

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,

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;

关切 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 (吉隆坡, 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

* Amended at the 13th, 17th and 18th meetings of the Conference of the Parties. 经第十三、十七和十八次缔约方大会修订。

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;

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. CoP19)¹ 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

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在于为了确保附录 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签发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；

申明 大宗贸易回顾进程应透明、及时并明确

注意到 Conf. 14.3(Rev. CoP19)号 CITES 履约程序决议中建立了 CITES 履约程序指南，并进一步注意到 Conf. 14.7 (Rev. CoP15)号《管理国家设立的出口限额》决议详尽阐述了缔约方对出口限额的管理

¹ Corrected by the Secretariat following the 19th meeting of the Conference of the Parties. 由秘书处第十九次缔约方大会后修正。

nationally established export quotas; and

NOTING that Resolution Conf. 4.25 (Rev. CoP19)² 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

指南; 并

注意到 Conf. 4.25 (Rev. CoP19)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;

公约缔约方大会

关于大宗贸易回顾的开展

1. 指示 动物和植物委员会, 经与秘书处和有关专家合作, 并与分布国协商, 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

² Corrected by the Secretariat following the 19th meeting of the Conference of the Parties. 由秘书处第十九次缔约方大会后修正。

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

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

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

在 CITES 网站上可查。分布国有 60 天时间做出回应；并

- 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;
- 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) 小项要求，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)项条款的物种/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)小项要求所准备的报告，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；

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

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，秘书处应相应地在 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)款的长期能力；
- 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) 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;
- 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)项没有直接关系的问题，对常务委员会作出单独建议；

Stage 4: Measures to be taken regarding the implementation of recommendations **第4阶段：就执行建议采取措施**

- j) the Secretariat shall monitor progress against the recommendations, taking account of the different deadlines;
- 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) 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;
- k) 一旦分布国就履行建议或超期问题提交了报告，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) 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
- i) 如满足建议，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) 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
- ii) 如推定未满足建议 (或没有提供新信息)，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

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;
- iii) 如推定未满足或部分满足建议，而存在可能需要更新建议的新信息，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，优先做出决定或必要行动；
- 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) 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

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)项令常委会满意，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；

关于被识别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识别为，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)项无关的问题；

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

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.

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；

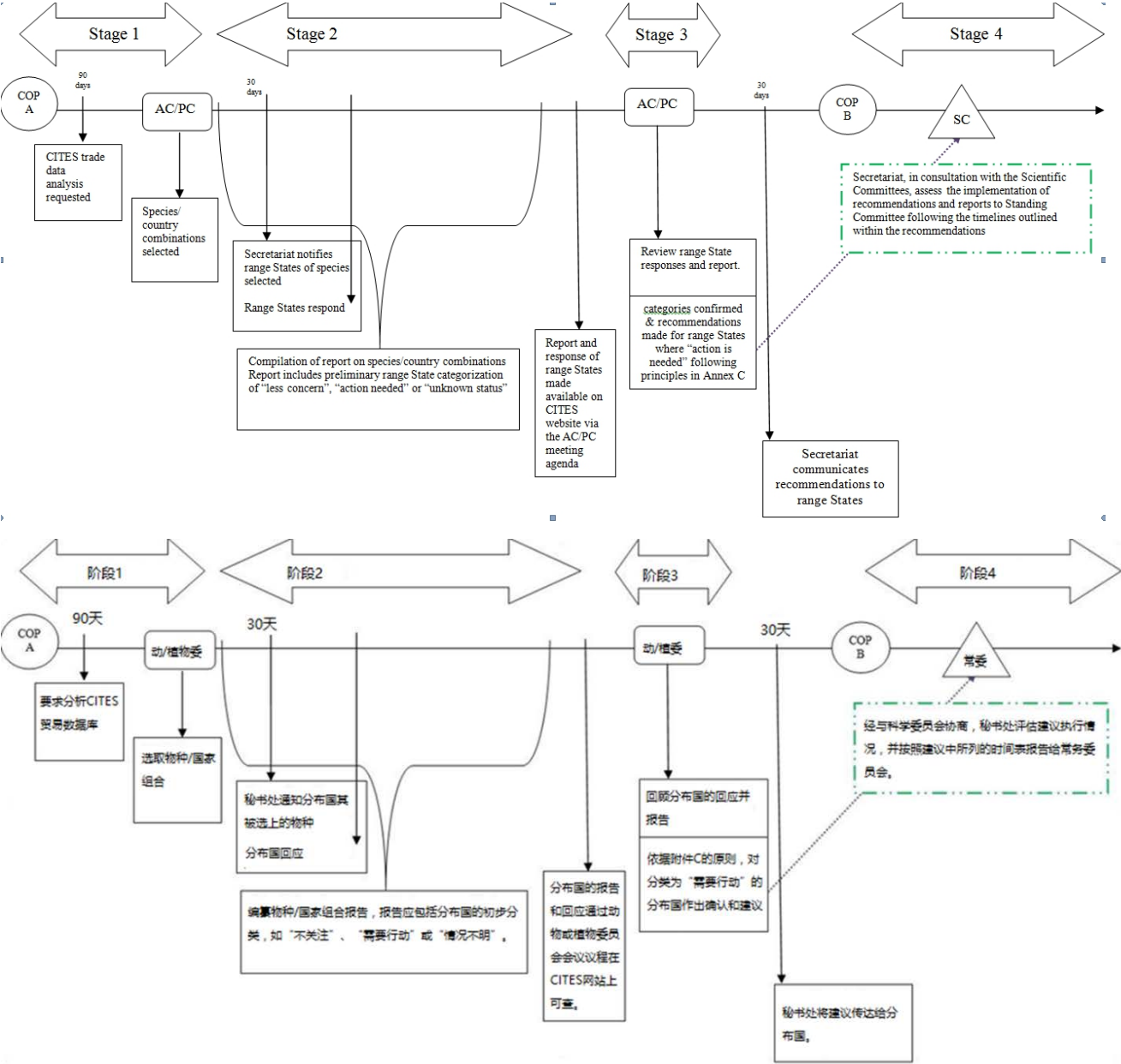
7. **指示** 动物或植物委员会，与秘书处协商，对大宗贸易回顾产出开展常规回顾，例如检测过去物种/国家组合样本，以评估公约文本第四条 2(a)、3 和 6 (a)项执行的执行是否已改进。动物或植物委员会应考虑这一回顾的结果，必要时修订大宗贸易回顾进程。在这一过程中，应从已通过回顾进程的分布国 (包括其科学机构) 获取反馈； 并

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

Annex 1

附件 1

Timeline for the Review of Significant Trade 大宗贸易回顾进程时间线
Process



Annex 2

附件 2

Guidance regarding the selection of species/country combinations 关于选取物种/国家组合的指南

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 exports³;
- 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

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、Y 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被注为“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

³ To facilitate this requirement, an excel version of the summary will be produced and will be available in electronic format 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。

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.

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、Y 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。

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

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。

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.

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)项有关的问题。
- 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。

Recommendations directed to the Standing Committee or other Parties

指示给常委会或其他缔约方的建议

Recommendations directed to the Standing Committee should

指示常委会的建议应坚持有时限、可行、

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. 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。