The Animals and Plants Committees shall: a) review the Secretariat's gap analysis of NDF materials and guidance, and assist in identifying priorities for additional or improved NDF guidance materials, and for addressing apparent gaps or needs; b) participate as appropriate in the interdisciplinary expert workshops on NDFs where draft guidance materials are to be reviewed, advanced or completed; c) assist the Secretariat in preparing the 2nd international expert workshop on non-detriment findings as a follow up from Cancun 2008, based on the progress made since then; d) review and make recommendations concerning the outcomes of the interdisciplinary expert workshops on NDFs; the final draft guidance materials on NDFs; the use of

			these outputs in support of the making of NDFs by Scientific Authorities; and their publication on the CITES website; and e) report on these activities at the 19th meeting of the Conference of the Parties.
18.134	**Non-detriment findings**	*Directed to Parties*	Parties are encouraged to: a) provide financial support for the implementation of Decision 18.132, including the 2nd international expert workshop on non-detriment findings; b) provide any help and information regarding methodologies, tools, scientific information, expertise and any other resources used to formulate NDFs in order to contribute to such a workshop, the results of which should be submitted to the Conference of the Parties for consideration at its 19th meeting; and c) make use of the guidance materials on NDFs resulting from the implementation of Decisions 18.132 and 18.133, and report experiences and findings to the Animals and Plants Committees.
18.135	**Identification materials**	*Directed to the Secretariat*	The Secretariat shall: a) continue collecting information on identification materials and share it through the CITES Website and the CITES Virtual College; and b) subject to the availability of external funding, and with input from the joint working group called for under Decision 18.137, revise and redesign the CITES Virtual College in order to make the identification materials available in a more user-friendly manner.
18.136	**Identification materials**	*Directed to the Secretariat*	The Secretariat shall undertake a review of Resolution Conf. 11.19 (Rev. CoP16) on *Identification Manual*. It shall: a) collect and compile information on the current state of species identification activities and needs, and assess their relevance for the review of Resolution Conf. 11.19 (Rev. CoP16); b) consider whether Resolution Conf. 11.19 (Rev. CoP16) would best be revised or replaced with a new resolution on *Identification of specimens of CITES-listed species*, and prepare a draft text of the revised or new resolution; c) propose a revised resolution in consultation with the Animals and Plants Committees and the Standing Committee; and d) report on the progress and make recommendations at the meetings of the Animals and Plants Committees, and the meeting of the Standing Committee, as appropriate.

18.137	**Identification materials**	*Directed to the Animals and Plants Committees*	The Animals and Plants Committees shall establish a joint working group on identification materials that are used by Parties to identify CITES-listed species and provide inputs to the Secretariat based on the outcomes of the following working group tasks, in consultation with the Secretariat: a) review selected identification materials, including material compiled as per Decision 18.136 paragraph a), and assess the need for their revision and improvement, taking into account the materials that are being developed or have already been developed by Parties and materials requested in Decisions or Resolutions;
			b) review Resolution Conf. 11.19 (Rev. CoP16) on *Identification Manual,* taking into account the review outlined in Decision 18.137 paragraphs a) and c), to promote accuracy and availability of identification materials; c) consider ways to improve the accuracy and availability of identification materials on CITES-listed species; and d) report on progress with these activities at the next meetings of the Animals and Plants Committees.
18.138	**Identification materials**	*Directed to the Standing Committee*	The Standing Committee shall: a) provide inputs on the draft resolution text prepared by the Secretariat and revised by the Animals and Plants Committees, to ensure that the needs for identification materials expressed by Parties and authorities responsible for wildlife law enforcement are taken into account; and b) submit the revised draft resolution to the Conference of the Parties at its 19th meeting.
18.139	**Identification materials**	*Directed to Parties*	Parties are encouraged to support the efforts of the working group on identification materials by providing to the Secretariat information on available identification and guidance materials that are used by Parties, and particularly by enforcement and inspection officers, to facilitate implementation of the Convention.

18.140	**Identification of timber and other wood products**	*Directed to the Plants Committee*	The Plants Committee shall, in collaboration with relevant stakeholders and building on information on existing initiatives: a) determine gaps and complementarities in various tools and knowledge sources for timber identification, such as existing field identification guidelines and keys, and on their availability and usefulness; b) develop standardized information templates and other tools that could be used by Parties to facilitate sharing information on the content and status of wood sample collections, and exchange with research institutions, law enforcement agencies, and other authorities; c) assist Parties to identify existing laboratory services for the identification of timber and wood products and to strengthen screening and forensic capacity to identify CITES-listed tree species in trade; d) determine methods to stimulate global, regional and national exchange of best practices in wood identification technologies between Parties; and e) update the Standing Committee, as appropriate, on progress made on the implementation of Decisions 18.140 to 18.142; and report its findings and recommendations for consideration by the Conference of the Parties at its 19th meeting.
18.141	**Identification of timber and other wood products**	*Directed to Parties*	Parties are encouraged to collaborate with the Plants Committee, with relevant stakeholders and with existing initiatives in the implementation of Decision 18.140, by:

			a) working with institutions having wood identification expertise, in order to share information related to timber identification methods, tools and protocols for enforcement and customs officers; b) identifying existing laboratory services for the identification of timber and wood products, and strengthening screening and forensic capacity to identify CITES-listed tree species in trade; c) identifying effective wood identification training methods, tools and protocols for enforcement and customs officers; d) prioritizing the species of rosewoods and palisanders that would most benefit from the development of timber identification tools, protocols and materials; and e) reporting information on existing laboratories, effective wood identification training methods, tools and protocols for enforcement and customs officers, and the priority species of rosewoods and palisanders to the Plants Committee.
18.142	**Identification of timber and other wood products**	*Directed to the Secretariat*	The Secretariat shall: a) liaise with organizations having relevant expertise on timber identification, including the Global Timber Tracking Network (GTTN), the International Association of Wood Anatomists (IAWA), the International Tropical Timber Organization (ITTO), Thünen Centre of Competence on the Origin of Timber, the European Forest Institute (EFI), the United Nations Office on Drugs and Crime (UNODC), and the World Resources Institute (WRI) to identify shared priorities, in consultation with the Plants Committee, including priority species, emerging techniques, standardized procedures, and collection and sharing of wood samples applicable to timber tracking tools; b) make the currently available guidance on wood identification accessible to Parties through the CITES website; and c) report to the Plants Committee on progress with the implementation of this Decision.
18.143	**Identification of timber and other wood products**	*Directed to the Standing Committee*	The Standing Committee shall review any updates received from the Plants Committee on the implementation of Decisions 18.140 to 18.142, and provide recommendations to the Plants Committee, as appropriate.
16.58 (Rev. CoP18)	**Identification of timber and other wood products**	*Directed to the Secretariat*	The Secretariat shall: a) obtain information and materials from those Parties that have reported that they have developed tools and procedures for the identification and measurement of CITES-listed tree species, and the physical inspection of timber shipments; b) publish the information on the CITES website so that it can be accessed by CITES plant inspection and enforcement authorities; and c) incorporate this information into its capacity-building activities related to timber trade.

16.136 (Rev. CoP18)	**Identification and traceability of sturgeons and paddlefish (Acipenseriformes spp.)**	*Directed to the Secretariat*	The Secretariat shall: a) subject to external funding and in consultation with the Animals Committee, organize a study to:
			i) provide an overview of molecular, DNA-based and other forensic methods that could assist in identifying the species and populations of Acipenseriformes specimens in trade, determining the origin or age of specimens, and differentiating wild from captive-bred or aquacultured specimens; ii) review relevant developments in this area, including the availability and reliability of uniform identification systems; iii) evaluate the advantages and disadvantages of the different methods (including practicality, costs, time-efficiency, reliability, technical requirements, etc.); and iv) formulate relevant guidance for CITES Parties, enforcement agencies, the private sector and other stakeholders; b) ensure consultation with Parties that authorize trade in specimens of sturgeons and paddlefish, appropriate experts, institutions and organizations, and the private sector in the conduct of the study; c) make the results of the study available to the Animals Committee for its consideration; and d) disseminate the recommendations formulated by the Standing Committee pursuant to Decision 16.138 (Rev. CoP18) in a Notification to the Parties.
16.137 (Rev. CoP18)	**Identification and traceability of sturgeons and paddlefish (Acipenseriformes spp.)**	*Directed to the Animals Committee*	The Animals Committee shall assist the Secretariat in determining the specifications for the study referred to in Decision 16.136 (Rev. CoP18) and monitoring its conduct. It shall review the report of the study and make recommendations as appropriate for consideration by the Standing Committee.
16.138 (Rev. CoP18)	**Identification and traceability of sturgeons and paddlefish (Acipenseriformes spp.)**	*Directed to the Standing Committee*	The Standing Committee shall review the study undertaken in accordance with Decision 16.136 (Rev. CoP18) and the recommendations that the Animals Committee formulated in compliance with Decision 16.137 (Rev. CoP18), and make its own recommendations, as appropriate, for communication to Parties concerned or for consideration at the 19th meeting of the Conference of the Parties.

18.144	**Traceability**	*Directed to Parties*	Parties are encouraged to: *a)* use, where feasible, the working definition of CITES traceability as follows: *Traceability is the ability to access information on specimens and events in a CITES species supply chain*.* ** This information should be carried, on a case by case basis, from as close to the point of harvest as practicable and needed to the point at which the information facilitates the verification of legal acquisition and non-detriment findings and helps prevent laundering of illegal products.* b) take note of the information available on the CITES webpage on traceability, as appropriate, such as the working definition of traceability; technical standards for CITES traceability; managerial best practice guidelines for planning and implementing CITES traceability systems; and projects related to traceability, which can provide guidance to Parties that develop or implement CITES traceability projects.
18.145	**Traceability**	*Directed to the Secretariat*	The Secretariat shall:
			a) include the working definition on traceability mentioned in Decision 18.144 paragraph a) into the CITES glossary; b) continue to provide information on CITES related traceability projects and latest developments on the CITES webpage on traceability; c) continue to provide support to Parties in the implementation of traceability systems involving CITES-listed specimens, subject to availability of external funding; d) continue to work with the United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) and other relevant standard-setting bodies on the potential for integration of CITES traceability systems into international traceability standards and recommendations for traceability; and e) review reports submitted by Parties on their experiences in implementing traceability and report as necessary to the Standing Committee.
18.146	**Labelling system for trade in caviar**	*Directed to the Standing Committee*	The Standing Committee shall, taking into account work undertaken by the Animals Committee and the Standing Committee, with support by the Secretariat between the 17th and 18th meeting of the Conference of the Parties: a) consider the practical challenges in the implementation of the provisions of the Convention with regard to the application of the "CITES guidelines for a universal labelling system for the trade in and identification of caviar" contained in Annex 1 of Resolution Conf. 12.7 (Rev. CoP17) on *Conservation of and trade in sturgeons and paddlefish* in light of the recognized shift in many cases from wild-caught specimens to non-wild specimens produced in aquaculture facilities; and b) as needed, make recommendations to the 19th meeting of the Conference of the Parties to address the identified challenges with the aim of arriving at a practical approach for trade in caviar from aquaculture production.

18.147	**Specimens produced through biotechnology**	*Directed to Parties*	Parties are invited to provide information to the Secretariat regarding: a) cases where they have issued, or received requests to issue, CITES permits and certificates for specimens produced through biotechnology; b) other situations when they have applied the interpretation of Resolution Conf. 9.6 (Rev. CoP16) on *Trade in readily recognizable parts and derivatives* to fauna and flora products produced through biotechnology; and c) technological developments and applications taking place, particularly in their jurisdiction, that may result in the manufacture of specimens produced through biotechnology that may have impact on the interpretation and implementation of the Convention.
18.148	**Specimens produced through biotechnology**	*Directed to the Animals and Plants Committees*	The Animals and Plants Committees shall: a) review the complete study on "Wildlife products produced from synthetic or cultured DNA", monitor the most recent scientific and technological advancements and applications that may lead to the synthetic production of specimens of CITES-listed
			species, and make recommendations for consideration by the Standing Committee, including appropriate revisions to existing resolutions; and b) provide any relevant scientific advice and guidance on matters relevant to international trade in specimens produced through biotechnology and communicate it to the Standing Committee, as appropriate.
18.149	**Specimens produced through biotechnology**	*Directed to the Standing Committee*	The Standing Committee shall: a) discuss whether and how to apply the term "readily recognizable part or derivative" to trade in products of biotechnology, which might potentially affect international trade in CITES-listed specimens in a way that would threaten their survival, including enforcement of CITES provisions; b) communicate to the Animals and Plants Committees any matters that may require scientific advice and guidance, as appropriate; and c) make recommendations for consideration at the 19th meeting of the Conference of the Parties, including appropriate revisions to existing resolutions or the development of a new resolution on trade in specimens produced from biotechnology.

18.150	**Specimens produced through biotechnology**	*Directed to the Secretariat*	The Secretariat shall: a) present the study on "Wildlife products produced from synthetic or cultured DNA", along with the Secretariat's findings and recommendations, to the Animals and Plants Committees; b) collate information received from Parties in relation to Decision 18.147, as well as any other information received from Parties, governmental, intergovernmental and nongovernmental organizations and other entities related to the issue of specimens produced through biotechnology; c) communicate with the Secretariat of the Convention on Biological Diversity (CBD), the Food and Agricultural Organization of the United Nations (FAO), the International Union for Conservation of Nature (IUCN) and other relevant organizations as appropriate, to keep abreast of the discussions taking place on other fora on issues that may be relevant to specimens produced through biotechnology; and d) share the information collated under paragraphs b) and c) and report progress on the implementation of this Decision to the Animals and Plants Committees, and the Standing Committee, as appropriate.
18.151	**Implications of the transfer of a species from one Appendix to another**	*Directed to the Standing Committee*	The Standing Committee shall, with the assistance of the Secretariat, consider whether further guidance related to the period of transition, including the period between the adoption of a proposal to transfer a species from one Appendix to another and the entry into force of the new listing, should be developed and, if so, present amendments to an existing Resolution or a new draft resolution to the 19th meeting of the Conference of the Parties. In this context, the Standing Committee shall consider, in consultation with the Plants Committee, as appropriate, whether special recommendations should apply in the case of a transfer of a tree species with Annotation #5 or other annotated plant species.

18.152	**Definition of 'appropriate and acceptable destinations'**	*Directed to the Secretariat*	The Secretariat shall: a) create and maintain a dedicated webpage on the CITES website to make available the non-binding guidance contained in document CoP18 Doc. 44.1 and to compile reference materials, published references, best practice examples, examples of Parties' appropriate and acceptable destination findings and suitably equipped to house and care for living specimens' findings, and other relevant information; b) issue a notification within 90 days of the close of the 18th meeting of the Conference of the Parties containing the non-binding guidance contained in document CoP18 Doc. 44.1 on the provisions of paragraph 2 a) of Resolution Conf. 11.20 (Rev. CoP18) on *Definition of the term 'appropriate and acceptable destinations'* for living specimens of Appendix-II species subject to an annotation referring to 'appropriate and acceptable destinations', as well as Article III paragraphs 3 (b) and 5 (b) for living Appendix-I specimens; and inviting Parties to submit relevant material for the CITES webpage created under paragraph a); c) source additional relevant information for inclusion on the dedicated webpage created under paragraph a); and d) issue a notification within 30 days of the close of the 73rd meeting of the Standing Committee inviting Parties to provide feedback on experience with using the guidance contained in document CoP18 Doc. 44.1 as well as the information provided on the CITES webpage created under paragraph a) and report this to the Animals Committee and Standing Committee for their consideration and recommendations, as appropriate.
18.153	**Definition of 'appropriate and acceptable destinations'**	*Directed to the Secretariat*	The Secretariat shall consult with Parties whose elephants are listed in Appendix II and who have exported wild caught elephants to a non-elephant range State since CoP11 on their implementation of Resolution Conf. 11.20 on *Definition of the term 'appropriate and acceptable destinations'*, in particular considering the role and responsibility of the State of export in Article IV and Resolution Conf. 16.7 (Rev. CoP17) on *Non-detriment findings*, and provide the information received to the Animals Committee, for its consideration.
18.154	**Definition of 'appropriate and acceptable destinations'**	*Directed to Parties*	Parties are: a) invited to use the non-binding guidance contained in document CoP18 Doc. 44.1 when considering whether the proposed recipient of a living specimen is suitably equipped to house and care for it; and b) encouraged to submit relevant information for the webpage created under Decision 18.152, paragraph a).

18.155	**Definition of 'appropriate and acceptable destinations'**	*Directed to the Animals Committee*	The Animals Committee shall: a) prepare non-binding best practice guidance on how to determine whether "the trade would promote *in situ* conservation", in line with the provisions of paragraph 2 b) of Resolution Conf. 11.20 (Rev. CoP18), in consultation with the Secretariat;
			b) building on the existing non-binding guidance contained in document CoP18 Doc. 44.1, prepare more detailed species-specific guidance for living specimens of African elephants and southern white rhinoceros, in consultation with relevant experts (including species and zoological facility experts) and the Secretariat; c) make the guidance and any recommendations available for consideration and endorsement by the Standing Committee; and d) review the report from the Secretariat on feedback from Parties called for in Decision 18.152 paragraph d) and make recommendations, as appropriate, for consideration by the Standing Committee.
18.156	**Definition of 'appropriate and acceptable destinations'**	*Directed to the Standing Committee*	The Standing Committee shall: a) consider the report of the Animals Committee, regarding the non-binding guidance developed under Decision 18.155 paragraphs a) and b), and the guidance contained in document CoP18 Doc. 44.1 and make recommendations, as appropriate, including possible revisions to Resolution Conf. 11.20 (Rev. CoP18) and any other relevant Resolution, for consideration at the 19th meeting of the Conference of the Parties; and b) review the report from the Secretariat and any comments and recommendations coming from the Animals Committee on feedback from Parties called for in Decision 18.152 paragraph d) and make recommendations, as appropriate, for consideration by the Conference of the Parties at its 19th meeting.
17.181	**Introduction from the sea**	*Directed to the Secretariat*	The Secretariat shall report to the Standing Committee, as appropriate, on the results of the negotiations on the development of an international legally binding instrument under the United Nations Convention on the Law of the Sea on the conservation and sustainable use of marine biological diversity of areas beyond national jurisdiction (BBNJ).
18.157	**Introduction from the sea**	*Directed to the Secretariat*	The Secretariat shall continue to monitor the implementation of Resolution 14.6 (Rev. CoP16) on *Introduction from the sea*, including the provisions on chartering, and report as appropriate to the Standing Committee.
18.158	**Introduction from the sea**	*Directed to the Standing Committee*	The Standing Committee shall, as appropriate, review the information provided by the Secretariat as requested in Decisions 18.157 and 17.181 and, if necessary, propose measures for consideration at the 19th meeting of the Conference of the Parties, which may include amendments to Resolution Conf. 14.6 (Rev. CoP16).

18.159	**Disposal of confiscated specimens**	*Directed to the Secretariat*	The Secretariat shall collect information on existing networks and resources on the management of seized and confiscated live animals and make it available to Parties.
18.160	**Disposal of confiscated specimens**	*Directed to the Secretariat*	Subject to external funding, the Secretariat shall make available materials that may assist Parties in implementing Annex 3 to Resolution Conf. 17.8 on *Disposal of illegally traded and confiscated specimens of CITES-listed species*, as needed.
18.161	**Disposal of confiscated specimens**	*Directed to the Secretariat*	The Secretariat shall report to the Standing Committee on the implementation of Decisions 18.159 and 18.160.
18.162	**Disposal of confiscated specimens**	*Directed to Parties*	Parties are encouraged to make use of the information and materials made available by the Secretariat under Decisions 18.159 and 18.160 and to include it in capacity-building activities.
18.163	**Disposal of confiscated specimens**	*Directed to the Standing Committee*	The Standing Committee shall consider the report submitted by the Secretariat under Decision 18.161 and make recommendations, as appropriate.
18.164	**Disposal of confiscated specimens**	*Directed to Parties and other entities*	Parties, governmental, intergovernmental and non-governmental organizations and other entities are invited to provide financial and/or technical assistance, as relevant, for the implementation of Decisions 18.160 and 18.162.
18.165	**Quotas for leopard (*Panthera pardus*) hunting trophies**	*Directed to Parties with quotas established under Resolution Conf. 10.14 (Rev. CoP16)*	Parties which have quotas established under Resolution Conf. 10.14 (Rev. CoP16) on *Quotas for leopard hunting trophies and skins for personal use*, and which did not yet provide relevant information to the Animals Committee (Botswana, the Central African Republic and Ethiopia), are requested to review these quotas and consider whether these quotas are still set at levels which are non-detrimental to the survival of the species in the wild, and to share the outcomes of the review and the basis for the determination that the quota is not detrimental, with the Animals Committee at its 31st meeting.
18.166	**Quotas for leopard (*Panthera pardus*) hunting trophies**	*Directed to Parties with quotas established under Resolution Conf. 10.14 (Rev. CoP16)*	All Parties which have quotas for leopard hunting trophies established under Resolution Conf. 10.14 (Rev. CoP16) are encouraged to exchange information and lessons learnt regarding the process for determining that such quotas are non-detrimental to the survival of the species in the wild.
18.167	**Quotas for leopard (*Panthera pardus*) hunting trophies**	*Directed to the Animals Committee*	The Animals Committee shall consider the information submitted by the relevant range States under Decision 18.165 and any other relevant information, and, if necessary, make any recommendations to these range States and to the Standing Committee relating to the review.
18.168	**Quotas for leopard (*Panthera pardus*) hunting trophies**	*Directed to the Animals Committee*	The Animals Committee shall review any information submitted by the Secretariat under Decision 18.169 and make recommendations to the Secretariat and leopard range States, as appropriate.

18.169	**Quotas for leopard (*Panthera pardus*) hunting trophies**	*Directed to the Secretariat*	The Secretariat shall, subject to external resources: a) support the reviews to be undertaken by range States referred to in Decision 18.165, upon request by a range State; b) encourage and support all Parties with quotas for leopard hunting trophies established under Resolution Conf. 10.14 (Rev. CoP16) to exchange information and lessons learnt regarding the process for determining that such quotas are non-detrimental to the survival of the species in the wild; and c) in cooperation with range States and relevant experts, develop guidance that can assist Parties in the making of non-detriment findings for trade in leopard hunting trophies in compliance with Resolution Conf. 10.14 (Rev. CoP16), share the draft
			guidance with the Animals Committee for its review, make such guidance available on the CITES website, and encourage its use by relevant Parties.
18.170	**Quotas for leopard (*Panthera pardus*) hunting trophies**	*Directed to the Standing Committee*	The Standing Committee should consider any recommendations of the Animals Committee made in accordance with Decision 18.167, and make its own recommendations, as appropriate, for consideration at the 19th meeting of the Conference of the Parties.

Number	**Title**	*Directed to*	Text
18.171	**Simplified procedures for permits and certificates**	*Directed to the Secretariat*	The Secretariat shall, in consultation with Parties and stakeholders, prepare draft guidance on the use of the simplified procedures and on the use of the exemption for scientific exchange. The draft guidance shall be shared with the Standing Committee for review, amendment as appropriate, and endorsement. The guidance should include consideration of other types of specimens in addition to those identified in document CoP18 Doc. 56, paragraph 13 with a focus on the international movement of CITES specimens where the trade will have a negligible impact on the species concerned. The Secretariat shall also develop a dedicated page on the CITES website on simplified procedures. If so requested and subject to external funding, the Secretariat shall organize specific training workshops on simplified procedures.
14.69	**Captive-bred and ranched specimens**	*Directed to Parties, especially Appendix-I Asian big cat range States*	Parties with intensive operations breeding tigers on a commercial scale shall implement measures to restrict the captive population to a level supportive only to conserving wild tigers; tigers should not be bred for trade in their parts and derivatives.
17.102	**Captive-bred and ranched specimens**	*Directed to the Secretariat*	The Secretariat shall, subject to external funding, engage in a capacity-building project using materials prepared under Decisions 16.63, paragraph a) vii), and 15.52, paragraph a). This project should involve all regions and a variety of taxa. The Secretariat shall report to the Standing Committee on the work undertaken under the present Decision.
18.172	**Review of CITES provisions related to trade in specimens of animals and plants not of wild source**	*Directed to the Animals and Plants Committees*	The Animals Committee, at its 31st meeting (AC31), and the Plants Committee, at its 25th meeting (PC25), shall consider the Secretariat's update of the review of CITES provisions related to trade in specimens of animals and plants not of wild source in Annex 7 of document SC70 Doc. 31.1 and Parties' comments and recommendations in document SC70 Doc. 31.1 Annex 8, identify the key scientific issues and challenges in the application of the Convention to non-wild specimens, and provide their recommendations to address these issues and challenges to the Standing Committee in time for its 73rd meeting (SC73).

18.173	**Review of CITES provisions related to trade in specimens of animals and plants not of wild source**	*Directed to the Standing Committee*	The Standing Committee shall: a) consider at SC73 the Secretariat's update of the review of CITES provisions related to trade in specimens of animals and plants not of wild source in Annex 7 of document SC70 Doc. 31.1 and Parties' comments and recommendations in document SC70 Doc. 31.1 Annex 8; the underlying CITES policy assumptions that may have contributed to the uneven application of Article VII, paragraphs 4 and 5; the Secretariat's recommendations in the Annexes to SC70 Doc. 31.1; and the recommendations of the Animals and Plants Committees under Decision 18.172; and
			b) review the key issues and challenges in the application of the Convention to non-wild specimens and make appropriate recommendations, including amendments to existing Resolutions or development of a new Resolution or Decisions, to address these issues and challenges for consideration at the 19th meeting of the Conference of the Parties.
18.174	**Captive-breeding of spiny-tailed lizards**	*Directed to the Secretariat*	The Secretariat shall prepare a report to the 31st meeting of the Animals Committee on possible species-country combinations of *Ceratophora stoddartii*, *Ceratophora aspera* and *Lyriocephalus scutatus* for review under Resolution Conf. 17.7 (Rev. CoP18) on *Review of trade in animal specimens reported as produced in captivity*.
18.175	**Captive-breeding of spiny tailed lizards**	*Directed to the Animals Committee*	The Animals Committee shall review the report of the Secretariat and consider whether to select species-country combinations of *Ceratophora stoddartii*, *Ceratophora aspera* and *Lyriocephalus scutatus* for review under Resolution Conf. 17.7 (Rev. CoP18) on *Review of trade in animal specimens reported as produced in captivity*.
18.176	**Review of the provisions of Resolution Conf. 17.7 (Rev. CoP18)**	*Directed to the Animals Committee*	With the assistance of the Secretariat and in the light of its experiences with its implementation, the Animals Committee shall review the provisions of Resolution Conf. 17.7 (Rev. CoP18) on *Review of trade in animal specimens reported as produced in captivity* and make any recommendations for improvements to the Standing Committee.
18.177	**Review of the provisions of Resolution Conf. 17.7 (Rev. CoP18)**	*Directed to the Standing Committee*	With the assistance of the Secretariat, taking account of any report from the Animals Committee and in the light of its experiences with its implementation, the Standing Committee shall review the provisions of Resolution Conf. 17.7 (Rev. CoP18) and make any recommendations for improvements to the 19th meeting of the Conference of the Parties.

18.178	**Guidance on the term 'artificially propagated'**	*Directed to the Secretariat*	The Secretariat shall, subject to external funding: a) commission the preparation of guidance materials for the Parties on aspects of artificial propagation including the terms 'under controlled conditions', 'cultivated parental stock' and the new source code or such terms as may be adopted at CoP18, to supplement the publication *A Guide to the application of CITES source codes*; b) report to the Plants Committee at its 26th meeting on progress on paragraph a); and c) after review and revision by the Plants Committee, if directed by the Plants Committee, publish the final guidance on the CITES website.
18.179	**Specimens grown from wild-collected seeds or spores that are deemed to be artificially propagated**	*Directed to the Plants Committee*	The Plants Committee shall review the implementation of paragraph 4 of Resolution Conf. 11.11 (Rev. CoP18) on *Regulation of trade in plants* and the trade in specimens of artificially propagated Appendix-I species. The report shall include consideration of conservation benefits to wild populations and any adverse effects on the conservation of Appendix-I species that have been subject to the implementation of paragraph 4.
18.180	**Specimens grown from wild-collected seeds or spores that are deemed to be artificially propagated**	*Directed to the Plants Committee*	The Plants Committee, following the review under Decision 18.179, shall consider any changes to paragraph 4 of Resolution Conf. 11.11 (Rev. CoP18), and as appropriate, propose such amendments for consideration of the Standing Committee.
18.181	**Specimens grown from wild-collected seeds or spores that are deemed to be artificially propagated**	*Directed to the Standing Committee*	The Standing Committee shall consider the recommendations of the Plants Committee made in accordance with Decisions 18.179 and 18.180, and make recommendations, as appropriate, for consideration at the 19th meeting of the Conference of the Parties.
17.170 (Rev. CoP18)	**Stocks and stockpiles**	*Directed to the Standing Committee*	The Standing Committee shall, with the assistance of the Secretariat, review the existing provisions agreed by the Parties concerning controls on stocks of specimens of CITES-listed species. It shall consider their objectives and implementation, and the resource implications for Parties and the Secretariat, and shall report its conclusions and recommendations at the 19th meeting of the Conference of the Parties.
18.182	**Stocks and stockpiles (elephant ivory)**	*Directed to the Standing Committee*	The Standing Committee at its 73rd meeting (SC73) shall review and consider for approval the practical guidance prepared by the Secretariat for the management of ivory stockpiles, including their disposal.
18.183	**Stocks and stockpiles (elephant ivory)**	*Directed to the Secretariat*	The Secretariat shall disseminate the practical guidance for the management of ivory stockpiles, including their disposal, once approved by the Standing Committee.

18.184	**Stocks and stockpiles (elephant ivory)**	*Directed to the Secretariat*	The Secretariat shall: a) identify those Parties that have not provided information on the level of government-held stockpiles of ivory and significant privately held stockpiles of ivory within their territory or where stockpiles are not well secured and report to the 72nd and 73rd meetings* of the Standing Committee with recommendations as necessary; and b) annually publish updated summary data based on the inventories submitted by Parties, disaggregated to regional but not country level, including the total ivory stockpiles by weight. ** The Secretariat believes that the intention was to refer to the 73rd and 74th meetings of the Standing Committee.*
18.185	**Stocks and stockpiles (elephant ivory)**	*Directed to the Standing Committee*	At its 72nd and 73rd meetings*, the Standing Committee shall consider the report and recommendations of the Secretariat in Decision 18.184 and determine whether any further actions are necessary in the case of Parties who fail to provide annual inventories of government-held stockpiles of ivory and significant privately held stockpiles of ivory within their territory or where stockpiles are not well secured. ** The Secretariat believes that the intention was to refer to the 73rd and 74th meetings of the Standing Committee.*

SPECIES-SPECIFIC MATTERS

Number	**Title**	*Directed to*	Text
18.186	**West African vultures (Accipitridae spp.)**	*Directed to the Secretariat*	The Secretariat shall liaise with the Secretariat of the Convention on the Conservation of Migratory Species of Wild Animals (CMS) to assist in the implementation of the trade-related aspects of the Vulture Multispecies Action Plan, subject to the availability of resources, including sharing information based on the work of the Animals Committee.
18.187	**West African vultures (Accipitridae spp.)**	*Directed to the Secretariat*	The Secretariat is encouraged to include vultures as a case study for the possible Non-Detriment Findings workshop.
18.188	**West African vultures (Accipitridae spp.)**	*Directed to the Secretariat*	The Secretariat shall issue a Notification to the Parties requesting the following information concerning trade in and conservation of Egyptian vulture (*Neophron percnopterus*), white-headed vulture (*Trigonoceps occipitalis*), hooded vulture (*Necrosyrtes monachus*), whitebacked vulture (*Gyps africanus*), Rüppell's vulture (*Gyps rueppelli*) and lappet-faced vulture (*Torgos tracheliotos*) in West Africa: a) biological data on West African vultures, including population size, breeding productivity, distribution, and trends across the range of the species; b) available information about harvest and levels of legal and illegal trade of vultures and their parts; c) information on threats to these species, in particular belief-based use and sentinel poisoning, and other trade-related threats; d) information on enforcement actions taken, including seizures, forensic analysis of seized specimens, arrests, prosecutions and judgments relating to illegal trade in vultures as well as disposal of seized specimens; and e) new developments regarding management, education and awareness-raising measures concerning vultures.
18.189	**West African vultures (Accipitridae spp.)**	*Directed to the Secretariat*	The Secretariat shall compile responses from the Parties and provide these responses to the Animals Committee's working group to inform its work.

18.190	**West African vultures (Accipitridae spp.)**	*Directed to the Animals Committee*	The Animals Committee shall establish a working group to address key gaps in knowledge as it relates to the biological and trade issues highlighted in the Vulture Multispecies Action Plan (Vulture MsAP), with particular attention for the six species mentioned in Decision 18.188 and the West African region, and including but not limited to trade in vulture parts of belief-based use (Objective 4), sentinel poisoning by poachers (Objective 5), cross-cutting actions that contribute to addressing knowledge gaps (Objective 11), and contribute to effective implementation of the Vulture MsAP (Objective 12). The working group shall: a) review the information submitted under the Notification;
			b) conduct a detailed assessment on the scale and impact of legal and illegal trade in live birds, eggs, and vulture body parts across the range of the Vulture MsAP; and c) provide findings and recommendations to the Animals Committee.
18.191	**West African vultures (Accipitridae spp.)**	*Directed to the Animals Committee*	The Animals Committee shall provide guidance to range States on how to factor in all known threats to the species when making non-detriment findings for these species, and make recommendations, as appropriate, for consideration by the Standing Committee.
18.192	**West African vultures (Accipitridae spp.)**	*Directed to the Standing Committee*	The Standing Committee shall: a) consider the recommendations from the Animals Committee, as appropriate, and information relating to illegal trade in vulture body parts for traditional/belief-based use, and adopt recommendations as appropriate for consideration by the Parties concerned; and b) in consultation with the Secretariat, report on the implementation of Decisions 18.186 to 18.191 to the Conference of the Parties at its 19th meeting.
18.193	**Cheetah trade resource kit (*Acinonyx jubatus*)**	*Directed to the Secretariat*	The Secretariat shall, subject to external funding, make the final version of the CITES cheetah trade resource kit available in the languages and formats agreed by the Standing Committee.

18.194	**Conservation of amphibians (Amphibia spp.)**	*Directed to the Secretariat*	The Secretariat shall, subject to availability of external resources, and in close consultation with the Animals Committee: a) conduct one or more interdisciplinary workshops for CITES Authorities and other relevant authorities and stakeholders about amphibian species in international trade, including but not limited to the following objectives: i) identify amphibian species that are in international trade and evaluate whether certain species or groups should be recommended for possible listing in the Appendices; ii) share existing national legislation relevant to the trade in amphibians; iii) evaluate whether current levels of trade are compatible with the conservation of these species in the wild; iv) compile further data on harvesting levels of amphibians subject to high volumes of international trade; v) explore the emerging threat of diseases to traded amphibians, including amphibian chytrid fungus and ranaviruses; and vi) examine current enforcement efforts to deter and detect illegal and unreported trade and identify additional actions needed; and b) report on the progress in the implementation of paragraph a) above to the Animals Committee, including any relevant recommendations.
18.195	**Conservation of amphibians (Amphibia spp.)**	*Directed to the Animals Committee*	The Animals Committee shall: a) consider the report submitted by the Secretariat as per Decision 18.194; and
			b) make recommendations to the Standing Committee and the 19th meeting of the Conference of the Parties, as appropriate.
18.196	**Conservation of amphibians (Amphibia spp.)**	*Directed to the Standing Committee*	The Standing Committee shall consider any report submitted by the Animals Committee as per Decision 18.195 and develop recommendations for consideration of the 19th meeting of the Conference of the Parties, as appropriate.

18.197	**Eels (*Anguilla* spp.)**	*Directed to range States of European eels (*Anguilla anguilla*)*	Range States of European eel (*Anguilla anguilla*) are encouraged to: a) submit any non-detriment finding studies on European eel they have undertaken to the Secretariat for inclusion on the CITES website; explore the different approaches that might be taken for making non-detriment findings for European eels traded as fingerlings (FIG) compared with those traded as other live eels (LIV); collaborate and share information with other Parties regarding such studies and their outcome, especially where the Parties share catchments or water bodies; seek review and advice from the Animals Committee or other suitable body on any non-detriment findings for European eels where appropriate; b) develop and/or implement adaptive European eel management plans at national or sub-national (or catchment) level, with defined and time-bound goals, and enhance collaboration within countries between authorities and other stakeholders with responsibilities for eel management, and between countries where water bodies or catchments are shared; c) share information on stock assessments, harvests, the results of monitoring and other relevant data with the Joint Working Group on Eels (WGEEL) of the European Inland Fisheries and Aquaculture Advisory Commission, the International Council for the Exploration of the Seas and the Central Fisheries Commission for the Mediterranean (EIFAAC/ICES/GFCM), so that a full and complete picture of the state of the European eel stock can be established; d) develop measures or implement more effectively existing measures to improve the traceability of eels in trade (both live and dead); e) provide the Secretariat with information regarding any changes to measures they have in place to restrict the trade in live 'glass' or fingerling European eels; and f) provide information to the Secretariat on the implementation of this Decision to allow it to report to the Animals Committee and Standing Committee, as appropriate.
18.198	**Eels (*Anguilla* spp.)**	*Directed to range States of non-CITES* Anguilla *spp. in international trade (particularly* A. rostrata, A. japonica, A. marmorata *and* A. bicolor*)*	Range States of non-CITES *Anguilla* spp. in international trade are encouraged to: a) where appropriate, implement conservation and management measures, such as adaptive eel management plans, enhanced collaboration within countries, between authorities and other stakeholders with responsibilities for eel management, and related legislation to ensure the sustainability of harvests and international trade in *Anguilla* spp. and make these widely available; b) collaborate and cooperate with other range States on shared stocks of *Anguilla* spp. to develop shared objectives for these stocks and their management, improve the

			understanding of the biology of the species, conduct joint programmes of work and share knowledge and experience; c) establish monitoring programmes and develop abundance indices in range States where none exist. For ongoing programmes, identifying opportunities for expanding to new locations and/or live stages would be favourable; d) improve traceability of *Anguilla* spp. in trade (both live and dead); and e) provide information to the Secretariat on the implementation of this Decision to allow it report to the Animals Committee and Standing Committee, as appropriate.
18.199	**Eels (*Anguilla* spp.)**	*Directed to the Secretariat*	The Secretariat shall: a) prepare and submit a summary report on the implementation of Decisions 18.197 and 18.198 with draft recommendations to the Animals Committee and Standing Committee, as appropriate, for their consideration; b) collate available information on the biology of *Anguilla anguilla* in collaboration with experts, including the International Union for Conservation of Nature (IUCN) Anguillid Specialist Group, with a view to determining whether the glass eel (fingerling) life stage can be considered to have a "low probability of surviving to adulthood", and report its findings to the Animals Committee; c) invite Parties, through a Notification, to submit information regarding current levels of, or emerging trends in, trade in specimens of *Anguilla* spp; d) subject to the availability of resources, commission a study to consider levels of trade and trade patterns, especially in live eels for aquaculture, and sources of supply, identify any disparities between these and make recommendations for the more effective future management of harvests and trade; and e) prepare and submit a summary of the responses to the Notification and the study referred to in paragraph c) of this Decision, if available, with draft recommendations to the Animals Committee and Standing Committee as appropriate for their consideration.

18.200	**Eels (*Anguilla* spp.)**	*Directed to the Animals Committee*	The Animals Committee shall: a) if requested, consider any reports submitted by Parties with respect to the making of non-detriment findings for trade in European eel and provide advice and guidance as needed; b) review the report from the Secretariat on the biology of European eel (*Anguilla anguilla*) prepared under Decision 18.199 paragraph b) and consider the potential use of source code R (ranching) for specimens of *A. anguilla* from aquaculture production systems, and provide advice and make recommendations to the Parties and the Standing Committee as appropriate; c) review available information relating to the potential risks and benefits of reintroducing seized, live European eels (*Anguilla anguilla*) to the wild and, if appropriate, provide advice on suitable protocols taking into account existing guidance and practices, for consideration at the 19th meeting of the Conference of the Parties; and
			d) consider the progress reports provided by Parties and the report by the Secretariat with respect to Decisions 18.197, 18.198 and 18.199 and make any recommendations to the 19th meeting of the Conference of the Parties.
18.201	**Eels (*Anguilla* spp.)**	*Directed to the Standing Committee*	The Standing Committee shall: a) consider the report prepared by the Secretariat and any other available information relating to illegal trade in European eel, including the case study by the United Nations Office on Drugs and Crime (UNODC) on European eel trafficking as part of the 2nd World Wildlife Crime Report, and make recommendations as appropriate; b) review any advice and recommendations coming from the Animals Committee concerning Decision 18.200 paragraph b) and make recommendations as appropriate; and c) with the assistance of the Secretariat, engage with the World Customs Organization to examine the feasibility of harmonizing customs codes relevant to trade in all *Anguilla* species and report to the 19th meeting of the Conference of the Parties.
18.202	**Eels (*Anguilla* spp.)**	*Directed to donor Parties and other relevant organizations*	Donor Parties and other relevant organizations, including the Food and Agriculture Organization of the United Nations (FAO) and others, are invited and encouraged to provide support to, and build capacity for, *Anguilla* range States for the purpose of implementing Decisions 18.197 and 18.198.
17.192 (Rev. CoP18)	**Precious corals (Order Antipatharia and family Coralliidae)**	*Directed to the Animals Committee*	The Animals Committee is requested to: a) analyse the outcomes of the precious coral survey and the FAO study and prepare recommendations, as appropriate, on actions needed to enhance the conservation and sustainable harvest and use of all precious corals in international trade; and b) report these recommendations to the Standing Committee at its 73rd meeting.

17.193 (Rev. CoP18)	**Precious corals (Order Antipatharia and family Coralliidae)**	*Directed to the Standing Committee*	The Standing Committee is requested to consider the information and recommendations of the Animals Committee, made in accordance with Decision 17.192 (Rev. CoP18), and make its own recommendations, as appropriate, for communication to the Parties or for consideration at the 19th meeting of the Conference of the Parties.
18.203	**Agarwood-producing taxa (*Aquilaria* spp. and *Gyrinops* spp.)**	*Directed to the Plants Committee*	The Plants Committee shall: a) monitor the implementation of Resolution Conf. 16.10 on *Implementation of the Convention for agarwood-producing taxa* to assess any potential conservation impacts to the long-term survival of agarwood-producing species and possible problems arising from the implementation, by: i) developing a questionnaire on potential conservation issues in the implementation of Resolution Conf. 16.10 on *Implementation of the Convention for agarwood-producing taxa* to be circulated to the Parties through a Notification, and analysing the responses received; ii) examining available trade data; and
			iii) analysing available data on the conservation status of agarwood-producing species; and b) report findings and recommendations to the 19th meeting of the Conference of the Parties and advise on the need for a study to further assess impacts of harvest, management and trade in agarwood products on the conservation of agarwood-producing species in the wild.
18.204	**Agarwood-producing taxa (*Aquilaria* spp. and *Gyrinops* spp.)**	*Directed to the Secretariat*	The Secretariat shall assist the Plants Committee in the implementation of Decision 18.203.

18.205	**Boswellia trees (*Boswellia* spp.)**	*Directed to the Secretariat*	The Secretariat shall issue a Notification to the Parties and, as appropriate, liaise with relevant stakeholders of *Boswellia* trade, requesting the following information: a) biological data on *Boswellia* species, including population size, distribution, status and population trends, identification information, and its role in the ecosystem in which it occurs; b) available information about harvest and exploitation levels, trade names, stakeholders close to the harvest of the species and supply chain characteristics for domestic consumption and international trade; c) information on threats to these species, especially as it pertains to the underlying causes of poor regeneration capability and the impact of harvest on these species; d) information on any initiatives to artificially propagate these species or produce plantations of them; e) existing regulations and ownership structures pertaining to the species, and their habitat, drivers of habitat trends and management measures in place or under development, including sustainable harvest practices; and f) suggestions for meetings or other venues that might provide opportunities to collaborate or share information regarding harvest and management of these species.
18.206	**Boswellia trees (*Boswellia* spp.)**	*Directed to the Secretariat*	The Secretariat shall compile and submit for consideration of the Plants Committee information received as per Decision 18.205.
18.207	**Boswellia trees (*Boswellia* spp.)**	*Directed to the Plants Committee*	The Plants Committee shall review the information received and other relevant information available to it regarding the status, management, and trade in *Boswellia* species, highlighting key gaps in knowledge and making recommendations to inform further efforts to address the sustainable use and conservation of these species, including whether any of the species meet the criteria for listing under CITES.
18.208	**Boswellia trees (*Boswellia* spp.)**	*Directed to Parties*	Range States and Parties involved in management, propagation, or trade of Boswellia species are encouraged to provide information to the Secretariat, as requested in Decision 18.205.
18.209	**Humphead wrasse (*Cheilinus undulatus*)**	*Directed to the Secretariat*	The Secretariat, subject to external funding, shall invite the Food and Agriculture Organisation of the United Nations (FAO) and the International Union for Conservation of Nature (IUCN) Groupers and Wrasses Specialist Group to assist it in supporting major exporting and importing countries of *Cheilinus undulatus*, upon request, to address remaining CITES implementation challenges and ensure well-regulated, sustainable management of, and trade in, the species.

18.210	**Marine turtles (Cheloniidae spp. and Dermochelyidae spp.)**	*Directed to the Secretariat*	The Secretariat shall, subject to available resources: a) convey to Parties the findings of the study presented in information document CoP18 Inf. 18 on the legal and illegal international trade in marine turtles with a view to inform targeted conservation and management efforts; b) refer the study contained in information document CoP18 Inf. 18 to the Standing Committee at its 73rd meeting and the Animals Committee at its 31st meeting for consideration; c) support Parties, upon request, with the CITES-relevant aspects of the development, implementation and/or update of management and action plans for the conservation of marine turtles; d) assist Parties, upon request, with the identification of inconsistencies, overlaps and gaps in national legislation and regulations relating to the implementation of CITES for marine turtles; and e) convey to the Food and Agriculture Organisation of the United Nations (FAO) the findings of the study presented in information document CoP18 Inf. 18 to inform efforts, including by Regional Fisheries Bodies, addressing marine turtle bycatch and illegal take, and promote collaboration, as appropriate. f) issue a Notification requesting that Parties provide information on implementation of Decisions 18.210 to 18.214 for consideration by the Standing Committee at its 73rd meeting; and g) report on the implementation of Decisions 18.210 to 18.215, and on any technical and financial mechanisms and opportunities that can be provided through CITES to assist Parties in marine turtle conservation, to the 31st meeting of the Animals Committee and the 73rd meeting of the Standing Committees as appropriate, and to the Conference of the Parties at its 19th meeting.
18.211	**Marine turtles (Cheloniidae spp. and Dermochelyidae spp.)**	*Directed to Parties*	Parties are urged to: a) review the findings of the study presented in information document CoP18 Inf. 18 and use these to inform targeted conservation and management efforts; b) fully implement the provisions of CITES that are relevant to the seven species of marine turtles listed on Appendix I; c) develop and/or update management and action plans for the conservation of marine turtles inclusive of the recommendations in information document CoP18 Inf. 18; d) use CITES fora, including the Animals Committee and Standing Committee, to raise and discuss challenges relating to illegal trade in marine turtles;

			e) collect in a standardized manner, including at different governance levels, illegal wildlife trade data, that can be used for monitoring trade in CITES-listed marine turtles; and submit comprehensive and accurate information on illegal trade in marine turtles in their annual illegal trade reports to the Secretariat; f) improve monitoring, detection and law enforcement activities related to marine turtles in coastal areas and at transaction points (e.g. in the marketplace, online, maritime areas, and at air- and seaports); g) collect samples of marine turtles for DNA analysis, including from seized specimens, to determine species involved and populations of origin and provide these to forensic and other research institutions capable of reliably determining the origin or age of the samples in support of, for example, research, investigations and prosecutions; h) improve intra- and interregional cooperation, collaboration and exchange of actionable intelligence regarding illegal take of and trade in marine turtles; i) ascertain key trade routes, methods, volumes, and trade 'hot-spots' using available technologies, and enforce national and international regulations or other mechanisms that apply to marine turtles take and trade; j) improve accountability for the practices undertaken by all vessels and improve the monitoring and control related to CITES-listed marine turtles at landing sites; k) support fisheries management authorities in implementing turtle mitigation and safe handling practices; l) coordinate efforts at the regional level, involving Parties and bodies with relevant mandates, to identify and address trade, use and other threats, such as fisheries' interactions with marine turtles (particularly bycatch), with a view to supporting multilateral environmental agreements; and m) respond to the Notification issued by the Secretariat per Decision 18.210, paragraph f) on the implementation of Decisions 18.210 to 18.214.

18.212	**Marine turtles (Cheloniidae spp. and Dermochelyidae spp.)**	*Directed to Parties that are marine turtle range States*	Parties that are marine turtle range States are urged to: a) develop, and where such legislation already exists, conduct a thorough review of legislation that protects marine turtles, taking account of its effectiveness in enforcement and management including direct and incidental harvest, and standardization or alignment with other national and sub-national legislation, neighbouring states, as well as international regulations and commitments; b) where domestic harvest of specimens of marine turtles, including eggs, is legal, ensure any domestic harvest quotas are established based on robust science-based methods and the principles of sustainability, including accounting for existing quota or no-take quotas in other States' that share marine turtle stock(s), taking into account national enforcement capacity; c) respond to the Notification issued by the Secretariat pursuant to Decision 18.210 paragraph f) on the implementation of Decisions 18.210 to 18.215.

18.213	**Marine turtles (Cheloniidae spp. and Dermochelyidae spp.)**	*Directed to Parties, governmental, intergovernmental and nongovernmental organizations and other entities*	Parties, governmental, intergovernmental and non-governmental organizations and other entities are invited to provide financial or technical assistance for, *inter alia*: a) training and capacity building of relevant authorities at the national and regional level, including on the implementation and enforcement of national and international regulations that apply to marine turtles, and on identification, monitoring, reporting and wildlife enforcement capability; b) build community and political awareness on the conservation status of marine turtles and on the importance of promoting the conservation of the species through compliance with CITES at the national level; c) research into the socioeconomics associated with the legal and illegal harvest and use of specimens of marine turtles, including eggs, including assessments of the sustainability of alternative livelihood options for communities depending on marine turtles and the motivations for their use; d) research that establishes a baseline for the status and distribution of marine turtles in the different countries/regions; and e) research into the scale and impact that national (and its international) artisanal, semi-industrial and industrial fisheries, including illegal, unreported, and unregulated fishing, have on marine turtle populations and their linkage to illegal trade.
18.214	**Marine turtles (Cheloniidae spp. and Dermochelyidae spp.)**	*Directed to the Secretariat, Parties and other organizations*	Parties, the Secretariat and relevant multilateral agreements such as the Convention on Migratory Species (CMS), its Indian Ocean and South-East Asia Marine Turtle Memorandum of Understanding (IOSEA), the Inter-American Convention for the Protection and Conservation of Sea Turtles (IAC), and the Ramsar Convention and the Protocol concerning Specially Protected Areas and Wildlife (SPAW) are encouraged to communicate and collaborate with each other on the management and sustainable use of marine turtles to ensure the compatibility of activities, optimize resources, promote research, and enhance synergies concerning the conservation of marine turtles.
18.215	**Marine turtles (Cheloniidae spp. and Dermochelyidae spp.)**	*Directed to the International Consortium on Combating Wildlife Crime (ICCWC)*	The International Consortium on Combating Wildlife Crime (ICCWC) is encouraged to, as appropriate, use data on illegal trade in marine turtles submitted under Decision 18.211, paragraph e) to the Secretariat in Parties' annual illegal trade reports in its activities.
18.216	**Marine turtles (Cheloniidae spp. and Dermochelyidae spp.)**	*Directed to the Animals Committee*	The Animals Committee is asked to: a) review, at its 31st meeting, the study contained in information document CoP18 Inf. 18 and any additional information received by the Secretariat in response to the Notification issued under Decision 18.210, paragraph f); and b) submit recommendations, as appropriate, for consideration by the Standing Committee.

18.217	**Marine turtles (Cheloniidae spp. and Dermochelyidae spp.)**	*Directed to the Standing Committee*	The Standing Committee is asked to: a) review, at its 73rd meeting, the study contained in information document CoP18 Inf. 18 and any additional information received by the Secretariat in response to the
			Notification issued under Decision 18.210, paragraph f), and the recommendations of the Animals Committee; and b) submit its recommendations to the 19th meeting of the Conference of the Parties, as appropriate.
18.218	**Sharks and rays (Elasmobranchii spp.)**	*Directed to Parties*	Parties are encouraged to: a) provide information to the Secretariat in support of the study called for in Decision 18.221 paragraph a), in particular on any national management measures that prohibit commercial take or trade, and in response to the Notification called for in Decision 18.220; b) in accordance with their national legislation, provide a report to the Secretariat about the assessment of stockpiles of shark parts and derivatives for CITES-listed species stored and obtained before the entry into force of the inclusion in CITES in order to control and monitor their trade, if applicable; c) inspect, to the extent possible under their national legislation, shipments of shark parts and derivatives in transit or being transhipped, to verify presence of CITES-listed species and verify the presence of a valid CITES permit or certificate as required under the Convention or to obtain satisfactory proof of its existence; and d) continue to support the implementation of the Convention for sharks, including by providing funding for the implementation of Decisions 18.219, 18.221 and 18.222, and considering seconding staff members with expertise in fisheries and the sustainable management of aquatic resources to the Secretariat.
18.219	**Sharks and rays (Elasmobranchii spp.)**	*Directed to the Secretariat*	Subject to external funding, the Secretariat shall continue to provide capacity-building assistance for implementing Appendix-II shark and ray listings to Parties upon request.

18.220	**Sharks and rays (Elasmobranchii spp.)**	*Directed to the Secretariat*	The Secretariat shall: a) issue a Notification to the Parties, inviting Parties to: i) provide concise summaries of new information on their shark and ray conservation and management activities, in particular: A. the making of non-detriment findings; B. the making of legal acquisition findings; C. the identification of CITES-listed shark-products in trade; and D. recording stockpiles of commercial and/or pre-Convention shark parts and derivatives for CITES Appendix-II elasmobranch species and controlling the entry of these stocks into trade; and ii) highlight any questions, concerns or difficulties Parties are having in writing or submitting documentation on authorized trade for the CITES Trade Database; b) provide information from the CITES Trade Database on commercial trade in CITES-listed sharks and rays since 2000, sorted by species and, if possible, by product;
			c) disseminate existing guidance identified, or newly developed, guidance on the control and monitoring of stockpiles of shark parts and derivatives pursuant to Decision18.224, paragraph b) by the Standing Committee; and d) collate this information for the consideration of the Animals Committee and the Standing Committee.
18.221	**Sharks and rays (Elasmobranchii spp.)**	*Directed to the Secretariat*	The Secretariat shall, subject to external funding, and in collaboration with relevant organizations and experts: a) conduct a study to investigate the apparent mismatch between the trade in products of CITES-listed sharks recorded in the CITES Trade Database and what would be expected against the information available on catches of listed species; and b) bring the results of the study in paragraph a) to the attention of the Animals Committee or Standing Committee, as appropriate.

18.222	**Sharks and rays (Elasmobranchii spp.)**	*Directed to the Secretariat*	The Secretariat, subject to external funding, is requested to collaborate closely with the Food and Agriculture Organization of the United Nations (FAO) to: a) verify that information about Parties' shark management measures are correctly reflected in the shark measures database developed by FAO (http://www.fao.org/ipoa-sharks/database-of-measures/en/) and, if not, support FAO in correcting the information; b) compile clear imagery of wet and dried unprocessed shark fins (particularly, but not exclusively, those from CITES-listed species) along with related species level taxonomic information to facilitate refinement of iSharkFin software developed by FAO; c) conduct a study analysing the trade in non-fin shark products of CITES-listed species, including the level of species mixing in trade products and recommendations on how to address any implementation challenges arising from the mixing that may be identified; and d) bring the results of activities in paragraphs a) to c) to the attention of the Animals Committee or Standing Committee, as appropriate.
18.223	**Sharks and rays (Elasmobranchii spp.)**	*Directed to the Animals Committee*	The Animals Committee, in collaboration with relevant organisations and experts, shall: a) continue to develop guidance to support the making of non-detriment findings (NDFs), in particular in data-poor, multi-species, small-scale/artisanal, and non-target (bycatch) situations, for CITES-listed shark species; and b) report the outcomes of its work under Decision 18.223, paragraph a) to the 19th meeting of the Conference of the Parties.
18.224	**Sharks and rays (Elasmobranchii spp.)**	*Directed to the Standing Committee*	The Standing Committee shall: a) develop guidance on the making of legal acquisition findings, and related assessments for introductions from the sea for CITES-listed shark species in the context of the implementation of Resolution Conf. 18.7 on *Legal acquisition findings*;
			b) develop new guidance or identify existing guidance on the control and monitoring of stockpiles of shark parts and derivatives, in particular for specimens caught prior to the inclusion of the species in Appendix II; and c) report its findings under Decision 18.224,paragraphs a) and b) to the 19th meeting of the Conference of the Parties.
18.225	**Sharks and rays (Elasmobranchii spp.)**	*Directed to the Animals Committee and the Standing Committee*	The Animals Committee and Standing Committee shall analyse and review the results of any of the activities under Decisions 18.221 and 18.222 brought to their attention by the Secretariat, and with the support of the Secretariat prepare a joint report for the 19th meeting of the Conference of the Parties on the implementation of these Decisions.

18.226	**Trade in Asian elephants (*Elephas maximus*)**	*Directed to Parties*	All Parties involved in the trade in Asian elephants and their parts and derivatives are encouraged to: a) undertake, as necessary, investigations into the illegal trade in Asian elephants and their parts and derivatives, and endeavour to enforce, and where necessary improve, national laws concerning international trade in specimens of Asian elephants with the explicit intention of preventing illegal trade; b) develop strategies to manage captive Asian elephant populations; c) ensure that trade in, and cross-border movements of live Asian elephants are conducted in compliance with CITES, including the provisions in Article III, paragraph 3, for Asian elephants of wild origin; d) collaborate in the development and application of a regional system for registering, marking and tracing live Asian elephants, requesting as necessary assistance from experts, specialized agencies or the Secretariat; and e) at the request of the Secretariat, provide information on the implementation of this Decision for reporting by the Secretariat to the Standing Committee.
18.227	**Trade in Asian elephants (*Elephas maximus*)**	*Directed to the Secretariat*	The Secretariat shall: a) request a report from all Parties involved in trade in Asian elephants and their parts and derivatives on the implementation of paragraphs a) through d) of Decision 18.226; b) upon request and pending the availability of external funding, assist range States of Asian elephants in their implementation of Decision 18.226; and c) incorporate information provided by range States in accordance with Decision 18.226, paragraph e), together with other findings and recommendations concerning trade in Asian elephants and their parts and derivatives as appropriate, into its regular reporting to the Standing Committee on the implementation of Resolution Conf. 10.10 (Rev. CoP18) on *Trade in elephant specimens*.
18.228	**Seahorses (*Hippocampus* spp.)**	*Directed to the Secretariat*	The Secretariat shall include available materials to support CITES implementation for seahorses (non-detriment findings guidance, identification materials, etc.) on the CITES website.

18.229	**Seahorses (*Hippocampus* spp.)**	*Directed to the Secretariat*	The Secretariat shall: a) issue a Notification to the Parties inviting them to inform the Secretariat of any national management measures that regulate or restrict international trade in seahorses, and on how they are implementing and enforcing such measures for seahorses; b) compile the responses received to the Notification issued as per paragraph a) of the present Decision and communicate them to CITES Authorities through a Notification to the Parties and through its website; and c) subject to external funding: i) commission a study on trade in *Hippocampus* spp., including applicable regulations, to understand shifts in international trade patterns since the inclusion of seahorses in Appendix II and the Review of Significant Trade of *Hippocampus* spp., as well as the implementation challenges and possible solutions; and ii) organize an expert workshop to discuss the implementation and enforcement of CITES for trade in *Hippocampus* spp., including the recommendations and outcomes from the Review of Significant Trade process, and propose practical steps to address implementation and enforcement challenges; and d) report on the implementation of paragraphs a) through c) of the present Decision to the Animals and Standing Committee, as appropriate.
18.230	**Seahorses (*Hippocampus* spp.)**	*Directed to Parties*	To support the effective implementation of Appendix II of CITES for seahorses, Parties are invited to: a) inform the Secretariat of any national management measures that regulate or restrict international trade in seahorses; and how they are implementing and enforcing such measures for seahorses; b) share copies of their non-detriment findings with the Secretariat for posting on the CITES website to assist other CITES Parties; and c) inform seahorse traders within their jurisdiction of any quotas, including any zero quotas, and any trade suspensions for seahorses to further facilitate compliance and enforcement by all participants in the trade.
18.231	**Seahorses (*Hippocampus* spp.)**	*Directed to Parties*	Parties are encouraged to: a) use existing tools for effective CITES implementation and enforcement that are relevant to seahorses; b) where quotas, trade suspensions, or both are in place, develop monitoring programmes for seahorses in their national waters to understand effectiveness of these actions and any other relevant implementation and enforcement actions for seahorse conservation and management; and c) share the design and initial results of these programmes with the Secretariat to report to the 19th meeting of the Conference of the Parties.

18.232	**Seahorses (*Hippocampus* spp.)**	*Directed to the Animals Committee*	The Animals Committee shall analyse and review the results of any activities under Decision 18.229 and other relevant information available to the Animals Committee and

			develop recommendations as appropriate to ensure sustainable and legal trade in seahorses.
18.233	**Seahorses (*Hippocampus* spp.)**	*Directed to the Standing Committee*	The Standing Committee shall analyse and review the results of any activities under Decision 18.229 and develop recommendations as appropriate to strengthen CITES implementation and enforcement for trade in seahorses.
18.234	**Rosewood tree species [Leguminosae (Fabaceae)]**	*Directed to the Secretariat*	The Secretariat shall: a) subject to external resources, undertake the following study: i) provide or confirm, with the nomenclature specialist of the Plants Committee, a reference list of genera that are commonly referred to as "rosewood tree species", noting that at present the species from the following CITES and non-CITES listed genera have been assumed as such by the CITES community: *Caesalpinia, Cassia, Dalbergia, Dicorynia, Guibourtia, Machaerium, Millettia, Pterocarpus* and *Swartzia*; ii) taking into consideration the existing information (including that developed under the ongoing CITES Tree Species Programme), and based on the available lists of species in trade, compile available data and information to address information gaps on the biology, population status, management, use and trade for CITES-listed rosewood tree species as a first priority; and as a second priority, non-CITES listed rosewood tree species, in particular those that are highly sought after for the timber trade; iii) assess the effects of international trade on wild populations of the species concerned; and iv) take into account the relevant work on timber identification to be carried out under Decisions 18.140 to 18.143 on *Identification of timber and other wood products*; b) issue a Notification seeking input from Parties, in particular exporting, re-exporting and importing countries, and relevant stakeholders to provide information to the Secretariat to share with the consultant for the purposes of completing the study outlined under paragraph a) above; c) report on progress regarding the study to the Plants Committee; d) taking into consideration the advice of the Plants Committee, and subject to external funding, organize an international workshop, inviting relevant range States, trading countries, relevant organizations, industry representatives and other experts, with a view to presenting and discussing the results, and develop recommendations; e) submit the final study for consideration by the Plants Committee, as well as the outcomes of the workshop if held; and f) seek external resources to support the study, and the workshop as appropriate.

18.235	**Rosewood tree species [Leguminosae (Fabaceae)]**	*Directed to Parties*	Parties are encouraged to: a) respond to the Notification described in paragraph b) of Decision 18.234 in close collaboration with relevant stakeholders; and
			b) support the work of the consultancy, and the workshop as appropriate, including seeking external resources from relevant stakeholders.
18.236	**Rosewood tree species [Leguminosae (Fabaceae)]**	*Directed to the Plants Committee*	The Plants Committee shall: a) consider the progress reported by the Secretariat and make recommendations regarding the study and the need for the international workshop referred to under Decision 18.234; b) consider the final study, and outcomes of the workshop if held, and make recommendations on how to enhance implementation for CITES-listed rosewood tree species with a particular focus on non-detriment findings including with respect to capacity building; and make further recommendations regarding non-CITES listed rosewood tree species; and c) make recommendations to the Standing Committee and the 19th meeting of the Conference of the Parties as appropriate.
18.237	**Rosewood tree species [Leguminosae (Fabaceae)]**	*Directed to the Standing Committee*	The Standing Committee shall consider any report prepared in response to Decision 18.236 and identify any implementation and enforcement issues associated with the international trade in rosewood tree species, particularly those already listed in the Appendices, and develop recommendations for more effective implementation of the Convention for rosewood tree species. The Standing Committee shall furthermore take into account considerations related to revisions to annotations, and identification of terms in annotations that require further clarification and convey them for consideration by the working group on annotations.
18.238	**Pangolins (*Manis* spp.)**	*Directed to all pangolin range States*	All pangolin range States that have not yet done so, are encouraged to take urgent steps to develop and implement *in situ* pangolin management and conservation programmes, which includes population assessments, as anticipated in paragraph 7 of Resolution Conf. 17.10 on *Conservation of and trade in pangolins*, and report on the implementation of this Decision to the Secretariat.

18.239	**Pangolins (*Manis* spp.)**	*Directed to the Secretariat*	The Secretariat shall, subject to external funding, work with the Species Survival Commission Pangolin Specialist Group of the International Union for Conservation of Nature (IUCN) and other relevant experts and in collaboration with the pangolin range States to develop conversion parameters for all pangolin species, that will enable the reliable determination of the number of animals associated with any quantity of pangolin scales seized, that can be used by Parties in cases where national legislation demands that such information be provided for court purposes.
18.240	**Pangolins (*Manis* spp.)**	*Directed to the Secretariat*	The Secretariat shall: a) report on the implementation of Decisions 18.238 and 18.239, to the Animals Committee, as appropriate; b) bring any tools or materials brought to its attention in accordance with Decision 18.242, to the attention of the Animals Committee or the Standing Committee, as
			appropriate, together with any recommendations it may have, and taking into account any subsequent recommendations from the Animals Committee or the Standing Committee, make such tools or materials available to the Parties; c) subject to external funding, work with relevant experts and the pangolin range States to prepare a report for review by the Animals Committee and Standing Committee on: i) the national conservation status of pangolin species, ii) legal and illegal trade in pangolins, iii) stocks of specimens of pangolins and stockpile management, and iv) enforcement issues.
18.241	**Pangolins (*Manis* spp.)**	*Directed to the Standing Committee*	The Standing Committee shall: a) consider the report and any recommendations of the Secretariat in accordance with Decision 18.240 paragraphs b) and c), and any recommendations of the Animals Committee in accordance with Decision 18.243. b) make recommendations to the Parties or the Secretariat as appropriate; and c) report the results of its work together with any recommendations it may have, to the Conference of the Parties at its 19th meeting.
18.242	**Pangolins (*Manis* spp.)**	*Directed to Parties, intergovernmental organizations, international aid agencies and nongovernmental organizations*	Parties, intergovernmental organizations, international aid agencies and non-governmental organizations that develop tools or materials that could assist Parties in the implementation of Resolution Conf. 17.10, are invited to bring such tools or materials to the attention of the Secretariat.

18.243	**Pangolins (*Manis* spp.)**	*Directed to the Animals Committee*	The Animals Committee shall review any information brought to its attention by the Secretariat in accordance with Decisions 18.238, 18.239, 18.240 and 18.242, and make recommendations as appropriate to the Standing Committee and the Secretariat.
18.244	**African lions (*Panthera leo*) and the CITES Big Cats Task Force**	*Directed to the Secretariat*	Subject to external funding, the Secretariat shall, in collaboration with African lion range States, the Convention on Migratory Species (CMS) and the International Union for Conservation of Nature (IUCN) and, as appropriate, taking into consideration the joint CITES-CMS African Carnivores Initiative and the *Guidelines for the Conservation of Lions in Africa*: a) support the implementation of activities in joint African lion conservation plans and strategies that relate to trade in African lion specimens and the implementation of CITES and, as needed, the review of such plans and strategies; b) jointly with the CMS Secretariat undertake a comparative study of African lion population trends and conservation and management practices, such as lion hunting, within and between countries, including the role, if any, of international trade; c) support capacity-building in African lion conservation and management including where appropriate, in the making of non-detriment findings by range States according
			to Resolution Conf. 16.7 (Rev. CoP17) on *Non-detriment findings* and the implementation of Resolution Conf. 17.9 on *Trade in hunting trophies of species listed in Appendix I or II*; d) assist in maintaining a joint CITES-CMS webportal on African lions, that also allows for the posting and sharing of information and guidance on the conservation and management of African lions; e) share the *Guidelines for the Conservation of Lions in Africa* and any relevant update with the Animals Committee for its review, as appropriate; and f) report on the implementation of the present Decision to the 32nd meeting of the Animals Committee and the 74th meeting of the Standing Committee and to the Conference of the Parties at its 19th meeting.

18.245	**African lions (*Panthera leo*) and the CITES Big Cats Task Force**	*Directed to the Secretariat*	The Secretariat shall: a) draft, terms of reference and a *modus operandi* for the CITES Big Cat Task Force prior to convening its first meeting and submit it to the 73rd Standing Committee for review and adoption, and subject to external resources: b) establish and convene, in consultation with the Standing Committee, a CITES Big Cats Task Force (Task Force), focusing on big cat species from Africa, Asia and Latin America, and consisting of representatives from Parties most affected by the illegal trade in big cats, the International Consortium on Combating Wildlife Crime partner organizations, other Parties and organizations, as appropriate, and experts who the Secretariat determines may contribute to the Task Force; c) provide support to the Task Force allowing it, *inter alia*, to: i) discuss enforcement and implementation issues related to the illegal trade in specimens of big cats; ii) as deemed appropriate, exchange intelligence and other information on the illegal trade in big cats; and iii) develop strategies and make recommendations to improve international cooperation regarding the enforcement of CITES concerning illegal trade in specimens of big cats; and d) report the findings and recommendations of the Task Force to the 74th meeting of the Standing Committee for its consideration, and for making its own recommendations as appropriate.
18.246	**African lions (*Panthera leo*) and the CITES Big Cats Task Force**	*Directed to the Secretariat*	The Secretariat shall, subject to external resources: a) conduct further research and analysis on the legal and illegal trade in lions and other big cats to better understand trends, linkages between trade in different species, and the commodities in trade which contain, or claim to contain, such specimens; b) assess whether the trade in lion specimens reported under purpose code “H” follows the guidance in Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*,

			paragraph 3 h), and whether additional reporting specificities or descriptions are needed; c) develop guidance materials for the identification of lion and other big cat specimens in trade in consultation with relevant experts; d) develop and support, in consultation with relevant experts, the use of appropriate forensic-type techniques for identifying lions and other big cat species in trade; e) share relevant information generated through the implementation of this Decision with the CITES Big Cats Task Force; and f) report on the implementation of the present Decision to the 32nd meeting of the Animals and the 74th meeting of the Standing Committees as appropriate, and to the Conference of the Parties at its 19th meeting.
18.247	**African lions (*Panthera leo*) and the CITES Big Cats Task Force**	*Directed to the Animals Committee*	The Animals Committee shall: a) review the *Guidelines for the Conservation of Lions in Africa* and any relevant update, as appropriate; b) review the information reported by the Secretariat under Decisions 18.244 and 18.246, and submit recommendations to the Secretariat, the Standing Committee and African lion range States, as appropriate.
18.248	**African lions (*Panthera leo*) and the CITES Big Cats Task Force**	*Directed to the Standing Committee*	The Standing Committee shall: a) review and adopt the draft terms of reference, membership and *modus operandi* for the CITES Big Cat Task Force submitted by the Secretariat as per Decision 18.245, paragraphs a) and b) prior to convening the first meeting of the Task Force; b) consider at its 74th meeting the reports submitted by the Animals Committee and the Secretariat, as per Decisions 18.244 to 18.247, and make recommendations to the Animals Committee, the Secretariat and African lion range States, as appropriate; c) recommend further actions to be taken, including the possible need for the development of a draft resolution, on the conservation of the African lion taking into consideration Decisions 18.244, 18.245 and 18.247; and d) report on the implementation of Decision 18.248, and formulate recommendations as appropriate, to the Conference of the Parties at its 19th meeting.

18.249	**African lions (*Panthera leo*) and the CITES Big Cats Task Force**	*Directed to Parties*	Parties, including range States and consumer countries of African lion, as relevant, are encouraged to: a) increase enforcement efforts to detect illegal, unreported or misreported trade in specimens of African lion and other big cats; b) use, where appropriate, South Africa's Barcode of Wildlife Project to help identify lion specimens in trade and, when importing lion specimens from South Africa, collaborate where necessary with relevant authorities in South Africa to improve the traceability of such specimens;
			c) provide details on the observed and/or removed lion body parts in trade when collecting and communicating data on illegal killing and illegal trade in lions to CITES in their annual reports; and d) cooperate on lion conservation, including by sharing information on lion populations, illegal killing and illegal trade.
18.250	**African lions (*Panthera leo*) and the CITES Big Cats Task Force**	*Directed to Parties, governmental, intergovernmental, non-governmental organizations, donors and other entities*	All Parties, governmental, intergovernmental, non-governmental organizations, donors and other entities are encouraged to support African lion range States and the Secretariat in their efforts to conserve and restore African lions across their range, taking into consideration the *Guidelines for the Conservation of Lions in Africa*; and in implementing Decisions 18.244 to 18.246, and 18.249.

18.251	**Jaguars (*Panthera onca*)**	*Directed to the Secretariat*	The Secretariat shall: a) subject to the availability of external funding, commission a study on illegal trade in jaguars (*Panthera onca*) to: i) map illegal trade in the jaguar throughout its range, including poaching, trade pathways and networks, and main markets that are driving this trade, and how it is connected to other wildlife trafficking activities in the region; ii) analyse the uses of jaguar specimens, both within range states and in international markets, as well as the extent to which illegally-sourced jaguar products are entering international trade; iii) analyse the *modus operandi* associated with illegal trade in jaguar specimens and possible drivers of this activity; and iv) characterize the overall impact of illegal trade on jaguar populations throughout the species' range; b) present the findings of the study referred to in Decision 18.251, paragraph a) to the Standing Committee together with any recommendations it may consider relevant; and c) issue a Notification seeking input from Parties, in particular exporting, re-exporting and importing countries affected by illegal trade in jaguar (*Panthera onca*) specimens, and relevant stakeholders to provide information to the Secretariat for the purposes of completing the study outlined in Decision 18.251, paragraph a).
18.252	**Jaguars (*Panthera onca*)**	*Directed to Parties, especially those that are range States of the jaguar (*Panthera onca*), and relevant stakeholders*	Parties, especially those that are range States of the jaguar (*Panthera onca*) and relevant stakeholders, are encouraged to take action to: a) support the preparation of the study referred to under paragraph a) of Decision 18.251; b) respond to the Notification as described in paragraph c) of Decision 18.251; c) recognize the jaguar (*Panthera onca*) as the flagship species of its range countries so that the protection and conservation of the species and its habitat becomes a joint priority;

			d) urgently adopt comprehensive legislation and enforcement controls aimed at eliminating the poaching of jaguars (*Panthera onca*) and illegal trade in their parts and derivatives, including online sales of specimens; e) promote the design and implementation of conservation corridors between range countries of the jaguar (*Panthera onca*), strengthening cooperation mechanisms on a local, national and regional level in order to promote good conservation practices, channel investments to the conservation of the species, reduce the threats to the connectivity of its habitats, and strengthen the capacities of the main players involved; f) raise awareness about the importance of the jaguar, its role in the ecosystem and the threats it faces, including illegal trade; g) participate in conferences and workshops, among other events, in order to share experiences and knowledge about the priority issues identified to combat illegal trade in jaguars (*Panthera onca*); and h) consider making a voluntary contribution to conduct the study or implement its recommendations.
18.253	**Jaguars (*Panthera onca*)**	*Directed to the Standing Committee*	The Standing Committee shall consider the findings of the study referred to in Decision 18.251, paragraph a) as well as the report and recommendations of the Secretariat and make recommendations as appropriate until the 19th meeting of the Conference of the Parties.
18.254	**Leopards (*Panthera pardus*) in Africa**	*Directed to the Secretariat*	The Secretariat shall share with the Animals Committee the *Roadmap for the Conservation of the Leopard in Africa* by the International Union for Conservation of Nature (IUCN)for its review.
18.255	**Leopards (*Panthera pardus*) in Africa**	*Directed to the Animals Committee*	The Animals Committee shall review the *Roadmap for the Conservation of the Leopard in Africa* by IUCN, and make recommendations, as appropriate, concerning the aspects of it that relate to the implementation of CITES.

18.256	**Songbird trade and conservation management (Passeriformes)**	*Directed to the Secretariat*	Subject to available funds, the Secretariat shall: a) within 12 months of the conclusion of the 18th meeting of the Conference of the Parties, commission a preliminary study on the scale and scope of international songbird trade to consider the management and conservation priorities of songbird taxa involved in such trade; b) consult with appropriate technical experts in the preparation of documents on the conservation, trade, management, enforcement and regulatory priorities of the songbird taxa identified; c) convene a technical workshop to consider the findings of the study and the reports referred to in paragraph b); d) invite the members of the Animals and Standing Committees, representatives from range, exporting, transit and consumer States, and relevant intergovernmental and non-governmental organizations to participate in the workshop; and
			e) make the results of the study and workshop, together with recommendations, available to the Animals Committee for its consideration.
18.257	**Songbird trade and conservation management (Passeriformes)**	*Directed to the Animals Committee*	The Animals Committee shall review document CoP18 Doc. 79 and the results of the study and workshop on trade in songbirds, with the recommendations of the Secretariat, as per Decision 18.256, and make its own recommendations to the Standing Committee or 19th meeting of the Conference of the Parties, as appropriate.
18.258	**Songbird trade and conservation management (Passeriformes)**	*Directed to the Standing Committee*	The Standing Committee shall consider the recommendations by the Animals Committee and make its own recommendations to the 19th meeting of the Conference of the Parties.
18.259	**Songbird trade and conservation management (Passeriformes)**	*Directed to Parties, non-governmental organizations, commercial traders, and donors*	Parties and non-Parties, intergovernmental organizations, non-governmental organizations, commercial traders and donors are encouraged to provide funding to the Secretariat for the implementation of these Decisions.
18.260	**African cherry (*Prunus africana*)**	*Directed to the Plants Committee*	The Plants Committee shall: a) review the recommendations from the *Prunus africana*-related discussions within the 'CITES Tree Species Programme Regional Meeting for Africa' and advise the range States of *Prunus africana* of appropriate actions; and b) submit a report on the outcomes of Decision 18.260, paragraph a), and provide recommendations to the Standing Committee, as appropriate, and report to the 19th meeting of the Conference of the Parties.

18.261	**African cherry (*Prunus africana*)**	*Directed to the Secretariat*	The Secretariat shall report to the Plants Committee at its 25th meeting about the recommendations from the *Prunus africana*-related discussions within the '*CITES Tree Species Programme Regional Meeting for Africa*' for consideration and advice to the range States of *Prunus africana*.
18.262	**African cherry (*Prunus africana*)**	*Directed to the Standing Committee*	The Standing Committee shall review any report received from the Plants Committee on the implementation of Decision 18.260 and provide recommendations as appropriate to the Parties and the Plants Committee.
17.256 (Rev. CoP18)	**African grey parrots (*Psittacus erithacus*)**	*Directed to range States of* Psittacus erithacus	The range States of *Psittacus erithacus* should, with the support of the Secretariat, relevant experts, relevant CITES Parties, non-governmental organizations and other stakeholders, develop and update National Action Plans, with timeframes, deliverables, and milestones, for the conservation of the species. The following key issues should be addressed: a) as appropriate, undertake a scientifically based field survey to establish the population status of the species, as well as population trends, in the range States to review progress made towards the restoration and conservation of the species, and in support of the activities proposed in paragraph c); b) implement law enforcement activities to combat illegal trade and report results in their annual illegal trade and implementation reports;
			c) identify suitable habitat in range States for re-population of *Psittacus erithacus* where appropriate and feasible, using wild sourced specimens seized from illegal trade and following internationally agreed guidelines for any such reintroductions; and d) assess the possibility of establishing *in situ* captive-breeding facilities for the species, in collaboration with States with breeding facilities.
17.258 (Rev. CoP18)	**African grey parrots (*Psittacus erithacus*)**	*Directed to Parties and the Secretariat*	Until the 19th meeting of the Conference of the Parties, in the evaluation of applications to register facilities breeding *Psittacus erithacus* for commercial purposes, pursuant to Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes*, consideration should be given to: a) the recommendations of the Management Authority and Scientific Authority of the Party; b) national measures to regulate domestic trade in this species which may not previously have been required due to its former Appendix-II status; c) any compliance measures directed to the Party submitting the application to register the facility; and d) whether the Party has been included in the Review of Significant Trade concerning the species in the prior 10 years from the effective listing date.

18.263	**Banggai cardinalfish (*Pterapogon kauderni*)**	*Directed to Indonesia*	Indonesia is encouraged to continue its conservation and management measures to ensure the sustainability of international trade in *Pterapogon kauderni*, and submit a progress report on these measures, including on the implementation of recommendations made by the Animals Committee in document AC30 Com.1 (Rev. by Sec.), to the Secretariat for onward transmittal to the Animals Committee, with its own recommendations, as appropriate.
18.264	**Banggai cardinalfish *(Pterapogon kauderni)***	*Directed to Parties*	Parties are encouraged to consider supporting Indonesia in implementing Decision 18.263.
18.265	**Banggai cardinalfish *(Pterapogon kauderni)***	*Directed to the Animals Committee*	The Animals Committee shall review the report submitted by Indonesia as referred to under Decision 18.263 and make recommendations during its 31st meeting (AC31).
18.266	**Helmeted hornbill (*Rhinoplax vigil*)**	*Directed to Parties*	Parties, especially range, transit and consumer States, should provide information to the Secretariat on their implementation of Resolution Conf. 17.11 on *Conservation of, and trade in, helmeted hornbill*, including any challenges encountered, and provide information in response to the Notification issued pursuant to Decision 18.267, paragraph c) below.
18.267	**Helmeted hornbill (*Rhinoplax vigil*)**	*Directed to the Secretariat*	The Secretariat shall: a) subject to the availability of external funding and upon request, assist relevant Parties in their implementation of Resolution Conf. 17.11, especially regarding the implementation of the helmeted hornbill (*Rhinoplax vigil*): *Status Review, range- wide conservation Strategy and Action Plan (2018-2027) ("Action Plan")*, and challenges communicated under Decision 18.266;
			b) liaise as appropriate with the International Consortium on Combating Wildlife Crime (ICCWC) and other relevant networks and organizations to convey Resolution Conf. 17.11, draw attention to the Action Plan for the conservation of the helmeted hornbill, and invite them to consider these in planning and executing their activities; and c) through a Notification and bilateral consultation as needed, request Parties, especially, range, transit and consumer States and other relevant experts, to provide information on helmeted hornbill trade routes as well as the implementation of Resolution Conf. 17.11.
18.268	**Helmeted hornbill (*Rhinoplax vigil*)**	*Directed to the Secretariat*	The Secretariat shall provide a report, including the responses received and its recommendations, to the 73rd meeting of the Standing Committee on the implementation of Decisions 18.266 and 18.267 and, on the basis of recommendations by the Standing Committee, take additional actions as appropriate.

18.269	**Helmeted hornbill (*Rhinoplax vigil*)**	*Directed to the Standing Committee*	The Standing Committee at its 73rd and 74th meeting shall review the implementation of Decisions 18.266 to 18.268 and any other information made available to it and, based on its review and deliberations make any recommendations to the Secretariat and Parties (range, transit and consumer States) for further actions, and report to the Conference of the Parties at its 19th meeting.
18.270	**Saiga antelope (*Saiga* spp.)**	*Directed to range States of saiga antelope (*Saiga *spp.) (Kazakhstan, Mongolia, the Russian Federation, Turkmenistan and Uzbekistan), and important consumer and trading countries of saiga parts and derivatives*	a) The range States of the saiga antelope (*Saiga* spp.) and important consumer and trading countries of saiga parts and derivatives, as identified by the Secretariat on the basis of CITES trade data, should fully implement the measures directed to them in the *Medium-Term International Work Programme for the Saiga Antelope for 2016-2020* [MTIWP (2016-2020)] and for 2021-2025 [MTIWP (2021-2025)], developed in support of the *Memorandum of Understanding concerning Conservation, Restoration and Sustainable Use of the Saiga Antelope (*Saiga *spp.)* and its *Saiga Action Plan*; and b) Consistent with the measures directed to Saiga range States in the Medium-Term International Work Programme for the Saiga Antelope for 2016-2020 [MTIWP (2016-2020)], the range States of the saiga antelope are encouraged to establish internal market controls for saiga parts, including registration of stockpiles, labelling of parts and products, and registration of manufacturers and traders, and report such information to the CITES Secretariat.
18.271	**Saiga antelope (*Saiga* spp.)**	*Directed to the Secretariat*	Subject to the availability of external resources, the Secretariat shall: a) assist the Secretariat of the Convention on the Conservation of Migratory Species of Wild Animals (CMS) in organizing the fourth meeting of the signatories of the *Memorandum of Understanding concerning Conservation, Restoration and Sustainable Use of the Saiga Antelope (*Saiga *spp.)*, expected to be held in the Russian Federation in 2020;

			b) in collaboration with the CMS Secretariat, provide inputs as needed in developing a *Medium-Term International Work Programme for the Saiga Antelope for 2021-2025* [MTIWP (2021-2025)], developed in support of the Memorandum of Understanding concerning Conservation, Restoration and Sustainable Use of the Saiga Antelope (*Saiga* spp.) and its Saiga Action Plan; c) review, in consultation with the CMS Secretariat, the conservation of and trade in saiga antelope, *Saiga* spp., based on available data on legal and illegal trade, materials and outcomes of the fourth meeting of saiga MoU signatories, and stakeholder consultations, and report any consequent findings and recommendations to the Animals Committee, and to the Standing Committee in the context of the implementation of Resolution Conf. 13.3 on *Cooperation and synergy with the Convention on the Conservation of Migratory Species of Wild Animals (CMS)* and the joint CMS-CITES work programme; d) consult saiga range States and major trading and consumer States concerning their management of stockpiles of saiga specimens; review processes and practices; and provide assistance in ensuring effective stockpile management and monitoring, including the development of inventories and strengthening stockpile security; and e) report to the Animals Committee and Standing Committee on the implementation of this Decision, as appropriate.
18.272	**Saiga antelope (*Saiga* spp.)**	*Directed to the Animals Committee*	The Animals Committee shall, as appropriate, consider any findings and recommendations submitted by the Secretariat in accordance with Decision 18.271, and make recommendations to the Standing Committee.
18.273	**Saiga antelope (*Saiga* spp.)**	*Directed to the Standing Committee*	The Standing Committee shall, as appropriate, consider any findings and recommendations submitted by the Animals Committee and the Secretariat in accordance with Decisions 18.271 and 18.272, and make recommendations as necessary.
18.274	**Saiga antelope (*Saiga* spp.)**	*Directed to saiga antelope range States, Parties, multilateral environmental agreements, intergovernmental organizations, non-governmental organizations, and other stakeholders*	Saiga antelope range States, Parties, multilateral environmental agreements, intergovernmental organizations, non-governmental organizations and other stakeholders are encouraged to collaborate in the conservation and restoration of the saiga antelope (*Saiga* spp.), and to support the implementation of MTIWP (2016-2020) and MTIWP (2021-2025).

18.275	**Queen conch (*Strombus gigas*)**	*Directed to the range States of* Strombus gigas	The range States of *Strombus gigas* are encouraged to: a) collaborate to implement the *Regional Queen Conch Fisheries Management and Conservation Plan*, and develop national Queen Conch Fisheries Management and Conservation Plans, as appropriate;
			b) continue to collect data on weight of *S. gigas* by processing grade in order to update and improve the regional conversion factors, and establish or update national conversion factors, taking into account the spatial variability and characteristics of the species; c) collaborate in developing and implementing joint research programmes at the sub-regional or regional level to support the making of non-detriment findings that take into account all fishing mortality, promote relevant research and capacity-building activities through regional fisheries management entities and mobilize financial resources for data collection; d) promote and collaborate in developing and implementing public education and awareness programmes regarding the conservation and sustainable use of *S. gigas*; e) continue to collaborate in exploring ways to enhance the traceability of specimens of *S. gigas* in international trade, including, but not limited to, catch certificates, labelling systems and the application of genetic techniques, and consider sharing relevant experiences with the Secretariat, Parties and the Standing Committee, as appropriate, in the context of discussions on traceability systems for trade in CITES-listed species; f) collaborate on combatting illegal, unreported and unregulated (IUU) fishing activity; g) make available to the Standing Committee, through the Secretariat, information concerning illegal trade in queen conch, including surveillance and enforcement activities, as appropriate; and h) provide information to the Secretariat on the implementation of paragraphs a) to f) of this Decision to allow it to report at the 19th meeting of the Conference of the Parties, in accordance with Decision 18.280, as appropriate.
18.276	**Queen conch (*Strombus gigas*)**	*Directed to the Animals Committee*	If requested by range States of *S. gigas* or the working group on queen conch composed of the Caribbean Fishery Management Council (CFMC), the Central American Fisheries and Aquaculture Organization (OSPESCA), the Western Central Atlantic Fishery Commission (WECAFC), the Caribbean Regional Fisheries Mechanism (CRFM) and CITES, the Animals Committee shall provide advice regarding the making of non-detriment findings for trade, and on any other technical matters.
18.277	**Queen conch (*Strombus gigas*)**	*Directed to the Standing Committee*	On the basis of reporting by the Secretariat in compliance with Decision 18.275, paragraphs e) and g), the Standing Committee shall review traceability, especially for meat, and enforcement issues concerning international trade in queen conch and make recommendations as appropriate.

18.278	**Queen conch (*Strombus gigas*)**	*Directed to the Secretariat*	The Secretariat shall continue to collaborate with the Food and Agriculture Organization of the United Nations (FAO), the CFMC/OSPESCA/WECAFC/CRFM/CITES working group on queen conch, WECAFC and other relevant international organizations, and, subject to external funding: a) provide assistance to range States of *S. gigas* in order to enhance the capacity of their CITES Management and Scientific Authorities, fisheries authorities and other
			stakeholders to implement the *Regional Queen Conch Fisheries Management and Conservation Plan* and national management plans and make scientifically robust non-detriment findings; and b) provide assistance to range States of *S. gigas* on relevant enforcement issues and report new developments in this regard to the Standing Committee, as appropriate.
18.279	**Queen conch (*Strombus gigas*)**	*Directed to the Secretariat*	The Secretariat shall monitor the development of traceability systems for queen conch and report relevant developments to the Standing Committee, as appropriate.
18.280	**Queen conch (*Strombus gigas*)**	*Directed to the Secretariat*	The Secretariat shall collate the information provided in accordance with Decision 18.275, paragraph h), and report on the progress in the implementation of these Decisions at the 19th meeting of the Conference of the Parties.
18.281	**Titicaca water frog (*Telmatobius culeus*)**	*Directed to the range States of the Titicaca water frog* (Telmatobius culeus)	Range States are encouraged to collaborate and: a) conduct studies aiming to: i) estimate population size of the Titicaca water frog; and, ii) identify and monitor all international illegal trade of specimens of Titicaca water frog; b) strengthen international cooperation mechanisms for the conservation of the Titicaca water frog, and combat its illegal trade; c) develop and implement additional demand reduction strategies; d) continue to raise awareness on the importance of the conservation of the Titicaca water frog, its ecological role, cultural value, and threats, particularly the illegal trade; and e) report on implementation of paragraphs a) through d) above to the Animals Committee.
18.282	**Titicaca water frog (*Telmatobius culeus*)**	*Directed to the Secretariat*	The Secretariat shall issue a Notification to the Parties requesting relevant information as per Decision 18.281, paragraph a), and compile responses and provide them to the range States.

18.283	**Titicaca water frog (*Telmatobius culeus*)**	*Directed to Parties and others*	Parties are encouraged to: a) provide financial and technical assistance to support the implementation of Decision 18.281; and, b) provide relevant information as requested in the Notification mentioned in Decision 18.282 with a view to complement Decision 18.281, paragraphs a) through d).
18.284	**Titicaca water frog (*Telmatobius culeus*)**	*Directed to the Animals Committee*	The Animals Committee shall consider any report submitted by Parties as per Decision 18.281, paragraph e) and develop recommendations for consideration by the Standing Committee or the Conference of Parties, as appropriate.
18.285	**Titicaca water frog (*Telmatobius culeus*)**	*Directed to the Standing Committee*	The Standing Committee shall consider any report submitted by the Animals Committee as per Decision 18.284 and report to the Conference of Parties, as appropriate.
18.286	**Tortoises and freshwater turtles (Testudines spp.)**	*Directed to Madagascar*	Madagascar should: a) review its implementation of Resolution Conf. 11.9 (Rev. CoP18) on *Conservation of and trade in tortoises and freshwater turtles*; and b) report to the 73rd meeting of the Standing Committee on its implementation of Resolution Conf. 11.9 (Rev. CoP18), including in its report, information on any seizures, arrests, prosecutions and convictions secured as a result of activities implemented to address illegal trade in tortoises from Madagascar.
18.287	**Tortoises and freshwater turtles (Testudines spp.)**	*Directed to the Standing Committee*	The Standing Committee shall review the report from Madagascar in accordance with Decision 18.286, and any recommendations from the Secretariat, and consider if any further measures need to be implemented by Madagascar to address illegal trade in tortoises as it affects the Party.
18.288	**Tortoises and freshwater turtles (Testudines spp.)**	*Directed to the Secretariat*	The Secretariat shall, subject to available funding, contract consultants to develop, in collaboration with relevant Parties, experts and the International Consortium on Combating Wildlife Crime (ICCWC), a guide on categories of turtle parts and derivatives in trade, for national agencies responsible for wildlife law enforcement, to raise their awareness of the trade in these types of specimens, to enable initial recognition of such specimens, and to provide guidance on further identification resources and expertise that can be consulted.
18.289	**Tortoises and freshwater turtles (Testudines spp.)**	*Directed to the Secretariat*	The Secretariat shall, to build upon the outcomes of the CITES Tortoise and Freshwater Turtles Task Force and support the initiation of targeted investigations and enforcement action, work with INTERPOL to put in place arrangements for the convening of an INTERPOL Regional Investigative and Analytical Case Management (RIACM) meeting.
18.290	**Tortoises and freshwater turtles (Testudines spp.)**	*Directed to the Secretariat*	The Secretariat shall report at the 19th meeting of the Conference of the Parties on the implementation of Decisions 18.288 and 18.289.

18.291	**Tortoises and freshwater turtles (Testudines spp.)**	*Directed to the Animals Committee*	The Animals Committee shall review the guide on categories of turtle parts and derivatives in trade, developed in accordance with Decision 18.288 and make recommendations for consideration by the Secretariat.
18.292	**Totoaba (*Totoaba macdonaldi*)**	*Directed to Parties*	Parties, in collaboration with relevant stakeholders, are encouraged to: a) communicate to the Secretariat and the CITES Authorities of relevant Parties information on seizures of specimens of totoaba, arrests of those engaged in illegal take and trade, results of any prosecutions, and actions taken to implement this Decision; b) engage in awareness-raising activities on the illegal trade in totoaba, and its severe implications for the conservation of vaquita (*Phocoena sinus*), including demand reduction campaigns; c) eliminate supply and demand for illegally-sourced specimens of totoaba, and strengthen national policies and law enforcement measures to prevent and address their illegal trade;
			d) support efforts related to the recovery and monitoring of wild populations of totoaba and vaquita; e) support Mexico in the implementation of Decision 18.293, including support for gillnet retrieval programmes; and f) provide financial and in-kind support for the implementation of the study called for in Decision 18.294, paragraph c) to be presented before the 73rd meeting of the Standing Committee.

18.293	**Totoaba (*Totoaba macdonaldi*)**	*Directed to Mexico*	Mexico is urged to: a) take immediate and effective actions by 1 November 2019 in response to the threats to totoaba and vaquita posed by illegal trade by: i) deploying governmental authorities with legal powers of seizure and arrest, together with the Navy, to effectively prevent fishers and vessels from entering the Vaquita Refuge area, and invite the Secretariat to assess the effectiveness and impact of these measures before the end of 2019; ii) collecting and analysing information on organized crime groups involved in the illegal trade in totoaba, convening multi-disciplinary investigative teams to work in close collaboration with local authorities in key areas of concern, and undertaking intelligence-driven operations and investigations for addressing illegal trade in totoaba; iii) providing regular (every six months) updates on these actions and their results to the Secretariat; and iv) establishing and operationalizing, together with relevant Parties, the trilateral enforcement contact group called for in the outcomes of the 2017 "Trilateral Meeting China/United States/Mexico On The Combat Against Illegal Traffic Of Totoaba Fish (*Totoaba macdonaldi*) August 23-25, Ensenada, Mexico"; b) intensify efforts and to secure resources to expand gillnet removal efforts to maintain the Vaquita Refuge area as a net-free zone, and take all necessary measures to protect net removal teams and destroy confiscated nets; c) adhere to the implementation of Decision 43 COM 7B.26, adopted at the 43rd session of the World Heritage Committee (Baku, 2019); and d) submit a comprehensive report on the implementation of Decision 18.293, paragraphs a) to d) above, as well as the information required in Decision 18.292, paragraph a), to the Secretariat in time for it to convey this to the Standing Committee at its 73rd meeting, together with any recommendations it may have.
18.294	**Totoaba (*Totoaba macdonaldi*)**	*Directed to the Secretariat*	The Secretariat shall: a) subject to external resources and measurable progress made in implementing actions identified in Decisions 18.292 and 18.293, consider convening before the end of 2019 a meeting of range, transit and consumer States of totoaba, and selected organizations and stakeholders, to evaluate progress made in combating illegal fishing of totoaba, eliminating supply and demand for illegally-sourced specimens of

			totoaba, and strengthening law enforcement measures to prevent and address their illegal trade; b) engage with partner agencies of the International Consortium on Combating Wildlife Crime (ICCWC) in support of activities that could facilitate the initiation of targeted joint investigations and enforcement action from source to destination across the entire illegal trade chain; c) subject to the availability of external resources and in consultation with organizations with relevant expertise, undertake the study on vaquita and totoaba outlined in Annex 2 to document CoP18 Doc. 89 (Rev. 1); and d) report the information communicated by Parties and Mexico in accordance with Decisions 18.292 and 18.293, as well as the outcomes of the meeting convened in accordance with paragraph a) above, to the Standing Committee at its 73rd meeting together with any recommendations it may have.
18.295	**Totoaba** **(*Totoaba macdonaldi*)**	*Directed to the Standing Committee*	The Standing Committee shall: a) review and assess any information and recommendations submitted by the Secretariat in accordance with Decision 18.294; and b) based on its assessment, and if not satisfied with timely progress in the implementation of Decisions 18.292 and 18.293, make any appropriate recommendations within the mandate of the Standing Committee in accordance with Resolution Conf. 14.3 (Rev. CoP18) on *CITES compliance procedures*.

17.302	**African tree species**	*Directed to the Plants Committee*	The Plants Committee shall form a working group on African tree species with the following terms of reference, as well as any other terms it deems appropriate: a) The working group will work primarily via electronic means; b) The working group will seek to facilitate the circulation and exchange of experiences among the range States, importing countries and other stakeholders on the sustainable use and management of CITES-listed African tree species; c) The working group will seek to identify gaps and weaknesses in the capacity of range States of African tree species to effectively implement CITES for these species; d) The working group will examine how the processes currently used by countries to develop annual export quotas compare with the processes recommended under CITES and develop recommendations for reconciling them; e) The working group will explore the conversion factors used for different commodities (e.g., logs, sawn wood, bark) and develop recommendations for improving such processes; f) The working group will seek to identify other African tree species that may benefit from inclusion in the CITES Appendices; g) The working group will bring any issues related to implementation and enforcement of CITES listings for African tree species to the attention of the Plants Committee; and h) The working group will report its findings and recommendations to the Plants Committee.

14.81	**Great whales**	*Directed to the Animals Committee*	No periodic review of any great whale, including the fin whale, should occur while the moratorium by the International Whaling Commission is in place.
18.296	**Marine ornamental fishes**	*Directed to the Secretariat*	The Secretariat shall, subject to external funding: a) convene a technical workshop to consider the conservation priorities and management needs related to the trade in non-CITES listed marine ornamental fishes worldwide with a particular focus on data from importing and exporting countries; b) invite the Animals Committee, representatives from range States, exporting, and importing countries, fishery stakeholder, industry representatives and relevant intergovernmental and non-governmental organizations to participate in this workshop; c) contract appropriate technical experts to prepare workshop documents on marine ornamental fishes' biology; conservation status; trade and management; applicable trade regulations; and enforcement, and invite workshop participants to [submit the] contribute relevant information and expertise to the workshop; and d) submit findings and recommendations of this workshop to the Animals Committee.
18.297	**Marine ornamental fishes**	*Directed to the Animals Committee*	The Animals Committee shall consider the results of this workshop and make recommendations to the 19th meeting of the Conference of the Parties.
18.298	**Marine ornamental fishes**	*Directed to Parties, organizations and donors*	Parties, intergovernmental organizations, non-governmental organizations, private businesses, and other donors are encouraged to provide funding to the Secretariat for implementing Decision 18.296.

18.299	**Neotropical tree species**	*Directed to the Plants Committee*	The Plants Committee shall: a) re-establish the intersessional neotropical tree species working group to work by electronic means to: i) agree on a priority list of CITES-listed neotropical tree species, and decide on associated activities that will most significantly contribute to the implementation of the mandates in Resolutions relating to neotropical tree species and that are addressed to the Plants Committee; ii) in the process of developing the priority list referred to in paragraph i) above, special consideration shall be given to neotropical tree species-listings in effect since the 16th meeting of the Conference of the Parties; to neotropical tree species that are currently under the Review of Significant Trade (or other compliance mechanisms of the Convention); as well as those that are known to represent implementation challenges particularly in matters related to the formulation of non-detriment findings and identification of specimens in trade; iii) exchange experiences, information and skills between countries on the priority neotropical tree species'; and iv) report on progress made in the management and conservation of, and trade in, priority neotropical tree species, as well as on lessons learned, including on the

			generation of studies on the status of their populations; implementation of traceability and chain of custody systems, which strengthen the transparency and sustainable trade in timber species; and creation of materials for identification and training in the different existing methods, with an emphasis on those that can be used easily by authorities; and b) review the progress reported by the intersessional working group and make recommendations to the 19th meeting of the Conference of the Parties as appropriate.
18.300	**Trade in medicinal and aromatic plant species**	*Directed to the Secretariat*	The Secretariat shall: a) liaise with key players of medicinal and aromatic plant trade supply and value chains to raise awareness and understanding of CITES regulations for medicinal and aromatic plant species and of the impact of the trade in medicinal and aromatic plants on the conservation of CITES-listed medicinal and aromatic plant species in the wild; b) subject to available resources, analyse challenges and opportunities in matters related to trade in medicinal and aromatic plants, including by: i) providing an updated overview of the international trade in CITES-listed plant species traded as medicinal products, and assessing whether existing databases with trade names of CITES-listed medicinal and aromatic plant species can be linked to the CITES Checklist database; ii) reviewing ongoing work on sustainable and traceable supply and value chains for medicinal and aromatic plant products, focusing on certification schemes, standards and guidelines; iii) examining case studies involving local and traditional knowledge, and participatory assessments, monitoring and management of CITES-listed medicinal and aromatic plant species; and iv) Based on the findings of i) to iii), developing recommendations to *inter alia* complement existing tools relating to the implementation of the Convention for CITES-listed medicinal and aromatic plants, and create synergies, as appropriate, with relevant intergovernmental organizations and stakeholders; c) report to the Plants Committee on the outcomes of the work outlined in paragraphs a) and b).
18.301	**Trade in medicinal and aromatic plant species**	*Directed to Parties*	Parties are invited to take actions to raise awareness and understanding of CITES regulations for conservation of medicinal and aromatic plant species amongst those trading in species used for this purpose.
18.302	**Trade in medicinal and aromatic plant species**	*Directed to the Plants Committee*	The Plants Committee shall inform and advise the process as per Decision 18.300, taking into account information document CoP18 Inf.11 and other relevant information, and review the Secretariat's report as per Decision 18.300 and make recommendations to the Standing Committee or the Conference of the Parties, as appropriate.

18.303	**Trade in medicinal and aromatic plant species**	*Directed to the Standing Committee*	The Standing Committee shall review any report from the Plants Committee as per Decision 18.302 and make recommendations to Parties, as appropriate, and to the Conference of the Parties.

AMENDMENT AND MAINTENANCE OF THE APPENDICES

Number	**Title**	*Directed to*	Text
18.304	**Nomenclature (*Cactaceae Checklist* and its *Supplement*)**	*Directed to Parties*	Parties shall inform the Secretariat on their experience in using the *CITES Cactaceae Checklist* (3rd edition) and its *Supplement* (2018) and any issues that may arise as they apply these lists, including feedback to improve it in the light of relevant updates of cacti taxonomy.
18.305	**Nomenclature (*Cactaceae Checklist* and its *Supplement*)**	*Directed to the Secretariat*	The Secretariat shall: a) liaise with the United Nations Environment Programme – World Conservation Monitoring Centre (UNEP-WCMC) to obtain feedback on the utility of the *CITES Cactaceae Checklist* (3rd edition) and its *Supplement* (2018) and any queries that arise as they update relevant databases, taking into account feedback provided by Parties as per Decision 18.304; and b) report to the Plants Committee of this feedback and any comments it receives from the Parties in order for the Committee to review this at its regular meetings.
18.306	**Nomenclature (*Cactaceae Checklist* and its *Supplement*)**	*Directed to the Plants Committee*	The Plants Committee shall review any report from the Secretariat related to the implementation of Decision 18.305 and, as appropriate, make recommendations to the Conference of the Parties at its 19th meeting.
18.307	**Production of a CITES Checklist for *Dalbergia* spp.**	*Directed to the Secretariat*	The Secretariat shall, in close cooperation with the nomenclature specialist of the Plants Committee: a) subject to availability of external resources, undertake the development of an annotated CITES Checklist of *Dalbergia* spp., taking into consideration: i) relevant elements of paragraph 7 of document CoP18 Doc. 99, as well as the pertinence of including a distinction between timber and non-timber species of *Dalbergia* spp.; ii) the required research and other work needed for the production of such a Checklist; and iii) aspects related to its publication; and b) report on progress or results of this process to the Plants Committee at its regular meetings and seek its advice and input.

18.308	**Production of a CITES Checklist for *Dalbergia* spp.**	*Directed to the Plants Committee*	The Plants Committee shall: a) consider progress and results reported by the Secretariat as per Decision 18.307; and b) make recommendations to the Secretariat and the Conference of the Parties, as appropriate. These recommendations could include timelines for completion of the Checklist, or the adoption of a standard nomenclature reference for *Dalbergia* spp., amongst others.
18.309	**Use of time-specific versions of online-databases as standard nomenclature references**	*Directed to the Secretariat*	The Secretariat shall: *a)* continue to engage copyright-holders of relevant online-databases that might serve as standard nomenclature references and explore the possible use of time-specific versions for CITES services; for example, relevant databases include but are not limited to WoRMS, Fish Base, ESCHMEYER & FRICKE's *Catalog of Fishes, Amphibian Species of the World*, and *Corals of the World* as standard references; and b) report the results of its consultations to the Animals Committee.
18.310	**Use of time-specific versions of online-databases as standard nomenclature references**	*Directed to the Animals Committee*	The Animals Committee shall: a) evaluate the results of the Secretariat's consultation; and b) develop recommendations on the use of time-specific online-databases as standard nomenclature references for decision by the Conference of the Parties at its 19th meeting.
18.311	**Nomenclature and identification of corals**	*Directed to the Secretariat*	The Secretariat shall: a) seek, if possible, a time-specific version of the WoRMS database; and b) report on progress to the Animals Committee.
18.312	**Nomenclature and identification of corals**	*Directed to the Animals Committee*	The Animals Committee shall: a) consider the report of the Secretariat and proceed towards recommending for adoption of a standard nomenclature reference for CITES-listed corals; b) update its list of coral taxa for which identification to genus level is acceptable, but which should be identified to species level where feasible, once a new standard nomenclature reference for CITES-listed coral species has been identified and provide the updated list to the Secretariat for dissemination; and c) report with recommendations to the 19th meeting of the Conference of the Parties.
18.313	**Nomenclature of Appendix-III listings**	*Directed to the Animals and Plants Committees*	The Animals and Plants Committees shall, taking into consideration the current guidance in Resolution Conf. 12.11 (Rev. CoP18) on *Standard nomenclature*, paragraph 2 g), evaluate how nomenclature changes affect Appendix-III listings and propose further guidance and recommendations as necessary, for consideration by the Standing Committee at its 73rd meeting that address how such nomenclature changes are to be handled.

18.314	**Nomenclature of Appendix-III listings**	*Directed to the Standing Committee*	The Standing Committee, in consultation with the Secretariat, shall at its 73rd meeting take into account the guidance and recommendations from the Animals and Plants Committees and make recommendations to address nomenclature changes that affect an Appendix-III listing, including possible amendments to Resolution Conf. 12.11 (Rev. CoP18) or Resolution Conf. 9.25 (Rev. CoP18) on *Inclusion of species in Appendix III*, for consideration at the 19th meeting of the Conference of the Parties.
18.315	**Nomenclature of Manidae spp.**	*Directed to the Animals Committee*	The Animals Committee shall examine the taxonomy and nomenclature of pangolins (Manidae spp.) and will propose a way forward to clarify a listing of pangolins on the Appendices.
17.312 (Rev. CoP18)	**Nomenclature (Bird family and order names)**	*Directed to the Animals Committee*	The Animals Committee shall: a) evaluate the results of the analysis [of the implications of adopting a new standard nomenclature reference for birds at the family and order level]; and b) develop a recommendation for decision at the 19th meeting of the Conference of the Parties.

16.162 (Rev. CoP18)	**Annotations**	*Directed to the Standing Committee, Animals Committee, Plants Committee*	The Standing Committee shall re-establish the working group on annotations, in close collaboration with the Animals and Plants Committees, recognizing that the Animals and Plants Committees are an important source of expertise and advice to Parties on such scientific and technical issues. The group shall include, but not be limited to, members from the Standing Committee, Animals Committee, Plants Committee, observer Parties, CITES Management and Scientific Authorities, enforcement authorities, including customs, and industry representatives. The Standing Committee shall particularly endeavour to ensure balanced representation of importing and exporting Parties. The terms of reference for the working group shall be: a) in close collaboration with ongoing efforts in the Plants Committee, to continue reviewing the appropriateness and practical challenges resulting from the implementation of the annotations to the Appendices, including but not limited to those on the tree species, of the agarwood-producing taxa (*Aquilaria* spp. and *Gyrinops* spp.), *Aniba rosaeodora, Bulnesia sarmientoi* and orchids, and to identify options to streamline these annotations taking into account the guidance provided by Resolution Conf. 11.21 (Rev. CoP18) on *Use of annotations in Appendices I and II*; b) to develop or refine definitions of terms used in current annotations as appropriate, including but not limited to the terms “musical instruments” and “transformed wood”, and submit them for adoption by the Conference of the Parties and subsequent inclusion in the Interpretation section of the Appendices; c) to conduct any work related to annotations directed to it by the Conference of the Parties, the Standing, Animals or Plants Committee; and d) to prepare reports on progress made in addressing the issues tasked to it and submit them for consideration at the 73rd and 74th meetings of the Standing Committee.
18.316	**Annotations**	*Directed to the Standing Committee*	The Standing Committee shall, in collaboration with the Animals and Plants Committees, determine requirements for development and adoption by the Conference of the Parties of: a) a mechanism for undertaking a periodic review of existing annotations; and b) a mechanism for the *a priori* review of annotations proposed for consideration at meetings of the Conference of the Parties, to support consistent implementation of the guidance on annotations provided in Resolution Conf. 11.21 (Rev. CoP18).

18.317	**Annotations**	*Directed to the Standing Committee*	The Standing Committee shall explore the feasibility of, and the requirements for developing an information system for the purpose of processing trade data associated with transactions in specimens of CITES-listed tree species authorized under the provisions of the Convention.
18.318	**Annotations**	*Directed to Parties*	Parties are invited to consult with relevant stakeholders and provide to the Secretariat information regarding the mechanisms proposed in Decision 18.316; the definitions proposed in paragraph b) of Decision 16.162 (Rev. CoP18) and the practical challenges resulting from the implementation of the annotations to the Appendices, including but not limited to those on the rosewood-tree species, agarwood-producing taxa (*Aquilaria* spp. and *Gyrinops* spp.), *Aniba rosaeodora, Bulnesia sarmientoi* and orchids proposed in paragraph a) of Decision 16.162 (Rev. CoP18), and provide examples of practical solutions identified when handling those challenges.
18.319	**Annotations**	*Directed to the Standing Committee*	The Standing Committee shall, in consideration of work under Decision 16.162 (Rev. CoP18) and the report submitted by the Secretariat required under Decision 18.320, if appropriate, make recommendations for submission to the 19th meeting of the Conference of the Parties.
18.320	**Annotations**	*Directed to the Secretariat*	The Secretariat shall issue a Notification to the Parties requesting input pursuant to Decision 18.318 and provide a summary of the responses received from Parties, and provide recommendations regarding the mechanisms and the information system proposed in Decision 18.316, the definitions to be developed under paragraph b) of Decision 16.162 (Rev. CoP18) and the challenges resulting from the implementation of the annotations to the Appendices to the Standing Committee.
18.321	**Annotation #15**	*Directed to the Secretariat*	The Secretariat shall: a) subject to available resources, undertake a study to assess the effect on *Dalbergia/Guibourtia* species in international trade of the exemptions contained in Annotation #15 for finished musical instruments, parts and accessories, and the conservation implications thereof; b) bring any scientific or technical issues to the attention of the Plants Committee and seek its advice; and c) report the results of its evaluation along with its recommendations to the Standing Committee.

18.322	**Annotation #15**	*Directed to the Standing Committee*	The Standing Committee shall in the context of its work on annotations under the relevant Decisions, consider any report by the Secretariat in accordance with Decision 18.321, undertake additional evaluation if necessary and report to the 19th meeting of the Conference of the Parties. If warranted, the Standing Committee may work with relevant Parties in preparing an amendment proposal for the 19th meeting of the Conference of the Parties.
18.323	**Annotation of Cape aloe (*Aloe ferox*)**	*Directed to the Secretariat*	The Secretariat shall issue a Notification to the Parties after one year of the conclusion of the 18th meeting of the Conference of the Parties requesting the following information: a) whether, and if so how, the amended annotation #4 has impacted the international trade in *Aloe ferox* specimens; and b) whether, and if so how, the amended annotation #4 has affected the population size, distribution, status and harvest of *Aloe ferox*.
18.324	**Annotation of Cape aloe (*Aloe ferox*)**	*Directed to the Secretariat*	The Secretariat shall compile responses from the Parties as requested under Decision 18.323 and provide these responses to the Plants Committee.
18.325	**Annotation of Cape aloe (*Aloe ferox*)**	*Directed to the Plants Committee*	The Plants Committee shall review the information received as requested under Decision 18.324 and other relevant information available regarding the status, management, and international trade in *Aloe ferox*, with a view to assessing whether the exemption of finished products of *Aloe ferox* packaged and ready for retail trade from CITES regulation have had any impacts on the natural populations of the species. Based on the outcome of this review, the Plants Committee shall formulate recommendations concerning the listing of *Aloe ferox* for consideration at the 19th meeting of the Conference of the Parties.
18.326	**Annotation of Cape aloe (*Aloe ferox*)**	*Directed to Parties*	Range countries, consumer countries, and other countries involved in the management, propagation, or trade of *Aloe ferox* are encouraged to provide information regarding the status, management, and trade in this species as requested under Decision 18.323.

18.327	**Products containing specimens of Appendix-II orchids**	*Directed to the Secretariat*	Subject to available resources, the Secretariat shall: a) assess the potential conservation impact of exempting orchid products and derivatives (wild and artificially propagated) from CITES controls, thereby completing the work already initiated on orchids used in the production of cosmetics and personal care products, and considering orchids used in other commodities (e.g. medicinals); b) where necessary and appropriate to complement the assessment under paragraph a), seek pertinent information from Parties and relevant stakeholder groups, including industry, such as i) on the trade in orchid products from source to final product, including the identification of the major industry sectors involved in the trade; ii) how non-detriment findings and legal acquisition findings are made; iii) traceability along the supply and value chains; and iv) conservation concerns for wild populations; and c) analyse the information received under paragraphs a) and b) with a view towards potential conservation impacts of trade in products containing orchids and derivatives of orchids, highlight any knowledge gaps, and report to the Plants Committee.
18.328	**Products containing specimens of Appendix-II orchids**	*Directed to Parties*	Parties are encouraged to: a) submit pertinent information as requested in Decision 18.327 to the Secretariat; and b) provide assistance to the Secretariat in reaching out to other stakeholders and user groups that may be able to support this work.
18.329	**Products containing specimens of Appendix-II orchids**	*Directed to the Plants Committee*	The Plants Committee shall: a) consider the outcomes of Decision 18.327; b) in consultation with the Standing Committee, as appropriate, review the current annotation for Appendix II-listed orchids, and suggest amendments; and c) make recommendations to the Standing Committee.
18.330	**Products containing specimens of Appendix-II orchids**	*Directed to the Standing Committee*	The Standing Committee shall consider the recommendations of the Plants Committee and make recommendations to the 19th meeting of the Conference of the Parties.

18.331	**Guidance for the publication of the Appendices**	*Directed to the Secretariat*	Based on its experience, in consideration of the issues raised in document CoP18 Doc. 103, its discussions with Parties (especially those that amend legislation after each Conference of the Parties), and the recommendations of the 18th meeting of the Conference of the Parties on this subject, the Secretariat shall: a) in consultation with the Animals and Plants Committees, develop guidance for improved clarity and predictability in the presentation of the Appendices; b) distribute the draft guidance by Notification to seek comments from Parties, and consider and incorporate comments as appropriate into a revised draft; and c) submit the draft guidance for consideration by the Standing Committee, incorporate comments from the Standing Committee into the guidance, and publish the guidance on the CITES website.
18.332	**Guidance for the publication of the Appendices**	*Directed to the Standing Committee*	The Standing Committee shall review the draft guidance and provide comments and recommendations to the Secretariat for finalization of the document.

第四部分

议事规则

CITES缔约方大会议事规则

(经第十七次缔约方大会修订，约翰内斯堡，2016)

第一部分　　定义与会议代表：代表团、观察员、秘书处

规则 1—范围

这些议事规则应适用于依据本公约第十一条和第十七条召开的所有的公约缔约方大会。[99]

规则 2—定义

当用于这些议事规则时：

a) “公约”指 1973 年 3 月 3 日，在美国华盛顿特区召开的有 80 个国家代表参加的会议上通过的《濒危野生动植物种国际贸易公约》；

b) “缔约方”指该公约第一条(h)小段、第二十一条和第二十二条定义的公约的缔约方；

c) “区域经济一体化组织”指公约第二十一条定义的组织；[100]

d) “缔约方大会（CoP）”指依据公约第十一条建立的缔约方大会；

e) “代表”指代表某个公约缔约方的全权代表、副代表和顾问；

f) “完全有资格”，当涉及公约缔约方的全权代表、副代表和顾问时，意味着其全权证书已被缔约方大会依据规则 5 所接受；

g) “在场并投票的代表”指完全有资格，在场并投了赞成或反对票的全权代表，包括副代表；

h) “主持人”指被选举出来，依据规则 14 主持某期会议的官员；

i) “秘书处”指公约秘书处，其应当组织和服务于任何依据公约第十二条第 2 款和规则 6 召开的缔约方大会，并担任会议的秘书处；

j) “工作文件”指所有供缔约方大会讨论和做出可能决定的文件，包括由任何公约缔约方、常委会、动物委员会、植物委员会或秘书处提交的议程草案、决议草案、决定草案和报告，以及缔约方提交的修订附录 I 和 II 的提案；

k) “资料性文件”指依据规则 30，由缔约方、观察员或秘书处提交给缔约方大会的仅用于资料目的的文件。

规则 3—代表团

1. 公约缔约方可指定一个代表团出席缔约方大会，代表团可由一名全权代表、多名副代表和多名顾问(如缔约方认为有必要)组成。

2. 任何一名副代表可在任何时候行使全权代表的权利。

[99] 这些议事规则不应被理解为任何尚未交存其关于修正案接受文书的缔约方对关于公约第二十一条的哈博罗内修正案的默认接受。

[100] 这些规则中的任何内容都不能妨碍任何缔约方在其他国际论坛中关于区域经济一体化组织的权利和义务的观点。

规则 4—观察员

1. 联合国及其专门机构、国际原子能机构、以及其它任何一个非公约缔约方的国家均可派遣观察员参加缔约方大会的全体会议、第I和第II委员会的会议，但没有表决权[101]。
2. 任何一个具备野生动植物种保护、保育或管理技术资质的团体或机构，不论其为：

   a) 政府间或国内政府的机构或团体；或

   b) 国际的或国内的非政府机构或团体，包括私人部门实体；

   只要其在会前60天[102]向秘书处告知派观察员参加缔约方大会的愿望，都应被允许参加缔约方大会的全体会议和第I、第II委员会的会议，除非有三分之一以上在场并投票的全权代表予以反对。一旦其观察员身份得到承认，这些组织的观察员即可参加上述会议，但不具有表决权[103]。但是，如果有三分之一的在场并投票的全权代表提出反对，此类观察员的参会权利可被取消。
3. 本规则第 2 段所指的任何团体或机构，如希望委派观察员参加会议，应至少在会议开幕前 60 天向秘书处提交观察员的姓名，支付标准参会费用，并提供

   a) 如为国内非政府团体或机构，其所在国批准参会的证明；或[104]

   b) 如为国际非政府团体或机构，其具有法人资质、国际性特征、职能和活动方案的证明；

规则 5－全权证书

1. 缔约方代表团的全权代表和任何一位副代表以及任何顾问必须由有关当局，例如某国的国家元首、政府首脑或外交部长，如系区域经济一体化组织，由该组织的相应主管机构，授权其代表该国参加会议。
2. 所有全权证书应当并尽可能于会议召开前至少一个星期提交给公约秘书处，如果没有使用英语、法语或西班牙语，还应附具上述语言之一的译文。
3. 规则 7 第 2 段 a)项提及的资格审查委员会应对全权证书进行审核，并向会议报告。资格审查委员会只有在签署过的全权证书原件被出示后，方能提出接受全权证书的建议。
4. 如果针对某一代表团全权证书的结论尚未作出，该代表团可临时性地参加会议，但不能表决。全权证书已被缔约方大会确定为不可接受的人员不具备参加会议的权利。
5. 代表一个非缔约方的国家或政府间组织的任何观察员，均应具备由适当的主管机构核发的全权证书，使其可代表该国家或组织。

规则 6－秘书处

公约秘书处应组织、服务于缔约方大会，并作为会议的秘书处[105]。

[101]参见公约第十一条第6款。

[102]合理的情况下，秘书处也可例外接受较晚的注册。

[103]参见公约第十一条第7款。

[104]参见公约第十一条第7款(b)项。

[105]参见公约第十二条第2款(a)项

第二部分 会议安排

规则 7－全体会议、委员会和工作组

1. 缔约方大会通过其全体会议和委员会会议开展工作。
2. 缔约方大会应成立以下委员会：
   a) 资格审查委员会，由不同缔约方的全权代表组成，人数不超过 5 人，应向大会报告全权证书的情况。
   b) 第I委员会，应负责就公约附录修改和其它所有主要属生物学性质的问题向大会提出建议。
   c) 第II委员会，应就其它拟待缔约方大会决定的所有问题发挥类似的作用。
3. 为行使职责和发挥各自的作用，缔约方大会、第I、第II委员会可根据需要各自成立必要的工作组。大会和委员会应明确其不同工作组的职责范围和人员组成，并应努力达到地区平衡。工作组的成员应限于受到建立该工作组时的会议主持人的邀请，并对该事宜拥有专业知识的代表和观察员。主持人应致力于确保代表和观察员的公平和平衡，观察员的数量不应超过代表的数量。
4. 除非在建立工作组时由主持人指定主席，每一个工作组应从其成员的代表中选出自己的主席。

规则 8－委员会和工作组的议事规则

在其适用的范围内，这些议事规则经过必要的修改后可作为委员会和工作组的议事规则。

规则 9－最小法定人数

全体会议、第I和第II委员会的会议的最小法定人数应由与会缔约方的一半组成。如果不具备这一法定人数，不得召开上述会议。以最小法定人数为计算目的，区域经济一体化组织不应在其委员之外额外计入。

规则 10－工作语言

1. 英语、法语、西班牙语应作为会议的工作语言。
2. 在全体会议、第I和第II委员会会议上，任何以其中一种工作语言所作的发言都应被翻译为其它两种工作语言。只有缔约方大会同意提供资源的情况下，才为资格审查委员会、主席团和工作组的会议提供翻译。
3. 会议的正式工作文件均以三种工作语言的形式散发。根据下文规则 30 提交的信息文件除外，这类文件不供讨论，因而只应使用其提交时的工作语言散发。

规则 11－其它语言

1. 参加会议的人员可用工作语言之外的任何一种语言发言，但他/她应自己负责提供翻译，将其发言翻译成工作语言的一种，会议秘书处的翻译将根据上述翻译结果将其发言转译成会议其它工作语言。
2. 所有以非工作语言形式提供给秘书处的工作文件，都应附有一种工作语言的翻译件。

规则 12－总结性记录

1. 全体会议、第I和第II委员会会议的总结性记录都应以会议工作语言的形式由秘书处保管，并应在会后尽快发布在公约网站上。
2. 资格审查委员会和各工作组应自行决定其总结性记录所用的形式。

规则 13－座位

1. 作为一条普遍规则，各代表团的座位顺序应按照其所代表国家的英文字母顺序排列。
2. 座位数的有限可能会要求任何一个缔约方的代表团在参加全体会议、第I和第II委员会会议时，在场人数最多不得超过 4 人。
3. 观察员应坐在会场中为其指定的一个或多个区域。只有在受到某一缔约方代表团的邀请，才可以坐到为代表团设定的席位上。
4. 座位数的有限可能会要求任何一个非缔约方国家或组织、机构的观察员在参加全体会议、第I和第II委员会会议时，在场人数最多不得超过 2 人。

规则 14－辩论的公开

1. 所有全体会议、第I和第II委员会的会议均应向公众开放。但其中任何一次会议，如果有一半以上在场并参加表决的全权代表决定反对，则可不对公众开放。
2. 作为一条普遍规则，资格审查委员会和任何工作组会议，均仅限于由缔约方代表和受到成立相应委员会或工作组的会议的主持人邀请的观察员参加。

规则 15－媒体

1. 在得到秘书处的同意后，媒体的代表可参加会议。媒体之获准严格限于那些真诚善意的媒体组织（印刷、图片、广播、电视、摄像、新闻机构、网络媒体）代表，且没有注册为任何组织和机构的观察员。核准申请应当逐一考虑，由秘书处做出最终决定。全体会议、第I和第II委员会的会议向获准的媒体代表开放，但其中那些不对公众开放的会议除外。
2. 媒体代表应在会场的指定区域就座。摄影和电视摄像工作人员只有在得到大会主席、或第I、或第II委员会主席或其它相应的邀请时，才能进入会场为代表团和观察员设定的区域，停留时间不超过被允许的时间。这类要求应向秘书处提出。

第三部分 官员

规则 16－主席和副主席

1. 常委会主席在缔约方大会根据第 2 段规定选出大会主席之前，应作为大会的临时主席。
2. 缔约方大会应选出一名主席、一名候补主席和两名副主席来主持全体会议。同时还应为第I和第II委员会、资格审查委员会分别选出一名主席。这些主席和副主席的候选人应由常委会在可行情况下和主办国政府进行适当协商后提名。常委会应能保证这些人能最公正而又熟练地处理会议事务。由于主持人不具有表决权，在对其任命时没有其它的资格要求。
3. 大会主席应负责主持所有全体会议。
4. 如果大会主席缺席或不能行使其职责，候补主席应代表其担任主持人。如果主席和候补主席均不能参会，则主席团则应指定一名大会副主席代表主席作为大会主持人。

5. 如果委员会主席缺席或不能行使其职责，主席团则应指定一名大会副主席代表委员会主席充当委员会会议主持人。

6. 主持人不具有表决权。

规则 17－主席团

1. 大会主席、候补主席和副主席、第I和第II委员会及资格审查委员会的主席、常委会主席及其成员、秘书处应组成大会主席团，确保议事规则得以有效执行并推动会议事务的进展，并且应采取一些必要的步骤来改变会议的时间表和结构，以确保所有事务得以顺利完成，其中还包括，在必要时有权对辩论的时间做出限制。

2. 大会主席负责主持主席团事务。

3. 如果大会主席缺席或不能行使其职责，候补主席应代表其担任主持人。如果主席和候补主席均不能参会，则主席团则应指定一名大会副主席主持主席团事务。

第四部分 议事程序和辩论的规则

规则 18－主持人的权力

1. 除行使本议事规则其它地方授予的权力外，主持人在全体会议、第I和第II委员会、资格审查委员会和工作组的会议上应具有以下权力：

   a) 宣布会议开始和结束；

   b) 引导讨论；

   c) 确保议事规则得到遵守；

   d) 授予发言的权力；

   e) 决定就某一事项进行表决并宣布结果；

   f) 就议事程序问题进行裁决；

   g) 按照这些规则，对会议进程和维持秩序具有绝对控制权；和

   h) 必要时，可决定使用规则 13 的第 2 或第 4 段关于座位安排的规定。

2. 主持人在全体会议、第I和第II委员会、资格审查委员会和工作组的会议上，可提议：

   a) 发言人的发言时间限制；

   b) 一个缔约方代表团的所有成员、一个非缔约方国家的所有观察员、一个组织机构的所有观察员就任何问题的发言次数限制；

   c) 敲定最终的发言人名单；

   d) 推迟或终止对讨论中就某一事项或问题的辩论；和

   e) 暂停或推迟会议。

规则 19－发言权

1. 发言权可授予其全权证书正在接受审查或已被接受的全权代表及其副代表和顾问、按照规则 4 已被允许参加会议的观察员、以及秘书处。

2. 动物委员会和植物委员会的主席应有权就与该委员会工作相关的事务发言。

3. 作为一条普遍规则，主持人应根据不同会议代表表达发言意愿的先后顺序来召集发言，并应给予缔约方代表团和秘书处优先权。在不同类型的观察员中，发言的优先顺序应依次为：非缔约方、政府间机构和团体、非政府机构和团体。但是，主持人可以偏离这一规则，按照其为确保辩论能按时取得进展而自行决定的顺序让不同的人进行发言。

4. 会议代表只有受到主持人召唤后才能发言，如果某一代表的发言与正在讨论的问题无关，主持人则可打断其发言。

5. 除非存在议事程序方面的问题，否则某一代表的发言不应被打断。但如果在主持人同意的情况下，发言人也可退让，以便允许其它代表或观察员要求其就某一问题给予澄清。

6. 在解释本委员会或工作组已经做出的结论时，委员会或工作组主席可享受优先发言的权力。

7. 如有会议主持人或其它某位全权代表提议，大会、第I和第II委员会可以就一个缔约方代表团的所有成员、或一个非缔约方国家的所有观察员、或一个组织或机构的所有观察员就任一问题进行发言的总次数及每一个发言人的发言时间做出限制。如果辩论超过这一时间限制或某一代表的发言超出了分配给其的时间，主持人应毫不延误地打断其发言。

8. 在辩论进行的过程中，主持人可以宣布参加辩论的人员名单，在得到大会、第I和第II委员会的同意后，可宣布名单终止。但是，如果在其宣布完这一名单后仍有其它代表团或观察员提出申请，主持人仍有权对此予以答复，甚至可以增加参加辩论的人数。

规则 20－程序方面的动议

1. 在就任何问题讨论的过程中，任一位全权代表都可以提出议事程序方面的问题。除非发言人希望提出下列第 2 段所提的某项动议，主持人应立即就上述全权代表提出的议事程序方面的问题做出决定。全权代表可呼吁反对主持人所作的裁决。然后则应立即就此呼吁进行表决，除非有半数以上在场并参加表决的全权代表作出相反的决定，否则主持人的裁决应保持有效。在这种情况下，提出议事程序方面问题的全权代表将不能就正在讨论的这一问题进行实质性的发言。

2. 以下所列的动议应按所给的顺序排定优先次序，并都应优先于大会期间的所有其它建议或动议。除了动议的发起人外，任何一个缔约方代表团的某一成员都可以表示赞成该动议，同时其它任何两个表示反对的缔约方代表团各可有一人发言表示反对。此后，应立即就这一动议进行表决。主持人这时可对发言人的发言时间做出限制。

关于会议：

a) 暂停会议

b) 推迟会议

关于就某一特定问题的辩论：

c) 推迟就正在讨论的某一事项或问题所进行的辩论

d) 结束就正在讨论的某一事项或问题所进行的辩论

规则 21－在全体会议上开始或重新开始辩论的动议

1. 在全体会议要对来自第I和第II委员会的某一建议做出决定时，如果此前关于这一建议的讨论都配有三种会议工作语言的翻译，全体会议就不需对其再进行任何进一步的讨论，而应立即对其做出决定。

   但是，如果有其它另一个缔约方代表的支持，任何缔约方代表均可提出开始辩论的动议。这时，只能由提出动议的缔约方代表及另外一个拥护者就动议本身进行发言，另外两个反对动议的缔约方也可各由一人就动议本身进行反对性发言。随后，应立即就动议进行表决。如果有三分之一在场并参加表决的缔约方代表团投票支持该动议，则该动议应得到批准。在就有关开始辩论的动议进行发言时，发言人不得对需要辩论的建议本身进行实质性发言。

2. 一旦某一关于公约附录I和附录II修订的提案获得缔约方大会通过或否决，在本次大会期间就不能再对其进行重新考虑。

3. 在不违背本条规则第 2 段的情况下，当缔约方大会全体会议经过一阵配备三种工作语言翻译的讨论后已经作出了某一项决定(并非根据来自第I和第II委员会的建议而作出的)，只有在下列情况下，才可对该决定进行重新研究：

   如果有其它另一个缔约方代表的支持，任何缔约方代表都可提出重新开始辩论的动议，要求对某一已经采纳的决定重新开始辩论。这时，只能由提出动议的缔约方代表及另外一个拥护者就动议本身进行发言，另外两个反对动议的缔约方也可各由一人就动议本身进行反对性发言。随后，应立即就动议进行表决。如果有三分之二在场并参加表决的缔约方代表团投票支持该动议，则该动议应得到批准。在就有关重新开始辩论的动议进行发言时，发言人不得对需要辩论的建议本身进行实质性发言。

第五部分 提案的提交和做出决定的程序

规则 22－决议草案、决定草案和其它工作文件的提交(附录I和附录II的修订提案除外)

1. 作为一条普遍规则，工作文件，包括决议草案、决定草案、报告和其它文件不应超过 12 页，并应在大会开始之前至少 150 天前提交给秘书处，秘书处应以会议工作语言的形式将这些文件放在公约网站上，作为信息提供给所有缔约方。

2. 但是，秘书处在会议之前，或者是主席团在会议期间，也可以允许就那些在 150 天规定期限之后所产生的紧急决议草案、决定草案和其它文件进行讨论和研究，条件是：这些草案或文件也按照上述要求放在了公约网站上，且针对其进行研究不会给大会的顺利进展带来任何不适当的阻碍。

3. 对于因前述讨论而产生的决议草案、决定草案和其它文件，可以在全体会议、第I和第II委员会的会议上对其进行讨论，但前提条件是这些文件必须在进行讨论的会议开始之前以工作语言散发给所有缔约方代表团。

4. 任何缔约方的代表可以随时撤回其已经提交的决议草案、决定草案或其它文件。这些文件一旦被撤回，将不能再次向本次大会提交。

规则 23－就决议草案、决定草案或其它文件(附录I和II的修订提案除外)做出决定的程序

1. 缔约方大会应应尽可能以一致同意的方式对决议草案、决定草案和其它文件作出决定。

2. 如果采纳或否决某一决议草案、决定草案或其它文件没有得到一致同意，会议主持人应提议将其付诸表决，以对其做出决定。

3. 如果针对同一问题出现两个或两个以上的决议草案、决定草案或其它文件，缔约方大会应根据其提交时间的先后顺序(除非另有其它决定)对其做出决定。在就其中一个决议草案、决定草案或其它文件做出决定后，缔约方大会可以考虑是否就下一个类似的决议草案、决定草案或其它文件做出决定。

4. 任一位缔约方代表可提出动议，要求对某一决议草案、决定草案或其它文件的各个部分分别做决定。如果有人表示反对此动议，该动议即应被付诸表决。在所有表示赞同该提议的国家中，可由其中两个国家代表团各派一人就此进行发言；同时，在所有表示反对该提议的国家中，也可由其中两个国家各派一人就此进行发言。如果上述分别作决定的动议被执行，则决议草案、决定草案或其它文件中所有由此而获得通过的部分都应被作为一个整体来对其进行决定。如果决议草案、决定草案或其它文件中所有可操作的有效内容都被否决，相应的决议草案、决定草案或其它文件也将被视作一个整体而被否决。

5. 任一位全权代表都可以提议对某一决议草案、决定草案或其它文件作出修改。主持人可允许就所提出的对决议草案、决定草案或其它文件的修改意见立即进行研究，即使这些修改意见没有被事先散发。

6. 如果对决议草案、决定草案或其它文件作出一处修改，首先应对修改内容本身作出决定。如果对决议草案、决定草案或其它文件作出两处或两处以上修改，则应首先对与原文本实质上相差最大的修改内容作出决定，然后依次对差异次之的修改内容作出决定，直到对所有修改内容作出决定。但是，在采纳某一项修改内容意味着必将会否决另一修改内容时，则后一修改内容将不必再提交付诸决定。如果一项或多项修改得以采纳，则应对修改后的决议草案、决定草案或其它文件作出决定。

规则 24－附录I和附录II修订提案的提交

1. 关于公约附录I和附录II修订的提案应在大会开始至少 150 天前提交给秘书处，秘书处应以会议工作语言的形式将这些文件放在公约网站上，作为信息提供给所有缔约方[106]。

2. 提交修订附录I和附录II提案的缔约方的代表可以随时撤回本国已经提交的提案，或对提案进行修改以缩小其适用范围或使其更准确。某一提案一旦被撤回，将不能再次向本次大会提交。如果对某一提案进行了修改并由此缩小了其适用范围，在本次大会期间，将不能再次对其进行修改以扩大其适用范围。

规则 25－公约附录I和附录II修订提案的决定程序

1. 缔约方大会应尽可能以一致同意的方式对有关附录I和附录II修订的提案作出决定。

2. 如果采纳或否决某一关于附录I和附录II修订的提案没有得到一致同意，会议主持人应提议将提案付诸表决，以对其做出决定。

3. 任一位缔约方代表可提出动议，要求对某一附录I和附录II修订的提案的不同部分分别做决定。如果有人表示反对此动议，该动议即应被付诸表决。在所有表示赞同该提议的国家中，可由其中两个国家代表团各派一人就此进行发言；同时，在所有表示反对该提议的国家中，也可由其中两个国家各派一人就此进行发言。如果执行上述动议，提案中所有由此而分别获得通过的部分都应被作为一个整体来对其进行决定。

[106]参见公约第十五条第1款(a)项

如果提案的所有部分都被否决，该提案也将被作为一个整体而被否决。

4. 如果有两个或两个以上关于附录I和附录II修订的提案涉及到同一分类单元并具有相同的实质内容，缔约方大会只需对其中一个提案作出决定。如果这一提案获得通过或被否决，则其它提案也被相应地视为获得通过或被否决。

5. 任何一位全权代表都可以提议对某一附录I或附录II修订提案作出修改以缩小其范围或使其更为准确。会议主持人可允许就此类提议的修改内容立即进行讨论和研究，即使修改内容没有被事先散发。

6. 如果有两个或两个以上提案(包括按照规则 24 第 2 段修改后的提案和依据本规则第 5 段修改后的提案)涉及到同一分类单元，但其实质内容不同，缔约方大会应首先就具有最小贸易影响的提案作出决定，然后再就具有较小贸易影响的提案作出决定，以此类推，直到对所有提案都作出决定。但是，如果某一提案的通过意味着必将会否决另一提案，则不应再对后者作出决定。

第六部分 表决

规则 26－表决权

1. 任一缔约方应具有一票表决权，除了本规则第 3 段的情况。

2. 任一个完全有资格的缔约方全权代表应行使该缔约方的表决权。

规则 27－表决方法

1. 大会通常应采用一套电子系统进行表决，或通过举手表决，但任何一位代表可要求进行唱名表决。当采用电子系统表决，且不使用秘密投票时，在投票进行后，所有缔约方的各自投票情况应显示在一张屏幕上，让所有代表立即看到，并包括在该段会议的总结性记录中。唱名表决应按代表的座位顺序进行。如果检票员对实际表决人数存在怀疑，而且这对表决结果很关键时，主持人也可在检票员的建议下自行要求进行唱名表决。

2. 在就官员选举或下次大会主办国进行表决时，如果候选人或申请国不止一个，则应采取秘密投票的方式。尽管通常不采用秘密投票的方式，但是任何一位缔约方全权代表都可要求对其它问题采用这种表决方式。这时，主持人则应询问是否有人支持这一要求。如果有 10 位全权代表表示支持，则应采用秘密投票的方式。

3. 唱名表决和秘密表决应以“是”、“否”或“弃权”来表明态度。在计算投票总数时，只计算肯定票数和否决票数。

4. 主持人应负责表决的统计及其结果公布。在所有投票结束后，除有关下次缔约方大会主办国的表决外，主持人应宣布肯定票数量、否决票数量、弃权票数量，以及对付诸表决的问题作出决定所需的多得票数。秘书处可指定检票员帮助主持人完成上述工作。

5. 在主持人宣布表决开始后，除非某位全权代表就表决的实际进行提出议事程序方面的问题，否则任何人不得打断表决。在表决开始前或结束后，主持人可允许全权代表对其投票进行说明，也可对此类说明的发言时间给予限制。

规则 28－多得票数

1. 除非公约条款、本议事规则和公约信托基金管理职责范围另有其它规定外，所有有关

大会会务执行方面的程序性事务，其表决都应根据在场并参加投票的全权代表的简单多得票数(半数以上)来决定；而其它所有决定，应根据在场并参加投票的全权代表的三分之二以上多得票数的基础上作出。

2. 在计算所需的多得票数时，对放弃表决权或投弃权票的全权代表不予计算。

规则 29－选举

1. 如果在对某一职位的候选人进行选举时，没有一位候选人在第一轮投票中获得绝对多数的支持，第二轮投票则应限定在第一轮投票中得票数排在前两名的两个候选人之间进行。如果在第二轮投票中两位候选人的票数相同，主持人应通过在这两人之间采用抽签的方式作出最后决定。
2. 如果第一轮投票中有多位候选人的得票数并列第二时，应在这些候选人之间进行一次特殊的投票，以将最终候选人减少至两人。
3. 如果第一轮投票中有三位或三位以上候选人的得票数并列第一时，应在这些候选人之间进行一次特殊的投票，以将最终候选人减少至两人。如果此后仍产生两名或两名以上的候选人，则主持人应通过抽签的方式将最终候选人减少至两人，随后再按照本规则第 1 段的规定进行下一轮投票。
4. 本规则同样适用于下次缔约方大会主办国的指定。

第七部分 资料性文件和展板

规则 30－资料性文件和展板的提交

1. 有关野生动植物保护、保育或管理的资料性文件可通过以下途径提供给参会代表：
   a) 任何一位缔约方代表或代表某一非缔约方国家或政府间组织的观察员；
   b) 代表其它任何某一组织的观察员；及
   c) 秘书处。
2. 此类文件的散发不需得到任何批准，但应清楚地标明是由谁提供的。
3. 对于来自本条规则上述第 1 段中提及的国家和组织的文件，可以请求由秘书处帮助散发。在这种情况下，则必须有足够的数量以供散发。由缔约方和秘书处提交的有关会议议程中特定事宜的文件，应由秘书处编号并包含在正式文件的目录中。
4. 除非经公约秘书处授权，公约的标识不可用于资料性文件和其他材料。
5. 任何缔约方的全权代表如认为被散发的资料性文件带有攻击性，或未能根据规则 31 获得授权而使用公约的标识，可向主席团提出投诉。
6. 除由主办国适当布置用于宣传其如何保护自然和履行公约的展板外，在会议室周围近旁不得布置任何展板。由展览举办人出资在专门展览区布置的展览，应事先得到主席团的批准，主席团也可随时撤回其批准。

第八部分 投诉

规则 31－投诉

1. 参加会议人员可根据规则 30 第 5 段向主席团提出投诉，或某一参会人员在受到其它人攻击后也可向主席团提出投诉。

2. 在收到投诉后，主席团应收集必要的信息以考虑此投诉是否有效，同时应保持这种意识，即可以存在不同的合理的观点。

3. 如果收到规则 30 第 5 段所述的投诉，主席团则应考虑宣传材料是否涉及到对某一缔约方的侮辱和诽谤，或者是否涉及到损害公约的名声。

4. 主席团应决定采取适当的行动，这些行动，作为一种最后手段，可包括建议缔约方大会取消某一组织参加会议的权力，或者是对某一缔约方予以正式的投诉。

第九部分 议事规则的修改

规则 32－修改

本议事规则由缔约方大会制定，并保持对每一次缔约方大会都有效，除非缔约方大会决定对其进行修改。

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED

SPECIES OF WILD FAUNA AND FLORA

UNEP

Rules of Procedure of the Conference of the Parties

(as amended at the 17th meeting, Johannesburg, 2016)

Part I Definitions and Participants: delegates, observers, Secretariat

Rule 1 Scope

These rules of procedure shall apply to any meeting of the Conference of the Parties to the Convention convened in accordance with Articles XI and XVII of the Convention.[107]

Rule 2 Definitions

For the purpose of these Rules of Procedure:

a) "Convention" means the Convention on International Trade in Endangered Species of Wild Fauna and Flora agreed at a meeting of representatives of 80 countries in Washington D.C., United States of America, on 3 March 1973;

b) "Party" means a Party to the Convention as defined by Article I, subparagraph (h), Article XXI and Article XXII of the Convention;

c) "Regional economic integration organization" means an organization defined in Article XXI of the Convention;[108]

d) "Conference of the Parties (CoP)" means the Conference of the Parties established by Article XI of the Convention;

e) “Delegates” means Representatives, Alternate Representatives and Advisers representing a Party to the Convention;

[1] *These Rules of Procedure cannot be understood as an implicit acceptance of the Gaborone Amendment to Article XXI of the Convention by any Party that has not deposited its instrument of acceptance of that amendment.*

108 *Nothing in these rules prejudices the views of any Party concerning the rights and obligations of regional economic integration organizations in other international fora.*

f) “Duly accredited”, when referring to Representatives, Alternative Representatives and Advisers representing Parties to the Convention means that their credentials have been accepted by the Conference of the Parties in accordance with Rule 5;

g) “Representatives present and voting” means duly accredited Representatives, including Alternate Representatives, present and casting an affirmative or negative vote;

h) “Presiding officer” means an officer elected to preside over sessions in accordance with Rule 16;

i) "Secretariat" means the Secretariat of the Convention, which shall arrange for, service and act as secretariat for any meeting of the Conference of the Parties in accordance with Article XII, paragraph 2, of the Convention and Rule 6;

j) “Working documents” means all documents for discussion and possible decision by the Conference of the Parties, including the draft agenda, draft resolutions, draft decisions and reports submitted by any Party to the Convention, the Standing Committee, the Animals Committee, the Plants Committee or the Secretariat, as well as proposals to amend Appendices I and II, submitted by Parties;

k) “Information documents” means documents submitted to the Conference of the Parties in accordance with Rule 30, by Parties, observers or the Secretariat for information purposes only.

Rule 3 Delegates

1. A Party to the Convention shall be entitled to be represented at the meeting by a delegation consisting of a Representative and such Alternative Representatives and Advisers as the Party may deem necessary.

2. An Alternative Representative may at any time act in the place of the Representative.

Rule 4 Observers

1. The United Nations, its specialized agencies, the International Atomic Energy Agency, as well as any State not a Party to the Convention may be represented at the meeting by observers who shall have the right to participate in the plenary sessions and sessions of Committees I and II but not to vote.[109]

2. Any body or agency technically qualified in protection, conservation or management of wild fauna and flora which is either:

a) an intergovernmental or a national governmental agency or body; or

[109] *See Convention, Article XI, paragraph 6.*

b) an international or national non-governmental agency or body, including a private sector entity;

and which has informed the Secretariat of the Convention of its desire to be represented at the meeting by observers 60 days before the meeting[110], shall be permitted to be so represented in the plenary sessions and sessions of Committees I and II, unless one-third of the Representatives present and voting object. Once admitted, these observers shall have the right to participate but not to vote.[111] However, the right of observers to participate may be withdrawn if so agreed by one-third of the Representatives present and voting.

3. A body or an agency referred to in paragraph 2 of this Rule desiring to be represented at the meeting by observers shall submit the names of these observers, pay the standard participation charge to the Secretariat at least 60 days prior to the opening of the meeting and provide

a) evidence of the approval of the State in which it is located in the case of a national non-governmental body or agency; or[112]

b) evidence that it has a legal persona and an international character, remit and programme of activities in the case of an international non-governmental body or agency.

Rule 5 Credentials

1. The Representative and any Alternative Representative of a Party as well as any Adviser in the delegation shall have been granted powers by a proper authority, i.e. the Head of State, the Head of Government or the Minister of Foreign Affairs, or, in the case of a regional economic integration organization, by the competent authority of that organization, enabling him/her to represent the Party at the meeting.

2. All credentials shall be submitted to the Secretariat of the Convention, where possible at least one week before the opening session of the meeting, together with a translation into English, French or Spanish if they are not in one of these languages.

3. The Credentials Committee referred to in Rule 7, paragraph 2 a), shall examine the credentials and shall report thereon to the meeting. It shall recommend acceptance of credentials only if the signed original has been presented.

4. Pending a decision on their credentials, delegates may participate provisionally in the meeting but not vote. The right to participate in the meeting shall not extend to persons whose credentials the Conference of the Parties has decided are unacceptable.

5. Any observer representing a State not party to the Convention or an intergovernmental organization in a meeting, shall have been granted credentials by a proper authority enabling

[110] *Where justified, the Secretariat may exceptionally accept late registrations.*

[111] *See Convention, Article XI, paragraph 7.*

[112] *See Convention, Article XI, paragraph 7 (b)*

him or her to represent the State or organization.

Rule 6 Secretariat

The Secretariat of the Convention shall arrange for, service and act as secretariat for the meeting.[113]

Part II Arrangement of the meeting

Rule 7 Plenary sessions, committees and working groups

1. The Conference of the Parties conducts its work in plenary sessions and in committee sessions.

2. The Conference of the Parties shall establish the following sessional committees:

a) the Credentials Committee, of not more than five Representatives of different Parties, which shall report to the meeting;

b) Committee I, which shall be responsible for making recommendations to the Conference on all proposals to amend the Appendices of the Convention and on any matter of a primarily biological nature; and

c) Committee II, which shall act similarly in relation to all other matters to be decided upon by the Conference.

3. The Conference and Committees I and II may establish such working groups as may be necessary to enable them to carry out their functions. They shall define the terms of reference and composition of each working group and shall strive to achieve regional balance. The membership of the working groups shall be limited to delegates and to those observers with expertise on the matter invited by the Presiding Officer of the session at which the working group is established. The Presiding Officer shall aim to ensure a fair and balanced representation of delegates and observers with the number of observers not exceeding the number of delegates.

4. Unless the chair of a working group is appointed by the Presiding Officer of the session at which it is established, each working group shall elect its own chair from among the delegates that are members of the working group.

Rule 8 Rules of Procedure of committees and working groups

Insofar as they are applicable, these Rules shall apply *mutatis mutandis* to the

[113] *See Convention, Article XII, paragraph 2 (a).*

proceedings of committees and working groups.

Rule 9 Quorum

A quorum for a plenary session of the meeting or for a session of Committee I or II shall consist of one-half of the Parties having delegations at the meeting. No plenary session or session of Committee I or II shall take place in the absence of a quorum. For the purposes of calculating the quorum, a regional economic integration organization shall not be counted in addition to its member States.

Rule 10 Working languages

1. English, French and Spanish shall be the working languages of the meeting.

2. Interventions made in any of the working languages shall be interpreted into the other working languages in plenary session and sessions of Committees I and II. Interpretation shall be provided in sessions of the Credentials Committee, the Bureau and working groups, only if the Conference of the Parties agrees to provide the resources for this.

3. The official working documents of the meeting shall be distributed in the three working languages. Information documents submitted in accordance with Rule 30 below are not submitted for discussion and therefore shall be distributed only in the working language in which they are provided.

Rule 11 Other languages

1. A participant may speak in a language other than a working language. He/she shall be responsible for providing interpretation into a working language. Interpretation by the Secretariat into the other working languages may be based upon that interpretation.

2. Any working document submitted to the Secretariat in any language other than a working language shall be accompanied by a translation into one of the working languages.

Rule 12 Summary records

1. Summary records of plenary sessions and of sessions of Committees I and II shall be kept by the Secretariat in the working languages of the meeting. These shall be made available on the website of the Convention as soon as possible after the meeting.

2. The Credentials Committee and working groups shall decide upon the form in which their records shall be prepared.

Rule 13 Seating

1. Delegations shall, as a general rule, be seated in accordance with the alphabetical order of the English language names of the Parties they represent.

2. Seating limitations may require that no more than four delegates of any Party be present at plenary sessions and sessions of Committees I and II.

3. Observers shall be seated in one or more designated areas within the meeting room. They may enter an area designated for delegations only when invited to do so by a delegate.

4. Seating limitations may require that no more than two observers from any State not a Party, or from any observer body or agency, be present at plenary sessions and sessions of Committees I and II.

Rule 14 Publicity of debates

1. All plenary sessions of the meeting and sessions of Committees I and II shall be open to the public. However any single session may be closed to the public by a decision of a simple majority of the Representatives present and voting.

2. As a general rule, sessions of the Credentials Committee or any working group shall be open only to the delegates and those observers invited by the Presiding Officer of the session at which the Committee or working group is established.

Rule 15 Media

1. Representatives of the media may attend the meeting after they have been accredited by the Secretariat. Media accreditation is strictly reserved for representatives of the media (print, photo, radio, television, film, news agencies, online media) who represent a *bona fide* media organization and who are not registered as an observer for any agency or body. Applications for accreditation shall be considered on a case-by-case basis and the decisions of the Secretariat shall be final. Plenary sessions and sessions of Committees I and II are open to the accredited representatives of the media unless such sessions are closed to the public.

2. The representatives of the media shall be seated in a designated area within the meeting room. Photographers and television crews may only enter the areas designated for delegations and for observers when invited to do so by the Chair of the Conference or the Chair of Committee I or II, and for as long as they are so authorized. Requests for such authorization shall be addressed to the Secretariat.

Part III

Office rs

Rule 16 Chairs and Vice-Chairs

1. The Chair of the Standing Committee shall act as temporary Chair of the Conference until the Conference of the Parties elects a Chair in accordance with paragraph 2.

2. The Conference of the Parties shall elect a Chair, an Alternate Chair and two Vice-Chairs of the Conference to preside over plenary sessions of the meeting. It shall also elect a Chair for each of the Committees I and II and the Credentials Committee. Candidates for these offices shall be nominated by the Standing Committee after appropriate consultations with, *inter alia*, if applicable, the host country. The Standing Committee shall satisfy itself that the candidates are, *prima facie*, capable of impartially expediting the business of the Conference. As Presiding Officers have no vote, there is no other qualification required for nomination.

3. The Chair of the Conference shall preside at all plenary sessions of the meeting.

4. If the Chair of the Conference is absent or is unable to discharge his/her duties, the Alternate Chair shall deputize for him/her as Presiding Officer. If the Chair and Alternate Chair are both unavailable, the Bureau shall nominate one of the Vice-Chairs of the Conference to serve as Presiding Officer.

5. If the Chair of a Committee is absent or is unable to discharge his/her duties, the Bureau shall nominate one of the Vice-Chairs of the Conference to deputize for him/her as Presiding Officer.

6. The Presiding Officer shall not vote.

Rule 17 Bureau

1. The Chair, the Alternate Chair and the Vice-Chairs of the Conference, the Chairs of Committees I and II and of the Credentials Committee, the Chair and the other members of the Standing Committee and the Secretariat shall constitute the Bureau of the Conference with the general duty of ensuring the effective enforcement of the Rules of Procedure and forwarding the business of the meeting, and shall take such steps as are necessary to alter the timetable or structure of the meeting to ensure the effective completion of business including, as a last resort, the limiting of time for debates.

2. The Chair of the Conference shall preside over the Bureau.

3. If the Chair of the Conference is absent or is unable to discharge his/her duties, the Alternate Chair shall deputize for him/her. If the Chair and Alternate Chair are both unavailable, the Bureau shall nominate one of the Vice-Chairs to preside.

Part IV Rules of order and debate

Rule 18 Powers of Presiding Officer

1. In addition to exercising the powers conferred upon him/her elsewhere in these Rules, the Presiding Officer shall at plenary sessions of the meeting and at sessions of Committees I and II, the Credentials Committee and working groups:

a) declare the session open and closed;

b) direct the discussion;

c) ensure the observance of these Rules;

d) accord the right to speak;

e) put questions to a vote and announce decisions;

f) rule on points of order;

g) subject to these Rules, have complete control of the proceedings and the maintenance of order; and

h) where necessary, determine that Rule 13, paragraph 2 or 4 on seating arrangements, shall be applied.

2. The Presiding Officer may, in the course of discussion at a plenary session of the meeting or at sessions of Committees I and II, the Credentials Committee and working groups, propose:

a) time limits for speakers;

b) limitation of the number of times the members of a delegation or the observers from a State not a Party, body or agency may speak on any question;

c) the closure of the list of speakers;

d) the adjournment or the closure of the debate on the particular subject or question under discussion; and

e) the suspension or adjournment of the session.

Rule 19 Right to speak

1. The right to speak shall extend to Representatives, Alternative Representatives and Advisers whose credentials are under consideration or have been accepted, and to observers who have been admitted to the meeting in accordance with Rule 4, as well as to the Secretariat.

2. The Chairs of the Animals and Plants Committees shall have the right to speak in that capacity on matters relevant for the work of those Committees.

3. The Presiding Officer shall, as a general rule, call upon speakers in the order in which they signify their desire to speak and shall give precedence to the delegates and to the Secretariat. Amongst observers, precedence shall be given to non-Party States, intergovernmental agencies and bodies and non-governmental agencies and bodies, in this order. However the Presiding Officer may depart from this general rule and call on speakers in the order that he/she judges appropriate to ensure the timely progress of the debate.

4. A delegate or observer shall speak only if called upon by the Presiding Officer, who may call a speaker to order if his/her remarks are not relevant to the subject under discussion.

5. A speaker shall not be interrupted except on a point of order. He/she may, however, with the permission of the Presiding Officer, give way during his/her intervention to allow any other delegate or observer to request elucidation on a particular point.

6. The Chair of a committee or working group may be accorded precedence for the purpose of explaining the conclusion arrived at by that committee or working group.

7. The Conference and Committees I and II may, on a proposal by the Presiding Officer or by a Representative, limit the time to be allowed to each speaker and the number of times the members of a delegation or the observers either from a State not a Party, or from an agency or body may speak on any question. When the debate is subject to such limits, and a speaker has spoken for his/her allotted time, the Presiding Officer shall call him/her to order without delay.

8. During the course of a debate the Presiding Officer may announce the list of speakers and, with the consent of the Conference, or Committee I or II, declare the list closed. He/she may, however, accord the right of reply to any delegate or observer if an intervention delivered after he/she has declared the list closed makes this desirable.

Rule 20 Procedural motions

1. During the discussion of any matter, a Representative may rise to a point of order. Except in cases where the speaker wishes to propose one of the motions referred to in paragraph 2, the point of order shall be immediately decided by the Presiding Officer. A Representative may appeal against the ruling of the Presiding Officer. The appeal shall be immediately put to a vote and the Presiding Officer's ruling shall stand unless a simple majority of the Representatives present and voting otherwise decides. In such instances, a Representative rising to a point of order may not speak on the substance of the matter under discussion.

2. The motions listed below shall have precedence, in the order shown, over all other proposals or motions before the Conference. In addition to the proposer of the motion, a delegate may speak in favour of the motion and a delegate of each of two Parties may speak against it, after which the motion shall be immediately put to a vote. The Presiding Officer may limit the time to be allowed to the speakers.

Regarding the session

a) suspension of the session

b) adjournment of the session Regarding the

debate on a particular issue

c) adjournment of the debate on the particular subject or question under discussion

d) closure of the debate on the particular subject or question under discussion.

Rule 21 Motions to open and reopen debates in plenary sessions

1. Whenever the Conference, in plenary session, decides upon a recommendation originating from Committee I or II, where the discussion of the recommendation has been conducted with interpretation in the three working languages, there shall be no further discussion on the recommendation and it shall immediately be decided upon. However, any Representative, if seconded by a Representative of another Party, may present a motion for the opening of debate. Permission to speak on the motion shall be granted only to the Representative presenting it and a seconder, and to a Representative of each of two Parties wishing to speak against, after which the motion shall immediately be put to a vote. A motion to open the debate shall be granted if one-third of the Representatives present and voting support the motion. While speaking on a motion to open the debate a Representative may not speak on the substance of the recommendation itself.

2. Once a proposal for amendment of Appendix I or II has been adopted or rejected by the Conference of the Parties, it may not be reconsidered during the meeting.

3. Without prejudice to paragraph 2 of this Rule, whenever the Conference, in plenary session, following a discussion conducted with interpretation in the three working languages, has adopted a decision that is not based on a recommendation originating from Committee I or II, it may be reconsidered during the meeting only under the following circumstances. Any Representative, if seconded by a Representative of another Party, may present a motion for the reopening of debate. Permission to speak on the motion shall be granted only to the Representative presenting it and the seconder, and to a Representative of each of two Parties wishing to speak against, after which the motion shall immediately be put to a vote. A motion to reopen the debate shall be granted if two-thirds of the Representatives present and voting support the motion. While speaking on a motion to reopen the debate a Representative may not speak on the substance of the decision itself.

Part V Submission of proposals and procedures for making decisions

Rule 22 Submission of draft resolutions, draft decisions and other working documents (except proposals to amend Appendices I and II)

1. As a general rule, working documents, including draft resolutions, draft decisions, reports and other documents shall not be longer than 12 pages and shall have been communicated at least 150 days before the meeting to the Secretariat, which shall place them on the website of the Convention for information of all Parties in the working languages of the meeting.

2. However, the Secretariat, before the meeting, or the Bureau, during the meeting, may also

permit the discussion and consideration of urgent draft resolutions, draft decisions and other documents arising after the 150-day period provided that they have been placed on the website of the Convention as above and their consideration will not unduly inhibit the proceedings of the Conference.

3. Draft resolutions, draft decisions and other documents arising out of discussion of the foregoing may be discussed at any plenary session or any session of Committee I or II provided that copies of them have been circulated to all delegations, in the working languages, no later than during the session preceding the session at which they are to be discussed.

4. The Representative of any Party that has submitted a draft resolution, draft decision or other document may, at any time, withdraw it. Once withdrawn, it may not be re-submitted during the meeting.

Rule 23 Procedure for deciding on draft resolutions, draft decisions and other documents (except proposals to amend Appendices I and II

1. The Conference shall as far as possible decide on draft resolutions, draft decisions and other documents by consensus.

2. Whenever the Conference does not reach a consensus on the adoption or rejection of a draft resolution, draft decision or other document, the Presiding Officer shall propose its adoption be put to a vote.

3. If two or more draft resolutions, draft decisions or other documents relate to the same question, the Conference shall, unless it determines otherwise, decide on them in the order in which they have been submitted. The Conference may, after deciding on a draft resolution, draft decision or other document, consider whether to decide on the next such draft resolution, draft decision or document.

4. A Representative may propose that parts of a draft resolution, draft decision or other document shall be decided upon separately. If any objection is made to the request for such division, the motion for division shall be voted upon. Permission to speak on the motion shall be accorded only to a delegate from each of two Parties wishing to speak in favour of, and a delegate from each of two Parties wishing to speak against, the motion. If the motion for division is carried, those parts of the draft resolution, draft decision or other document that are subsequently approved shall be decided upon as a whole. If all operative parts of the draft resolution, draft decision or other document have been rejected, it shall be considered to have been rejected as a whole.

5. Any Representative may propose an amendment to a draft resolution, draft decision or other document. The Presiding Officer may permit the immediate discussion and consideration of amendments to draft resolutions, draft decisions and other documents, even though such amendments have not been circulated previously.

6. When an amendment is moved to a draft resolution, draft decision or other document, the amendment shall be decided on first. When two or more amendments are moved to a draft

resolution, draft decision or other document, the Conference shall first decide on the amendment furthest removed in substance from the original text and then on the amendment next furthest removed therefrom, and so on until all amendments have been submitted to decision. When, however, the adoption of one amendment necessarily implies the rejection of another amendment, the latter amendment shall not be submitted to decision. If one or more amendments are adopted, the amended draft resolution, draft decision or other document shall then be decided upon.

Rule 24 Submission of proposals for amendment of Appendices I and II

1. Proposals for amendment of Appendices I and II shall have been communicated at least 150 days before the meeting to the Secretariat, which shall place them on the website of the Convention for information of all Parties[114] in the working languages.

2. The Representative of the Party that has submitted a proposal for amendment of Appendices I and II may, at any time, withdraw the proposal or amend it to reduce its scope or to make it more precise. Once a proposal has been withdrawn, it may not be re-submitted during the meeting. Once a proposal has been amended to reduce its scope, it may not be re-amended, during the meeting, to increase the scope of the amended proposal.

Rule 25 Procedure for deciding on proposals for amendment of Appendices I and II

1. The Conference shall as far as possible decide on proposals for amendment of Appendices I and II by consensus.

2. Whenever the Conference does not reach a consensus on the adoption or rejection of a proposal for amendment of Appendices I and II, the Presiding Officer shall propose that the decision on the amendment be put to a vote.

3. A Representative may move that parts of a proposal for amendment of Appendices I and II shall be decided on separately. If any objection is made to the request for such division, the motion for division shall be voted upon. Permission to speak on the motion shall be accorded only to a delegate from each of two Parties wishing to speak in favour of, and a delegate from each of two Parties wishing to speak against, the motion. If the motion is carried, those parts of the proposal which are subsequently approved shall be decided upon as a whole. If all parts of the proposal have been rejected, it shall be considered to have been rejected as a whole.

4. If two or more proposals for amendment of Appendices I and II relate to the same taxon and have the same substance, the Conference shall decide on one proposal only. If this proposal is adopted or rejected, the other or others is or are deemed to be adopted or rejected also.

5. Any Representative may propose an amendment to a proposal for amendment of Appendix I or II to reduce its scope or to make it more precise. The Presiding Officer may permit the

[114] *See Convention, Article XV, paragraph 1 (a).*

immediate discussion and consideration of such a proposed amendment even though it has not been circulated previously.

6. If two or more proposals including proposals amended in accordance with Rule 24, paragraph 2, and proposals made in accordance with paragraph 5 of this Rule relate to the same taxon, but are different in substance, the Conference shall first decide on the proposal that will have the least restrictive effect on the trade and then on the proposal with the next least restrictive effect on the trade, and so on until all proposals have been submitted to decision. When however, the adoption of one proposal necessarily implies the rejection of another proposal, the latter proposal shall not be submitted to decision.

Part VI

Voting

Rule 26 Right to vote

1. Each Party shall have one vote, except as provided for in the Convention.

2. The duly accredited Representative of a Party shall exercise the voting rights of that Party.

Rule 27 Methods of voting

1. The Conference shall normally vote through an electronic system or by show of hands, but any Representative may request a roll-call vote. In the case of votes taken by an electronic system, other than votes taken by secret ballot, the individual votes of all Parties shall be displayed on a screen for all participants to see immediately after a vote has taken place, and included in the summary record of the session. The roll-call vote shall be taken in the seating order of the delegations. The Presiding Officer may himself/herself require a roll-call vote on the advice of the tellers where they are in doubt as to the actual number of votes cast and this is likely to be critical to the outcome.

2. All votes in respect of the election of officers or of prospective host countries shall be by secret ballot when there is more than one candidate and, although it shall not normally be used, any Representative may request a secret ballot for other matters. The Presiding Officer shall ask whether the request is seconded. If it is seconded by 10 Representatives the vote shall be by secret ballot.

3. Voting by roll-call or secret ballot shall be expressed by "Yes", "No" or "Abstain". Only affirmative and negative votes shall be counted in calculating the number of votes cast.

4. The Presiding Officer shall be responsible for the counting of the votes and shall announce the result. After all votes, except those concerning the designation of the next host country, the Presiding Officer shall announce the number of affirmative votes, negative votes and abstentions, as well as the majority needed to adopt the decision submitted to votation.

He/she may be assisted by tellers appointed by the Secretariat.

5. After the Presiding Officer has announced the beginning of a vote, it shall not be interrupted except by a Representative on a point of order in connection with the actual conduct of the voting. The Presiding Officer may permit Representatives to explain their votes either before or after the voting, and may limit the time to be allowed for such explanations.

Rule 28 Majority

1. Except where otherwise provided for under the provisions of the Convention, these Rules or the Terms of Reference for the Administration of the Trust Fund, all votes on procedural matters relating to the conduct of the business of the meeting shall be decided by a simple majority of the Representatives present and voting, while all other decisions shall be taken by a two-thirds majority of Representatives present and voting.

2. Representatives abstaining from voting or Representatives who cast a vote of abstention, shall not be counted in calculating the majority required.

Rule 29 Elections

1. If in an election to fill one place no candidate obtains the absolute majority in the first ballot, a second ballot shall be taken restricted to the two candidates obtaining the largest number of votes. If in the second ballot the votes are equally divided, the Presiding Officer shall decide between the candidates by drawing lots.

2. If in the first ballot there is a tie amongst candidates obtaining the second largest number of votes, a special ballot shall be held amongst them for reducing the number of candidates to two.

3. In the case of a tie amongst three or more candidates obtaining the largest number of votes in the first ballot, a special ballot shall be held amongst them for reducing the number of candidates to two. If a tie then results amongst two or more candidates, the Presiding Officer shall reduce the number to two by drawing lots, and a further ballot shall be held in accordance with paragraph 1 of this Rule.

4. This Rule also applies to the designation of the next host country of the Conference of the Parties.

Part VII Information documents and exhibitions

Rule 30 Submission of information documents and exhibitions

1. Information documents on the protection, conservation or management of wild fauna and flora may be submitted for the attention of the participants to the meeting by:

a) any Representative of a Party or any observer representing a State not party to the Convention or an intergovernmental organization;

b) any observer representing any other organization; and

c) the Secretariat.

2. No approval is required for the distribution of such documents. However, they shall clearly identify who is presenting them.

3. Information documents from the States and organizations referred to in paragraph 1 of this Rule may, on request, be distributed by the Secretariat. In this case, they shall be provided in sufficient numbers for distribution. Information documents submitted by Parties and by the Secretariat relating to specific items on the agenda of the meeting shall be numbered by the Secretariat and included in its list of official documents.

4. The CITES logo may not be used on information documents and other material unless authorized by the CITES Secretariat.

5. Any Representative may complain to the Bureau if an information document that has been distributed is considered offensive or uses the CITES logo without authorization, in accordance with Rule 31.

6. Apart from an exhibition from the host country, where applicable, to show how it conserves nature and implements the Convention, no exhibition is authorized in the immediate vicinity of meeting rooms. Exhibitions set up in a specific exhibition area, at the cost of the exhibitors, may be subject to the approval of the Bureau, which may withdraw such permission at any time.

Part VIII Complaints

Rule 31 Complaints

1. A complaint may be addressed to the Bureau pursuant to Rule 30, paragraph 5, or by any participant who has been subject to abuse by another.

2. When it receives a complaint, the Bureau shall obtain information necessary to consider the validity of the complaint, bearing in mind that legitimate differences of opinion may exist.

3. In the case of a complaint received pursuant to Rule 30, paragraph 5, it shall consider whether the document concerned abuses or vilifies a Party, or brings the Convention into disrepute.

4. The Bureau shall decide on appropriate action, which may, as a last resort, include either a proposal to the Conference of the Parties to withdraw the right of admission of an organization to the meeting, or a formal complaint to a Party.

Part IX Amendment of the Rules of Procedure

Rule 32 Amendment

These Rules are established by the Conference of the Parties and shall remain valid for each meeting of the Conference unless they are amended by decision of the Conference.

常委会议事规则

（2018年10月在索契第70次会议上修订）

代表和出席

规则1

1. 在常委会会议上，每一个常委会成员国可以指派一名代表和一名副代表参会，必要时还可指派顾问。每一个常委会委员国应指定一人，负责常委会闭会期间有关事务的联络事宜。

2. 如果会议期间地区代表国不在场，则由候补代表作为本地区的代理代表国。

3. 地区代表国和代理地区代表国，应至少在会议召开前七天，通过指定的与委员会联系的人员，向秘书处提交其代表、候补代表和顾问的姓名。

4. 代表可行使地区代表国或代理地区代表国的表决权。只有代表公约六个地区的地区代表国或代理代表国才具有表决权，但在表决结果出现平局（赞成票数和反对票数相等）的情况下，公约保存国政府则有权参加表决以打破平局。

规则2

非常委会委员国只能以观察员的身份参加会议，观察员只有参加会议的权力，而无表决权。这些缔约方应至少在会议召开前七天，通过国家管理机构向秘书处提交这些观察员的姓名。

规则3

联合国、联合国特别机构、国际原子能机构、以及其它任何非公约缔约方的国家均可以观察员的身份参加会议，观察员有参加会议的权力，但没有表决权。应至少在会议召开前30天向秘书处提交这些观察员的姓名。

规则4

1. 任何一个具备野生动植物种保护、保育或管理技术资质的团体或机构，不论其为：

a) 政府间或国家政府的机构或团体；或

b) 国际的或国家的非政府机构或团体，包括私人部门实体

以及已通知公约秘书处，希望以观察员的身份参加会议的代表，应被允许出席常委会会议。观察员经过同意后，有权参加会议，但无表决权。但是，经到场成员一致同意，可随时取消此类观察员的参会权。

2. 本规则第1段所指的任何团体或机构，如希望委派观察员参加会议，应至少在会议召开前至少30天向秘书处提交观察员的姓名，并等待秘书处的批准：

a) 如为国家非政府团体或机构，其所在国批准参会的证明；或

b) 如为国际非政府团体或机构，其具有法人资质、国际性特征、职能和相关活动方案的证明，除非应被秘书处注册。

全权证书

规则5

1. 常委会地区代表国，或者在其缺席时的代理地区代表国的代表或在其缺席时的候补代表，在会上行使表决权之前，已经获得有关当局（或代表该当局）批准，授权其作为委员国或代理委员国参加会议。

2. 由外交部、相当的部委、或在秘书处注册的管理机构发送的信件，或者政府常驻使团的外交照会，都可以作为全权证书。被证实的全权证书复印件也可以接受。由被授权人本人所签署的全权证书则无效。

3. 代表非常委会委员国、非公约缔约方、政府间组织或团体的任何观察员，均应具备由适当的主管机构核发的全权证书，使其可代表该国家、区域经济一体化组织、机构或团体。

4. 本规则规定的全权证书，如果可能，应在开会前至少一周提供给秘书处，如其不是公约三种工作语言之一，还需要将其翻译为公约三种工作语言之一，将翻译件和原件一同报送秘书处。秘书处则应审查这些全权证书，并及早向常委会报告，并提供一份根据本规则收到的全权证书的清单，并提请注意其中任何潜在的问题。

5. 常委会应在公约秘书处报告的基础上，决定是否认可这些全权证书，并决定哪些全权证书需要经过常委会成员的进一步审核。对于后一种情况，一个由常委会成员代表国/代理地区代表国的代表，或其候补代表组成的不超过三人的资格审查委员会，应对需进一步审核的全权证书进行检查，并在检查后向会议报告。

6. 在其全权证书获得最终决定前，规则2和规则3所指的常委会委员国代表、代理代表或观察员可以临时性地参加会议。对于常委会决定不接受其全权证书的人员，没有参加会议的权力。

官员和秘书处

规则6

1. 在每次缔约方大会后，常委会的地区成员应即刻选举出常委会的主席和副主席。

2. 选举出来的常委会主席，应主持常委会会议、批准由秘书处准备的会议临时议程，并在常委会闭会期间同其它委员会保持联系。主席应在常委会权限范围内，代表常委会及各缔约方，并在常委会的委托下行使其它类似的职能。

3. 副主席应协助主席发挥作用，并在主席缺席会议的情况下代替其发挥作用。

规则7

公约秘书处应向委员会会议提供服务并作为会议秘书。但在闭门会议时，如需要，会议应自配报告起草人。

会议安排

规则8

1. 视缔约方大会提供的指导，委员会会议可应主席提议召开，也可由委员会委员国以简单多数提议召开。

2. 会议的时间和地点，应根据缔约方大会提供的指导，由主席和秘书处商议后决定。

3. 会议通知一般应至少提前75天由秘书处发出，对于紧急会议则应至少提前14天发出。

规则9

1. 地区委员国和代理地区委员国的代表应按其代表的区域就座；其他成员的代表应紧随其后。受席位限制，任何委员会委员国坐席的人数不得超过四名，其他代表可与观察员同坐。

2. 在委员会委员国代表之后，是非委员国的代表，作为一条普遍规则，各代表团的座位顺序应按照其所代表国家的英文字母顺序排列。受座位数限制，每个缔约方的代表团在参加全体会议时，成员人数不得超过4人。

3. 观察员应坐在会场中为其指定的一个或多个区域。受座位数限制，在全体会议时，任何一个观察员机构或实体，最多只能有2名观察员。

规则10

1. 英语、法语、西班牙语是委员会会议的工作语言。任何工作文件，除非已根据规则

11，以这些语言提供，否则不得在会议上讨论。

2. 由前述讨论所形成的可能会被讨论的文件，其拷贝应在不晚于讨论该文件会议的前一会议期间提供传阅。

3. 在全体会议上，任何以其中一种工作语言所作的发言都应被翻译为其它两种工作语言。除非缔约方大会为此目的明确分配资源，否则通常不应在工作组会议上提供口译服务。

文件资料

规则11

1. 拟提交会议讨论的工作文件应采用三种工作语言之一，一般应至少在会前60天提供给秘书处，且不应长于12页。任何缔约方、秘书处、常委会主席、动物委员会主席植物委员会主席或任何非缔约方观察员均可应主席的要求提交工作文件。

2. 在每次常委会会议的至少45天前，秘书处应尽可能在其网站上：

   a) 任何缔约方、动物委员会主席或植物委员会主席提交的所有工作文件，或应主席要求由观察员提交的所有文件，以其收到的语言提供；及
   b) 秘书处准备的文件。

3. 在常委会会议召开前至少14天，秘书处应尽可能，将本规则提到的所有文件以三种工作语言公布于秘书处网站。

规则12

1. 有关野生动植物保护、保育或管理的信息文件，可由以下人员，以信息交流为目的提交：

   a) 任何一位缔约方代表，或代表某一非缔约方或政府间组织的观察员；

   b) 动植或植物委员会主席；

   c) 代表其它任何某一组织的观察员；及

   d) 秘书处。

2. 此类文件的分发无需批准。但是，应明确其代表的主体。

3. 对于本条规则第1段中提及的国家和组织的信息文件，如有要，可由秘书处使其可见。在这种情况下，应提供足够的纸质文件以供散发。由缔约方和秘书处提交的，与会议议程中特定事宜相关的信息文件，应由秘书处编号并包含在正式文件目录。

4. 除非经公约秘书处授权，公约的标识不可用于信息文件和其他材料。

5. 任何缔约方，如果受到已分发的任何信息文件或材料冒犯，可向秘书处投诉。

议事程序和辩论的规则

规则13

会议的最少法定人数，应包括七个地区委员国或代理地区委员国的至少四个地区的代表或候补代表。在没有达到上述最少法定人数的情况下，会议不得召开。

规则14

1. 发言权的授予范围应扩大到所有那些全权证书已被接受或正被考虑的会议代表、动物委员会和植物委员会主席、以及根据规则2、3、4被批准参加会议的观察员和秘书处。

2. 作为一条普遍规则，常委会主席应按表示发言意愿的先后顺序，让不同的发言人发言，并给予常委会委员国优先发言的特权。观察员发言的优先顺序是缔约方、非缔约方、国际政府间组织和非政府组织。但是，主席可以不按这一规则，按照其为确保辩论及时取得进展而自行决定的顺序让不同的人发言。

3. 与会者只有在主席提请时才能发言，主席如认为发言与当时讨论主题无关时，可以提请其遵守秩序。

4. 除非按照程序，否则发言者不得被打断，且只能被常委会委员国或非委员国打断。但经主席同意，发言人也可中断，以便其它参会人员就某一问题给予解释或说明。只有常委会委员国，有权按照程序提议投票。
5. 某一委员会或工作组的主席可被给予优先发言权，以就该委员会或工作组所达成的结论进行解释。

6. 经主席或某位委员国提议，委员会可限制发言者，在任何问题上发言的时间和次数。当辩论受制于此类限制，且某一发言人已经用完了其所被分配的发言时间时，主席应毫不迟疑地打断其发言。

7. 进行辩论时，主席可宣布发言名单，并经委员会同意，不允许增加发言名单。但是，在其宣布不再增加发言名单后，如果有人表示希望进行发言且其要求确实合理时，主席可赋予任何参加会议的人员以回复的权利。

规则15

1. 会议各项决定应设法一致通过。一旦委员会未能达成共识，委员会主席，或者至少两个地区的地区委员国或代理地区委员国的代表或候补代表，可以提议通过投票的

方式采纳决定。

2. 在进行表决时，只有参加表决的地区委员国/代理委员国以简单多数的形式赞成或反对时，常委会才能做出决定。在表决结果出现平局（赞成票数和反对票数相等）的情况下，提出表决的动议应被视为否决，除非公约保存国政府参加投票打破这种僵局。

规则16

应主席或任何地区代表国或代理地区代表国要求，委员会应投票，决定是否对任一特定议题举行闭门会议；任何此类投票都应根据规则15第2款的要求决定。派遣观察员参加会议的缔约方可列席闭门会议。

工作组和次级委员会

规则17

1. 常委会可设立必要的会上和会间工作组，以履行其职能。会间工作组通常应以电子方式工作，除非委员会或缔约方大会另有决定。对于每个工作组，委员会应根据缔约方大会的有关决议和决定，确定其职权范围，并确定工作组的组成，努力实现区域平衡。每个工作组的成员应限于委员会委员国和非成员缔约方，以及在主席邀请下，加入工作组的具有专门知识的观察员机构或实体。主席应确保工作组成员中，委员会委员国、非成员缔约方和观察员的公平和平衡，观察员的人数应不超过缔约方（委员国和非委员国）的人数。

2. 会间工作组通常应在缔约方大会之前的委员会例会上总结其工作。任何希望加入或退出会间工作组的任何缔约方或观察员，均应以书面或电子邮件方式向会间工作组主席提出请求。会间工作组主席应遵守规则17第1款的要求，将会间工作组代表的变动情况，通知常委会主席和秘书处。除非由常委会主席任命，否则每个工作组应在可能的情况下，从委员会委员国和候补委员国中选出自己的主席团成员。

3. 视外部资源限制，秘书处应向会间工作组提供支持和指导。

4. 在其适用的范围内，这些议事规则经过必要的修改后，可作为工作组的议事规则。

规则18

常委会可以从委员会委员国和非成员缔约方中，任命具有特定职权范围的次级委员会，以执行确定的任务。职权范围还应界定次级委员会的组成、运作方式和时限。

执行摘要和摘要记录

规则19

1. 秘书处应在会议闭幕前就常委会的决定，准备一份简明的执行纪要，并提交常委会批准。而每次会议最后一天的执行纪要，应在会后通过电子邮件送交委员会地区委员国和代理地区委员国批准。执行纪要中包含的委员会的决定，在执行纪要被委员会认可后即刻生效。

2. 秘书处应就每次会议召开情况准备一份摘要记录，并在会议结束后的40天之内，在秘书处的网站上予以公布。该摘要记录应按照议程的顺序进行表述，针对每一项议题，表述应包含三部分内容：表述相关讨论要点的简短声明、描述所达成的决定内容的文本（同执行纪要中的一样）、由任何缔约国代表提供并在会上已被读入记录的声明文本。参加辩论的委员国和观察员名单也应包括在摘要记录中。秘书处应考虑在散发后20天内收到的意见，并在委员会主席批准后，在公约网站上提供最终的摘要记录。

3. 秘书处应制作并保存委员会所有全体会议的录音，并应要求将录音提供给任何缔约方。

会间决策程序

规则20

1. 如果紧急情况，需要在委员会会议之间做出决定，委员会委员国或秘书处，可通过电子邮件或委员会同意的任何其他电子程序，向主席提交建议，以供决定。经主席批准，秘书处应将任何此类建议传达给委员会委员国，委员国可在传达建议后的40天内发表评论；如果是遵约事宜，秘书处还应将任何此类建议传达给相关的缔约方，他们也可以在40天内发表评论；秘书处在此期限内收到的任何评论也应传达给委员会委员国。秘书处应通过通知的形式，将任何此类建议传达给各缔约方，并邀请各缔约方将其对该建议的意见，提供给所在地区的常委会委员国，以便其在40天的意见征询期内提交给秘书处。

2. 评论期满后，主席应在秘书处的协助下，在14天内：

    a) 在适当的情况下，考虑委员国的评论，如果是遵约事宜，同时还要考虑相关缔约方的任何评论，对建议进行修订；及

    b) 将建议提交给委员国，供其决策。

3. 地区委员国可在收到建议起25天内提交反对建议。如果秘书处在截止日期之前未收到反对意见，则该提案应被视为已通过，该结果将被告知所有委员国和缔约方。

4. 如果任何地区委员国在第3段的适用时限内反对该建议，则应通过电子邮件或委员会同意的任何电子程序，将该建议付诸投票。如果七个地区委员国中的至少四个地区委员国，在收到投票通知的14天内，投票支持或反对该建议，该建议则以简单多数的方式被视为已决定。如果票数不足或者没有获得多数票，则该项建议未被采纳，

应被移至下次委员会考虑。

5. 秘书处应在建议通过，或将此事移交给委员会下次会议的七日内，以通知的形式，将投票程序的结果，告知各缔约方。

最后规则

规则21

本规则未包括的事项，可参照现行有效的缔约方大会议事规则，做必要修改后可适用。

规则22

本议事规则经委员会通过后生效，直到委员会决定再次修订前，对每次会议均为有效。

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

Rules of Procedure of the Standing Committee
(as amended at the 70th meeting, Sochi, October 2018)

Representation and attendance

Rule 1

1. Each Member of the Committee shall be entitled to be represented at meetings of the Committee by a Representative, an Alternative Representative and such Advisors as the Member may deem necessary. Each Member shall designate a person with whom communications regarding the work of the Committee should be conducted between meetings of the Committee.

2. If a regional Member is not represented at a meeting, its alternate Member shall be entitled to represent the region as the acting regional Member.

3. Members and acting regional Members shall submit the names of their Representative, Alternative Representative and any Advisors to the Secretariat at least seven days before the meeting through the person designated for communications regarding the work of the Committee.

4. The Representative shall exercise the voting right of a regional Member or an acting regional Member. Only Members or acting Members representing the six regions shall have the right to vote, except in the case of a tie vote when the Depositary Government shall have the right to vote to break the tie.

Rule 2

Parties not members of the Committee shall be entitled to be represented at meetings of the Committee by observers who shall have the right to participate but not to vote. Such Parties shall submit the names of these observers to the Secretariat at least seven days before the meeting through the national Management Authority.

Rule 3

The United Nations, its Specialized Agencies, the International Atomic Energy Agency, as well as any State not a Party to the Convention may be represented at meetings by observers who shall have the right to participate in meetings of the Committee but not to vote, and shall submit the names of these observers to the Secretariat at least 30 days before the meeting.

Rule 4

1. Any body or agency technically qualified in protection, conservation or management of wild fauna and flora which is either:

   a) an intergovernmental or a national governmental agency or body; or

   b) an international or national non-governmental agency or body, including a private sector entity

   and which has informed the Secretariat of the Convention of its desire to be represented at the meeting by observers shall be permitted to be so represented in the meeting of the Standing Committee. Once admitted, these observers shall have the right to participate but not to vote. However, the right of any such observers to participate may be withdrawn at any time if so agreed by the Members present.

   c) Bodies and agencies referred to in paragraph 1 of this Rule desiring to be represented at the meeting by observers shall submit the names of these observers to the Secretariat of the Convention at least 30 days before the meeting, and for approval by the Secretariat provide: evidence of the approval of the State in which it is located in the case of a national non-governmental body or agency; or

   d) evidence that it has a legal persona and an international character, and a relevant remit and programme of activities in the case of an international non-governmental body or agency, unless it has already been registered by the Secretariat.

Credentials

Rule 5

1. The Representative or, in his/her absence, the Alternative Representative of a regional Member or in the absence of the Member, the acting regional Member, shall, before exercising the voting rights of the Member at a meeting, have been granted credentials by or on behalf of a proper authority enabling him or her to represent the Member/acting Member at the meeting.

2. Credentials in the form of a letter from the Minister for Foreign Affairs, the competent Minister or the Management Authority authorized to communicate with the Secretariat or a *note verbale* from the permanent mission may be accepted. Verifiable copies of credentials may also be accepted. Credentials shall not be accepted if they have been signed by the person whom they accredit.

3. Any observer representing a Party not a member of the Committee, a State not Party to the Convention or an intergovernmental agency or body, shall have been granted credentials by or on behalf of a proper authority enabling him/her to represent the State, regional economic integration organization, agency or body.

4. The credentials required under this Rule shall be presented to the Secretariat where possible at least one week before the meeting, together with a translation into one of the three

working languages if they are not in one of those languages. The Secretariat shall review the credentials and report to the Committee at the earliest opportunity, and shall provide a list of the credentials received in accordance with this Rule, and draw attention to any potential problems.

5. On the basis of the report of the Secretariat, the Committee shall decide whether to accept the credentials presented and whether any of them requires further review by Members of the Committee. In the latter case, a Credentials Committee of not more than three Representatives of Members/acting regional Members, or their Alternative Representatives, shall examine the credentials requiring further review and shall report thereon at the meeting.

6. Pending a decision on their credentials, Representatives and Alternative Representatives of Members or acting Members and observers referred to in Rules 2 and 3 may participate provisionally in the meeting. The right to participate in the meeting shall not extend to persons whose credentials the Standing Committee has decided are unacceptable.

Officers and Secretariat

Rule 6

1. Immediately following each regular meeting of the Conference of the Parties, the regional Members of the Committee shall elect Members to serve as Chair and Vice-Chair from among the regional Members.

2. The Representative of the Member elected as Chair shall preside at meetings of the Committee, approve the provisional agenda prepared by the Secretariat and maintain liaison with other CITES committees between meetings of the Committee. He/she shall represent the Committee and the Parties as required within the limits of the Committee's mandate, and shall carry out such other functions as may be entrusted to him/her by the Committee.

3. The Representative of the Member elected as Vice-Chair shall assist the Chair in his/her functions, and shall act on his/her behalf at meetings in the absence of the Chair.

Rule 7

The Secretariat of the Convention shall service and act as secretary for meetings of the Committee. However, in the event of a closed session, the meeting shall provide for its own rapporteur, if needed.

Arrangement of the meeting

Rule 8

1. Subject to guidance provided by the Conference of the Parties, meetings of the Committee shall be called at the request of the Chair or of a simple majority of the Members.

2. The time and place of meetings shall be determined by the Chair in consultation with the Secretariat in accordance with any instructions provided by the Conference of the Parties.

3. Notice of meetings shall normally be given by the Secretariat at least 75 days in advance of

the meeting; in case of emergency meetings, notice should be given at least 14 days in advance of the meeting.

Rule 9

1. Delegates of regional Members and acting regional Members shall be seated by the region they represent; delegates of other Members shall be seated immediately behind. Seating limitations may require that no more than four delegates of any Member be seated with the delegation of the Member with additional delegates seated with observers.

2. Behind delegations of the Members, shall be seated delegations of Parties not members of the Committee, as a general rule, in accordance with the alphabetical order of the English language names of the Parties they represent. Seating limitations may require that no more than four delegates of any Party not member of the Committee be present at plenary sessions.

3. Observers shall be seated in one or more designated areas within the meeting room. Seating limitations may require that no more than two observers from any observer body or agency, be present at plenary sessions.

Rule 10

1. English, French and Spanish are the working languages of the meetings of the Committee. No working document may be discussed at a meeting unless it has been made available in accordance with Rule 11 in these languages.

2. Documents arising out of the discussion of the foregoing may be discussed provided that copies have been circulated no later than during the session preceding the session at which they are to be discussed.

3. Interventions made in any of the working languages shall be interpreted into the other two in plenary sessions of the Committee. Interpretation shall normally not be provided in sessions of working groups, unless resources have explicitly been allocated for this purpose by the Conference of the Parties.

Documents

Rule 11

1. Working documents to be considered at a meeting shall be provided to the Secretariat in one of the working languages and shall normally be provided at least 60 days before the meeting where they are to be discussed, and should not be longer than 12 pages. Working documents may be submitted by any Party, the Secretariat, the Chair of the Standing Committee, the Chair of the Animals Committee, the Chair of the Plants Committee or any non-Party observers at the request of the Chair.

2. At least 45 days before each meeting of the Standing Committee, the Secretariat shall to the extent possible place on its website:

    a) all documents submitted by any Party, the Chair of the Animals or the Plants Committee,

or submitted by an observer at the request of the Chair in the language in which they have been received; and

b) documents prepared by the Secretariat.

3. At least 14 days before each meeting of the Standing Committee, the Secretariat shall, to the extent possible, place on its website in the three working languages all documents mentioned in the present Rule.

Rule 12

1. Information documents on the protection, conservation or management of wild fauna and flora may be submitted for information purposes only by:

   a) any Representative of any Party, or any observer representing a State not party to the Convention or an intergovernmental organization;

   b) the Chair of the Animals or the Plants Committee;

   c) any observer representing any other organization; and

   d) the Secretariat.

2. No approval is required for the distribution of such documents. However, they shall clearly identify who is presenting them.

3. Information documents from the States and organizations referred to in paragraph 1 of this Rule may, on request, be made available by the Secretariat. Paper copies shall be provided in sufficient numbers for distribution. Information documents submitted by Parties and by the Secretariat relating to specific items on the agenda of the meeting shall be numbered by the Secretariat and included in its list of official documents.

4. The CITES logo may not be used on information materials and other material unless explicitly authorized by the CITES Secretariat.

5. Any Party may complain to the Secretariat if any information document or material that has been distributed is considered offensive.

Rules of order and debate

Rule 13

A quorum for a meeting shall consist of Representatives or Alternative Representatives of seven regional Members or acting regional Members from at least four regions. No session shall take place in the absence of a quorum.

Rule 14

1. The right to speak shall extend to all participants whose credentials are under consideration or have been accepted, to the Chairs of the Animals and Plants Committees and to observers

who have been admitted to the meeting in accordance with Rule 2, 3 or 4, as well as to the Secretariat.

2. The Chair shall, as a general rule, call upon speakers in the order in which they signify their desire to speak and shall give precedence to the Members of the Committee. Amongst observers, precedence shall be given to representatives of Parties, non-Party States, intergovernmental organizations and nongovernmental organizations, in this order. However, the Chair may depart from this general rule and call on speakers in the order that he/she judges appropriate to ensure the timely progress of the debate.

3. Participants shall speak only if called upon by the Chair, who may call a speaker to order if his/her remarks are not relevant to the subject under discussion.

4. A speaker shall not be interrupted except on a point of order, which can be made only by Members or non- member Parties. He/she may, however, with the permission of the Chair, give way during his/her intervention to allow any other participant to request elucidation on a particular point. Only Members shall have the right to make a point of order to call for a vote.

5. The Chair of a committee or working group may be accorded precedence for the purpose of explaining the conclusion arrived at by that committee or working group.

6. The Committee may, on a proposal by the Chair or by a Member, limit the time to be allowed to each speaker and the number of times the speaker may speak on any question. When the debate is subject to such limits, and a speaker has spoken for his/her allotted time, the Chair shall call him/her to order without delay.

7. During the course of a debate the Chair may announce the list of speakers and, with the consent of the Committee, declare the list closed. He/she may, however, accord the right of reply to any participant if an intervention delivered after he/she has declared the list closed makes this desirable.

Rule 15

1. The Committee shall as far as possible take decisions by consensus. Whenever the Committee fails to reach consensus, the Chair or Representatives or Alternative Representatives of regional Members or acting regional Members from at least two regions may propose that the adoption of the decision be put to a vote.

2. In the case of a vote, the decision of the Committee shall be taken by a simple majority of the regional Members or acting regional Members casting an affirmative or negative vote. In the case of a tie, the motion shall be considered as rejected unless the tie is broken by the vote of the Depositary Government.

Rule 16

At the request of the Chair or of any regional Member or acting regional Member, the Committee shall decide by a vote whether the discussion of any particular subject shall be held in closed session; any such vote shall be decided in accordance with paragraph 2 of Rule 15. Parties represented at the meeting by observers shall be entitled to be represented at closed

sessions.

Working groups and sub-Committees

Rule 17

1. The Standing Committee may establish such in-session and intersessional working groups as may be necessary for the Committee to carry out its functions. Intersessional working groups shall normally work electronically unless the Committee or the Conference of the Parties have determined otherwise. For each working group, the Committee shall define the terms of reference, in accordance with relevant Resolutions and Decisions of the Conference of the Parties, and shall determine the composition of the working group, striving to achieve regional balance. The membership of each working group shall be limited to the Members and non-member Parties and to those observer bodies and agencies with expertise on the matter invited by the Chair to join the working group. The Chair shall aim to ensure a fair and balanced representation of Members, non-member Parties and observer bodies and agencies with the number of observers not exceeding the number of Parties (Members and non-members).

2. Intersessional working groups should normally conclude their work at the last regular meeting of the Committee preceding a meeting of the Conference of the Parties. Any Party or Observer wishing to join or withdraw from an intersessional working group should make the request in writing or by email to the Chair of the intersessional working group. The Chair of the intersessional working group shall inform the Chair of the Standing Committee and the Secretariat of changes to the representation on the intersessional working group, respecting the requirements in Rule 17 paragraph 1. Unless appointed by the Chair of the Standing Committee, each working group shall elect its own officers, whenever possible from among the Members and alternate Members of the Committee.

3. Subject to resource constraints, the Secretariat shall provide support and guidance to intersessional working groups.

4. Insofar as they are applicable, these Rules shall apply *mutatis mutandis* to the proceedings of working groups.

Rule 18

The Standing Committee may appoint subcommittees from among the Members of the Committee and non- member Parties with specific terms of reference to implement defined tasks. The terms of reference shall also define the composition, mode of operation and lifespan of the subcommittee.

Executive summary and summary record

Rule 19

1. A concise executive summary of the decisions of the Committee shall be prepared by the Secretariat for endorsement by the Committee before the closure of the meeting. However, the executive summary of the last day of each meeting shall be sent by email to the Members and acting regional Members for endorsement after the meeting. The decisions of the

Committee shall come into effect upon endorsement of the Executive Summary in which they are contained.

2. A consolidated summary record of each meeting shall be prepared by the Secretariat and made available on the CITES website within 40 days. This shall be presented in the order of the agenda and comprise three parts for each agenda item: a short statement indicating the main points of the discussion; the text indicating the decision that was made, as it appears in the executive summary; and the text of any statement provided by the representative of any Party that was read into the record during the meeting. The list of Members and observers participating in the debate shall be included in the summary record as well. The Secretariat shall take into account the comments received within 20 days of the circulation and – upon approval of the Chair of the Committee – the Secretariat shall make the final summary record available on the website of the Convention.

3. The Secretariat shall make and keep a sound recording of the audio of all plenary sessions of the Committee, and shall make the recordings available to any Party upon request.

Procedure for intersessional decision-making

Rule 20

1. Where the urgency of a matter requires a decision to be made between meetings of the Committee, a Member or the Secretariat may submit a recommendation to the Chair for decision by email procedure or using any other electronic procedure which has been agreed by the Committee. With the approval of the Chair, the Secretariat shall communicate any such recommendation to the Members, who may comment within 40 days of the communication of the recommendation, in the case of a compliance matter the Secretariat shall also communicate any such recommendation to the Party(ies) concerned, who may also comment within the 40-day comment period; any comments received by the Secretariat within this time limit shall also be so communicated to the Members. The Secretariat shall communicate any such recommendation to Parties via a notification to the Parties and invite Parties to provide their comments on the recommendation to the Standing Committee Member(s) of their Region, for submission to the Secretariat within the 40-day comment period.

2. Upon expiry of the comment period, the Chair, with the assistance of the Secretariat, shall within 14 days:

   a) if appropriate, revise the recommendation taking into account any comments made by the Members and, in the case of a compliance matter, by the Party(ies) concerned; and

   b) submit the recommendation to the Members for decision.

3. Regional Members may object to the recommendation within 25 days of the date when the recommendation was submitted to the Members. If no objection is received by the Secretariat within the deadline, the proposal shall be considered as adopted, and notice of the adoption shall be given to all Members and Parties.

4. If any regional Member objects to the recommendation within the applicable time limit in

paragraph 3, the recommendation shall be put to a vote by email or using any electronic procedure which has been agreed to by the Committee. The recommendation shall be considered as decided if supported by a simple majority of the regional Members casting an affirmative or negative vote within 14 days of the notification of the vote provided that votes are received from at least seven regional Members from at least four regions. If insufficient votes are received or no majority is achieved, the recommendation is not adopted and shall be referred to the next meeting of the Committee.

5. The Secretariat shall communicate the outcome of the voting procedure to Parties via a notification to the Parties within seven days of adoption of the recommendation or of the referral of the matter to the next meeting of the Committee.

Final provisions

Rule 21

In matters not covered by the present Rules, the Rules of Procedure currently in effect for meetings of the Conference of the Parties shall apply *mutatis mutandis*.

Rule 22

These Rules shall come into force on adoption by the Committee, and shall remain valid for each of its meetings unless amended by decision of the Committee.

动物委员会议事规则

（于2018年7月在日内瓦AC30上通过）

代表和出席

规则1

1. 每位委员会委员代表其地区参加委员会会议。缔约方大会任命的动物命名专家，也应有权以无表决权的，当然委员的身份参加委员会会议。

2. 如委员不能参加某个或某节会议，其候补委员应作为代理委员代表该地区参会。

3. 只有地区（地区成员国）选举出来的委员或代理委员才有表决权。

4. 如不能取代委员，候补委员应以观察员的身份出席会议，有权参加会议，但无表决权。

规则2

缔约方应以观察员的身份出席会议，有权参加会议，但无表决权。这些缔约方应至少在会议召开前七天，通过国家管理机构向秘书处提交这些观察员的姓名。

规则3

联合国、联合国特别机构、国际原子能机构、以及其它任何非公约缔约方的国家均可以观察员的身份参加会议，有参加会议的权力，但没有表决权。应至少在会议召开前30天向秘书处提交这些观察员的姓名。

规则4

1. 任何一个具备野生动植物种保护、保育或管理技术资质的团体或机构，不论其为：

   a) 政府间或国家政府的机构或团体；或

   b) 国际的或国家的非政府机构或团体，包括私人部门实体

   以及已通知公约秘书处，希望以观察员的身份参加会议的代表，应被允许出席委员会会议。观察员经过同意后，有权参加会议，但无表决权。但是，经到场成员

一致同意，可随时取消此类观察员的参会权。

2. 本规则第1段所指的任何团体或机构，如希望委派观察员参加会议，应至少在会议召开前至少30天向秘书处提交观察员的姓名，并提供：

   a) 如为国家非政府团体或机构，其所在国批准参会的证明；或

   b) 如为国际非政府团体或机构，其具有法人资质、国际性特征、职能和相关活动方案的证明，除非应被秘书处注册。

3. 秘书处应将这些请求及相关信息转发给委员会主席，以获得批准。

官员和秘书处

规则5

1. 在每次缔约方大会后，委员会委员应即刻选举出委员会的主席和副主席。如果委员或其候补委员达不到最小法定人数，主席和副主席的选举应根据规则19的交流程序产生，此时，由前任主席或副主席临时履行主席之责。

2. 主席主持委员会会议，批准秘书处准备的临时议程和在闭会期间与CITES其它委员会保持联系。主席在委员会授权下代表委员会，并行使经委员会委托的其它职能。

3. 副主席协助主席工作，当主席缺席时，可替代主席行使职责。

规则6

公约秘书处应向委员会会议提供服务并作为会议秘书。但在闭门会议时，如需要，会议应自配报告起草人。

会议安排

规则7

1. 视缔约方大会提供的指导，委员会会议可应主席提议召开，也可由委员会委员以简单多数提议召开。

2. 会议的时间和地点，应根据缔约方大会提供的指导，由主席和秘书处商议后决定。

3. 会议通知应由秘书处于会前至少75天发出。如果召开紧急会议，应至少在会议召开前14天发出通知。

规则8

1. 地区委员和代理地区委员应按其代表的区域就座。命名专家和候补委员应与委员

会的其他成员坐在一起。

2. 在委员会委员、代理委员和候补委员以及命名专家的身后，作为一般规则，应按其所代表缔约方的英文名称的字母顺序，在缔约方代表团中就座。受座位数限制，每个缔约方的代表团在参加全体会议时，成员人数不得超过4人。

3. 观察员应坐在会场中为其指定的一个或多个区域。受座位数限制，在全体会议时，任何一个观察员机构或实体，最多只能有2名观察员。

规则9

1. 英语、法语、西班牙语是委员会会议的工作语言。任何工作文件，除非已根据规则10，以这些语言提供，否则不得在会议上讨论。

2. 由前述讨论所形成的可能会被讨论的文件，其拷贝应在不晚于讨论该文件会议的前一会议期间提供传阅。在全体会议上，任何以其中一种工作语言所作的发言都应被翻译为其它两种工作语言。除非缔约方大会为此目的明确分配资源，否则通常不应在工作组会议上提供口译服务。

文件资料

规则10

1. 拟提交会议讨论的工作文件应采用三种工作语言之一，一般应至少在会前60天提供给秘书处，且不应长于12页。

2. 在每次委员会会议至少45天前，秘书处应尽可能在其网站上放置：

   a) 任何委员或缔约方提交的所有文件，或应主席要求由观察员提交的文件，以其收到的语言显示；及

   b) 秘书处准备的文件。

3. 在委员会会议召开前至少14天，秘书处应尽可能，将本规则提到的所有文件以三种工作语言公布于秘书处网站。

规则11

1. 有关野生动植物保护、保育或管理的信息文件，可仅以信息交流的目的提交。这些信息文件将不会被翻译，也无法在会议上讨论。但是，如果这些文件与现有议程项目有关，则可以参考，但不予讨论。信息文件可以通过以下方式提交：

   a) 任何一位委员、候补委员、缔约方或代表某一非缔约方或政府间组织的观察员；

b) 代表其它任何某一组织的观察员；及

c) 秘书处。

2. 此类材料的分发无需批准。但是，应明确其代表的主体。

3. 对于来自本条规则第1款中提及的委员、缔约方、非公约缔约方和观察员提交的信息文件，如果有要求，可以由秘书处协助使其可见。如果是纸质文件，应提供足够多，以供分发。由委员、缔约方和秘书处提交的，与会议议程中特定事宜相关的文件，应由秘书处编号并包含在正式文件的目录中。

4. 除非经公约秘书处授权，公约的标识不可用于信息文件和其他材料。

5. 任何委员或缔约方，如果受到已分发的任何信息文件冒犯，可向秘书处投诉。

利益冲突

规则12

在委员会每次会议之初，每位委员需要就任何可能影响到会议议程的公正性、客观性或独立性的经济利益进行声明。秘书处也可通过可信来源，查明利益冲突，并提请委员会注意。如果任一成员有兴趣，他或她可以由主席酌情确定，参加讨论，但不能参与有问题的议程项目的决策。如果某位成员有潜在的利益冲突，他或她就不能成为此类问题会议或次级会议的主席。

议事程序和辩论的规则

规则13

有关委员会会议的最少法定人数规定为：至少有来自四个地区的六个地区成员或代理地区成员参加会议。在没有达到上述最少法定人数的情况下，会议不得召开。

规则14

1. 发言权的授予范围应扩大到所有成员、代理成员以及那些按照规则1、2、3或4的规定被批准参加会议的观察员和秘书处。

2. 作为一条普遍原则，主席应按照欲发言者的迫切程度顺序提请发言，委员会成员和候补成员拥有优先发言权。在观察员之间，优先权应依次先后给予缔约方代表、非缔约方代表、政府间国际组织代表、非政府组织代表。但是，主席可以不按这一规则，按照其为确保辩论及时取得进展而自行决定的顺序让不同的人发言。

3. 与会者只有在主席提请时才能发言，主席如认为发言与当时讨论主题无关时，可以提请其遵守秩序。

4. 除非按照程序，否则发言者不得被打断，且只能被委员会委员、代理委员和候补委员及缔约方打断。但经主席同意，发言人也可中断，以便其它参会人员就某一问题给予解释或说明。只有成员和代理成员有权按照程序提议要求表决。

5. 另一个委员会或工作组的主席可有解释其委员会或工作组已达成结论的优先权。

6. 经主席或一位委员提议，委员会可限制每位成员、候补成员或观察员就任何问题发言的时间和次数。当辩论受制于此类限制，且某一发言人已经用完了其所被分配的发言时间时，主席应毫不迟疑地打断其发言。

7. 进行辩论时，主席可宣布发言名单，并经委员会同意，不允许增加发言名单。但是，在其宣布不再增加发言名单后，如果有人表示希望进行发言且其要求确实合理时，主席可赋予任何参加会议的人员以回复的权利。

规则15

1. 会议各项决定应设法一致通过。一旦委员会未能达成共识，委员会主席，或者至少两个地区的地区委员或代理地区委员，可提议通过表决的方式采纳决定。

2. 在进行表决时，只有地区委员或代理委员以简单多数的形式赞成或反对时，委员会才能做出决定。当出现平局时，该动议应被视为被否决。

规则16

应主席或任何地区代表国或代理地区代表国要求，委员会应投票，决定是否对任一特定议题举行闭门会议；任何此类投票都应根据规则15第2款的要求决定。派遣观察员参加会议的缔约方可列席闭门会议。

工作小组

规则17

1. 委员会可设立必要的会上和会间工作组，以履行其职能。会间工作组通常应以电子方式工作，除非委员会或缔约方大会另有决定。对于每个工作组，委员会应根据缔约方大会的有关决议和决定，确定其职权范围，并确定工作组的组成，努力实现区域平衡。每个工作组的成员应限于委员会委员和缔约方，以及在主席邀请下，加入工作组的具有专门知识的观察员机构或实体。主席应确保工作组成员中，委员会委员、缔约方和观察员实体和机构的公平和平衡，观察员实体和机构的人数通常应不超过委员和缔约方的人数。

2. 会间工作组通常应在缔约方大会之前的委员会例会上总结其工作。任何希望加入或退出会间工作组的任何委员或观察员，均应以书面的形式，通过秘书处，向会间工作组主席提出请求。除非由委员会主席任命，否则每个工作组应在可能的情况下，从委员会委员和候补委员中选出自己的主席团成员。

3. 视外部资源限制，秘书处应向会间工作组提供支持和指导。

4. 在其适用的范围内，这些议事规则经过必要的修改后可作为工作组的议事规则。

执行摘要和摘要记录

规则18

1. 秘书处应在会议闭幕前就常委会的决定，准备一份简明的执行纪要，并提交常委会批准。而每次会议最后一天的执行纪要，应在会后通过电子邮件送交委员会地区委员和代理委员批准。执行纪要中包含的决定将被委员会认可后生效。

2. 秘书处应就每次会议召开情况，以公约的三种语言分别准备一份摘要记录，并在会议结束后的40天之内，在秘书处的网站上予以公布。该摘要记录应按照议程的顺序进行表述，针对每一项议题，表述应包含三部分内容：表述相关讨论要点的简短声明、描述所达成的决定内容的文本（同执行纪要中的一样）、由任何委员、代理委员、候补委员或任一缔约方的观察员代表提供并在会上已被读入记录的声明文本。辩论的参与者也应包括在每个主题的末尾。秘书处应考虑在散发后20天内收到的意见，并在委员会主席批准后，在公约网站上提供最终的摘要记录。

3. 秘书处应制作并保存委员会所有全体会议的录音，并应要求将录音提供给任何缔约方。

会间决策程序

规则19

1. 如果紧急情况，需要在委员会例行会议之间做出决定，委员会委员或秘书处，可通过电子邮件或委员会同意的任何其他电子程序，向主席提交建议，以供决定。经主席批准，秘书处应将任何此类建议传达给委员会委员，委员可在传达建议后的40天内发表评论；秘书处在此期限内收到的任何评论也应传达给委员会委员。
2. 委员可在收到建议起25天内，就建议的商议结果，提交反对建议。如果秘书处在截止日期之前未收到反对意见，则该提案应被视为已通过，该结果将被告知所有委员和缔约方。

3. 如果任何地区委员在适用时限内反对一项提案，则应通过电子邮件或委员会同意的任何电子程序，将该提案付诸投票。如果六个地区委员中的至少四个地区委员，在收到投票通知的14天内，投票支持或反对该建议，该建议则以简单多数的方式被视为已决定。票数不足或者没有获得多数票，则该项建议应被移至下次委员会考虑。

最后规则

规则20

本规则未包括的事项，可参照现行有效的缔约方大会议事规则，做必要修改后可适用。

规则21

本议事规则经委员会通过后生效，直到委员会决定再次修订前，对每次会议均为有效。

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

Rules of Procedure for meetings of the Animals Committee
(adopted at AC30, Geneva, July 2018)

Representation and attendance

Rule 1

1. Each Member of the Committee shall be entitled to represent his/her region at meetings of the Committee. The zoological nomenclature specialist appointed by the Conference of the Parties shall also be entitled to participate in meetings of the Committee as a non-voting *ex-officio* Member.

2. If a Member is not present at a meeting or session, his/her Alternate shall be entitled to represent the region as the Acting Member.

3. Only Members and Acting Members chosen by the regions (regional Members) shall have the right to vote.

4. Alternate Members not replacing a Member shall be entitled to be present at meetings of the Committee as observers who shall have the right to participate but not to vote.

Rule 2

Parties shall be entitled to be represented at meetings of the Committee by observers who shall have the right to participate but not to vote. Such Parties shall submit the names of these observers to the Secretariat at least seven days before the meeting through the national Management Authority.

Rule 3

The United Nations, its Specialized Agencies, the International Atomic Energy Agency, as well as any State not a Party to the Convention may also be represented at meetings by observers who shall have the right to participate but not to vote, and shall submit the names of these observers to the Secretariat at least 30 days before the meeting.

Rule 4

1. Any body or agency technically qualified in protection, conservation or management of wild fauna and flora which is either:

a) an intergovernmental or a national governmental agency or body; or

b) an international or national non-governmental agency or body, including a private sector entity

and which has informed the Secretariat of the Convention of its desire to be represented at the meeting by observers shall be permitted to be so represented in the meeting of the Committee. Once admitted, these observers shall have the right to participate but not to vote. However, the right of any such observers to participate may be withdrawn at any time if so agreed by the Members present.

2. Bodies and agencies referred to in paragraph 1 of this Rule desiring to be represented at the meeting by observers shall submit the names of these observers to the Secretariat of the Convention at least 30 days before the meeting, and provide:

a) evidence of the approval of the State in which it is located in the case of a national non-governmental body or agency; or

b) evidence that it has a legal persona and an international character, and a relevant remit and programme of activities in the case of an international non-governmental body or agency, unless it has already been registered by the Secretariat.

3. The Secretariat shall forward each request received and relevant information to the Chair for approval.

Officers and the Secretariat

Rule 5

1. Immediately following each regular meeting of the Conference of the Parties, the Members of the Committee present shall elect its Chair and Vice-Chair from among the Committee. In the absence of a quorum of the Members or their Alternates, the election of the Chair and Vice-Chair shall be conducted by the communication procedure contained in Rule 19, in which case the duties of the Chair shall be discharged by the previous Chair or Vice-Chair *ad interim*.

2. The Chair shall preside at meetings of the Committee, approve the provisional agenda prepared by the Secretariat and maintain liaison with other CITES committees between meetings of the Committee. He/she shall represent the Committee as required within the limits of the Committee's mandate, and shall carry out such other functions as may be entrusted to him/her by the Committee.

3. The Vice-Chair shall assist the Chair in his/her functions, and shall act on his/her behalf at meetings in the absence of the Chair.

Rule 6

The Secretariat of the Convention shall service and act as secretary for meetings of the Committee. However, in the event of a closed session, the meeting shall provide for its own

rapporteur, if needed.

Arrangement of the meeting

Rule 7

1. Subject to guidance provided by the Conference of the Parties, meetings of the Committee shall be called at the request of the Chair or of a simple majority of the Members.

2. The time and place of meetings shall be determined by the Chair, in consultation with the Secretariat and in accordance with any instructions provided by the Conference of the Parties.

3. Notice of meetings shall normally be given by the Secretariat at least 75 days in advance of the meeting. In case of emergency meetings, notice should be given at least 14 days in advance of the meeting.

Rule 8

1. Regional Members and Acting Members shall be seated by the region they represent. The Nomenclature expert and the Alternate Members shall be seated with the other Members of the Committee.

2. Behind the Members, Acting and Alternate Members and the Nomenclature expert, shall be seated delegations of Parties, as a general rule in accordance with the alphabetical order of the English language names of the Parties they represent. Seating limitations may require that no more than four delegates of any Party be present at plenary sessions.

3. Observers shall be seated in one or more designated areas within the meeting room. Seating limitations may require that no more than two observers from any Observer body or agency be present at plenary sessions.

Rule 9

1. English, French and Spanish are the working languages of the meetings of the Committee. No working document may be discussed at a meeting unless it has been made available in accordance with Rule 10 in these languages.

2. Documents arising out of the discussion of the foregoing may be discussed provided that copies have been circulated no later than during the session preceding the session at which they are to be discussed.
3. Interventions made in any of the working languages shall be interpreted into the other two in plenary sessions of the Committee. Interpretation shall normally not be provided in sessions of working groups, unless resources have explicitly been allocated for this by the Conference of the Parties.

Documents

Rule 10

1. Working documents to be considered at a meeting shall be provided to the Secretariat in one of the working languages and shall normally be provided at least 60 days before the meeting where they are to be discussed, and should not be longer than 12 pages.

2. At least 45 days before each meeting of the Committee, the Secretariat shall to the extent possible place on its website:

   a) all documents submitted by any Member or Party or submitted by an observer at the request of the Chair in the language in which they have been received; and

   b) documents prepared by the Secretariat.

3. At least 14 days before each meeting of the Committee, the Secretariat shall, to the extent possible, place on its website in the three working languages all documents mentioned in the present Rule.

Rule 11

1. Information documents on the protection, conservation or management of wild fauna and flora may be submitted for information purposes only. These will not be translated and cannot be discussed at the meeting. However, such documents may be referred to, if they relate to the existing agenda items, but not discussed. Information documents may be submitted by:

   a) a Member, an Alternate Member, a Party or any observer representing a State not Party to the Convention or an intergovernmental organization;

   b) any observer representing any other organization; and

   c) the Secretariat.

2. No approval is required for the distribution of such materials. However, they shall clearly identify who is presenting them.

3. Information documents from Members, Parties, States not Party to the Convention and observers referred to in paragraph 1 of this Rule may, on request, be made available by the Secretariat. Any paper copies shall be made available in sufficient numbers for distribution. Information documents presented by Members, Parties and by the Secretariat relating to specific items on the agenda shall be numbered by the Secretariat and included in its list of official documents.

4. The CITES logo may not be used on information materials and other material unless explicitly authorized by the CITES Secretariat.

5. Any Member or Party may complain to the Secretariat if an information document that has been distributed is considered offensive.

Declaration of conflict of interest

Rule 12

Each Member shall, at the beginning of each meeting of the Committee, declare any financial interests that he or she considers calls into question his or her impartiality, objectivity or independence regarding any subject on the agenda for that meeting of the Committee. A conflict of interest may also be identified by any credible source and brought to the attention of the Committee through the Secretariat. If a Member has such an interest, he or she may take part in discussions at the discretion of the Chair, but not in the decision-making regarding the agenda item in question. If the Member is the subject of the potential conflict of interest, he or she shall not chair the meeting or sub-meeting for the agenda item in question.

Rules of order and debate

Rule 13

A quorum for a meeting shall consist of six regional Members or Acting Members from at least four regions. No session shall be take place in the absence of a quorum.

Rule 14

1. The right to speak shall extend to all Members and Acting Members and to observers who have been admitted to the meeting in accordance with Rules 1, 2, 3 or 4, as well as to the Secretariat.

2. The Chair shall, as a general rule, call upon speakers in the order in which they signify their desire to speak and shall give precedence to the Members and Acting Members of the Committee. Amongst observers, precedence shall be given to representatives of Parties, non-Party States, intergovernmental organizations and non-governmental organizations, in this order. However, the Chair may depart from this general rule and call on speakers in the order that he/she judges appropriate to ensure the timely progress of the debate.

3. Participants shall speak only if called upon by the Chair, who may call a speaker to order if his/her remarks are not relevant to the subject under discussion.

4. A speaker shall not be interrupted except on a point of order which can be made only by Members, Acting and Alternate Members and Parties. He/she may, however, with the permission of the Chair, give way during his/her intervention to allow any other participant to request elucidation on a particular point. Only Members and Acting Members shall have the right to make a point of order to call for a vote.

5. The Chair of another committee or a working group may be accorded precedence for the purpose of explaining the conclusion arrived at by that committee or working group.

6. The Committee may, on a proposal by the Chair or by a Member, limit the time to be allowed to each speaker and the number of times the Members, Alternate Members or observers may speak on any question. When the debate is subject to such limits, and a speaker has spoken for his/her allotted time, the Chair shall call him/her to order without

delay.

7. During the course of a debate the Chair may announce the list of speakers and, with the consent of the Committee, declare the list closed. He/she may, however, accord the right of reply to any participant if an intervention delivered after he/she has declared the list closed makes this desirable.

Rule 15

1. The Committee shall as far as possible take decisions by consensus. Whenever the Committee fails to reach consensus, the Chair, or Members or Acting Members from at least two regions may propose that the adoption of the decision be put to a vote.

2. In the case of a vote, the decision of the Committee shall be taken by a simple majority of the Members and Acting Members casting an affirmative or negative vote. In the case of a tie, the motion shall be considered as rejected.

Rule 16

At the request of the Chair or of any Member or Acting Member, the Committee shall decide by a vote whether the discussion of any particular subject shall be held in closed session; any such vote shall be decided in accordance with paragraph 2 of Rule 15. Parties represented at the meeting by observers shall be entitled to be represented at closed sessions.

Working groups

Rule 17

1. The Committee may establish such in-session and intersessional working groups as may be necessary for the Committee to carry out its functions. Intersessional working groups shall normally work electronically unless the Committee or the Conference of the Parties have determined otherwise. For each working group, the Committee shall define the terms of reference, in accordance with relevant Resolutions and Decisions of the Conference of the Parties and shall determine the composition of the working group, striving to achieve regional balance. The membership of each working group shall be limited to the Members and Parties and to those observer bodies and agencies with expertise on the matter invited by the Chair to join the working group. The Chair shall aim to ensure a fair and balanced representation of Members, Parties and observer bodies and agencies; the number of observer bodies and agencies should normally not exceed the number of Members and Parties.

2. Intersessional working groups should normally conclude their work at the last regular meeting of the Committee preceding a meeting of the Conference of the Parties. Any Member or observer wishing to join or withdraw from an intersessional working group should make the request in writing to the Chair of the Committee through the Secretariat. Unless appointed by the Chair of the Committee, each working group shall elect its own officers, whenever possible from among the Members and Alternate Members of the Committee.

3. Subject to resource constraints, the Secretariat shall provide support and guidance to

intersessional working groups.

4. Insofar as they are applicable, these Rules shall apply mutatis mutandis to the proceedings of working groups.

Executive summary and summary record

Rule 18

1. A concise executive summary of the decisions of the Committee shall be prepared by the Secretariat for endorsement by the Committee before the closure of the meeting. However, the executive summary of the last day of each meeting shall be sent by email to the Members and Acting Members for endorsement after the meeting. The decisions of the Committee shall come into effect upon endorsement of the executive summary in which they are contained.

2. A consolidated summary record of each meeting shall be prepared in the three working languages by the Secretariat and made available on the CITES website within 40 days. This shall be presented in the order of the agenda and comprise three parts for each agenda item: a short statement indicating the main points of the discussion; the text indicating the decision that was made, as it appears in the executive summary; and the text of any statement provided by any Member, Acting Members, Alternate Member or the observer from any Party that was read into the record during the meeting. The participants in the debate shall be also included at the end of each topic. The Secretariat shall take into account the comments received within 20 days of the circulation and – upon approval of the Chair of the Committee – the Secretariat shall make the final summary record available on the website of the Convention.

3. The Secretariat shall make and keep a sound recording of the audio of all plenary sessions of the Committee, and shall make the recordings available to any Party upon request.

Procedure for intersessional decision-making

Rule 19

1. Where the urgency of the matter requires a decision to be made between regular meetings of the Committee, a Member or the Secretariat may submit a recommendation to the Chair for a decision by email procedure or using any other electronic procedure which has been agreed by the Committee. With the approval of the Chair, the Secretariat shall communicate any such recommendation to the Members, who shall comment within 40 days of the communication of the recommendation; any comments received by the Secretariat within this time limit shall also be so communicated to the Members.
2. Members may object to a recommendation within 25 days of the date when the results of the consultation on the recommendation were communicated to the Members. If no objection is received by the Secretariat within the deadline, the proposal shall be considered as adopted, and notice of the adoption shall be given to all Members and Parties.

3. If any regional Member objects to a proposal within the applicable time limit, the proposal

shall be put to a vote by email or using any electronic procedure which has been agreed to by the Committee. The recommendation shall be considered as decided if supported by a simple majority of the regional Members casting an affirmative or negative vote within 14 days of the notification of the vote provided that votes are received from at least six regional Members from at least four regions. If insufficient votes are received or no majority is achieved, the recommendation shall be referred to the next meeting of the Committee.

Final Provisions

Rule 20

In matters not covered by the present Rules, the Rules of Procedure currently in effect for meetings of the Conference of the Parties shall apply *mutatis mutandis*.

Rule 21

These Rules shall come into force on adoption by the Committee, and shall remain valid for each of its meetings unless amended by decision of the Committee.

植物委员会议事规则

（于2018年7月在日内瓦PC24上通过）

代表和出席

规则1

1. 每位委员会委员代表其地区参加委员会会议。缔约方大会任命的植物命名专家，也应有权以无表决权的，当然委员的身份参加委员会会议。

2. 如委员不能参加某个或某节会议，其候补委员应作为代理委员代表该地区参会。

3. 只有地区（地区委员）选举出来的委员或代理委员才有表决权。

4. 如不能取代委员，候补委员应以观察员的身份出席会议，有权参加会议，但无表决权。

规则2

缔约方应以观察员的身份出席会议，有权参加会议，但无表决权。这些缔约方应至少在会议召开前七天，通过国家管理机构向秘书处提交这些观察员的姓名。

规则3

联合国、联合国特别机构、国际原子能机构、以及其它任何非公约缔约方的国家均可以观察员的身份参加会议，有参加会议的权力，但没有表决权。应至少在会议召开前30天向秘书处提交这些观察员的姓名。

规则4

1. 任何一个具备野生动植物种保护、保育或管理技术资质的团体或机构，不论其为：

   a) 政府间或国家政府的机构或团体；或

   b) 国际的或国家的非政府机构或团体，包括私人部门实体

   以及已通知公约秘书处，希望以观察员的身份参加会议的代表，应被允许出席委

员会会议。观察员经过同意后，有权参加会议，但无表决权。但是，经到场成员一致同意，可随时取消此类观察员的参会权。

2. 本规则第1段所指的任何团体或机构，如希望委派观察员参加会议，应至少在会议召开前至少30天向秘书处提交观察员的姓名，并提供：

   a) 如为国家非政府团体或机构，其所在国批准参会的证明；或

   b) 如为国际非政府团体或机构，其具有法人资质、国际性特征、职能和相关活动方案的证明，除非应被秘书处注册。

3. 秘书处应将这些请求及相关信息转发给委员会主席，以获得批准。

官员和秘书处

规则5

1. 在每次缔约方大会后，委员会的地区委员应即刻选举出委员会的主席和副主席。如果委员或其候补委员达不到最小法定人数，主席和副主席的选举应根据规则19的交流程序产生，此时，由前任主席或副主席临时履行主席之责。

2. 主席主持委员会会议，批准秘书处准备的临时议程和在闭会期间与CITES其它委员会保持联系。主席在委员会授权下代表委员会，并行使经委员会委托的其它职能。

3. 副主席协助主席工作，当主席缺席时，可替代主席行使职责。

规则6

公约秘书处应向委员会会议提供服务并作为会议秘书。但在闭门会议时，如需要，会议应自配报告起草人。

会议安排

规则7

1. 视缔约方大会提供的指导，委员会会议可应主席提议召开，也可由委员会委员以简单多数提议召开。

2. 会议的时间和地点，应根据缔约方大会提供的指导，由主席和秘书处商议后决定。

3. 会议通知应由秘书处于会前至少75天发出。如果召开紧急会议，应至少在会议召开前14天发出通知。

规则8

1. 地区委员和代理地区委员应按其代表的区域就座。命名专家和候补委员应与委员会的其他成员坐在一起。

2. 在委员会委员、代理委员和候补委员以及命名专家的身后，作为一般规则，应按其所代表缔约方的英文名称的字母顺序，在缔约方代表团中就座。受座位数限制，每个缔约方的代表团在参加全体会议时，成员人数不得超过4人。

3. 观察员应坐在会场中为其指定的一个或多个区域。受座位数限制，在全体会议时，任何一个观察员机构或实体，最多只能有2名观察员。

规则9

1. 英语、法语、西班牙语是委员会会议的工作语言。任何工作文件，除非已根据规则10，以这些语言提供，否则不得在会议上讨论。

2. 由前述讨论所形成的可能会被讨论的文件，其拷贝应在不晚于讨论该文件会议的前一会议期间提供传阅。在全体会议上，任何以其中一种工作语言所作的发言都应被翻译为其它两种工作语言。除非缔约方大会为此目的明确分配资源，否则通常不应在工作组会议上提供口译服务。

文件资料

规则10

1. 拟提交会议讨论的工作文件应采用三种工作语言之一，一般应至少在会前60天提供给秘书处，且不应长于12页。

2. 在每次委员会会议至少45天前，秘书处应尽可能在其网站上放置：

    a) 任何委员或缔约方提交的所有文件，或应主席要求由观察员提交的文件，以其收到的语言显示；及

    b) 秘书处准备的文件。

3. 在委员会会议召开前至少14天，秘书处应尽可能，将本规则提到的所有文件以三种工作语言公布于秘书处网站。

规则11

1. 有关野生动植物保护、保育或管理的信息文件，可仅以信息交流的目的提交。这些信息文件将不会被翻译，也无法在会议上讨论。但是，如果这些文件与现有议程项目有关，则可以参考，但不予讨论。信息文件可以通过以下方式提交：

    a) 任何一位委员、候补委员、缔约方或代表某一非缔约方或政府间组织的观察员；

b) 代表其它任何某一组织的观察员；及

c) 秘书处。

2. 此类材料的分发无需批准。但是，应明确其代表的主体。

3. 对于来自本条规则第1款中提及的委员、缔约方、非公约缔约方和观察员提交的信息文件，如果有要求，可以由秘书处协助使其可见。如果是纸质文件，应提供足够多，以供分发。由委员、缔约方和秘书处提交的，与会议议程中特定事宜相关的文件，应由秘书处编号并包含在正式文件的目录中。

4. 除非经公约秘书处授权，公约的标识不可用于信息文件和其他材料。

5. 任何委员或缔约方，如果受到已分发的任何信息文件冒犯，可向秘书处投诉。

利益冲突

规则12

在委员会每次会议之初，每位委员需要就任何可能影响到会议议程的公正性、客观性或独立性的经济利益进行声明。秘书处也可通过可信来源，查明利益冲突，并提请委员会注意。如果任一成员有兴趣，他或她可以由主席酌情确定，参加讨论，但不能参与有问题的议程项目的决策。如果某位成员有潜在的利益冲突，他或她就不能成为此类问题会议或次级会议的主席。

议事程序和辩论的规则

规则13

有关委员会会议的最少法定人数规定为：至少有来自四个地区的六个地区成员或代理地区成员参加会议。在没有达到上述最少法定人数的情况下，会议不得召开。

规则14

1. 发言权的授予范围应扩大到所有成员、代理成员以及那些按照规则1、2、3或4的规定被批准参加会议的观察员和秘书处。

2. 作为一条普遍原则，主席应按照欲发言者的迫切程度顺序提请发言，委员会成员和候补成员拥有优先发言权。在观察员之间，优先权应依次先后给予缔约方代表、非缔约方代表、政府间国际组织代表、非政府组织代表。但是，主席可以不按这一规则，按照其为确保辩论及时取得进展而自行决定的顺序让不同的人发言。

3. 与会者只有在主席提请时才能发言，主席如认为发言与当时讨论主题无关时，可以提请其遵守秩序。

4. 除非按照程序，否则发言者不得被打断，且只能被委员会委员、代理委员和候补委员及缔约方打断。但经主席同意，发言人也可中断，以便其它参会人员就某一问题给予解释或说明。只有成员和代理成员有权按照程序提议要求表决。

5. 另一个委员会或工作组的主席可有解释其委员会或工作组已达成结论的优先权。

6. 经主席或一位委员提议，委员会可限制每位成员、候补成员或观察员就任何问题发言的时间和次数。当辩论受制于此类限制，且某一发言人已经用完了其所被分配的发言时间时，主席应毫不迟疑地打断其发言。

7. 进行辩论时，主席可宣布发言名单，并经委员会同意，不允许增加发言名单。但是，在其宣布不再增加发言名单后，如果有人表示希望进行发言且其要求确实合理时，主席可赋予任何参加会议的人员以回复的权利。

规则15

1. 会议各项决定应设法一致通过。一旦委员会未能达成共识，委员会主席，或者至少两个地区的地区委员或代理地区委员，可提议通过表决的方式采纳决定。

2. 在进行表决时，只有地区委员或代理委员以简单多数的形式赞成或反对时，委员会才能做出决定。当出现平局时，该动议应被视为被否决。

规则16

应主席或任何地区代表国或代理地区代表国要求，委员会应投票，决定是否对任一特定议题举行闭门会议；任何此类投票都应根据规则15第2款的要求决定。派遣观察员参加会议的缔约方可列席闭门会议。

工作小组

规则17

1. 委员会可设立必要的会上和会间工作组，以履行其职能。会间工作组通常应以电子方式工作，除非委员会或缔约方大会另有决定。对于每个工作组，委员会应根据缔约方大会的有关决议和决定，确定其职权范围，并确定工作组的组成，努力实现区域平衡。每个工作组的成员应限于委员会委员和缔约方，以及在主席邀请下，加入工作组的具有专门知识的观察员机构或实体。主席应确保工作组成员中，委员会委员、缔约方和观察员实体和机构的公平和平衡，观察员实体和机构的人数通常应不超过委员和缔约方的人数。

2. 会间工作组通常应在缔约方大会之前的委员会例会上总结其工作。任何希望加入或退出会间工作组的任何委员或观察员，均应以书面的形式，通过秘书处，向会间工作组主席提出请求。除非由委员会主席任命，否则每个工作组应在可能的情况下，从委员会委员和候补委员中选出自己的主席团成员。

3. 视外部资源限制，秘书处应向会间工作组提供支持和指导。

4. 在其适用的范围内，这些议事规则经过必要的修改后，可作为工作组的议事规则。

执行摘要和摘要记录

规则18

1. 秘书处应在会议闭幕前就常委会的决定，准备一份简明的执行纪要，并提交常委会批准。而每次会议最后一天的执行纪要，应在会后通过电子邮件送交委员会地区委员和代理委员批准。执行纪要中包含的决定将被委员会认可后生效。

2. 秘书处应就每次会议召开情况，以公约的三种语言分别准备一份摘要记录，并在会议结束后的40天之内，在秘书处的网站上予以公布。该摘要记录应按照议程的顺序进行表述，针对每一项议题，表述应包含三部分内容：表述相关讨论要点的简短声明、描述所达成的决定内容的文本（同执行纪要中的一样）、由任何委员、代理委员、候补委员或任一缔约方的观察员代表提供并在会上已被读入记录的声明文本。辩论的参与者也应包括在每个主题的末尾。秘书处应考虑在散发后20天内收到的意见，并在委员会主席批准后，在公约网站上提供最终的摘要记录。

3. 秘书处应制作并保存委员会所有全体会议的录音，并应要求将录音提供给任何缔约方。

会间决策程序

规则19

1. 如果紧急情况，需要在委员会例行会议之间做出决定，委员会委员或秘书处，可通过电子邮件或委员会同意的任何其他电子程序，向主席提交建议，以供决定。经主席批准，秘书处应将任何此类建议传达给委员会委员，委员可在传达建议后的40天内发表评论；秘书处在此期限内收到的任何评论也应传达给委员会委员。委员可在收到建议起25天内，就建议的商议结果，提交反对建议。如果秘书处在截止日期之前未收到反对意见，则该提案应被视为已通过，该结果将被告知所有委员和缔约方。

2. 如果任何地区委员在适用时限内反对一项提案，则应通过电子邮件或委员会同意的任何电子程序，将该提案付诸投票。如果六个地区委员中的至少四个地区委员，在收到投票通知的14天内，投票支持或反对该建议，该建议则以简单多数的方式被视为已决定。票数不足或者没有获得多数票，则该项建议应被移至下次委员会考虑。

最后规则

规则20

本规则未包括的事项，可参照现行有效的缔约方大会议事规则，做必要修改后可适用。

规则21

本议事规则经委员会通过后生效，直到委员会决定再次修订前，对每次会议均为有效。

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

Rules of Procedure for meetings of the Plants Committee

(adopted at PC24, Geneva, July 2018)

Representation and attendance

Rule 1

1. Each Member of the Committee shall be entitled to represent his/her region at meetings of the Committee. The botanical nomenclature specialist appointed by the Conference of the Parties shall also be entitled to participate in meetings of the Committee as a non-voting *ex-officio* Member.

2. If a Member is not present at a meeting or session, his/her Alternate shall be entitled to represent the region as the Acting Member.

3. Only Members and Acting Members chosen by the regions (regional Members) shall have the right to vote.

4. Alternate Members not replacing a Member shall be entitled to be present at meetings of the Committee as observers who shall have the right to participate but not to vote.

Rule 2

Parties shall be entitled to be represented at meetings of the Committee by observers who shall have the right to participate but not to vote. Such Parties shall submit the names of these observers to the Secretariat at least seven days before the meeting through the national Management Authority.

Rule 3

The United Nations, its Specialized Agencies, the International Atomic Energy Agency, as well as any State not a Party to the Convention may also be represented at meetings by observers who shall have the right to participate but not to vote, and shall submit the names of these observers to the Secretariat at least 30 days before the meeting.

Rule 4

1. Any body or agency technically qualified in protection, conservation or management of

wild fauna and flora which is either:

a) an intergovernmental or a national governmental agency or body; or

b) an international or national non-governmental agency or body, including a private sector entity

and which has informed the Secretariat of the Convention of its desire to be represented at the meeting by observers shall be permitted to be so represented in the meeting of the Committee. Once admitted, these observers shall have the right to participate but not to vote. However, the right of any such observers to participate may be withdrawn at any time if so agreed by the Members present.

2. Bodies and agencies referred to in paragraph 1 of this Rule desiring to be represented at the meeting by observers shall submit the names of these observers to the Secretariat of the Convention at least 30 days before the meeting, and provide:

   a) evidence of the approval of the State in which it is located in the case of a national non-governmental body or agency; or

   b) evidence that it has a legal persona and an international character, and a relevant remit and programme of activities in the case of an international non-governmental body or agency, unless it has already been registered by the Secretariat.

3. The Secretariat shall forward each request received and relevant information to the Chair for approval.

Officers and the Secretariat

Rule 5

1. Immediately following each regular meeting of the Conference of the Parties, the Members of the Committee present shall elect its Chair and Vice-Chair from among the Committee. In the absence of a quorum of the Members or their Alternates, the election of the Chair and Vice-Chair shall be conducted by the communication procedure contained in Rule 19, in which case the duties of the Chair shall be discharged by the previous Chair or Vice-Chair *ad interim*.

2. The Chair shall preside at meetings of the Committee, approve the provisional agenda prepared by the Secretariat and maintain liaison with other CITES committees between meetings of the Committee. He/she shall represent the Committee as required within the limits of the Committee's mandate, and shall carry out such other functions as may be entrusted to him/her by the Committee.

3. The Vice-Chair shall assist the Chair in his/her functions, and shall act on his/her behalf at meetings in the absence of the Chair.

Rule 6

The Secretariat of the Convention shall service and act as secretary for meetings of the

Committee. However, in the event of a closed session, the meeting shall provide for its own rapporteur, if needed.

Arrangement of the meeting

Rule 7

1. Subject to guidance provided by the Conference of the Parties, meetings of the Committee shall be called at the request of the Chair or of a simple majority of the Members.

2. The time and place of meetings shall be determined by the Chair, in consultation with the Secretariat and in accordance with any instructions provided by the Conference of the Parties.

3. Notice of meetings shall normally be given by the Secretariat at least 75 days in advance of the meeting. In case of emergency meetings, notice should be given at least 14 days in advance of the meeting.

Rule 8

1. Regional Members and Acting Members shall be seated by the region they represent. The Nomenclature expert and the Alternate Members shall be seated with the other Members of the Committee.

2. Behind the Members, Acting and Alternate Members and the Nomenclature expert, shall be seated delegations of Parties, as a general rule in accordance with the alphabetical order of the English language names of the Parties they represent. Seating limitations may require that no more than four delegates of any Party be present at plenary sessions.

3. Observers shall be seated in one or more designated areas within the meeting room. Seating limitations may require that no more than two observers from any Observer body or agency be present at plenary sessions.

Rule 9

1. English, French and Spanish are the working languages of the meetings of the Committee. No working document may be discussed at a meeting unless it has been made available in accordance with Rule 10 in these languages.

2. Documents arising out of the discussion of the foregoing may be discussed provided that copies have been circulated no later than during the session preceding the session at which they are to be discussed.
3. Interventions made in any of the working languages shall be interpreted into the other two in plenary sessions of the Committee. Interpretation shall normally not be provided in sessions of working groups, unless resources have explicitly been allocated for this by the Conference of the Parties.

Documents

Rule 10

1. Working documents to be considered at a meeting shall be provided to the Secretariat in one of the working languages and shall normally be provided at least 60 days before the meeting where they are to be discussed, and should not be longer than 12 pages.

2. At least 45 days before each meeting of the Committee, the Secretariat shall to the extent possible place on its website:

   a) all documents submitted by any Member or Party or submitted by an observer at the request of the Chair in the language in which they have been received; and

   b) documents prepared by the Secretariat.

3. At least 14 days before each meeting of the Committee, the Secretariat shall, to the extent possible, place on its website in the three working languages all documents mentioned in the present Rule.

Rule 11

1. Information documents on the protection, conservation or management of wild fauna and flora may be submitted for information purposes only. These will not be translated and cannot be discussed at the meeting. However, such documents may be referred to, if they relate to the existing agenda items, but not discussed. Information documents may be submitted by:

   a) a Member, an Alternate Member, a Party or any observer representing a State not Party to the Convention or an intergovernmental organization;

   b) any observer representing any other organization; and

   c) the Secretariat.

2. No approval is required for the distribution of such materials. However, they shall clearly identify who is presenting them.

3. Information documents from Members, Parties, States not Party to the Convention and observers referred to in paragraph 1 of this Rule may, on request, be made available by the Secretariat. Any paper copies shall be made available in sufficient numbers for distribution. Information documents presented by Members, Parties and by the Secretariat relating to specific items on the agenda shall be numbered by the Secretariat and included in its list of official documents.

4. The CITES logo may not be used on information materials and other material unless explicitly authorized by the CITES Secretariat.

5. Any Member or Party may complain to the Secretariat if an information document that has been distributed is considered offensive.

Declaration of conflict of interest

Rule 12

Each Member shall, at the beginning of each meeting of the Committee, declare any financial interests that he or she considers calls into question his or her impartiality, objectivity or independence regarding any subject on the agenda for that meeting of the Committee. A conflict of interest may also be identified by any credible source and brought to the attention of the Committee through the Secretariat. If a Member has such an interest, he or she may take part in discussions at the discretion of the Chair, but not in the decision-making regarding the agenda item in question. If the Member is the subject of the potential conflict of interest, he or she shall not chair the meeting or sub-meeting for the agenda item in question.

Rules of order and debate

Rule 13

A quorum for a meeting shall consist of six regional Members or Acting Members from at least four regions. No session shall be take place in the absence of a quorum.

Rule 14

1. The right to speak shall extend to all Members and Acting Members and to observers who have been admitted to the meeting in accordance with Rules 1, 2, 3 or 4, as well as to the Secretariat.

2. The Chair shall, as a general rule, call upon speakers in the order in which they signify their desire to speak and shall give precedence to the Members and Acting Members of the Committee. Amongst observers, precedence shall be given to representatives of Parties, non-Party States, intergovernmental organizations and non-governmental organizations, in this order. However, the Chair may depart from this general rule and call on speakers in the order that he/she judges appropriate to ensure the timely progress of the debate.

3. Participants shall speak only if called upon by the Chair, who may call a speaker to order if his/her remarks are not relevant to the subject under discussion.

4. A speaker shall not be interrupted except on a point of order which can be made only by Members, Acting and Alternate Members and Parties. He/she may, however, with the permission of the Chair, give way during his/her intervention to allow any other participant to request elucidation on a particular point. Only Members and Acting Members shall have the right to make a point of order to call for a vote.

5. The Chair of another committee or a working group may be accorded precedence for the purpose of explaining the conclusion arrived at by that committee or working group.

6. The Committee may, on a proposal by the Chair or by a Member, limit the time to be allowed to each speaker and the number of times the Members, Alternate Members or observers may speak on any question. When the debate is subject to such limits, and a

speaker has spoken for his/her allotted time, the Chair shall call him/her to order without delay.

7. During the course of a debate the Chair may announce the list of speakers and, with the consent of the Committee, declare the list closed. He/she may, however, accord the right of reply to any participant if an intervention delivered after he/she has declared the list closed makes this desirable.

Rule 15

1. The Committee shall as far as possible take decisions by consensus. Whenever the Committee fails to reach consensus, the Chair, or Members or Acting Members from at least two regions may propose that the adoption of the decision be put to a vote.

2. In the case of a vote, the decision of the Committee shall be taken by a simple majority of the Members and Acting Members casting an affirmative or negative vote. In the case of a tie, the motion shall be considered as rejected.

Rule 16

At the request of the Chair or of any Member or Acting Member, the Committee shall decide by a vote whether the discussion of any particular subject shall be held in closed session; any such vote shall be decided in accordance with paragraph 2 of Rule 15. Parties represented at the meeting by observers shall be entitled to be represented at closed sessions.

Working groups

Rule 17

1. The Committee may establish such in-session and intersessional working groups as may be necessary for the Committee to carry out its functions. Intersessional working groups shall normally work electronically unless the Committee or the Conference of the Parties have determined otherwise. For each working group, the Committee shall define the terms of reference, in accordance with relevant Resolutions and Decisions of the Conference of the Parties and shall determine the composition of the working group, striving to achieve regional balance. The membership of each working group shall be limited to the Members and Parties and to those observer bodies and agencies with expertise on the matter invited by the Chair to join the working group. The Chair shall aim to ensure a fair and balanced representation of Members, Parties and observer bodies and agencies; the number of observer bodies and agencies should normally not exceed the number of Members and Parties.

2. Intersessional working groups should normally conclude their work at the last regular meeting of the Committee preceding a meeting of the Conference of the Parties. Any Member or observer wishing to join or withdraw from an intersessional working group should make the request in writing to the Chair of the Committee through the Secretariat. Unless appointed by the Chair of the Committee, each working group shall elect its own officers, whenever possible from among the Members and Alternate Members of the Committee.

3. Subject to resource constraints, the Secretariat shall provide support and guidance to intersessional working groups.

4. Insofar as they are applicable, these Rules shall apply *mutatis mutandis* to the proceedings of working groups.

Executive summary and summary record

Rule 18

1. A concise executive summary of the decisions of the Committee shall be prepared by the Secretariat for endorsement by the Committee before the closure of the meeting. However, the executive summary of the last day of each meeting shall be sent by email to the Members and Acting Members for endorsement after the meeting. The decisions of the Committee shall come into effect upon endorsement of the executive summary in which they are contained.

2. A consolidated summary record of each meeting shall be prepared in the three working languages by the Secretariat and made available on the CITES website within 40 days. This shall be presented in the order of the agenda and comprise three parts for each agenda item: a short statement indicating the main points of the discussion; the text indicating the decision that was made, as it appears in the executive summary; and the text of any statement provided by any Member, Acting Members, Alternate Member or the observer from any Party that was read into the record during the meeting. The participants in the debate shall be also included at the end of each topic. The Secretariat shall take into account the comments received within 20 days of the circulation and – upon approval of the Chair of the Committee – the Secretariat shall make the final summary record available on the website of the Convention.

3. The Secretariat shall make and keep a sound recording of the audio of all plenary sessions of the Committee, and shall make the recordings available to any Party upon request.

Procedure for intersessional decision-making

Rule 19

1. Where the urgency of the matter requires a decision to be made between regular meetings of the Committee, a Member or the Secretariat may submit a recommendation to the Chair for a decision by email procedure or using any other electronic procedure which has been agreed by the Committee. With the approval of the Chair, the Secretariat shall communicate any such recommendation to the Members, who shall comment within 40 days of the communication of the recommendation; any comments received by the Secretariat within this time limit shall also be so communicated to the Members.
2. Members may object to a recommendation within 25 days of the date when the results of the consultation on the recommendation were communicated to the Members. If no objection is received by the Secretariat within the deadline, the proposal shall be considered as adopted, and notice of the adoption shall be given to all Members and Parties.

3. If any regional Member objects to a proposal within the applicable time limit, the proposal shall be put to a vote by email or using any electronic procedure which has been agreed to by the Committee. The recommendation shall be considered as decided if supported by a simple majority of the regional Members casting an affirmative or negative vote within 14 days of the notification of the vote provided that votes are received from at least six regional Members from at least four regions. If insufficient votes are received or no majority is achieved, the recommendation shall be referred to the next meeting of the Committee.

Final Provisions

Rule 20

In matters not covered by the present Rules, the Rules of Procedure currently in effect for meetings of the Conference of the Parties shall apply *mutatis mutandis*.

Rule 21

These Rules shall come into force on adoption by the Committee, and shall remain valid for each of its meetings unless amended by decision of the Committee.