Western Pacific Workshop on Policy, Enforcement and Sustainable Trade for the CITES Appendix II - listed Humphead (Napoleon) Wrasse, *Cheilinus undulatus*

5 - 7 June 2006
Hong Kong
Draft Report of
Western Pacific Workshop on Policy, Enforcement and Sustainable Trade for the CITES Appendix II – listed Humphead/Napoleon Wrasse, *Cheilinus undulatus*
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1. Executive Summary

Introduction

Concerned about the high rate of exploitation, and unsustainable fishery and trade practices being conducted on the Humphead wrasse which, if unchanged, threaten the survival of the species, Parties to the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) listed, by consensus, the Humphead (Napoleon) wrasse, *Cheilinus undulatus*, on Appendix II, at the 13th Meeting of the Conference of the Parties held in October 2004. The Appendix II listing mandates signatory countries to sustainably regulate the international trade in this species.

Humphead wrasse is one of the most valuable fish in the international live reef food fish trade and its taste and rarity lead to high demand and retail prices. Centred in Hong Kong, the trade has already spread to South China and it is estimated that about half of Hong Kong's imports are re-exported to mainland China. Of particular concern is the rapid economic growth in mainland China, which will almost certainly intensify the demand for the Humphead wrasse in the future. With Hong Kong and China the major consumers, Indonesia, Malaysia, Papua New Guinea and the Philippines are the major producer countries of the species.

Although listed on the CITES Appendix II, Humphead wrasse cannot be sustainably traded without significant efforts from both range States and consumer countries. Many challenges are still faced by exporting and importing countries if they are to comply with the Convention, especially because this is the first commercially significant marine fish that key range States have had to deal with. In particular, the ‘Non-Detriment Finding’ (NDF) requirement (i.e., sustainable management plan) under CITES for exporting countries, the permitting required for both exports and imports, as well as enforcement will need some fundamental adjustments to be introduced at the national level in some countries, as well as international cooperation for implementation. All are pressing issues that must be resolved if trade in the species is not to be considered for more strict controls. It is therefore vital that direct communication within and between major authorities involved in the trade be established in the early stage to ensure CITES is effectively implemented.

Three workshops were held in 2006 in relation to the Appendix II listing of the Humphead wrasse to foster information exchange and communication. Two were intended to address national level issues with one taking place in Hong Kong, January 2006, and the second in Jakarta, Indonesia in February 2006. Both workshops raised policy, management and enforcement issues, and examined challenges for traders and government departments.

The third, and most recent, workshop was an international event focusing on the major importing and exporting countries in Southeast Asia and the western Pacific. This workshop was designed to build on the earlier workshops and one of its major aims was to foster regional collaboration and generic approaches to the management of this species. Co-organised by the Agriculture, Fisheries and Conservation Department (AFCD), the CITES Management Authority of Hong Kong Special Administrative Region (SAR), the IUCN Species Survival Commission Specialist Group for Groupers \& Wrasses (GWSG), TRAFFIC and WWF, with participation from the CITES Secretariat,
the regional workshop was titled ‘Western Pacific workshop on policy, enforcement and sustainable trade for the CITES Appendix II listed Humphead/Napoleon wrasse, *Cheilinus undulatus*. It was held in Hong Kong on 5-7 June 2006 with over 60 participants. The workshop gathered together the respective CITES Management and Scientific Authorities, and Customs and fisheries department personnel from the major consumer and resource countries of the species (China including Hong Kong SAR, Indonesia, Papua New Guinea, the Philippines, and Malaysia). In addition, representatives from FAO and the CITES Secretariat were invited to provide advice and input that could assist in achieving effective implementation of the CITES listing in support of the sustainable international trade of this species and to provide perspectives and experiences in CITES-related management and issues, and from other marine species.

**The workshop**

Throughout the two and a half day workshop, issues relevant to compliance with the CITES in the international trade in Humphead wrasse were discussed. These included implementation issues, management options, background information on biology, trade and fisheries, mariculture status and opportunities for regional cooperation and collaboration.

*Implementation of CITES for Humphead wrasse*

The management authorities of importing and exporting countries presented regional and national legislation in relation to the Humphead wrasse of relevance to CITES. Where the country or region has additional regulations to control the trade of the Humphead wrasse in compliance with CITES, as in the case of Hong Kong (legislation proposed), those regulations were also discussed. Indonesia is the only exporting range States attempting to implement the CITES listing with a provisional quota for 2006 established prior to completion of stock assessment.

It was agreed that there is a real need for cooperation between fisheries departments and CITES Management Authorities within and between countries as this is the first marine food fish listed on CITES that many countries have actively had to deal with. Furthermore, using the Humphead wrasse as an example, it is clear that harmonisation is needed within and between fisheries departments or divisions and those offices in government that deal with conservation and CITES issues; historically, these activities have been treated separately because commercial marine fish have not been the object of conservation concern. It was also recognised that a generic approach to management of the Humphead wrasse would aid in the development of NDF and there was a clear indication that many countries would find generic management guidelines useful and would like to see them developed. This issue has been taken up by FAO and IUCN GWSG.

*Market and Trade trend of Humphead wrasse*
In this session, representatives of live reef food fish traders briefed the meeting on the market, trade trends and practices of Humphead wrasse in Hong Kong and China, and there was an in-depth discussion on this issue. Traders in Hong Kong supported the listing of Humphead wrasse, in recognition of the declines they have witnessed, but indicated that the streamlining of permit issuing would be critical for their trade in Humphead wrasse.

To better understand current trade practices for Humphead wrasse, participants visited the Aberdeen fish wholesale market where Humphead wrasse were temporarily stored before they are shipped to the retailers or restaurants.

Fisheries of Humphead wrasse

There is no specific or effective management for the fisheries of Humphead wrasse in most of the major exporting countries. IUCN reported on the current status of hatchery-based mariculture of Humphead wrasse, particularly in the perspective of the CITES, as the current practice of collecting juvenile specimens for growing-out have created confusion on the definition of mariculture. Given the extensive capture of juveniles for grow-out in this species, the distinction between mariculture (hatchery produced juveniles) and wild-caught juveniles placed into grow-out is needed for development of management plans. The grow-out of wild caught juveniles is considered to be a capture fishery for CITES purposes and such animals must be factored into wild production for this species in assessing sustainable use (NDF).

Non-detriment finding model for Humphead wrasse

Progress is being made in the development of a NDF methodology. IUCN introduced the study of Humphead wrasse being conducted in Indonesia, in collaboration with the Scientific Authority for CITES, Lembaga Ilmu Pengetahuan Indonesia (LIPI), which aims to collect information useful for stock assessment of the species. FAO also presented a generic stock assessment model developed to assist countries with their NDF obligation in promoting the sustainable exploitation of the species. Of particular interest was the plan to develop a programme that allowed for transferability of the methodologies developed by FAO for NDF to other range States of Humphead wrasse where it will be adaptable to local conditions. Also identified was the need for a set of generic guidelines to assist in the management of live reef food fish fisheries. The model will be presented in Jakarta in November 2006 for discussion. It will then be revised accordingly and made available for use by all range States.

Regional conservation work on Humphead wrasse

TRAFFIC presented the collaborative efforts of the three organisations (IUCN, TRAFFIC and WWF) in promoting the conservation and sustainable trade in Humphead wrasse in the region, including the production of a sustainable consumer seafood guide being developed in Hong Kong and south China, Humphead wrasse information posters and leaflets in English and Chinese, the live reef food fish trade investigation in Hong Kong and Southeast Asia, field projects in Indonesia and the Sulu-Sulawesi marine ecoregion. TRAFFIC also emphasised the need to develop standardised trade monitoring protocols at national and international levels, and disseminate key information such as species
identification tools amongst relevant monitoring agencies and law enforcement officers. The CITES Secretariat identified possible funding opportunities for NDF work for the Humphead wrasse to address data shortcomings identified by range States, especially for collaborative studies between several countries.

*International cooperation on Implementation of CITES*

The CITES Secretariat and the AFCD gave examples (queen conch and freshwater turtles) on how international cooperation could be used to more effectively comply with the Convention. CITES Management Authorities of importing and exporting countries of Humphead wrasse were keen on whether these examples can be applied to the international trade in Humphead wrasse, particularly on issues like the sharing of information on permit issuing, and actions that can be taken when CITES party members cannot effectively implement the CITES. The possible involvement of other relevant organisations such as APEC and ASEAN was discussed.

Detailed discussion of the workshop is enclosed in the meeting notes of the workshop.

*Outputs*

The workshop led to constructive, productive and cordial discussions and all parties expressed their views on how they can contribute to the regional collaboration so as to regulate and monitor the international trade in Humphead wrasse. Most countries expressed an interest to learn more about the species and identified the need for international collaboration and cooperation for successful implementation of management. Specifically the participants extensively discussed and agreed on a document named ‘Recommendations for Regional Cooperation’ to further strengthen the regional collaboration on the implementation of CITES for Humphead wrasse. This document was subsequently finalised in circulation and “The Recommendations for Regional Cooperation” is enclosed in this report.

Recommendations in this document include the recognition for regional cooperation among the importing and exporting countries, the needs for CITES NDF and research (including more attention to mariculture), increased efficiency of trade monitoring, collection of fisheries data, legislation and law enforcement in compliance with CITES requirements. It was also agreed that considerable outreach efforts are needed for all sectors of society to better understand the need to manage and protect Humphead wrasse and that unsustainable resource use will lead to unsustainable trade. The need for regular meetings between Parties to monitor progress and discuss issues was also recognised.

In order to share the recommendations with a wider audience, including other range States and importers of Humphead wrasse, fisheries experts, fisheries agencies, NGOs, etc., the provisional draft of the Recommendation for Regional Cooperation was submitted to the 14th meeting of the CITES Animals Committee held in Lima on 7-13 July 2006 as an information document for easy access by the 169 parties/countries members of the Convention.
2. Workshop Paper

Goal: Through a regional workshop held on 5-7 June 2006 at Hong Kong for CITES-related agencies and stakeholders in the Western Pacific, to strengthen the implementation of CITES in support of the sustainable international trade of a commercial fisheries species, Humphead (Napoleon) wrasse, *Cheilinus undulatus*.

Background

The Humphead wrasse is one of the largest of all reef fishes and occurs intermittently throughout the coral reefs of the Indo-Pacific region. Of the 48 countries in which Humphead wrasse occurs, Southeast Asian countries including Indonesia, Malaysia and the Philippines likely support a significant proportion of the global population. The maximum length of this species can exceed 2 metres and the weight can be up to 190 kg. The characteristics of natural rarity (not more than 20 fish per square km and typically considerably less), longevity (can live for over 30 years), late maturity (can take 5-7 years to reach sexual maturation) and hermaphroditism (with female-to-male sex change) make Humphead wrasse particularly vulnerable to fishing pressure.

The major threat to Humphead wrasse is the international live reef food fish trade. The species is one of the most valuable fish in the trade and its rarity leads to high demand and prices (up to US$130/kg at the retail level in mainland China). Centred in Hong Kong and accounting for about 60% of the global trade in live reef fishes for the luxury market, the live fish trade has already spread to China, and it is estimated about half of Hong Kong’s imports are re-exported to mainland China. The major producer countries of Humphead wrasse are Indonesia, Malaysia, and the Philippines and the Papua New Guinea has started to export Humphead wrasse to Hong Kong since 2004. Of particular concern is the rapid economic growth in mainland China, which will almost certainly intensify the demand for the prized but expensive Humphead wrasse in the future. While adults and late juveniles are collected for direct export, small juveniles are also caught for ‘grow-out’ in large numbers and then exported. Small amounts of early juveniles, too young for ‘grow-out’, are also exported for the aquarium trade. It is expected that no commercial production of Humphead wrasse from hatchery will be available in the near or medium future although there are unconfirmed reports of successful hatcheries of Humphead wrasse in Indonesia.

This giant reef fish species is threatened by exploitation for the live reef food fish trade and is listed as ‘Endangered’ on the IUCN Red List of threatened species in 2004. There is legislation to protect this species in some countries but in almost all cases, there is no, or inadequate, enforcement of legislation and illegal trade continues to be reported.
Currently there are no international or regional fisheries management measures in place for the conservation of Humphead wrasse. Neither the FAO nor the Asia-Pacific Fisheries Commission has developed fisheries management for the catch of Humphead wrasse. The FAO promotes sustainable development of responsible fisheries and the Asia-Pacific Fisheries Commission promotes the proper utilisation of living aquatic resources the Asia Pacific region, but these organisations are not directly responsible for the management of fisheries.

The CITES CoP 13 meeting listed the Humphead wrasse, on Appendix II in 2004. Currently CITES is the only international regulatory mechanism for the sustainable trade and conservation of Humphead wrasse. The recent listing of Humphead wrasse on CITES mandates that international trade in this species requires permits issued by the Management Authorities of source countries to show that the fish being exported has been taken from a sustainably managed fisheries i.e. permits can only be issued when the survival of the wild-population of Humphead wrasse will not be threatened by the export trade. In order to issue export permits, non-detriment findings (NDF) are established and regulations implemented to ensure that the extraction of Humphead wrasse for the trade will not compromise its wild populations. As such, CITES provides a mechanism to promote the improvement of domestic management and monitoring, and reduce Illegal, Unregulated and Unreported (IUU) fishing, through improvement in the understanding of international trade routes, and provision for the collection of comprehensive international trade data to attain a regulated and sustainable trade.

The key to the success of the CITES listing relies on the effective implementation, full collaboration and mutual understanding of all stakeholders such as the Management Authorities and Scientific Authorities, Customs and Fisheries Department of consumer and source countries. IUCN, TRAFFIC, WWF and live reef fish traders can all assist in working towards the necessary information-gathering and promotion of sustainable trade. In particular, communication between countries of import and export in relation to the possible quota systems, updated information for import and export traders on quota limits and the dissemination of latest findings from various organisations for Humphead wrasse are important for the conservation of the species. For example, the cooperative verification system on permits for fresh water turtles between the Management Authorities of Hong Kong and Malaysia initiated in 2004 successfully stopped more than 15,000 CITES listed fresh water turtles entering Hong Kong from Malaysia owing to permit irregularities. With respect to the Humphead wrasse, the IUCN Specialist Group for Groupers and Wrasses (SGGW) is working closely with the Indonesian government and conducting trade and field surveys that are intended to develop a model for establishing NDF that could be adopted broadly in the region. Consumer programmes in Hong Kong have also raised awareness on the threats to Humphead wrasse by the international trade.

Goals and Objectives
Subsequent to the local CITES workshops in Hong Kong and Indonesia in January and February 2006, respectively, a three day Humphead wrasse CITES workshop will be held, on **5-7 June 2006** to strengthen the conservation and sustainable trade in Humphead wrasse through the CITES Appendix II listing. Co-organised by WWF, Agriculture, Fisheries and Conservation Department (AFCD - Management Authority of Hong Kong SAR), IUCN, and TRAFFIC, and supported by the CITES Secretariat, the workshop aims at strengthening the communication of the relevant stakeholders in the implementation of the CITES listing for Humphead wrasse, and sharing the preliminary findings of the IUCN SGGW work in Indonesia. The number of expected participants will be about 50, including representatives of Management and Scientific Authorities, Fisheries Department and Customs of major import and export countries (Indonesia, Mainland China, Hong Kong SAR, Malaysia, the Philippines and the Papua New Guinea), CITES Secretariat, IUCN, TRAFFIC, live reef fish traders representatives WWF, and other relevant stakeholders.

Specific objectives of the workshop are:

1. To update the progress of implementation of CITES for Humphead wrasse by management authorities, scientific and enforcement authorities, and fisheries departments from exporting and importing countries since the Appendix II listing, particularly in:
   ♦ Policy and legislation – law amendment, etc;
   ♦ Enforcement – handling and identification;
2. To discuss the Non-Detriment Findings (NDF) model developed in Indonesia and the monitoring and implementation implications of the NDF model regionally;
3. To update and discuss the current market and trade situation of Humphead wrasse, with respect to trade routing, trade volume, imports/exports/re-exports, licensing mechanism, trade monitoring and trade and fishery data management;
4. To discuss the establishment of multi-lateral cooperation through adoption of mutual agreements that would facilitate quota management, cross-verification of documentation, data-sharing and enforcement;
5. To follow up issues raised in the CITES Humphead wrasse workshop in January (Hong Kong) and February (Jakarta);
6. To identify programme/project/research initiatives in the region relevant to the conservation of Humphead wrasse including the protection of critical habitats, awareness, and etc.

**Expected outputs:**

1. Progress implementing on CITES for Humphead wrasse updated;
2. The Non-Detriment Finding (NDF) model being considered in Indonesia discussed, with a view to considering possible region-wide adoption; monitoring and implementation implications of this NDF model to be discussed;
3. Market issues including the perspective of the trade such as the development from traders’ angle, trade monitoring and data management by various relevant agencies updated;

4. Mutual agreements, similar to the fresh water turtle cooperative verification system between Hong Kong and Malaysia, on communications and quota systems between countries of import and export established;

5. Mechanism for opening effective communication channels for further synergy between relevant CITES authorities and fisheries departments, handling and identification, streamlining process and inspection time, and information sharing and dissemination between stakeholders to be established;

6. Programmes/projects on the conservation of Humphead wrasse including protection of critical habitats, awareness, and etc within the region updated;

7. Issues raised in the CITES workshops in January (Hong Kong) and February (Jakarta) discussed.

8. Workshop report to be produced.
### 3. Workshop Agenda

#### Day 1

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<thead>
<tr>
<th>Time</th>
<th>Activities</th>
<th>Presenter</th>
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<tr>
<td>8:30</td>
<td>Registration</td>
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<tr>
<td>9:00</td>
<td>Opening speech, introduction of organisers and participants</td>
<td>WWF, JNC, AFCD, IUCN, TRAFFIC</td>
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<tr>
<td>9:30</td>
<td>Background of CITES</td>
<td>CITES Secretariat</td>
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<tr>
<td>9:45</td>
<td>Background to the CITES Appendix II listing to Humphead wrasse</td>
<td>IUCN</td>
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<tr>
<td>10:00</td>
<td>Coffee Break</td>
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<tr>
<td>10:30</td>
<td><strong>Implementation of CITES for Humphead wrasse (I):</strong></td>
<td></td>
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<tr>
<td>11:00</td>
<td><em>Exporting country/region</em> Report of existing or future policies, legislation, enforcement and trade data management on the implementation and challenges in relation to the Humphead wrasse</td>
<td>Presentation sequence is in alphabetical order: China, Indonesia, Malaysia, Papua New Guinea and the Philippines</td>
</tr>
<tr>
<td>12:30</td>
<td>Lunch</td>
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<tr>
<td>1:30</td>
<td><strong>Implementation of CITES for Humphead wrasse (II):</strong></td>
<td></td>
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<tr>
<td>1:30</td>
<td><em>Importing and re-exporting country/region</em> Report of existing or future policies, legislation, enforcement and trade data management on the implementation and challenges in relation to the Humphead wrasse</td>
<td>Presentation sequence is in alphabetical order: China, Hong Kong SAR</td>
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<tr>
<td>2:00</td>
<td>Plenary discussion</td>
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<tr>
<td>3:00</td>
<td>Coffee Break</td>
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<tr>
<td>3:30</td>
<td><strong>Market and Trade trend of Humphead wrasse:</strong></td>
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<td>3:30</td>
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<td>Hong Kong Chamber of</td>
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Traders to introduce their trade practices for Humphead wrasse, or live coral reef fish, ♦ trade routes from source to consumer countries ♦ trade practices within both source and consumer countries ♦ issues that are relevant to compliance with the CITES listing including those raised in the January Hong Kong workshop.

Plenary discussion

5:00 End of day 1
6:30 Dinner hosted by the organisers

Day 2

<table>
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<th>Activities</th>
<th>Presenter</th>
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<tr>
<td><strong>Morning</strong></td>
<td>Seafood Merchants Limited</td>
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<tr>
<td>Fisheries of Humphead wrasse and Non-detriment finding model of Humphead wrasse in Indonesia (I)</td>
<td>Presentation sequence is in alphabetical order: China, Indonesia, Malaysia, Papua New Guinea and the Philippines</td>
</tr>
<tr>
<td>Coral reef fisheries of Humphead wrasse in sources country/region (10 min for each speaker)</td>
<td>IUCN</td>
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<tr>
<td>(The presentation could include live coral reef fisheries in general in respect of management, regulation, sustainability and future directions, with a focus on the Humphead wrasse wherever possible)</td>
<td>IUCN</td>
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<tr>
<td>Update on mariculture / grow-out of Humphead wrasse</td>
<td>All</td>
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<tr>
<td>Plenary discussion</td>
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<tr>
<td><strong>10:45</strong></td>
<td>Coffee Break</td>
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<tr>
<td><strong>Fisheries of Humphead wrasse and Non-detriment finding model of Humphead wrasse in Indonesia (II)</strong></td>
<td></td>
</tr>
<tr>
<td>Report of NDF model in Indonesia for Humphead wrasse</td>
<td>FAO &amp; IUCN</td>
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<tr>
<td>Plenary discussion on issues relating to the adoption of the NDF model including issues raised in the February Humphead wrasse</td>
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workshop in Indonesia, particularly in relation to NDF model

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<tr>
<th>Time</th>
<th>Activity</th>
<th>Presenter</th>
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<tr>
<td>1:00</td>
<td>Lunch</td>
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<tr>
<td>Afternoon</td>
<td>Field visit – The Aberdeen Wholesale fish market and Atoll reef of Ocean Park</td>
<td>All</td>
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<td>2:00</td>
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<tr>
<td>5:00</td>
<td>End of Day 2</td>
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<td></td>
<td>Dinner: Free time</td>
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### Day 3

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<thead>
<tr>
<th>Time</th>
<th>Activities</th>
<th>Presenter</th>
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<tbody>
<tr>
<td>Morning</td>
<td><strong>Further co-operation on the implementation of CITES for Humphead wrasse (I)</strong></td>
<td>WWF and TRAFFIC</td>
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<tr>
<td>9:00</td>
<td>Regional conservation work on Humphead wrasse</td>
<td>CITES Secretariat</td>
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<tr>
<td>9:30</td>
<td>Sharing of successful global or regional stories on bilateral co-operation on implementation of CITES</td>
<td>All</td>
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<tr>
<td>10:15</td>
<td>Recap of issues raised on Day 1 and 2, and discussion on possible options to strengthen the communication between Management and Scientific Authority, Fisheries Department and other stakeholders on data sharing and information dissemination and discussion on possible collaborations between exporting and importing countries.</td>
<td>WWF</td>
</tr>
<tr>
<td>10:45</td>
<td>Coffee Break</td>
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<tr>
<td>11:15</td>
<td><strong>Further co-operation on the implementation of CITES for Humphead wrasse (II)</strong></td>
<td>All</td>
</tr>
<tr>
<td>11:15</td>
<td>Plenary discussion on the feasibility of establishing multi-lateral co-operation (e.g. a working protocol on the quota verification system or in the form of a working group).</td>
<td>WWF</td>
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<tr>
<td>12:00</td>
<td>Statement of Cooperation</td>
<td>All</td>
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<tr>
<td>12:00</td>
<td>Participants will be invited to review the draft Statement of Cooperation and comment on the contents of the statement for finalization and possible ratification at the end of the workshop.</td>
<td>WWF</td>
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<td>12:30</td>
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<tr>
<td>Time</td>
<td>Event</td>
<td>Location</td>
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<tr>
<td>12:45</td>
<td>Wrap up session</td>
<td>CITES Secretariat</td>
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<tr>
<td>1:00</td>
<td>Ending speech &amp; Souvenir presentation</td>
<td>All</td>
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<td></td>
<td>Group photo.</td>
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<tr>
<td>1:15</td>
<td>Lunch</td>
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<tr>
<td>Afternoon</td>
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4. Recommendations for Regional Cooperation

At the Thirteenth meeting of the Conference of Parties to the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), held in Bangkok in October 2004, the Humphead or Napoleon Wrasse, *Cheilinus undulatus*, was included in Appendix II. The proposal from Fiji, Ireland (on behalf of the European Union) and the United States of America was adopted by consensus.

Continuing in the spirit of consensus, the ‘Western Pacific Workshop on policy, enforcement and sustainable trade for the CITES Appendix II listed Humphead/Napoleon Wrasse, *Cheilinus undulatus*’ was held in Hong Kong, Special Administrative Region (SAR) of the People’s Republic of China, from 5 to 7 June 2006. Participants included delegates from CITES Management and Scientific Authorities, and other relevant agencies from China (including Hong Kong SAR), Indonesia, Malaysia, Papua New Guinea and the Philippines. Participants also included representatives of the CITES Secretariat, the United Nations Food and Agriculture Organisation (FAO), local trade representatives, World Wide Fund for Nature (WWF), IUCN - The World Conservation Union, and TRAFFIC, the wildlife trade monitoring network.

The CITES Appendix II listing provides opportunities for regional agreement and collaboration on conservation and sustainable use of Humphead Wrasse. The current workshop was designed to review practical issues in the implementation of the listing, in particular management procedures to ensure a sustainable and legal international trade in Humphead Wrasse in compliance with CITES. The workshop was cordial and productive, and led to agreement on several areas for further actions.

**Recommendations**

Regional cooperation: The inclusion of Humphead Wrasse in CITES provides challenges to both exporting and importing countries to fully comply with all provisions of the Convention. Successful management needs joint efforts, with governments working together to implement the listing. Effective implementation will further rely on the cooperation, mutual understanding, and support of all stakeholders. Recommendations for regional cooperation include:

- Beginning in 2007, regularly meet as needed to discuss the opportunities and challenges with regards to policy, research, management, enforcement and outreach for the conservation and sustainable use of Humphead Wrasse.

- Extend regional cooperation through existing structures, such as the Association of Southeast Asian Nations (ASEAN) (e.g. ASEAN Experts Groups on CITES, ASEAN Wildlife Enforcement Network (ASEAN-WEN) and ASEAN +3), the Fisheries Working Group of the Asia Pacific Economic Co-operation (APEC), the Fisheries Subcommittee of the Sulu-Sulawesi Marine Ecoregion (SSME) Tri-national Committee, the Secretariat of the Pacific Community (SPC), the Southeast Asian Fisheries Development Center (SEAFDEC), the Western and Central Pacific Fisheries Convention (WCPFC), and other relevant fora.

- Promote collaboration between fisheries agencies and CITES authorities at the national and regional level, and including international agencies such as FAO,
expert non-governmental organisations (e.g. IUCN, TRAFFIC, WWF) and research institutions.

- Develop a generic fisheries management framework that can assist CITES Management and Scientific Authorities and fisheries management agencies in responsible exploitation of Humphead Wrasse, taking into account the FAO Code of Conduct for Responsible Fisheries.

- Ensure that management frameworks detail basic goals for conservation and sustainable use, involvement of local fishing communities, essential fisheries research, acceptable levels of exploitation, the protection of spawning aggregations, the protection of juveniles and the protection of critical habitat.

- *Develop guidance on mariculture of Humphead Wrasse, including protection of juveniles, reduction of mortality rates during grow-out, regulations for mariculture operations, etc. For the purposes of CITES Non-detriment Findings (NDFs), a clear distinction is needed between wild-caught and captive-bred (hatchery-reared) fish, and attempts to protect wild sources of broodstock would be advisable.*

- Enhance day-to-day cooperation through circulation of a formalised individual contact list.

*CITES Non-detriment findings and research needs (including mariculture):* NDFs and permitting based on such NDFs are matters of high priority to ensure sustainable and legal trade. A workshop in Indonesia, held from 14-15 February 2006, held great promise in devising a working system for NDFs. This was explored in further depth during the Western Pacific workshop (Hong Kong, June 5-7, 2006) by IUCN, FAO and workshop participants. Further, mariculture holds great long-term promise for Humphead Wrasse but does not appear to be a short- or medium-term solution. Recommendation for CITES Non-detriment findings and research needs include:

- Promote collaborative research among countries, research institutions and organisations, including WWF, IUCN, and TRAFFIC.

- Ensure that research addresses critical issues such as the distribution and density of Humphead Wrasse populations, assessment of the benefits of marine protected areas and no-take zones, the impact of different production systems on wild populations, Total Allowable Catch (TAC), minimum size considerations, trade statistics and trade routes, etc.

- In some cases, the implementation of national level action plans and/or the creation of national working groups (CITES Authorities, fisheries departments, law enforcement agencies) may be useful. This includes inter-agency cooperation on multiple levels, from local to national.

- Develop by end-2007 non-compulsory guidelines for the making of NDFs in consultation with range States and with the technical advice of the IUCN Species Survival Commission (SSC) Groupers and Wrasses Specialist Group and FAO. These guidelines can be considered by range States that harvest and export Humphead Wrasse.
Based on appropriate research, frame guidelines as a ‘risk assessment’ checklist, outlining step-wise protocols for conducting CITES NDFs.

Promote practical solutions to ensure conservation benefits from mariculture, in collaboration with regional mariculture institutes, particularly Network of Aquaculture Centres in the Asia-Pacific (NACA).

**Trade monitoring, legislation and law enforcement:** Appropriate legal frameworks, monitoring systems, and law enforcement are all needed for effective CITES implementation. Enforcement issues pertaining to CITES and marine resources are relatively new. Recommendations for improved trade monitoring, legislation and law enforcement co-operation include:

- Develop adequate legislation, including policies regarding seized and confiscated specimens.
- Train relevant national law enforcement agencies.
- Promote the exchange of intelligence regarding illegal trade in Humphead Wrasse.
- Cooperate at a regional level to prevent illegal trans-shipment at sea, outside territorial waters, of Humphead Wrasse.
- Collaborate with fishermen and traders to ensure effective law enforcement.

**Outreach:** The conservation and sustainable use of Humphead Wrasse will benefit from the cooperation between relevant stakeholder groups, particularly in the promotion of legal trade. This requires outreach to the fishing community, traders, and the general public. Recommendation for outreach include:

- Undertake responsible awareness and advocacy initiatives, including those by NGOs such as WWF, targeted to specific stakeholder groups, in particular fisheries associations, trade associations and consumers.
- Collaborate closely with the fisheries industry, including traders, to ensure that procedures to implement the CITES listing achieve conservation goals while not placing undue burdens on the fisheries industry.
- The workshop agreed to continue this dialogue on conservation and sustainable use of Humphead Wrasse, work together for the effective implementation of the CITES listing, give sincere efforts toward open and mutual information exchange, and engage the widest range of stakeholders possible to ensure good management of this species.
List of participating organisations on the Recommendations for Regional Cooperation

Guangzhou Branch Office of the Endangered Species Import and Export Management Office, China

Division of Aquatic Wild Fauna and Fauna, China Fishery Law Enforcement Command, Aquatic Wild Fauna and Flora Administrative Office, Ministry of Agriculture, China

Resources and Environment Administration Division, Guangdong Provincial Bureau of Ocean and Fisheries, China

Guangdong Sub-Administration General Administration of Customs, China Customs, China

Agriculture, Fisheries and Conservation Department, Hong Kong SAR, China

Fish Marketing Organization, Hong Kong SAR, China

Customs & Excise Department, Hong Kong SAR, China

Research Center of Oceanography, Indonesian Institute of Science, Indonesia

Oceanography Research Centre of Indonesia, National Institute of Science, Indonesia

Centre for Fish Quarantine, Ministry of Marine Affairs and Fisheries, Indonesia

Directorate General of Marine Coast, and Small Islands, Directorate Conservation and Marine National Park, Ministry of Marine Affairs and Fisheries, Indonesia

Fish Health & Quarantine Section, Department of Fisheries, Malaysia,

Licensing & Resources Management Division, Department of Fisheries, Malaysia,

Department of Fisheries, Sabah, Malaysia

National Fisheries Authority, Papua New Guinea

Department of Agriculture, Bureau of Fisheries and Aquatic Resources, Philippines

Research and Policy Division, Office of the President, Palawan Council for Sustainable Development, Philippines

Scientific Support Unit, CITES Secretariat

Fishery Resources Division, UN FAO

Hong Kong Chamber of Seafood Merchants Ltd, Hong Kong SAR, China

IUCN Species Survival Commission, Specialist Group for Groupers and Wrasses,

TRAFFIC Southeast Asia
TRAFFIC East Asia
WWF Indonesia
WWF Hong Kong
WWF Malaysia
WWF Philippines
5. Provisional Draft Meeting Notes

Rapporteurs: William Cheung, Craig Kirkpatrick, Yvonne Sadovy, Andy Cornish

June 5th

Implementation of CITES for Humphead wrasse

Indonesia Presentation

WWF: Why do the exporters of Humphead wrasse need to develop mariculture facilities in Indonesia?

Indonesia: A ministerial decree states the need to develop mariculture because fishers are allowed to catch Humphead wrasse between 1kg and 3kg only. Under-size fish (<1kg) can be put into grow-out facilities. Thus mariculture facilities are needed to do the grow-out: Humphead wrasse collectors’ activities do not appear to be monitored by authorities.

WWF: Is there any information on Humphead wrasse trade from Malaysia?

Malaysia: No

CITES: In 2005, the quota of 8000 fish of Humphead wrasse was not reached. Why not and is there a systematic monitoring on the size of capture?

Indonesia: CITES came into force in 2005. Before that, permits were controlled by the Fisheries Department. The Fisheries Department had several discussions on issuing permits but it was not until the second half of 2005 that the Department started to issue permits. Monitoring of size is undertaken by the District Fisheries Office and management authority in each province. The management authority issues domestic permits.

CITES: Do you have an estimate on the illegal trade of Humphead wrasse?

Indonesia: We don't have this information. The level of illegal trade is difficult to control. With cooperation from importing countries, we will further improve the information on illegal trade.

CITES: Do you have any information on the number of confiscations in 2004/5?

Indonesia: No information.

CITES: Regarding the export data from 2001-2005, what methods were used to collect the trade statistics? Do you have trade data on other aquatic products?
Indonesia: Data are collected by the Fisheries Department. Since the director of fisheries issues export recommendations of export, trade statistics are kept by this department, although these data may not reflect actual export. Exporters are required to provide trade information to the government; otherwise the government will not issue export permits. The government (Ministry of Fisheries) also keeps trade data on other aquatic products.

PNG: What is the lowest level that the government collects the trade data from? What types of data do you collect from fishermen? Is data submission voluntary?
Indonesia: The data are collected from the district. Collectors are supervised by the district fisheries offices and have to provide data.

Question: What are the types of data submitted to the department, e.g. no. of boats, gear, etc.?
Indonesia: Fishermen provide data to the collectors, then the collectors report to the fisheries service.

IUCN: If the fish is less than 1 kg, why doesn’t the government require fishers to release under-sized catches back to the sea?
Indonesia: Based on old legislation, fishermen are not required to release under-sized fish. However, in the near future, we maybe require the fishers to release under-sized fish and we may also revise the size limits.

IUCN: If small fishes can be caught, won’t this be bad for the sustainable use of the species since catching juveniles may not be sustainable.
Indonesia: Humphead wrasse <1kg is not allowed to be sold in the market, but have to put in the grow-out. Indonesia fish quarantine. If the size is <1 kg or >3kg, we will refuse to issue export permit but require the fish to be put in mariculture facility.

IUCN: Why is grow-out considered to be mariculture? What not just export the small fish?
Indonesia: That’s defined in the legislation, that’s the thing that needs to be revised.

IUCN: Do you know how the legislation will be revised regarding the definition of mariculture?
Indonesia: We may need to include grow-out as mariculture, but maybe the definition can better differentiate between grow-out and hatchery-based mariculture.
**Malaysia Presentation**

*Audience:* What is the size of export from grow-out in Sabah? How long is the Humphead wrasse kept in cages?

*Malaysia:* For the Humphead wrasse, the size of export is dependent on the market. For grouper, it takes about 1 year in the grow-out (800 g to 1kg market size).

*Audience:* Where did they catch the fish for grow-out?

*Malaysia:* From Malaysia and the Philippines.

*Question:* Are the fishes from grow-out or from hatchery?

*Malaysia:* For grouper, most are from hatchery, but for Humphead wrasse, almost all are from the wild.

*WWF:* In what part of the Philippines are the juveniles in grow-out caught?

*Malaysia:* Especially from the Sulu Sea

*TRAFFIC:* Since CITES implementation, has there been any difficulty in accessing the market because of lack of permit?

*Malaysia:* There has been no problem in exporting fish so far.

*Question:* Where are the export permits issued?

*Malaysia:* Sabah State Department of Fisheries.

*AFCD:* Is the permit a CITES permit? How does the permit system work?

*Malaysia:* The permit is not a CITES permit. Malaysia has a quota system, so every consignment has a permit.

*IUCN:* Has the fisheries department ever been concerned about the status of the Humphead wrasse? Does the quota system require an indication of export quantities to be noted? What is the department’s opinion on the status of Humphead wrasse?

*Malaysia:* The department did some studies on Humphead wrasse, but the Fisheries Department is not well advanced in conducting research. The Department uses the research conducted by NGOs such as WWF.

*WWF:* Is there much of a market within Malaysia for Humphead wrasse?
**Malaysia**: Yes. Domestic consumption is mainly in Sabah. Some Hong Kong people go to Sabah to eat the fish because it is much cheaper. So, local consumption is mainly by tourists, especially tourists from Hong Kong.

**AFCD**: As a general note, although it is still all right now for export of Humphead wrasse to Hong Kong without a CITES permit, the Hong Kong government has amended relevant legislation. New legislation will be implemented by the end of 2006. By then, AFCD will require an import license as well as a CITES permit from Malaysia for Malaysia to export Humphead wrasse. Without proper licenses, they could not export Humphead wrasse to Hong Kong (also applies to other exporting countries).

**TRAFFIC**: 30-60 tonnes of export, is it specifically for Humphead wrasse?

**Malaysia**: That’s specifically for Humphead wrasse but only estimated as a percentage of the total, not estimated at the species level.

**Philippines Presentation**

**Question**: Can you say anything about the cyanide detection test?

**Philippines**: The government focuses more on the coral trout, but less on other species and is sceptical on the accuracy of cyanide detection test.

**IUCN**: For clarification, for mariculture it was allowed to capture small animals to put in grow-out, but I don’t understand why it is permitted as there are mortalities associated with putting fish in grow-out. So what is the rationale behind allowing grow-out?

**Philippines**: That is the practice before. The law was responsible by the Department of Agriculture, and their aim is on food production. Within that context, they have a different interpretation of the law. So, they tend to tolerate this activity. With the new law and researches, capturing of small fishes for grow-out will be controlled. In the future, mariculture will only be based on fishes produced from hatcheries or from other countries, but now from local wild populations.

**IUCN**: That makes sense, as there are more fish left in the sea, the fishes are allowed to reproduce and replenish the wild population.

**Papua New Guinea (PNG) Presentation**

**Audience**: Can you give more details about observer programme and about the data collected?

**PNG**: For the observer programme, the licensed vessel takes the fishermen out to remote reefs. The fishers are given dinghy to fish, come back and sell the fish to the buyers, then the observers record the fish sold. The cost of the observer is included in
the licensing fee. Currently, observers are collecting length-weight data of Humphead wrasse. Such data helps us to review the management plan to comply with CITES requirement.

*WWF:* You mentioned that there is cyanide detection test system in PNG. Could you share your experience about this system?

*PNG:* Usually, catches of Humphead wrasse are quite low. But if catches of Humphead wrasse are found to dominate an export shipment, then we investigate why the catches are so high. One thing we do is to collect sample from the catch and test for cyanides’ the use of noxious substances to catch live fish is prohibited.

*TRAFFIC:* You mentioned that only some provinces have a management plan; what are the points of export for live reef fish and are there any designated ports of export?

*PNG:* We have designated ports and all the ports have customs and quarantine. The government require exporters to submit export requests to district offices and then the district offices will send out observers to see if they are qualify for exports. The department of the environment will also determine whether they are qualified for export.

*IUCN:* What method will you use to calculate the Total Allowable Catch?

*PNG:* Through analyzing catch trends and data from Underwater Visual Census (UVC). In September, 2006, we will do a stock assessment and the data will help us to set up a Total Allowance Catch. Hopefully, this workshop can give us insights into how to set a Total Allowance Catch.

*IUCN:* How would you use catch trend data to set a Total Allowance Catch given that the live fish fishery has just begun?

*PNG:* Agrees that it would be difficult to use the catch data to set a Total Allowance Catch currently, so is open to ideas about how to set a Total Allowance Catch, for e.g. what fisheries independent data they have to collect to set Total Allowance Catch?

**Mainland China Presentation**

*CITES:* What processes do people need to go through to import species listed on Appendix II and have there been any applications to import Humphead wrasse?

*Mainland China:* Firstly, we must obtain the relevant permits from exporting countries. After the applications, we will examine the applications. After approval at the provincial level, the application will be examined at the state level. If the state Office for Endangered Species is satisfied with the application, they will issue an import certificate to allow import into China. So far, no dealers have applied for a permit to trade
Humphead wrasse. Since the listing is new, there may be loop-holes that allow fish to come in without permits.

**WWF**: Where are the ports of import of live reef fish in China?

**Mainland China**: China doesn’t have any specific ports for importing, so any port can allow imports.

**IUCN**: A number of photos that I showed today and will be showing tomorrow were taken from Guangzhou over the past 12 months. We know that there are a lot of Humphead wrasse that are re-exported into China from Hong Kong. Are there any regulations or monitoring of imports of Humphead wrasse in Guangzhou as they are very easy to see in the markets? If I go to market and see a Humphead wrasse, is there any hotline that I can report that?

**Mainland China**: PRC does not do systematic market surveying; more focus is put on monitoring and regulating capture fisheries. There is a fishery management team to monitor any illegal activities. Every year, they have conduct operations to investigate for illegal activities. They will carry out operations based on complaints. Permits are needed for fishing in Guangzhou. Chinese fishing fleets usually fish in Spratly and Paracels, but the amount of fishing is low.

**Hong Kong (=AFCD) Presentation**

**WWF**: By the end of this year, you will implement the new ordinance. Once implemented, will importers need an export license?

**Hong Kong**: Not only an export license, but also an import permit. They can apply for an import permit with AFCD. CITES requirements also need to be fulfilled for trades between Hong Kong, PRC or Macau.

**WWF**: Is there any procedure to notify other management authorities that AFCD would require permits after a certain date?

**Hong Kong**: Many exporting countries are implementing CITES controls. Currently, there are no requirements to have import permits. I would be interested to see a copy of export permits from other countries, e.g. from Indonesia.

**CITES**: The exporters might learn the permitting process the hard way. This workshop is a good place to share information and to build communication networks between countries.

**TRAFFIC**: One of the concerns of traders is with immediate re-export. What proportion of trade into Hong Kong is immediately re-exported to China/other countries?
Hong Kong: It depends on the traders. When we visited importers sometime ago, 60-70% of Humphead wrasse was reported as re-exported to mainland China.

CITES: In 2004-05 there was a big change in imports of Humphead wrasse? Any particular reason?
Hong Kong: The trade data usually have gaps but I don’t think there is any meaningful trend in this time period; accuracy is not high.

IUCN: For the voluntary trade data, is there any indication on accuracy?
Hong Kong: It is quite difficult to comment on the accuracy of the data since it is a voluntary system. The trade data are collected from the census and statistic department and from traders through a voluntary system. When the CITES law is implemented, data should be more accurate. We estimate that about 20 traders will import Humphead wrasse into Hong Kong. We currently ask 12 traders to obtain data. These data are for statistical purposes, and should be acceptable in accuracy.

Indonesia: Is there any collaboration of research activities of Humphead wrasse between Hong Kong and exporting countries?
Hong Kong: In the government, we do not have any collaboration yet. But we are very interested in developing collaborations.

Indonesia: In your new legislation, do you require permit information from the exporting country for applications for import?
Hong Kong: We need to obtain a copy of the CITES export permit before we can issue the import permit. Original copies of import permits and a photocopy of the export permit are required to import Humphead wrasse. When we look at the copy of the export permit, if we do not have any doubts or concerns, then we don’t ask for confirmation. Otherwise, we may ask for confirmation of the export permit from the exporting country.

WWF Indonesia: What kind of monitoring system is in place for live reef fish imports?
Hong Kong: First, data are from declarations of imports, as required by law. Second, data are from voluntary declarations from fishing vessels. You will have a chance to visit a live fish wholesale market tomorrow so you will be able to see how fishes enter the market from fishing boats. At the moment, the trade of the Humphead wrasse is not controlled.

Market and Trade trend of Humphead Wrasse
The Chamber did not give a Powerpoint with their presentation: the talk is summarized.

In the past, fishing boats were small and fished in the South China Sea. However, as the demand for fish increased, fishers used bigger boats to import fishes from other regions. Some fishermen use cyanide to catch fishes because of increasing demand. The Seafood Chamber has been working hard to promote good fishing practices.

Of all species in trade, the Humphead wrasse is declining. I don’t know why the figures presented by the government show an increasing trend; it should be the opposite. The importance of Humphead wrasse in Hong Kong is small. Thus the listing of Humphead wrasse on Appendix II of CITES has little impact on our business. We therefore support the listing. As long as the licensing procedures are streamlined locally and between countries, I believe that most traders will support the listing.

Because the amount of wild-caught fish in the live fish trade is declining, the number of fish from mariculture is increasing. For instance, giant grouper, tiger grouper, highfin grouper often come from mariculture. So far, Humphead wrasse has not been successfully reared in mariculture. Recently, most countries in the Southeast Asia are producing fish from aquaculture. We estimate that the percentage of fish from wild capture is less than 20% in recent years [EDITOR NOTE: it was not clear which species was being referred to]. I believe that in the future, most imported fish should be from mariculture.

Indonesia: Do you know anything about imports from Indonesia? What is the proportion of imports that is covered by CITES?

Chamber: Since CITES has not been implemented in Hong Kong, we don’t have any statistics on this.

TRAFFIC: I am interested to know from the perspective of the Chamber, how important is the Humphead wrasse for the consumer? If Humphead wrasse is too difficult to obtain, can it or will it be replaced by other species?

Chamber: In our opinion, people in Hong Kong consider Humphead wrasse to be a luxury product. It is a delicious species, and is rare. The richer people are, the higher the demand, no matter how expensive it is.

Mainland China: You suggested that 70% of Humphead wrasse are re-exported to China from Hong Kong. However, if imports of Humphead wrasse cannot meet local Hong Kong demand, why does Hong Kong re-export so much into Mainland China? Surely the price of Humphead wrasse in Hong Kong market should be more expensive in Hong Kong than in Mainland China.
Chamber: Because of the recent economic boom in China there is high demand and so much of the Humphead wrasse is re-exported to China. The price in China is higher than in Hong Kong because of the high demand from the large population.

WWF: Could you provide additional information on big vessels that go to Southeast Asian countries? What are the arrangements with these countries, e.g. Malaysia, Indonesia and PNG?

Chamber: Basically, fishing vessels from Hong Kong/CHINA cannot fish in other countries. They only transport or buy fish from other countries.

IUCN: I understand that one of the problems with implementing CITES in Hong Kong is difficulties in inspection of boats importing fish. I wonder whether the Chamber would cooperate with AFCD in the monitoring of sea imports.

Chamber: We have had many meetings with AFCD and we hope that AFCD will simplify the process of issuing import permits. If businesses inform AFCD 5-6 days before their boats arrive in Hong Kong, they would be able to get a permit immediately when their boats arrive. Delays may cause fish mortalities.

CITES: Do you visit exporters in PNG/Indonesia/other countries? Or how do you do the trade?

Chamber: We do our trade through agents who visit 5-6 sites to acquire fish for export/import.

Plenary discussion

On cooperation

TRAFFIC: A consistent message is the need to cooperate between countries to harmonize the processes regarding compliance with CITES requirements. Some countries express interest in working with other countries/organizations to help formulate policies. I wonder whether there is a general interest in developing international cooperation. Is it something that would be useful to solve some of these international issues?

Indonesia: Cooperation would be very nice, but sometimes it is only on paper. In Indonesia, for fishes listed on CITES, the authorities that issue permits and those that are responsible for management are responsible in different departments. Sometimes there are misunderstandings between departments, so cooperation between different departments or between other countries with a similar situation is can be useful. One example of such cooperation is in respect of quarantine.
We are in the process of developing cooperation. Within some countries, the cooperation must be between fisheries and forestry departments. Internationally, Indonesia is a member of ASEAN, and its wildlife enforcement network (ASEAN-WEN) is a promising network for dealing with illegal trade of wildlife listed under CITES. These two initiatives should help enhance CITES implementation in the region. ASEAN+3 networks with other countries such as China and Japan and Korea, and this could enhance the enforcement of wildlife trade.

**WWF**: I think that Indonesia, Philippines, Malaysia, has a tri-national committee. Its sub-committee on fisheries has a target on sustainable fisheries, one focus of which is on the live reef fish trade. Malaysia has 2 types of legislation (federal and provincial). Federal legislations apply to all states except Sabah. Thus we need some harmonization between Sabah and other States.

**On Mariculture**

**WWF**: The technology for the development of aquaculture still in a very early stage of development. It is time to institutionalize the development of aquaculture of Humphead wrasse.

**Indonesia**: Indonesia is aware of the culture of fish caught from the wild (grow-out). We have had spawning success in hatcheries in the last couple of years.

**IUCN**: The mariculture of Humphead wrasse will take a while to develop commercially and for the short term, all Humphead wrasse will be coming from the wild. Mariculture development needs financial and technical support. Taiwan has been successful in mariculture because the government put money into aquaculture development. For Humphead wrasse mariculture development would also need active financial support.

In observations I have made around Southeast Asia, it seems that when Humphead wrasse are first exploited, there is very little grow-out but as the number of fishes decline with fishing pressure, grow-out develops because people can only catch small fish and no longer find enough market-sized fish. Thus the development of grow-out tends to be associated with stock declines. Also, as you lose larger fish, it becomes more difficult to find brood stock to develop aquaculture.

**PNG**: In PNG, culturing of Humphead wrasse still has a long way to go. Culturing of fish is not the tradition of our communities. With the current CITES requirement, the way forward is to renew the management plan and come up with measures that are site-specific for the management of Humphead wrasse fisheries.
WWF: Aquaculture is not the answer to everything as it is not something that is within reach right now. Can the scientific committee help to develop management plans to guide management of Humphead wrasse? This could help to solve short-term management needs before aquaculture technology is well-developed.

On generic approaches to management

Malaysia: In terms of grow-out, we need guidelines to stop grow-out of all species, not just for Humphead wrasse. This could possibly be encouraged through an FAO regional management committee.

PNG: A policy framework is a good way forward. I am looking for some generic guidelines that can assist CITES management authorities to ensure responsible exploitation of this species. For instance, what level of exploitation is acceptable for issuing a CITES export permit?

IUCN: The need for information (e.g. biological knowledge to enable a Total Allowance Catch to be established) is of key importance. There are a number of projects being developed to fill this information gap. Reports from these projects will be made available. I would like to request that if there are countries/authorities that need scientific information to please notify the organizers.

It is famously difficult to manage coral reef fisheries. Generic management approaches would be very useful. For instance, protection of spawning aggregations, protection of juvenile fishes, etc., are good generic approaches. These are tactics that are easily understood and don’t need a lot of supporting scientific information.

Concluding comments

• Exporting countries acknowledge that Humphead wrasse, as a species in the live reef fish trade, need to have special management approaches to enable traders to comply with the CITES Appendix II listing for the species. On the other hand, importing countries do not see the need to develop special approaches.

• We could start by developing generic approaches to management before more detailed information becomes available.

• There is a need to harmonize fisheries management with CITES Appendix II listings. This is not only in Asia, but in other regions. There is also a need for cooperation between fisheries departments and departments that deal with
CITES within and between countries. This could involve developing networks to enhance national discussion to implement CITES and foster exchange of expertise between countries.

- From the CITES perspective, on the issue of Humphead wrasse, Hong Kong is not yet requiring import permits while Malaysia has not been issuing export permits. From the presentations and discussions at this workshop, we know better what issues need to tackle, and needs to be enforced.

- There is a need for international trade data. CITES requires detail import and export data, to improve the understanding on illegal imports and exports.

- How will importing countries deal with the problem of confiscated fish?

- What happens in other importing/or trans-shipment markets such as Singapore? How does Singapore comply with CITES?

- From the trader perspective in Hong Kong, it is good that Hong Kong has trade organization so that communication between government and traders is easier. There is generally broad support for the listing Humphead wrasse in Hong Kong, possibly because of the low volume of Humphead wrasse in trade. It is also good that the Hong Kong government talks with the traders while legislation is being developed: this approach should be encouraged.

- Traders see that the demand for fish is growing and the supply of seafood has to catch up with this demand. Originally supplies came from the South China Sea region but now fishing vessels are larger and travel further than before to get enough fish to satisfy demand.
June 6th

Fisheries of Humphead wrasse and Non-detriment Finding

Mainland China presentation (no Powerpoint)

• “Stage 1” in Humphead management started before the CITES listing. Fisheries had a moratorium system since 1995 which has been successful in conservation and sustainable use, and protected areas were set up to protect for Humphead wrasse habitat.

• “Stage 2” in Humphead management came after CITES listing when the species was listed as key protected species (under CITES). In addition, the China CITES Management Authority pursued regional management and coordinated with various agencies for joint enforcement mechanisms (within China).

• Though there are some successes, there remain difficulties because (a) the authorities have not yet reviewed the distribution of Humphead (coral reefs) in China, (b) it is difficult to look for/monitor Humphead wrasse in markets, (c) it is difficult to identify the species, (d) There is a difficulty in identification of specimens.

• Major cites for trade in the Humphead wrasse are Hong Kong, Guangzhou, Hanzhou, Beijing, Dalian. The prices for this species between 2000-2004 were stable, at 600-1000CYN/kg.

• There is hope that different agencies can cooperate for better protection of Humphead wrasse.

IUCN: species identification shouldn’t be a problem after initial training – the colour phases are distinct. There is an identification chart provided for everybody at this meeting.

Audience: Your presentation mentions that sales declined after inspections were conducted. How much was the decline?

Mainland China: There are no reports of illegal trading in Humphead wrasse.

Indonesia presentation

Malaysia: Your presentation mentioned 20 exporters prior to listing, and 10 afterwards. What happened to the remaining 10?
Indonesia: The other traders didn’t meet the criteria for export.

FAO: What proportion of fish comes from grow out?
Indonesia: This is unknown.

CITES: Why was the quota set at 8000 animals and how was this determined?
Indonesia: Although no biological studies are available on this species, after the CITES listing a quota was needed. Therefore, we worked with traders for information that we could use to develop a quota. Prior to the CITES listing, the quota was about 10 times this amount. About 30-40,000 animals per year were exported. After the listing, the precautionary principle was used to set the limit, though arbitrary, at only about 20% of the previous export.

PNG: Why are quotas based on numbers? Can quotas be set in weights?
Indonesia: CITES generally asks for numbers, though weights can also be used.

Mainland China: What about a quota for the actual catch of wrasse, rather than just the exports?
Indonesia: The quota for export is the same as for catch “export” quota and “catch” quota are the same. The quotas are given to actual fishers, which limits the catch of that fisher. In any case, domestic trade is negligible in Indonesia.

Mainland China: After listing of Humphead, has Indonesia issued any export permits to China?
Indonesia: Yes, the Management Authority has done this.

IUCN: Is the 8000 a preliminary estimate, to be revised at a later date? Also, why use trader information in the first place, when this doesn’t really tell us about populations?
Indonesia: Yes, it is a preliminary estimate and it is the only information we had available. We didn’t have biological numbers, so used trader information.

IUCN: Numbers are better than weight for quotas of this species, because it limits the numbers of fish exported – this is important if many small fish are exported.

CITES: A cautious quota allows you to begin monitoring and puts a cap on trade. It is good to approach quotas gradually. Indonesia is not obliged to set export quotas – this
is a voluntary step, and a welcome one. What seasons are the most important for spawning and possible fisheries moratorium for this species?

*Indonesia:* Yes, spawning season would be a good time to protect the species, and during which to establish a moratorium.

**Malaysia presentation**

*Malaysia:* Protected areas are vital for protection of spawning aggregations, which are vital for the sustainable use of Humphead wrasse.

*IUCN:* Protection of spawning sites is important, because you sometimes don't know the season of spawning.

*TRAFFIC:* In the cases of “*de facto* protected areas,” these haven’t really worked to protect Humphead wrasse. Can community involvement help; can this prevent incursions by illegal fishers?

*Malaysia:* We are working with some stakeholders on this, working via marine parks.

*Philippines:* We are doing similar surveys.

**Philippines presentation (no PowerPoint)**

- There are no Humphead wrasse fisheries allowed in the Philippines (i.e., it is illegal to take this species from the wild). However, cultured Humphead wrasse can be exported.
- Currently amending CITES law covers not just Humphead wrasse, but also other species such as seahorses, and corals. The amendment should occur in this year.
- There is a need for a resource assessment to set a baseline. Also, a need to distinguish wild from cultured fish (to prevent switching).
- Would like to see more detailed customs codes to better follow trade in Sea horses, Humphead wrasse, etc.
- A major issue is food security for Philippines, and sustainability is one criterion for this.
- In the Philippines, the management authority up to 15 km out from the land has been devolved to the municipalities.
- The fisheries department is mainly for technical support.
- Support of the local governments is needed to make management happen.
CITES: Do you think that the Arowana (a freshwater fish on CITES Appendix I) provides a model for management of a cultured fish. The only trade that now occurs is from captive facilities authorized by the CITES Secretariat and which use the microchip to identify hatchery produced fish.

Philippines: Yes, a microchip may be a good idea. The Philippines has experience using microchips for Arowana.

IUCN on Mariculture Presentation

WWF: What is size range for mariculture and what is the recommended size for capture, if going to do grow-out?

IUCN: Once a fish has landed (i.e. recruited out of the plankton) on the reef, and established on the reef, the high mortality phase has passed. Such individuals are potential adults, even if less than 500 gr. So grow-out of captive should simply be considered as the same as fishing mortality. In other words these fish are part of the general fishery.

Audience: When is the breeding season of the Humphead wrasse, and is a “closed season” functional?

IUCN: A couple studies have been done and the species seems to reproduce in a number of months each year with an extended reproductive season. Site protection is probably more important than seasonal protection for such a species, because breeding/spawning is best defined by site, rather than time. In other words the breeding site appears to be consistent and the spawning occurs over many months.

TRAFFIC: Getting the “grow out” versus “mariculture” definitions out to the fishing industry is really hard. Any idea of a simple way to do this?

IUCN: A plea to FAO; is it possible to change the definition and distinguish mariculture based on hatchery production from culture that involves grow-out of wild-caught fish?

WWF: What is the size of sites for spawning aggregations – e.g., the areas of the needed protected areas?

IUCN: There is site fidelity with fish returning to the same sites repeatedly. The sites may not be very big although we don’t know exactly the sizes.

Non-Detriment Findings in Indonesia: IUCN Presentation

Summarised underwater visual census method for Humphead wrasse abundance. The abundance data are then turned to stock assessments using standard fisheries stock assessment models such as yield per recruit.
**FAO:** how many studies are needed to get an estimate of the variance in fishing areas (of high, medium & low fishing pressure)? Right now there is an “n” of four, with high variance.

**IUCN:** We only have funding for six studies. Certainly will need to look at this issue of variability.

**Audience:** How transferable is this method? Can it be used on other species as well at the same time (i.e. counting other species at the same time that Humphead wrasse are being counted)?

**IUCN:** Possibly. Not yet ready to say. We have found that it is necessary to focus on the species of interest (such as Humphead wrasse), to ensure that you see all the fish present so experience has shown that it is difficult to combine, say Humphead wrasse investigation with shark or ray counts, because you have to look very carefully.

**Audience:** What are criteria for categorization of fishing intensity (high, medium and low, and can these be standardized for use in various countries? How do the criteria relate to a sustainable management plan?

**IUCN:** This was done subjectively, based on expert opinion, and not in a rigorous way. The categorizations are essential to a sustainable management plan, however, because of the variance in fish density according to fishing intensity. Therefore, the habitat within a country needs to be divided into proportions that are under high, medium and low fishing intensity. Then, we can calculate total fish numbers by multiplying total reef area with fish densities weighted by fishing intensity. A standardized approach would help us to apply fishing intensity categories across countries.

**Non-Detriment Finding modelling: FAO Presentation**

**TRAFFIC:** It is best to start with what we have now, and move ahead and modify as we get more information. We need to develop a package of management measures that we can recommend to people, Total Allowance Catch, size limits, protected areas, etc. How can we make practical guidelines for management, even with uncertainty?

**FAO:** Two elements should be considered regarding the wider application of this approach, (1) fraction of the population that can be taken annually; that fraction is usually relatively the same across landscapes; and (2) the challenge in estimating abundance, with Yvonne’s (IUCN) method as a good start, the open question is how transferable the density estimates are across populations? We have some estimates of density, but don’t know how variable these are across space (e.g., in various places of high fishing, or low fishing, etc).

**Plenary discussion**
• **IUCN:** We would suggest continuing to work with the NDF model; would like to include people who work on stock assessments within Indonesia, Malaysia; people who could help, for example, define the categories for fishing pressure. The more consensus and discussion we have on this the better. Perhaps this should be developed into a “plug and play” model or “package” – so rather than have everyone go through all the steps to develop the model, different countries could try these models out with only patchy information that they have available, or can collect, and be able to use this information to enter into the generic programme developed for this species.

• **IUCN:** FAO is developing a system for Excel, where users can type in their parameters, in pre-set forms.

• **WWF:** We need something now that is very simple. An NDF model that can pave the way for defining what illegal trade/fishing is. Can this be combined with the IUCN / Red List (criteria)? The process may need to economize on the “science,” by being less of a scientific process, even though some level of science is important. We (WWF Malaysia) will continue to collaborate with the Department of Fisheries to provide scientific information. The IUCN method, though only an initial start, is a good start & should continue.

**IUCN:** The NDF model may seem daunting because it seems so data-hungry, but these data inputs can be collected fairly simply. They just need to be localized in a simple way, retaining the scientific rigor, so long as the protocol is properly designed and clear to everybody. Also, there are alternative ways for developing NDFs that do not rely on quotas, but all must address sustainable trade in some way.

**Indonesia:** The NDF should be based on stock assessments and management measures. Is it possible for IUCN, TRAFFIC, the CITES Secretariat, to provide guidelines that state how to manage the resource, e.g., a decision tree or best-practice guide?

**Audience:** What are the current needs for mariculture research, where is funding to conduct the research?

**IUCN:** One issue for consideration is the development of small feed for young maricultured individuals (the current feed being too big for their mouths). This will require time/effort. Maybe the private sector should invest? Taiwan invested in groupers culture with success.
**CITES**: The initial NDF work by IUCN was funded by the CITES Secretariat. We should sit together in the coming days, to see how this work can be applied in the range states here today. Also, we can define the resources needed to make this happen. As for mariculture, it is more likely that a group like World Bank would fund this work, with semi-private partnerships.

**FAO**: The idea of “guidelines” is a positive idea, and not just specifically for NDF, to help management of live reef fish. It is a good area for collaboration between FAO, IUCN, and the CITES Secretariat. A few models could possibly be used to help us progress by using the lessons learned, such as queen conch (?).

**Philippines**: It is OK to focus on supply countries. But we should also think about the economics of the demand if we are to really figure out sustainability of the trade.

**IUCN**: This is important, but no one is known to be looking at the economics of the trade. The message over the last couple days, however, is that the demand is high; if something desirable is on the market, it will command a high price. The bottom line should be whether the trade is sustainable from a biological standpoint – the economic analysis won’t really get at the issue of biological sustainability.

**WWF**: There has been no decline in demand for the species as long as we have been looking at this. The economic pressure will continue. We need to find the biological limits, rather than look at economic models.

**Audience**: We need to look not only at biological limits, but also the social and economic costs at the local level. Sustainable harvest is about engaging local people involved in the trade. It’s not so much the economics of the demand side, but the economics of the production side.
June 7th

Regional conservation work on Humphead wrasse and International Cooperation

Regional conservation work on Humphead wrasse Presentation

CITES: Has any work been done by NGOs to spread Humphead wrasse educational materials such as the WWF posters from Hong Kong into China, given that China is such a big market?

WWF: WWF Hong Kong will release a sustainable seafood guide at the end of 2006 in Hong Kong and South China (Guangdong). This guide will include the Humphead wrasse. We do not plan to release any Humphead wrasse-specific awareness materials in China.

IUCN: IUCN have translated their Humphead wrasse English language poster into Chinese especially for this meeting, amongst other things; this has some basic information, such as on biology, fisheries and trade which should be of useful. Copies are available outside.

WWF: The Sulu-Sulawesi Marine Ecoregion is within the “coral triangle”, this work will be expanded, with regard to live reef food fish trade as a source for Humphead wrasse, e.g. into the Bismarck-Solomon Seas Ecoregion

Malaysia: Trans-shipment at sea is a particular issue, particularly for foreign vessels when the mother ship stays in international waters but sends smaller vessels into national waters to remote reefs. We would like better cooperation, perhaps with NGOs, to see how this problem can be addressed.

Indonesia: We are interested in adaptive management, particularly how information from Indonesia can be fed into the NDF model.

TRAFFIC: There is a draft document that Indonesia should have a copy of that will feed into the Animals Committee (www.cites.org/common/com/AC/22/EFS-AC22-Inf05.pdf). During the Indonesia Humphead wrasse workshop there were provincial government officials present to comment on how to implement the listing. IUCN and FAO are where the information should be fed through to continue developing the NDF approach.

IUCN: The preliminary NDF model is based on 4 of the 6 underwater surveys that will be done in total. We are now discussing with FAO how the model will be developed, based on the underwater surveys, and with extra information on how grow-out is conducted, then we will see how the information can be developed into an NDF model.
The current timeframe is to finish collection of data by mid Oct and have the model ready by November when it can be made available to Indonesia before the 2007 quota is developed.

**FAO:** These sorts of model are adaptive in that they can reveal where the biggest gaps are, probably abundance data at the moment. This would hopefully trigger new research which can then be fed back into the model and improved.

**CITES:** The situation is similar to that for the queen conch, where quite a detailed model was developed, and then a 3-4 day workshop was held in the Caribbean for managers to input on how to make it more user-friendly. I wanted to thank the 3 NGOs for the work that has been done on the Humphead wrasse so far.

**Audience:** What is the work that has been done with fishing communities?

**WWF:** The Department of Fisheries (DoF) in Sabah, WWF and SCRFA have done a survey of live reef food fish trade. Also, the Network for Aquaculture Centre for Asia and Pacific (NACA) together with DoF, Sabah had a workshop in 1996 on coral reef fisheries and aquaculture of coral reef fishes. We are conducting a public awareness campaign, and collecting socio-economic surveys and natural resources usage of coastal resources in Tun Mustapha Park, Kudat, as well as promoting alternative livelihoods in Tun Sakaran Park, Semporna.

**IUCN:** The community side of the Humphead wrasse listing is not a focus of this workshop but clearly needs to be covered at some stage. However, if there are no fish, then communities that capture the species lose out completely so the management must be put in place as soon as possible.

**WWF:** Three years ago we did a live reef food fish Trade study looked into resource, economic and social sustainability in 1 village in Palawan, Philippines

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**International Cooperation on Implementation of CITES Presentation**

Hong Kong AFCD and the CITES Secretariat gave presentations on international cooperation on the implementation of CITES.

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**Plenary discussion**

**Indonesia:** Even though, currently, the Hong Kong government has not implemented the CITES listing for Humphead wrasse, can the Hong Kong government enforce it when it
does? We don't have the jurisdiction yet to do so yet, but will have by the end of the year.

*CITES*: Belgium has confiscated several species, ivory, and crocodile skins and held public auctions to sell them off; all are CITES Appendix II species. Money was used for conservation work in Argentina which probably is where the crocodile skins came from. It is an interesting approach.

*TRAFFIC*: Would it be useful to use the freshwater turtle example from Malaysia (the example referred to was a cooperation between Malaysia and Hong Kong on permit information) and make it into a more general case study of how to improve cooperation?

*Hong Kong*: Not sure about how applicable this is to Humphead wrasse. The system was basically very simple, but if it was to occur, with verification by email, it would have to be quick as the animals are live; the traders will put pressure as they want to sell quickly.

*Malaysia*: If Hong Kong starts to require an import permit by law, Malaysia needs to know about it in advance so that it can let those in the industry know so that shipments don't get turned away from Hong Kong in the early days.

*Indonesia*: Listing of a species onto Appendices enters into force within 90 days. Will the new regulation in Hong Kong mean that species coming onto CITES Appendices now come under Hong Kong regulations within 90 days?

*Hong Kong*: The new regulation means that the decision will be made by a lower level in the government, rather than the Legislative Council, and so will certainly be quicker; probably around 90 days.

*Indonesia*: How can the Hong Kong government control Humphead wrasse exports at present without having implemented CITES?

*Hong Kong*: We issue a re-export certificate at present, not legally required but this enables customs clearance.

*IUCN*: Would additional exchange of information be useful for mainland Chinese authorities in their implementation of CITES?

*Mainland China*: Yes it is possible for China to share information with other CITES MAs on the issuing of permits.
**WWF:** We would like to suggest that Hong Kong lets the Indonesia MA know which companies are exporting from Indonesia.

**Hong Kong:** We have already discussed with Indonesia MA about receiving that information from their end too.

**WWF:** We noticed from the Queen conch example that the moratorium also seemed to apply to fisheries for internal markets, whereas CITES only governs international trade. Can CITES explain this?

**CITES:** Yes, there have been recommendations in a few examples, e.g. queen conch, where CITES can go beyond just controlling international trade.

**Indonesia:** After 1 year of Humphead wrasse on Appendix II, only a few countries are implementing the listing; is there a way of dealing with this?

**CITES:** Yes of course, there is an article whereby problems can be publicized to the Parties. That would be brought to the Standing Committee (this year in October), of which there are 3 countries in Asia (including Malaysia and China) that will have representatives present.

**TRAFFIC:** If something could come out of this meeting, could it be taken forward to the next CITES Animals Committee meeting? CITES Resolution Conf. 12.2 states how to put forward a proposal for funding (see www.cites.org/eng/res/12/12-02.shtml), for projects which may normally range between US$ 50,000 and 500,000. Some of the Parties act as major donors; funding has been lost previously because not enough money was asked for. This current workshop is valuable because of the mixture and expertise of attendees, and timing is not too long after implementation of the CITES listing. An information document on this meeting submitted to the Animals Committee would be useful in raising the profile of this listing, but of course this is up to the attendees.

**IUCN:** CITES is about carrots and sticks; incentives to comply and penalties for not doing so. The work already in place has started the process of identifying information needs and shortcomings and of possible funding opportunities. There is already the obvious tri-partite agreement in the Sulu-Sulawesi Marine Ecoregion that could lend itself to getting joint funding. Sustainable trade means a continuing source of income for communities, traders and governments – a win-win situation.

**Summary of the Plenary discussion**

Key issues thus far are:

- All the issues relating to implementation: enforcement, collecting data, dealing with confiscated specimens
- Communication and co-operation
- Need to harmonize fisheries management and CITES
- Need for generic guidelines, including management of a live reef fish species, and developing NDF. There is the expertise to do this

Successful rearing of Humphead wrasse – can we this be made to happen?
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<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
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<tr>
<td>AFCD</td>
<td>Agriculture, Fisheries and Conservation Department, Hong Kong Special Administrative Region Government</td>
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<tr>
<td>ASEAN</td>
<td>Association of Southeast Asian Nations</td>
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<tr>
<td>ASEAN+3</td>
<td>Association of Southeast Asian Nations +3 countries (China, Japan and Republic of Korea)</td>
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<tr>
<td>Chamber</td>
<td>The Hong Kong Chamber of Seafood Merchants Ltd</td>
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<td>CITES</td>
<td>Convention on International Trade in Endangered Species of Wild Flora and Fauna</td>
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<td>FAO</td>
<td>United Nation Food and Agriculture Organisation</td>
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<td>Non-detriment finding</td>
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<td>Underwater visual census</td>
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<td>WWF</td>
<td>World Wide Fund for Nature</td>
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6. Participant contact list

Government representative:

**China**
Yu Guanfeng (Mr)  
Deputy Director  
Guangzhou Branch Office of the Endanger Species Import and Export Management Office of the People’s Republic of China  
343 Zhongshan, 7th Road Guangzhou, China.  
Tel: +8620 818 6030  
Fax: +8620 81721147  
Email: ygf163168@tom.com

He Jianxiang (Mr)  
Deputy Director  
China Fishery Law Enforcement Command Aquatic Wild Fauna and Flora Administrative Office, Ministry of Agriculture, People’s Republic of China  
No. 11 Nongzhanguannanli, Chaoyang District Beijing, China, Post code: 100026  
Tel: +8610 64193100  
Fax: +8610 6493273  
Email: fisheryccf@agri.gov.cn

Li Zhiquan (Mr)  
President  
Guangdong Provincial Bureau of Ocean and Fisheries, Resources and Environment Administration Division  
10 Nan Cun Road, Guangzhou, China  
Tel: +8620 28377265  
Fax: +8620 84230056  
Email: LZQYX1@126.com

Wei Pinying (Mr)  
Director  
Guangdong Provincial Bureau of Ocean and Fisheries, Resources and Environment Administration Division  
10 Nan Cun Road, Guangzhou, China, Post code: 510130  
Tel: +8620 28377363/8620 84420381  
Fax: +8620 84230056

Ge Lei (Mr)  
Customs Supervisor Second Class  
Assistant-Consultant of Policy & Statute Division  
GuangDong Sub-Administration General Administration of Custom of People’s Republic of China  
53 Shamian Dajie, Guangzhou, China, Post code: 510130.  
Tel: +8620 81108416  
Fax: +8620 81215599  
Email: gelei@customs.gov.cn
Hong Kong SAR, China
Frank Sin Pang Lau (Mr)
Deputy Director
Agriculture, Fishing and Conservation Department
5/F Cheung Sha Wan Government Offices,
303 Cheung Sha Wan Road,
Kowloon, Hong Kong
Tel: +852 21506601
Fax: +852 23113731
Email: splau@afcd.gov.hk

Chik Chuen Lay (Mr)
Assistant Director (Conservation)
Agriculture, Fishing and Conservation Department
Room 714, Cheung Sha Wan Government Offices, 303 Cheung Sha Wan Road,
Kowloon, Hong Kong
Tel: +852 21506605
Fax: +852 21997014
Email: cc_lay@afcd.gov.hk

Chi Sun Cheung (Mr)
Senior Endangered Species Protection Officer
Agriculture, Fishing and Conservation Department
Cheung Sha Wan Government Offices,
303 Cheung Sha Wan Road,
Kowloon, Hong Kong
Tel: +852 21506980
Fax: +852 23142802
Email: cs_cheung@afcd.gov.hk

Boris Kwan (Mr)
Endangered Species Protection Officer
Agriculture, Fishing and Conservation Department
6 Floor, Cheung Sha Wan Government Offices,
303 Cheung Sha Wan Road,
Kowloon, Hong Kong
Tel: +852 21506982
Fax: +852 23774413
Email: boris_sp_kwan@afcd.gov.hk

Pauline Tong (Ms)
Endangered Species Protection Officer
Agriculture, Fishing and Conservation Department
6 Floor, Cheung Sha Wan Government Offices,
303 Cheung Sha Wan Road,
Kowloon, Hong Kong
Tel: +852 21506982
Fax: +852 23774413
Email: ptong@afcd.gov.hk

Yu Nam Chan (Ms)
Endangered Species Protection Officer
Agriculture, Fishing and Conservation Department
6 Floor, Cheung Sha Wan Government Offices,
303 Cheung Sha Wan Road,
Kowloon, Hong Kong
Tel: +852 21506978
Fax: +852 23774413
Email: yn_chan@afcd.gov.hk
Louise Wai hung Li (Ms)
Fisheries Officer (Fisheries Marketing)
Agriculture, Fishing and Conservation Department
8 Floor, Cheung Sha Wan Government Offices,
303 Cheung Sha Wan Road,
Kowloon, Hong Kong.
Tel: +852 21507104
Fax: +852 23142866
Email: louise_wh_li@afcd.gov.hk

Rock Kwok (Mr)
Fisheries Officer
Agriculture, Fishing and Conservation Department
Aberdeen Fisheries Offices,
100A Shek Pai Wan Road,
Aberdeen, Hong Kong
Tel: +852 28738341
Fax: +852 28140018
Email: fopm@afcd.gov.hk

Simon Chung (Mr)
Assistant Manager
Fish Market Organisation
Aberdeen Wholesale Fish Market,
102, Shek Pai Wan Road,
Aberdeen, Hong Kong
Tel: +852 25550508
Fax: +852 25550500
Email: am_hq@fmo.org.hk

Cania Tang (Ms)
Intelligence Analyst
Intelligence Processing Division
Customs & Excise Department
Intelligence Bureau
Rm 1001, 10 Floor,
Rumsey Street Carpark Building,
2 Rumsey Street,
Central, Hong Kong
Tel: +852 28531448
Fax: +852 25413642
Email: cania_sk_tang@customs.gov.hk

Indonesia
Sasanti R. Suharti (Ms)
Indonesian Institute of Science
Research Center of Oceanography
Jl. Pasir Putih 1, Ancol Timur,
Jakarta 14430,
Indonesia
Tel: +6221 64713850
Fax: +6221 64711948
Email: santi_rs02@yahoo.com

Hardjono (Mr)
Director
Ministry of Marine Affairs and Fisheries Centre for Fish Quarantine
Jl. Raya Setu No. 01 Cilangkap
Jakarta Timur 13880,
Indonesia
Tel: +6221 8448506
Fax: +6221 8448679
Agus Dermawan (Mr)
Deputy Director of Marine Conservation
Area Division
Ministry of Marine Affairs and Fisheries
Directorate General of Marine Coast, and
Small Islands
Directorate Conservation and Marine
National Park
Jl. Medan Merdeka Timur No.16,
Jakarta Pusat,
Indonesia
Tel: +6221 3519070 Ext 8925
Fax: +6221 3522045
Email: agusder81@yahoo.com or
adermawan@attglobal.net

Semedi (Mr)
Research Centre of Indonesia, National
Institute of Science of Republic of
Indonesia
Balai Konservasi Sumber
Daya Alam Dki Jakarta,
Jl Salemba Raya 9,
Jakarta Pusat,
Indonesia
Email: sam_php2003@yahoo.com
Malaysia
Fauzidah BT Othman (Ms)
Head, Fish Health & Quarantine Section
Department of Fisheries Malaysia,
Level 1, Podium 2, Block 4G2,
Wisma Tani, Presint 4,
Federal Government Administrative Centre
62628 Putrajaya, Malaysia
Tel: +603 88704000 Ext 4614
Fax: +603 8889 1794
Email: auzidah@dof.gov.my or fauzidahoth@yahoo.com.my

Sukarno Wagiman (Mr)
Head of Resources Rehabilitation Section
Department of Fisheries Malaysia
(Licensing & Resources Management Division)
Wisma Tani, Level 1, Block 4G2, Presint 4,
Federal Government Administrative Centre
62628 Putrajaya, Malaysia
Tel: +603 88704404
Fax: +603 88891233
Email: sukarno@dof.gov.my or benwagiman@yahoo.com

Lawrence Kissol (Mr)
Department of Fisheries, Sabah, Malaysia
Director of Fisheries
8th Floor, Menara Khidmat
88000 Kota Kinabalu, Sabah, Malaysia
Tel: +6088 235966
Fax: +6088 240511
Email: Lawrence.Kissol@sabah.gov.my

Papua New Guinea
Leban Gisawa (Mr)
National Fisheries Authority
P.O. Box 2016
Port Moresby, NCD
Papua New Guinea
Tel: +675 320 31 33
Fax: +675 321 26 43
Email: lgisawa@fisheries.gov.pg
Philippines
Edwyn. B. Alesna (Mr)
Senior Fishing Regulations Officer
Republic of the Philippines
Department of Agriculture
Bureau of Fisheries and Aquatic Resources
PCA Building, Elliptical Road Corner Commonwealth Ave, Quezon City, Metro Manila, Philippines
Tel: +632 3725043 / 632 3725057
Fax: +632 3725048
Email: edwyn_alesna@yahoo.com

John Francisco A. Pontillas, MPP (Mr)
PCSDS, Chief, Research and Policy Division
Office of the President Palawan Council for Sustainable Development
PCSD Building Sports Complex Road, Sta. Monica Heights, Puerto Princess City, Palawan, Philippines
Tel: +6348 4344235
Fax: +6348 4344234
Email: john_pontillas2001@yahoo.com

Non Government representative:
UNEP CITES Secretariat
Tom De Meulenaer (Mr)
Senior Scientific Officer, Scientific Support Unit CITES Secretariat
International Environment House 11-13, chemin de Anémones 1219 Châtelaine, Geneva Switzerland
Tel: +4122 9178131
Fax: +4122 7973417
Email: tom.de-meulenaer@unep.ch

FAO
Marcelo Vasconcellos (Mr)
Fishery Resources Officer, Marine Resources Service, Fishery Resources Division Food and Agriculture Organisation of the United Nations Rom C 566 Viale delle Terme di Caracalla 00100 Rome, Italy
Tel: +39 0657052641
Fax: +39 0657053020
Email: marcelo.vasconcellos@fao.org

Andre Punt (Mr)
Research Associate Professor School of Aquatic & Fishery Sciences University of Washington 1122 N.E. Boat Street, Seattle, Washington 98105
Tel: +1206 5434270
Fax: +1206 6168689
Email: aeput@u.washington.edu
IUCN
Yvonne Sadovy (Ms)
Chair, IUCN Specialist Group for Grouper and Wrasses
University of Hong Kong
Department of Ecology & Biodiversity
The University of Hong Kong
Pokfulam Road, Hong Kong
Tel: +852 22990603
Fax: +852 25176082
Email: yjsadovy@hkucc.hku.hk

Liu Min (Ms)
University of Hong Kong
Department of Ecology & Biodiversity
The University of Hong Kong
Pokfulam Road, Hong Kong
Tel: +852 62055090
Email: minliuhk@hotmail.com or lium@graduate.hku.hk

Traders
Hong Kong Chamber of Seafood Merchants Ltd
Lee Choi Wah (Mr)
Chairman of Hong Kong Chamber of Seafood Merchants Ltd
2nd Floor, Kwun Tong Wholesale Fish Market.
10 Tung Yuen Street, Yau Tong
Kowloon, Hong Kong.
Tel: +852 23499442
Fax: +852 21745010
Email: seafdchm@pacific.net.hk

Lee Kong Shing (Mr)
Hong Kong Chamber of Seafood Merchants Ltd
2nd Floor, Kwun Tong Wholesale Fish Market.
10 Tung Yuen Street, Yau Tong
Kowloon, Hong Kong.
Tel: +852 23499442
Fax: +852 21745010
Email: seafdchm@pacific.net.hk

Albert Lau (Mr)
Hong Kong Chamber of Seafood Merchants Ltd
2nd Floor, Kwun Tong Wholesale Fish Market.
10 Tung Yuen Street, Yau Tong
Kowloon, Hong Kong.
Tel: +852 23499442
Fax: +852 21745010
Email: seafdchm@pacific.net.hk
Others
Patrick Wong (Mr)
Crown Fame Development Ltd
1/F, Nos 127-130,
Yeung Uk Road,
Tsuen Wan, Hong Kong
Tel: +852 94916417 / 31883628
Fax: +852 24077119 / 21495515

Kwok Kwong Liu (Mr)
Castle Seafood Co Ltd
12 Sam Shing Street, Tuen Mun,
Hong Kong
Tel: +852 24518618 / 24517101
Fax: +852 26181319

TRAFFIC
James Compton (Mr)
Regional Director
TRAFFIC Southeast Asia
Unit 9-3A, 3 Floor,
Jalan SS23/11, Taman SEA,
47400 Petaling Jaya,
Selangor, Malaysia
Tel: +603 78803940
Fax: +603 78820171
Email: james.compton@po.jaring.my

Craig Kirkpatrick (Mr)
Regional Director
TRAFFIC East Asia
Room 2001, 20 Floor,
Double Building, 22 Stanley Street,
Central, Hong Kong
Tel: +852 29739499
Fax: +852 25300864
Email: craigk@biznetvigator.com

Xu Ling (Ms)
Programme Officer
TRAFFIC East Asia China Programme
C/O WWF China,
Room 1609, Wen Hua Gong,
Beijing Working People’s Culture Palace
(Laodong Renmin Wenhuaqong Dongmen)
Beijing, 100006, China
Tel: +8610 65227100 Ext 3281
Fax: +8610 65227300
Email: lxu@wwfchina.org
WWF
Boyke Lakaseru (Mr)  
Senior Marine Programme Policy Officer  
WWF Indonesia  
Kantor Taman A9, Unit A-1  
JL. Mega Kuningan Lot. 8.9/A9  
Kawasan Mega Kuningan  
PO Box 5020 JKTM 12700  
Jakarta  
Tel: +6221 5761070 ext 209  
Fax: +62 21 576 1080  
Email: blakaseru@wwf.or.id

Andy Cornish (Mr)  
Director of Conservation  
WWF Hong Kong  
No.1 Tramway Path,  
Central, Hong Kong  
Tel: +852 25254499  
Fax: +852 28452734  
Email: acornish@wwf.org.hk

Clarus Chu (Mr)  
Conservation Officer – Marine  
WWF Hong Kong  
No.1 Tramway Path,  
Central, Hong Kong  
Tel: +852 25253699  
Fax: +852 28452734  
Email: cchu@wwf.org.hk

Ariel Yeung (Mr)  
Research Assistant (Seafood Guide)  
WWF Hong Kong  
No.1 Tramway Path,  
Central, Hong Kong  
Tel: +852 25253699  
Fax: +852 28452734  
Email: ayeung@wwf.org.hk

Annadel Cabanban (Ms)  
WWF Malaysia  
Suite 1-6 W11  
6th Floor CPS Tower  
Centre Point Complex  
No 1, Jalan Centre Point  
88800 Kota Kinabalu Sabah  
Tel: +6088 262420 ext 19  
Fax: +6088 242531  
Email: acabanban@wwf.org.my

Jose Angelito M. Palma (Mr)  
Assistant Vice-President for Field Operations  
WWF Philippines  
4th Floor, JBD Plaza,  
#65 Mindanao Avenue, Bagong Pag-asa  
Quenzon City 1105, Philippines  
Tel: +632 9207923  
Fax: +632 4263927  
Email: jpalma@wwf.org.ph
Annex 1: CITES Secretariat Presentation - 05 June 2006

**Background to CITES**

Western Pacific workshop on policy, enforcement and sustainable trade for the CITES Appendix II listed Humphead/Napoleon wrasse, Cheilinus undulatus

5-7 June 2006, Hong Kong SAR

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

---

**CITES**

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

- **Purpose:** to ensure that wild fauna and flora in international trade are not exploited unsustainably
- **An international agreement between governments:** States members to CITES are called Parties
- **CITES has been in operation since 1975, for over 30 years**

---

**How CITES works**

- The Convention establishes an international legal framework with common procedures in each Party to
  - Prevent international commercial trade in endangered species
  - Regulate effectively international trade in less endangered species
- **CITES regulates international trade on the basis of a system of permits and certificates**

---

**Examples of trade - animals**

- Primates
- Hunting trophies
- Birds of prey
- Parrots & parakeets
- Leather goods Crocodilians
- Snakes & lizards
- Turtles & tortoises
- Live aquarium specimens
- Food fishes
- Spiders & butterflies
- Molluscs & corals

---

**Examples of trade - plants**

- Orchids
- Cacti & succulents
- Bulbs (Snowdrops, Cyclamens)
- Medicinal plants
- Ornamental trees
- Timber species
Mapping CITES trade

Major importing areas
- North America
- Europe
- East Asia

Major exporting areas
- South America
- Central America
- Africa
- Asia

CITES species

Appendix I
- Species threatened with extinction
- International (commercial) trade is generally prohibited
- 530 animals; 300 plants

Examples of aquatic species:
sea turtles, many whales

Appendix II
- Species not necessarily threatened with extinction, but for which trade must be controlled to avoid their becoming threatened
- Species resembling species in Appendix I or II
- International trade is permitted but regulated
- 4,400 animals; 28,000 plants

3 sharks, seahorses, sturgeons, plant calms, queen conch, humphead wassa, corals

Appendix III
- Species for which a country is asking Parties to help with its protection
- International trade is permitted but regulated (less restrictive than Appendix II)
- 255 animals; 7 plants

1 species of sea cucumber: Isostichopus fuscus (Ecuador)

The Appendices
- The Conference of the Parties decides on species in Appendices I and II
- Any proposal to amend these two Appendices requires a two-thirds majority of voting Parties for it to be adopted
- Only Parties may propose amendments to the Appendices
How CITES works

- CITES regulates the export, re-export and import of live and dead animals and plants and their parts and derivatives
- CITES documents must be presented when leaving or entering a country
- CITES permits and certificates are issued only if certain conditions are met; for Appendix I and II-listed species:
  - International trade must not be detrimental to their survival in the wild
  - Specimens must be of legal origin

Similar rules and regulations

Similar Management and Scientific authorities

COMMON PROCEDURAL MECHANISMS

Similar procedures

Similar documents

The benefits of CITES

- Effective and consistent international regulation of trade in wildlife for conservation and sustainable use
- International cooperation on trade and conservation, legislation, enforcement, wildlife trade controls, resource management, conservation science
- Participation as a global player in managing and conserving wildlife at the international level
- Towards a ‘green’ certification?

Thank you for your attention

CITES Secretariat
International Environment House
Geneva, Switzerland

www.cites.org
CITES

• CITES is an agreement between governments, to ensure that wild fauna and flora in international trade are not exploited unsustainably.

• CITES is an international convention that combines wildlife and trade themes with a legally binding instrument for achieving conservation and sustainable use objectives.

Legal trade should be sustainable and not a threat to species, and it can be beneficial for conservation of wild species.

Popular perceptions of CITES

Perception of the public…

of Government…

and traders…

Misconceptions about CITES

• CITES deals with all aspects of wildlife conservation
  – CITES deals only with international trade in certain species included in its Appendices

• CITES aims to ban all wildlife trade
  – CITES aims to regulate international trade (for some species trade is highly restricted)

Misconceptions about CITES

• CITES regulates domestic trade
  – CITES can only address international trade

• The CITES Appendices are a listing of the world’s endangered species
  – The Appendices only list those species that are or may be affected by international trade
Misconceptions about CITES

- CITES imposes trade restrictions on developing countries
  - Both producer and consumer countries have responsibility for conserving and managing resources; CITES creates the means for international cooperation and decision-making
- The CITES Secretariat issues permits to authorize trade in CITES specimens
  - Permits are only issued by the Management Authority of each Party to CITES

How CITES works

- The Convention and its Appendices are legally binding, but national legislation is required to apply its provisions
- The Management Authority is responsible for the administrative aspects of implementation (legislation, permits, annual and biennial reports on trade, communication with other CITES agencies)

How CITES works

- The Conference of the Parties adopts Resolutions to guide the interpretation and implementation of the Convention, and Decisions to provide specific short-term time-bound instructions
  - 79 Resolutions and 118 Decisions are in effect
- CITES documents are standardized for:
  - Format
  - Language & terminology
  - Information
  - Duration of validity
  - Issuance procedures
  - Clearance procedures
How CITES works

• There are four types of CITES documents:
  – Export permits
  – Import permits
  – Re-export certificates
  – Other certificates

Export permits

• Export permits can only be issued by the Management Authority, provided the Scientific Authority has advised that the proposed export will not be detrimental to the survival of the species
• The Management Authority must be satisfied that the specimen was legally obtained
• The Management Authority must be satisfied that living specimens will be prepared and shipped in a manner that will minimize the risk of injury, damage to health or cruel treatment

Import permits

• (Applies only to specimens of Appendix-I species)
• Import permits can only be issued by the Management Authority, when the Scientific Authority has advised that the proposed import will be for purposes that are not detrimental to the survival of the species
• Note: by taking stricter domestic measures a number of Parties (e.g. the member States of the European Union) also require import documents for specimens of Appendix II species

Re-export certificates

• Re-export certificates may only be issued by the Management Authority, and only when that authority is satisfied that the specimens have been imported in accordance with the provisions of the Convention

Other certificates

• These are used for particular cases such as:
  – Captive-bred or artificially propagated specimens
  – Pre-Convention specimens
  – Traveling exhibitions
  – Introduction from the Sea
  – Appendix III certificate of origin
  – Labels for scientific exchange
The Humphead wrasse (HHW): why listed on Appendix II of CITES?

Introduction

• Biology of HHW (=Napoleon wrasse)
• Fishery/trade of HHW
• Conservation status of HHW
• Summary

Biology of HHW

• Long life (> 30 years)
• Years to sexual maturation
• Changes sex (female to male)
• Distributed around coral reefs
• Naturally uncommon

Fishery of HHW

• Live and dead; live is major international trade
• 1970s/80s traded live/SE Asia
• Popular and valuable
• Low volume/high profit
Live, can exceed US$100 at retail
• 100’s mt traded annually

Fishery of HHW (cont....)
• Source areas expanding/shifting with depletions and demand: masks local declines
• Managed nationally in several places because of declines noted
• Enforcement weak; much illegal trade

Live fish fishery
• 500-1,000g preferred in retail sector (i.e. fishery selects for juveniles/small adults)
• All fish come from the wild (including from grow-out)
• No commercial hatchery

<table>
<thead>
<tr>
<th>Country</th>
<th>Regulation Details</th>
<th>Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Australia</td>
<td>No food export</td>
<td>2003</td>
</tr>
<tr>
<td>China</td>
<td>No unpermitted sale for food in Guangdong Province</td>
<td>2001</td>
</tr>
<tr>
<td>Indonesia</td>
<td>Export sizes regulated (1kg-10g permitted)</td>
<td>1995/6</td>
</tr>
<tr>
<td>Maldives</td>
<td>No export</td>
<td>1995</td>
</tr>
<tr>
<td>Palau</td>
<td>No export/no catches ≥4 cm locally</td>
<td>1994</td>
</tr>
<tr>
<td>Papua New Guinea</td>
<td>Minimum size 65 cm total length</td>
<td>2002</td>
</tr>
<tr>
<td>Philippines</td>
<td>No export from Palawan (no export of any live fish out of Philippines)</td>
<td>1995/7</td>
</tr>
</tbody>
</table>

50% Sexual maturation
Studies show overfishing and IUU

- Declines in numbers on reef
- Declines in catch per effort
- Shifts in source areas
- Cyanide, illegal/ unregulated exports especially by sea

Synopsis on trade, biology and fishery data started in 1998 – the following 3 slides show a few of many examples from this published study

Summary

- HHW listed on CITES App II in 2004 due to concerns over its conservation status, and to promote sustainable international trade
- Effective controls could lead to removal of species from CITES Appendix II
- Ineffective controls could lead to Appendix I listing
Economic Importance of HHW

- Prices range (varies with fish size)
  - Fisherman – USD 6-30 per kg
  - Traders/Exporters – USD 30-80 per kg
  - Restaurants – USD 76-125 per kg (in HK)
  - 7766 fish (10,426kg) valued appr. USD 312,780 – 834,080 pa
- Final traders are most benefitted → Fishermen remain poor

Trend of trade in HHW

- Export data collected in Indonesia
  - Inconsistent, not enough to show trends from Indonesia over time
  - No consistent records in provincial Fishery Services
  - No central record-keeping (MMAF)
- Example of provincial figures:
  - Makassar (South Sulawesi in 2004): 4984 fish (6048kg)
  - Bali (in 2004): 2782 fish (4378kg)

Export data (prior to CITES listing)

Source: MMAF, total = 25 exporters
- 2001: 26304 kg (8,768 – 26,304 hds)
- 2002: 24246 kg (8,082 – 24,246 hds)
- 2003: 36,409 kg (12,136 – 36,409 hds)
- 2004: 20,384 kg (6,795 – 20,384 hds)
- Total: 107,343 kg (35,781 – 107,343 hds)
Destination: HK, TW, CN, SG, TH, JP

Export data (post CITES listing)

- Registered: 10 exporters
- 2005
  - quota → 8000 Heads,
  - actual of export → 5,320 Heads
- 2006 (Jan – May)
  - Quota → 8000 Heads,
  - actual of export → 1,230 Heads
- Destination: mostly HK

Import information

- Import data reported by Hong Kong from Indonesia (kg) may be useful indicator, e.g.
  - 1997 – 1500 kg
  - 1998 – 200 kg
  - 1999 – 1583 kg
  - 2000 – 1375 kg, 2001 – 499 kg; 2002 – 5344 kg,
  - 2005 (incomplete) – 10,000++ kg
Trend of trade in HHW

- Global trade: mostly for foods (restaurant)
- Indonesia: mostly exported for foods (restaurants → HK, TW, SG)

Current Regulation

- Basic Regulation: Act No. 31 of 2004 on Fisheries (Act No. 12 1985)
- Decree of the Minister of Agriculture No 375/1995 on Capture Ban of Napoleon Wrasse (still current):
  1. Capture of Napoleon Wrasse is not allowed;
  2. Exception: a) Research and development; b) Capture by traditional fishermen with non-destructive equipment and methods;
  3. Further details on the exception are regulated by Director General
- Decree of the DG of Fisheries 330/96 provides e.g.:
  - Allowable Capture and sale sizes: → 1 – 3 kg
  - Allowable methods:
    - Artisanal Fisheries:
      - No motor
      - Motor attached
    - Motor < 5 gross ton and or engine < 15 PK
      - Non-destructive equipment

Permits

- Capture permits for research by DG
- Capture permits for traditional fishermen by provincial Fishery Services
- Fishing ground is determined by provincial Fishery Services
- Export permits:
  - Recommendation for export by DG based on recommendation by provincial Fishery Services

After CITES listing

- Besides the current fisheries regulation, the following regulations apply to any CITES species:
  - Act No. 5 of 1990 on Conservation of living resources;
  - Government Regulation No 8 of 1999 on the Utilization of Wild Plants and animals;
  - Decree of the Minister of Forestry No. 447 of 2003 on the Administration Directive of Harvest, Capture and Distribution of Specimens of Wild Plant And Animal Species
  - Decree of the Minister of Forestry No. P. 19 of 2005 on the Captive Management of Wild Plants and Animals Species
MARICULTURE

- Sizes < 1kg, or > 3 kg may only be used for mariculture purpose (or released back)
- Mariculture in the current definition = growout and or breeding
- Growout which reach size 1kg may be sold
- Exporter (collector) is obliged to undertake mariculture
- No obligation for local collector

NDF and Quota

- Indonesia applies capture and export quota systems for all CITES species in trade;
- Quota is established:
  - based on NDF, and/or
  - when no or little information is available, based on precautionary principle
- Quota is established by Scientific Authority (SA), and legalized by Management Authority (MA)
- MA shall not issue export permit exceeding the quota

Trade monitoring and control

- Quota is established down to provincial level
- Fishery Service should determine fishing ground in the province;
- For other CITES species, capture permit is issued by BKSDA (Office unit of the MA at province level)
- For HHW, Napoleon, capture permit is issued by District Fishery Service
- Domestic transport permit issued by BKSDA
- CITES export permit issued by DG of PHKA as the CITES MA

Specimen Identification

- No Specimen identification manual has been produced and distributed to the enforcement officials
- No Training on specimen and species identification has been undertaken

Domestic Consumption

- HHW is not a popular food for Indonesian domestic market
- too expensive and regarded as not so tasty (compared with other cheaper species) for most Indonesian
- rarely served in Indonesian restaurant
- HHW is mostly harvested for export purpose
Information on Illegal, Unreported and unregulated

• Unsustainable fishing methods: e.g. Cyanide, coral blasting → used to be widespread
• Regulated (e.g. on size limitation and volume) but weak enforcement → ~ unregulated
• Illegal trade (Foreign Vessels e.g. China, Thailand, and Taiwan reported most often collecting HHW directly from Indonesian Suppliers without permits)
• Fish Capture in Marine Protected Areas

Press Release

207 Napoleon Confiscated in Bunaken National Park
Bunaken, North Sulawesi – North Sulawesi Water Police confiscated 207 Napoleon (Humphead Wrasse, Cheilinus undulatus) sized 5-30 cm from a ‘keramba’ (floating net for raising fish) near Nain island, Bunaken National Park (13). The fisher said those fish have been kept for 2 months, waiting to be sold outside Indonesia. The net was kept under another net full of live grouper and was hardly seen, but the Bunaken Joint Patrol has suspected the operation for several days. Undercovered, the police approached the net and found more Napoleon wrasse than grouper. All evident were seized and the fisher was investigated in the police station.

Challenge of implementation

• Harmonization and synchronization of regulation between CITES and Fisheries
• Capacity Building on CITES implementation
• Institutional Strengthening especially at the province and district levels
• In-depth Survey → baseline data and monitoring
• Share of MA for aquatic species
General Information on Humphead Wrasse Trade and Management in Sabah, Malaysia

by, Lawrence Kissol
5 June 2006
Hong Kong

Introduction

- Sabah Fishing ground total area - 51,360 KM square
- 75% of the country’s reefs are contained in Sabah
- Sabah as the main source of HW (‘maming’ / ‘parrot fish’) in Malaysia
- No reported export of HW from other parts of Malaysia.

Sabah’s Fishing Ground

SOUTH CHINA SEA
22,394 km² (44% Total)

SULU SEA
16,852 km² (33% Total)

SULAWESI SEA
11,844 km² (23% Total)

TOTAL
51,360 KM²

75% of the country’s reefs are contained in Sabah.

Annual Series of Fishery Commodities Export by Type, Quantity & Volume (2000 – 2004)

<table>
<thead>
<tr>
<th>Year</th>
<th>Q</th>
<th>V</th>
</tr>
</thead>
<tbody>
<tr>
<td>2000</td>
<td>6.44 × 10^6</td>
<td>647.09</td>
</tr>
<tr>
<td>2001</td>
<td>6.68 × 10^6</td>
<td>708.74</td>
</tr>
<tr>
<td>2002</td>
<td>6.85 × 10^6</td>
<td>678.10</td>
</tr>
<tr>
<td>2003</td>
<td>6.99 × 10^6</td>
<td>650.80</td>
</tr>
<tr>
<td>2004</td>
<td>7.05 × 10^6</td>
<td>644.06</td>
</tr>
</tbody>
</table>

Q = Quantity (tonnes), V = Value (USD)

Type of fish: Grouper, snapper, trivaly
(Humphead Wrasse: 5% - 10%)
Market Trend of HW

- Almost all HW caught are for export (preferred live & for food)
- Most demand sizes: 40 – 60 cm
- Main trading countries: Hong Kong, Taiwan & Singapore
- 30 – 60 tonnes per year been exported

Wholesale & Retail Prices of HW

<table>
<thead>
<tr>
<th>Type</th>
<th>Wholesale price</th>
<th>Retail price</th>
</tr>
</thead>
<tbody>
<tr>
<td>Live</td>
<td>25 - 30 USD / Kg</td>
<td>75 - 80 USD / Kg (restaurant)</td>
</tr>
<tr>
<td>Fresh (dead)</td>
<td>5 USD / Kg</td>
<td>9 USD / Kg (market)</td>
</tr>
</tbody>
</table>

Marine Cage Culture

- Sabah account for 40% by volume & 70% by value of Malaysia’s annual live marine fish exports to Hong Kong
- Live marine fish exports (2002): 663 MT (8.7 million USD) with 494 MT (6.6 million USD) to Hong Kong – from cage culture

Main Legal Framework

- FISHERIES ACT 1985 (revised 1993)
  - Conservation, management and development of maritime and estuarine fishing and fisheries
  - Administration of fisheries;
  - Licensing and management of local maritime and estuarine fishing operations;
  - Control of fishing by foreign fishing vessels;
  - Offences, and prohibition and control of certain methods of fishing;
  - Establishment of marine parks and marine reserves; and
  - Offences and legal procedures relating to the implementation of the Act.

- INLAND FISHERIES AND AQUACULTURE ENACTMENT 2003
  - Covers areas not covered by the Fisheries Act 1986

- SABAH FISHERIES ORDINANCE 1964
Other related legislation on the management of marine resources in Sabah, among others:

- Parks Enactment 1984
- Fauna Conservation Ordinance
- Wildlife Act
- Environment Quality Act
- Environmental Quality Act
- National Policy Act
- Conservation of Environment Enactment
- Sabah Bird's nest ordinance

Recent Scenario

- Depletion in numbers of catch
- Fishers have to travel further out to catch HW
- Rarely seen (locally extinct in some area?)
- Even small size HW are caught (cultured until attain certain sizes) prior to export

Fishery & Export Regulations on HW

- No specific regulation.
- Export is still allowed (no restriction / quota)
- No specific management or monitoring on the capture fishery of HW.
- Identification of specimen in trade not fully applied

Issues & Challenges

- Cyanide is still used in catching Humphead Wrasse (eventhought not that widely used as before), (Traditionally, the wrasse was fished by hook and line). Cyanide & blast fishing contribute greatly to the destruction of corals reefs.
- Inadequate law enforcement (vast sea area to cover, fishing ground - 51,360 KM2)
- Lack of relevant research (the level of knowledge of the status of Humphead resources is still inadequate as management tools).
- No specific fishery and export regulations.
- There's no actual record of export quantity, quite impossible to see the clear trend in trade (identification of specimen in trade only recently been applied)

Proposed strategies

- Some of the strategies that have been proposed:
  a) Permit control: (i) stop issuing export permit or (ii) export permit with restriction / quota (volume / size)
  b) Establishing of more Marine Protected Area especially in coral reefs areas (with strong enforcement surveillance)
  c) Promoting other high value fish for mariculture and food industry.

- (a) above yet to be implemented for reasons:
  a) lack of scientific advice
  b) problems in fisheries management:
    - unlimited entry (open access) for fishing
    - inadequate law enforcement
    - fishing pressure has kept on increasing

Conclusion

- No implementation of CITES for Humphead Wrasse in Malaysia
- Malaysia want to play an important role in protecting the Humphead Wrasse population in the region
- Need for advices to formulate policy (share the experiences from other countries)
Terima Kasih
(thank you)
Encourage culture/breeding of wildlife including those considered endangered.

Wildlife Act

SEC. 97. Fishing or Taking of Rare, Threatened or Endangered Species. - It shall be unlawful to fish or take rare, threatened or endangered species as listed in the CITES and as determined by the Department of Agriculture.

Fisheries Code of 1998, Republic Act 8550

SEC. 61. Importation and Exportation of Fishery Products. - Provided, that exportation of live fish shall be prohibited except in Palawan, as live fishes are exported illegally through minor ports.

Policy Gaps

• Implementing rules and regulations specific for LRFF
• Guidelines for the development of the LRFF aquaculture
• Development of a national plan of action specific to the HHW

Implementation Challenges

• Development of an appropriate aquaculture industry to mitigate stress and concerns regarding wild caught collection for the for the LRFF including HHW
• Development of a mechanism and support system (i.e. research and development) to promote LRFF aquaculture particularly HHW
• Development of breeding and hatchery technology for most of the economically important LRFF
• Development of a mechanism to differentiate between wild caught and hatchery bred LRFF including HHW (with reference to the “CDT” technology currently implemented)
• Trade data unreliable, except in Palawan, as live fishes are exported illegally through minor ports

Way Forward

• Enactment of law specific to culture and export of LRFF
• Accreditation of hatcheries and grow-out facilities
• Allowing export of LRFF produced from hatcheries only
• Recognizing that certain species cannot be hatchery bred, allowing the import of fish seeds
• Development of the NPOA as part of our commitment in the listing of HHW as appendix II

National Policy

Fisheries Code of 1998, Republic Act 8550

SEC. 62. Importation and Exportation of Fishery Products. - Provided, that importation and exportation of fishery products shall be regulated whenever such importation and exportation affects domestic food security and production.

Wildlife Act

• Encourage culture/breeding of wildlife including those considered endangered.
• Recognition of the national government to devolve wildlife management and regulation thru the designation of the Palawan Council for Sustainable Development (PCSD) as the CITES management authority for Palawan

Outline of Presentation

1. National context of the LRFF
   • National policy framework
   • Policy gaps
   • Implementation challenges
   • Way forward
2. Local context of the LRFF focus on Palawan province
   • Overview of Live Reef Fish for Food Industry (2003-2004)
   • Catchers
   • Volume
   • Gross Value
   • Species
   • Palawan General Policy on Live Reef Fish
   • Way forward
Palawan Province

- Unique environment to the rest of the Philippines
- UNESCO Biosphere Reserve
- Only province with a Sustainable Development Law
- Only province with a provincial CITES management authority under the Wildlife act

---

Palawan... Catchers, Volume, Gross Value

<table>
<thead>
<tr>
<th>Year</th>
<th>Approx. no. of catchers</th>
<th>Volume (kg)</th>
<th>Value (PhP)</th>
<th>Value (USD)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2003</td>
<td>4117</td>
<td>327,143</td>
<td>588,857,400</td>
<td>107,064,982</td>
</tr>
<tr>
<td>2004</td>
<td>4117</td>
<td>548,505</td>
<td>987,309,000</td>
<td>179,510,972</td>
</tr>
</tbody>
</table>

Note: Value is based on Php 1800 average buying price in Manila; 1USD=Php55

---

Palawan... Species

- Dominant species:
  - Plectropomus leopardus (Leopard coral trout)
- Lesser species:
  - Family Serranidae:
    - P. p. areolatus (Squaretail coral trout)
    - P. p. maculatus (Spotted coral trout)
    - P. p. laevis (Blacksaddled coral trout)
    - P. p. oligacanthus (Highfin coral trout)
  - Family Epinephelidae:
    - Epinephelus coioides (Orange spotted grouper)
    - E. fuscoguttatus (Brown-marbled grouper)
    - Epinephelus malabaricus (Malabar grouper)
    - E. freycinet (Rainbow runner)
    - Epinephelus thalassinus (Damselfish)
    - E. morrisonensis (Morrison grouper)
  - Family Scaridae:
    - Scylla aranea (Blue crab)
    - S. serrata (Red crab)
    - S.UTTONELI (Cockleshell crab)
  - Family Labridae (Traded by poachers from other provinces):
    - Cheilinus undulatus (Napoleon humphead wrasse)

---

Palawan... General Policy

- As early as 1993, the Province of Palawan has already passed a provincial law to protect the species caught for the livefish industry because of the rampant use of sodium cyanide
- In 1998, a specific regulation for HHW was provided in a provincial ordinance:
  - HHW caught in the wild weighing 50-300 g or 3300 g or 3-7 ins in length that are to be cultured in pen or cages for 8-10 mos are allowed to be caught
- Currently, the Provincial Government of Palawan has an updated law protecting the species caught for the livefish trade by regulating the livefish fishery:
  - Catching
  - Trading
  - Shipping
  - Currently no specific regulation for each species including C. undulatus

---

Implementation mechanisms:
- Registration, licensing and compliance certification involving both provincial and municipal government regulatory and law enforcement bodies, and community fishermen's organization
- Use of cyanide detection test
- Establishment of province wide monitoring arm
Way Forward...

- Conduct of researches to generate data and information on:
  - Biology, ecology and distribution of each species
  - Wild stock status
  - Aquaculture research

- Development and implementation of a monitoring system for the local and international trade

- Development of specific guidelines for the livefish fishery for each species traded in the livefish industry, including HHW

Summary

- Existence of a national policy of LRFF, however specific implementation guidelines needs to be developed
- The dearth of data and information on the biology, ecology and trade of each species traded in the LRFF industry

Thank you for your kind attention...!

**Characteristics of Past Operations**
- Boom and bust fashion
- Use of noxious substance to stun and capture fish
- Fishing out spawning stocks
- Company fishing
- Royalty handouts
- Conflicts
- Closure of fishery
- Ambiguous MOUs with resource owners

**What has been done in PNG?**
- The National Fisheries Board imposed a Moratorium for issuance of licences in 1998.
- Pressure from developers to NFA to lift the moratorium.
- In 2000, the board approved a “one off arrangement” to trial the fishery in Manus and New Ireland Provinces.
- The results were used to develop a LRFIT management plan.
Management measures

- Catch limits (TAC, Review of TAC)
- Fishing methods (handlining only, fish cage size, transhipment, diseased fish)
- Restrictions (export size limits, spawning aggregation, diving spots, hookah and scuba gear, noxious substances)
- No fishing areas
- Licensing

Catch by Provinces

<table>
<thead>
<tr>
<th>Mine Bay Province</th>
<th>Species</th>
<th>Qty (kg)</th>
<th>USD</th>
<th>PGK</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2004</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Humphreys nursery</td>
<td>1727</td>
<td>71866.10</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Leopard coral  trout</td>
<td>6512</td>
<td>211050.5</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Squalus  coral  trout</td>
<td>1685</td>
<td>32095.06</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Barramundi  Cod</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Brown marbled  grouper</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Camouflage  grouper</td>
<td>435</td>
<td>22948.66</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Myx groupers</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Snappers  (L. argenticeps)</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Snappers  (L. rufulus)</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>14278</td>
<td>45905</td>
<td>327900.41</td>
</tr>
</tbody>
</table>

Current Operations

Export for 2004

- Measuring board (designed for LF)
- Stationary (eg pencils, waterproof papers etc.)
- Fuel provisioning
- Dinghy and motor
- Weighing machine (calibrated)
- Camera
- Dairy Book
- Pillow
- Towel

Export Values

- Annual export value for live reef fish operations in PNG
  - 2001: 12000
  - 2002: 13000
  - 2003: 14000
  - 2004: 15000
  - 2005: 16000

Observers
Observer Tools

Information Collected
- Deciding percentage cover (100%) (Cost??)
- Information need
- Workbook design
  - (i) Sampling form
  - (ii) General form (vessel description)
  - (iii) Observer activity log
  - (iv) Catch logbook
  - (v) Compliance log
  - (vi) Transhipment log

Reef finfish logbook

Issues
- Stock assessment to determine demographic parameters to ascertain TAC
- Observer arrangement and cost
- Observer training specific for LRFFT
- Logistics for observers (fuel, transport etc.)
- Fish Identification cards
- Awareness materials
- Participation of resource owners
China Presentation – 05 June 2006

Annex 7: China Presentation – 05 June 2006

中国野生动植物进出口管理政策与措施

中国基本情况

- 陆地面积960万多平方公里，广阔的海域，漫长的海岸线；
- 人口13亿；
- 自然地理环境多样；
- 野生生物资源较为丰富；（生物多样性处世界第三位）
- 在保护和利用野生生物资源历史悠久。

中国野生生物资源

- 哺乳动物——450多种；
- 鸟类——2,200多种；
- 爬行类——350多种；
- 两栖类——250多种；
- 鱼类——2,300多种；
- 无脊椎类—great number；
- 植物资源丰富。

中国国际贸易物种和目的

- 进入国际贸易的物种逐年增加至今已达300多种。

- 贸易目的主要有：
  1. 商业用途，包括食用、药用、衣物、用具、工艺品等；
  2. 非商业用途，包括种源、科学研究、文化交流、宣传教育及个人合法拥有等。

野生动物贸易

- 活体
  - 友好往来及科研——大熊猫、金丝猴等；
  - 动物园、繁殖基地交换和引种——长颈鹿、犀牛等；
  - 珍稀动物——白颈鹿、黑颈鹤等鸟类。

- 食用、药用动物——龟鳖、蛇类等。

- 死体
  - 狩猎标本——盘羊、岩羊、马鹿等。
  - 家畜——鳄鱼死体。

- 部分
  - 皮张、骨骼、牙齿、内脏、毛发等。

- 产品
  - 服装、食品、药品，等等。
野生植物贸易

• 活体
  - 花卉——兰花等
  - 松茸——鲜松茸
  - 人参

• 死体
  - 盐渍松茸等——主要出口日本、韩国

• 部分
  - 切花——各种花卉
  - 种子——包松籽仁等
  - 木材——红松、水曲柳等
  - 树皮——杜仲、黄波罗

• 产品
  - 医药——含天麻、云木香等物种

法制建设

• 1980年列出限制出口野生动植物名单
• 改革开放后颁布实施一系列法律、规章
• 加强执法

有关法规、规章

• 《刑法》
• 《森林法》
• 《海关法》
• 《渔业法》
• 《野生动物保护法》
  - 陆生野生动物保护条例
  - 水生野生动物保护条例
  - 国家重点保护野生动物名录
  - 有益的、有重要经济和科研价值的野生动物名录
• 《野生植物保护条例》
  - 国家重点保护野生植物名录

野生动植物进出口管理

• 始于新中国建立，改革开放后发展迅速
• 1981年成为《公约》缔约国
• 实施了一系列管理措施，并取得了重要成就
• 目前仍然存在问题，尚需进一步努力解决

行政规定

• 对外来种的管理
• 对含野生动植物成份的药材进出口的管理
• 对野禽、野味和观赏野生动物进出口的管理
• 珍稀类贸易管理
• 红松籽、松茸贸易管理
• 进出口野生动植物商品目录
• 限额管理物种
• 其它
wildlife and plant permits management (permit control system)

### Permit Control System

**Permit Control System**

#### Management (Permit Control System)

- **Permit Control System**
  - Import, export, re-export, or introduce Appendix-listed wildlife and plants or their products;
  - Import, export, re-export, or introduce state-protected wildlife;
  - Export state-protected plants abroad;

#### Requirements of Applicants

- Commercially traded, must have import and export rights and register with the local provincial wildlife and plants administration authorities or their authorized management institutions, and register with the State Administration of濒危物种进出口管理办公室;
- Non-commercially traded, must have relevant qualifications such as wild plant and animal breeding, scientific research, cultural exchange, education, and have legal ownership documents of wild plants and animals.

#### The Import and Export List of Wild Plants and Animals

- According to international conventions and national laws and regulations;
- To meet the needs for the legalization, standardization, and scientific management of wildlife and plants management;
- Based on previous work, after consulting various departments and units, the State Administration of濒危物种进出口管理办公室 and the Ministry of Foreign Affairs jointly issued and implemented;
- To be revised according to actual situations.

#### Endangered Species Scientific Committee

- Located in the Chinese Academy of Sciences;
- Composed of experts in various fields;
- Provides scientific support;

#### Import and Export Control Mechanism

- Importers (companies, individuals);
- Local administrative authorities (usually at the provincial level);
- State administration (administration in the State Forestry Bureau or the Ministry of Agriculture);
- State administration (consultation with the Endangered Species Scientific Committee);

#### Mechanism Summary

- Represent the Chinese government;
- Issue import and export certificates;
- Coordinate and cooperate with relevant departments;
- Over 130 personnel;
- Headquarters in Beijing (under the State Forestry Bureau);
- 19 offices in Beijing, Tianjin, Shanghai, Harbin, Shenyang, Kunming, Chengdu, Fuzhou, Haikou, Guangzhou, Hohhot, Jinan, Hangzhou, Nanning, Lhasa, Urumqi, Shijiazhuang, Zhengzhou, Xi'an;
- Establish inspection stations: Dalian, Beihai, Shenzhen; issue certificates in cooperation with local authorities.

---

Annex 7: China Presentation – 05 June 2006
宏观政策和具体措施面临的问题

- 进行《公约》发展战略对策的研究，在“可持续发展”指导下，科学地、实事求是地确定我国贸易管理的方针和政策；
- 完善履约的国内配套措施，尤其抓紧制定并实施《中华人民共和国野生动植物进出口管理条例》；
- 完善许可证管理制度，包括许可的核发、使用、查验，以及“非监管证明”的核发和使用；
- 建立和确保国际贸易控制措施的实施，尤其付运、运输、市场贩卖等，以建立“限额管理制度”；
- 建立完善的管理体系和机构，建立和提高管理水平和素质，加强执法，打击非法贸易活动；
- 加强宣传和教育，提高公众的意识；
- 加强同《公约》及相关国际组织、各缔约国间的业务交流与合作，开辟良好的国际环境，吸收先进经验，促进我们的事业不断发展。

关于苏眉（Cheilinus undulatus）国际贸易管理

- 苏眉列入《濒危野生动植物种国际贸易公约》附录后，中国采取与其他附录Ⅱ物种一样的进出口贸易管理措施。在中国广东至今仍没有经营者申请苏眉进出口贸易。
Implementation of humphead wrasse listing in Hong Kong SAR

Western Pacific workshop on policy, enforcement and sustainable trade for the CITES Appendix II listing Humphead/Napoleon wrasse Cheilinus undulatus
5-7 June 2006, Hong Kong

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

CITES work in Hong Kong

- Legislation
- Licensing
- Enforcement
- Public Education

Legislation

Animals and Plants (Protection of Endangered Species) Ordinance, Cap. 187

- Regulate trade in endangered species through control on their import, export and possession.
- Enacted in 1976
- CITES continued to apply after 1997
- "One Country, Two Systems": trade between HKSAR and Mainland China requires to fulfill CITES requirements.

- Maximum penalty: 5 million dollars and 2 years imprisonment
- Humphead Wrasse: Appendix II Species ➞ HKD 500,000 & 1 year imprisonment

<table>
<thead>
<tr>
<th>Year</th>
<th>Import Licence</th>
<th>Export Licence</th>
<th>Possession Licence</th>
<th>Re-export Certificate</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>2002</td>
<td>2023</td>
<td>7289</td>
<td>2572</td>
<td>4068</td>
<td>15952</td>
</tr>
<tr>
<td>2003</td>
<td>2354</td>
<td>7695</td>
<td>2798</td>
<td>3845</td>
<td>16692</td>
</tr>
<tr>
<td>2004</td>
<td>2452</td>
<td>9906</td>
<td>3174</td>
<td>7077</td>
<td>22609</td>
</tr>
<tr>
<td>2005</td>
<td>2515</td>
<td>11929</td>
<td>3360</td>
<td>6791</td>
<td>24595</td>
</tr>
</tbody>
</table>
Legislation

Performance pledge
- Import licence of live animals: 5 days
- Other licences and certificates: 2 days

Enforcement

Investigation:
- AFCD carries out investigation and prosecution
- Customs and the Police may also carry out investigation under the advice of AFCD
- Endangered Species Protection Liaison Group was established to strengthen the communications between Customs, Police, AFCD and NGOs on illegal trade in endangered species.

Enforcement

Agencies
- Agriculture, Fisheries and Conservation Department
- Customs and Excise Department
- Hong Kong Police Force

Public Education

- Circular letter
- Advertisement in public transport
- Mass media
- Poster, leaflet
- Seminars
- Website
- Airport display
- Others

Endangered Species Resource Centre
**Legislative Amendment**

**Background:**
- To bring the law up to CITES requirements
- Streamline the licensing control
- Control the trade in newly listed species, including HHW

**Progress:**
- The New Ordinance (Protection of Endangered Species of Animals and Plants Ordinance) is passed in March 2006
- Anticipated to be in operation within 2006

The new ordinance is available at:

---

**Humphead Wrasse Trade in HK**

**Major source of Humphead Wrasse:**
- Import by air: The Philippines
- Transported by fishing vessels: Indonesia

---

**Humphead Wrasse Trade in HK**

**Import**
- a licence is required for live specimen of wild source

**Introduced from the sea**
- no Humphead Wrasse occurs in high sea

**Possession**
- a licence is required for live specimen of wild source

**Export**
- no Humphead Wrasse occurs in Hong Kong waters

**Re-export**
- a licence is required

---

**Humphead Wrasse Trade in HK**

<table>
<thead>
<tr>
<th>Year</th>
<th>Import* (kg)</th>
<th>Transport by fishing vessel** (kg)</th>
<th>Total (kg)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2001</td>
<td>12,291</td>
<td>24,660</td>
<td>36,951</td>
</tr>
<tr>
<td>2002</td>
<td>28,642</td>
<td>20,031</td>
<td>48,673</td>
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<tr>
<td>2003</td>
<td>16,274</td>
<td>30,127</td>
<td>46,401</td>
</tr>
<tr>
<td>2004</td>
<td>9,252</td>
<td>24,219</td>
<td>33,471</td>
</tr>
<tr>
<td>2005</td>
<td>22,097</td>
<td>38,551</td>
<td>60,648</td>
</tr>
</tbody>
</table>

* Date source: Census and Statistics Department
** Date estimated by AFCD from voluntary traders

---

**Humphead Wrasse Trade in HK**

- Fill in a specified application form;
- Enclose documentary proof of legal source of specimens (e.g. CITES export permit of previous export country. Invoices, possession licence, etc.);
- Submission in person, by fax, by mail or electronically;
- Consignment inspection by AFCD
Anticipated Difficulties

- Irregular inspection time and venue
- Turnover of trade (e.g. immediate re-export)
- Temporary holding facilities for seized specimens
- Disposal of confiscated animals

Possible Solutions:

- Working with the trade
- Cooperation with NGOs
- Cooperation with the MAs of the exporting countries

~ Q & A ~

5-7/06/2006
Endangered Species Protection Division
Agriculture, Fisheries and Conservation Department
CITES Management Authority of Hong Kong SAR, China
Annex 9: Malaysia Presentation – 06 June 2006

Ecology of and fishery notes on the Humphead Wrasse in Sabah, Malaysia

Annadel S. Cabanban
WWF-Malaysia, Sabah

protected habitats:
MPAs in Sabah

estimates of abundance
• visual censuses – Reef Check
• observations
• anecdotal reports

Sources:

estimated abundance

<table>
<thead>
<tr>
<th>MPAs and informal MPAs</th>
<th>juveniles</th>
<th>adults</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>few</td>
<td>many</td>
</tr>
<tr>
<td></td>
<td>&lt; 5</td>
<td>6-10</td>
</tr>
<tr>
<td></td>
<td>&gt; 10</td>
<td>&gt; 25</td>
</tr>
<tr>
<td></td>
<td>2.5-5.5</td>
<td>(80-200)</td>
</tr>
<tr>
<td>Tunku Abdul Rahman Park, Kota Kinabalu</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sulu Island Conservation Area</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tun Suhaim Marine Park, Semporna</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sipadan Island</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Layang-Layang</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

proposed protected habitat:
Tun Mustapha Park
Abundance

Outside of MPAs:

- proposed Tun Mustapha Park - rare (1 individual in 400 m²)
- only juveniles (< 30 cm); no adults

Nature of Fishery - 1

- fishing is not for sustenance anymore
- juveniles collected for cage culture
- collected with cyanide, trap (bubu), hook-and-line
- catch is for domestic restaurants and international market

Nature of fishery - 2

- no data on CPUE
- recruitment overfishing
- growth overfishing
- ecosystem overfishing
- Malthusian overfishing

MPAs -
Hope for
Spawning
biomass

Cheilinus undulatus – 60 cm (Zainal)

xxxii
CORAL REEF FISHERIES OF HUMPHEAD WRASSE

Research Center for Oceanography
INDONESIAN INSTITUTE OF SCIENCES

Biology of Napoleon fish (HHW)

- Widely distributed on coral reef throughout tropical Indo-Pacific
- Naturally uncommon
- The fish is the largest in Family Labridae, exceeding 2 m length
- Long-lived reef fish, male 25 years of age and female 32 years
- Late sexual maturity between 4-6 years of age at 30-50 cm
- Changes sex: Protogynous hermaphrodite
- Heavily exploited: Vulnerable to overfishing

Distribution of coral habitat in Indonesia
(courtesy Dr. Suharsono, LIPI)

Abundance

- There is no data globally on the number of HHW, density more typically not more than 10 fish/ha
- From the study in Indonesia

<table>
<thead>
<tr>
<th>Location</th>
<th>Distance</th>
<th>Area</th>
<th>Number</th>
<th>Fish per 10,000 m²</th>
</tr>
</thead>
<tbody>
<tr>
<td>Raja Ampat</td>
<td>30.3 km</td>
<td>602,480</td>
<td>52</td>
<td>0.86</td>
</tr>
<tr>
<td>N. Sulawesi</td>
<td>59.5 km</td>
<td>1,190,260</td>
<td>45</td>
<td>0.38</td>
</tr>
<tr>
<td>Bali-Kangean</td>
<td>35.1 km</td>
<td>703,900</td>
<td>3</td>
<td>0.04</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>175.0 km</strong></td>
<td><strong>2,494,000</strong></td>
<td><strong>100</strong></td>
<td><strong>0.40</strong></td>
</tr>
</tbody>
</table>
Areas Surveyed in Indonesia

- Sites selected in discussion with DKP, LIPI and PHKA representatives
  - eastern Bali-Kangean Islands: intensive exploitation of *C. undulatus* there are also areas where tourist dive considerations are important
  - north Sulawesi: near a large urban area but with a major marine protected area (Bunaken Marine Park).
  - Raja Ampat: a remote area with a small human population and minimal development where the live reef fish trade an important source of cash income
  - Eastern Nusa Tenggara: intensive exploitation of *C. undulatus*, and near Komodo NP

Nature of HHW

- Mostly for commercial export purpose
- No Fishers recorded mostly suppliers and exporter
- 25 exporters registered by MMAF (Prior to CITES Listing)
- 10 exporters currently registered by MA post to CITES

Type of Fishing

- Artisanal Fisheries
  - Hook and Line
  - Cage Trap
- Cyanide (illegal)

Licensing Requirement

- Ministerial Agriculture Decree No 375/KPTS/K.250/S.1995 regarding ban of Napoleon Wrasse catch
- Presidential Decree No 43/1978 regarding ratification of Convention on International Trade In Endangered Species (CITES) on Wild Fauna and Flora
- Decree of Directorate General of Fisheries No. HK.330/DJ.8259/95 regarding The size, location and the catching methods of Napoleon Wrasse (*Cheilinus undulatus* Ruppell).
- Ministerial Trade Decree No.54/KP/W/1995 regarding export ban of Napoleon Wrasse

Licensing continued

- District Fisheries service issues fishing permit to exporter
- Exporter should have agreement on business partnership with fishermen (which may also be through collectors and domestic traders)
- Transport recommendation issued by District Fishery Service (between districts within a Province) and by Province Fishery Service (between provinces)
Mariculture
- Only 2 established Mariculture operation in Indonesia (e.g. Lampung (Sumatra), Gondol (Bali))
- gonad fecundity and spawning of HHW brood stocks were successfully conducted in Indonesia (good fecundity & egg quality).
- Challenge to the development of feeding technology

Market
- Live fish for export, mostly for food (plate size). Juveniles/small adults preferred
- fish taken from wild (including grow-out)
- No commercial hatchery

Fish Grow-Out
- Typical capture size 5-30 Cm (Based on observation in Bunaken National Park)
- No typical sizes are preferred (any size is accepted from fishermen)
- Usually undertaken by collectors

Estimated Volume in Trade
- export data 2001-2004 (Prior to CITES recorded by MMAF)
- After listed in CITES Appendix II 2005, quota 8000 Heads, actual of export 5,320 Heads
- Jan – May 2006 1,230 Heads, Quota 8000 Heads

HHW juveniles > 3 month

Sexual maturation

*Preferred retail sizes include many juveniles*
Conservation Measures

- Revision of the Ministerial Decree on allowable catch size, location (Fishing ground), Seasonal Closure
- Protected Areas (e.g. Komodo National Park, Bunaken NP, Wakatobi NP, Raja Ampat Marine Reserve, Cenderawasih Bay NP)
- Catch Quota System
Mariculture in the Humphead (=Napoleon=HHW) wrasse: progress and importance for CITES Appendix II listed species

**Definition**

Mariculture (=‘captive-bred’) involves spawning/breeding of adults (known as broodstock), the production of eggs and their successful care until fish reach market size.

**Mariculture progress for HHW**

- First successful captive reproduction in December 2003 at Gondol, Bali, Indonesia. Success also at Lampung.
- Larvae have very small mouth - SS-rotifers were used – survival rates low.

*Asia Pacific Marine Finfish Aquaculture network April-June 2004 news*

**Hatchery-based mariculture is potentially an important tool in conservation and sustainable management if maricultured (captive-bred) fish replace some or all ‘wild-caught’ fish in trade.**

**Mariculture progress**

- Growth/survival rates very slow but should improve with research.
- Work in Malaysia and Thailand also attempts to breed Napoleon wrasse.

*Asia Pacific Marine Finfish Aquaculture network April-June 2004 news*
However, despite progress, aquaculturists believe that commercial scale mariculture of HHW is unlikely to happen soon. However, despite progress, aquaculturists believe that commercial scale mariculture of HHW is unlikely to happen soon. However, despite progress, aquaculturists believe that commercial scale mariculture of HHW is unlikely to happen soon.

Valerie Ho

This means that, in the short to mid-term, all HHW will continue to come from capture fisheries, either directly or following 'grow-out'. This means that, in the short to mid-term, all HHW will continue to come from capture fisheries, either directly or following 'grow-out'. This means that, in the short to mid-term, all HHW will continue to come from capture fisheries, either directly or following 'grow-out'.

Suhendar Suhendar

Fish caught in the wild and put into temporary holding areas for feeding (i.e. grow-out) are considered to be 'wild-caught'. Fish caught in the wild and put into temporary holding areas for feeding (i.e. grow-out) are considered to be 'wild-caught'. Fish caught in the wild and put into temporary holding areas for feeding (i.e. grow-out) are considered to be 'wild-caught'.

Y. Sadovy

Grow-out

Management is also needed to ensure that sufficient broodstock (adult fish) is conserved in the wild to maintain genetic diversity and egg quality for good mariculture practice. Management is also needed to ensure that sufficient broodstock (adult fish) is conserved in the wild to maintain genetic diversity and egg quality for good mariculture practice. Management is also needed to ensure that sufficient broodstock (adult fish) is conserved in the wild to maintain genetic diversity and egg quality for good mariculture practice.

Valerie Ho

Funding and collaborations would much improve the chance of success with Napoleon fish captive breeding. Funding and collaborations would much improve the chance of success with Napoleon fish captive breeding. Funding and collaborations would much improve the chance of success with Napoleon fish captive breeding.
Underwater Visual Census (UVC) of *Cheilinus undulatus* (Humphead wrasse=HHW) in Indonesia, in relation to sustainable management (Non-Detriment Findings)

- Exports of HHW require permits
- Permits only issued if exporting countries show that fish are taken sustainably (i.e., non-detriment findings=NDF)
- Stock assessment is one approach to developing NDF – needs biological parameters, and fish abundance estimates to determine sustainable offtake

### Objectives

- To determine natural densities and sizes of HHW in Indonesia under different levels of fishing pressure (high, medium, low)
- Densities combined with reef area can provide an indication of abundance. Together with stock assessments, a sustainable offtake can be determined.

### Methods

- UVC sites selected at 2 Jakarta meetings in early 2005, and referral to maps for coral cover, trader activities, biologist experiences
- UVC methodology developed for large, wide-ranging reef fish using Global Positioning System (GPS)
- Four surveys conducted in suitable HHW habitat in areas of high, medium and low fishing pressure

Distribution of coral habitat in Indonesia (courtesy Dr. Suharsono, LIPI)
Results

• Sampling protocols validated; GPS method practical for HHW UVC
• Sizes and densities at 4 study areas
Species that can be confused with Napoleon fish in some colour phases — photos from a book by Rudie Kuiter

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<td>0.04</td>
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<tr>
<td>Komodo (new)</td>
<td>51.6</td>
<td>596,337</td>
<td>11</td>
<td>0.18</td>
</tr>
<tr>
<td>Total</td>
<td>176.6</td>
<td>3,090,337</td>
<td>110</td>
<td>0.36</td>
</tr>
</tbody>
</table>

Stock Assessment
- Underwater visual census surveys to assess natural fish densities/sizes in fished/unfished areas (provides index of abundance)
- Also need to determine catch rates/effort and biological parameters
- Can estimate sustainable offtake but beware

Summary
- Standard transects inappropriate for wide-ranging fish
- GPS method suitable for HWH, simple and repeatable
- Training needed in species identification/size estimation
- Need to cover long distances to assess sizes/densities
- Snorkeling appropriate/efficient in most circumstances

........for any country, the sustainable 'pie' can be cut in different ways according to social & economic priorities: only a fraction of the pie can, therefore, be exported
Most HHW imports to HK come from Indonesia; most arrive by sea
(Note: data include all countries exporting to HK)

Chuat et al., in press
Stock assessment of Humphead wrasse, *Cheilinus undulatus*, in Indonesia

Marcelo Vasconcellos
William Cheung
Yvonne Sadovy
Andre Punt

Processes regulating size/biomass of a population

Production and Catch

\[
\text{Biomass next year} = \text{Biomass this year} + \left( \frac{\text{Growth + Reproduction} - \text{Natural mortality}}{} \right) - \text{Catch}
\]

Therefore

Catch must be less than net population growth

Or

Biomass will decrease

Effects of fishing on stock

- **Growth overfishing**: rate of fishing and selectivity are such that fish are caught before they have a chance to reach their maximum growth potential.

- **Recruitment overfishing**: rate of fishing is such that annual recruitment to the exploitable stock has become significantly reduced.

Georges Bank haddock (M. Fogarty)
Effects of fishing on stock

• Ecosystem overfishing: modification of habitat and ecosystem functions due to fisheries impacts


http://seawifs.gsfc.nasa.gov

Approaches to stock assessment

Yield/biomass/spawning per recruit analysis: Useful in the analysis of size-selective measures. Also allow estimate of management reference points (e.g., $F_{max}$, $F_{1/2}$, $F_{35\%}$). Requires information on growth, mortalities and fisheries selectivity.

Approaches to stock assessment

Simple analysis of trends in catches and indices of abundance (cpue or fishery-independent);

Approaches to stock assessment

Production models: allow estimate of common management reference points (e.g., MSY, Bmsy, Fmsy). Requires time series of catches, effort and abundance indices;

Approaches to stock assessment

• Other more complex models (spatial models, ecosystem interactions, etc.). Data intensive.
• Use of Local Knowledge
  – Useful indicators of the status and trends of resources can be derived from practical experience and observations of fishers;
  – Assessment: Mainly based on rapid and participatory rural appraisals and ethnographic research.

Approaches to stock assessment

Yield/biomass/spawning per recruit analysis: Useful in the analysis of size-selective measures. Also allow estimate of management reference points (e.g., $F_{max}$, $F_{1/2}$, $F_{35\%}$). Requires information on growth, mortalities and fisheries selectivity.

Approaches to stock assessment

Stock assessment of Humphead wrasse in Indonesia

• First phase: Yield per recruit analysis
  - determines the optimal fish size of capture and level of fishing mortality according to three criteria:
    - yield per recruit
    - spawning biomass per recruit
    - sex ratio
  - Basic life history and fishery parameters from published and unpublished data
Stock assessment of Humphead wrasse in Indonesia

Natural mortality rate (M)
- M between 0.11 and 0.14 year⁻¹ (Choat et al. in press; Australia)
- Few individuals > 30 years old
- All post-recruit age with the same M

Growth
- Different growth curves for females and males (Choat et al. in press; Australia)
- Length-weight relationship to convert from size to weight

Reproduction
- Females mature between 30 and 50 cm.
- All individuals initially females and most change to males between sizes of 55 and 75 cm.

Gear selectivity
- Comparison size composition in fish markets vs. size composition recorded from UVC.
- Size of maximum capture between 35 and 45 cm.

Preliminary results: numbers at size and age

Spawning biomass females
Spawning biomass males
Female:Male ratio
Yield per recruit
Stock assessment of Humphead wrasse in Indonesia

Preliminary results: effect of fishery selectivity

Yield per recruit

Spawning biomass females

Female/Male ratio

Spawning biomass males

Yield per recruit

Stock assessment of Humphead wrasse in Indonesia

Second phase: incorporating stock-recruitment relationship to account for recruitment overfishing

Steepness=0.9

Steepness=0.7

Steepness=0.5

Fishing mortality

Yield

Stock assessment of Humphead wrasse in Indonesia

Next phases:
- Improvement of model representation of other density-dependent processes (e.g., sex-change; length-at-maturity)
- Validation of model outputs with data from areas under contrasting fishing intensities:
  - length frequencies
  - sex ratio
  - stock recovery time (in no-fishing areas, e.g. MPAs)
- Account for uncertainties in all biological processes in order to estimate sustainable fishing rates ($F_{opt}$) and associated trade-offs.
- Ultimately, estimate sustainable TACs based on $F_{opt}$ and stock size estimates (UVC) for different areas.

\[
\text{TAC} = F_{opt} \times N
\]

\[
\text{TAC} = \text{Export quota} + \text{All other extractions}
\]

Precautionary approach:
- TAC is the most direct way to manage fishing mortality. It requires accurate estimates of catches and stock size. High risk of overfishing due to uncertainties.
- TAC must be combined with other management controls, such as:
  - effort control (limited entry)
  - minimum size
  - gear restrictions
  - protected areas
- Data limitation should not be seen as impediment to start adopting simpler but precautionary approaches to sustainable management of the species.

Thank you!

Issues
- Practical interventions to enhance long-term conservation and use of Humphead Wrasse
- Source-to-market links to address
  - Habitat protection
  - Sustainable fisheries management
  - Effective Regulatory Systems
  - Stakeholder awareness

Partnerships
- Niche NGO partnerships
  - WWF – area management, communications outreach
  - IUCN – species biology and fisheries management
  - TRAFFIC – trade research, regulatory policy, CITES implementation
- Working with government, industry stakeholders, scientists and consumers across the source-to-market trade chain

What has been done?
- Trade surveys in producer (SEAsia) and consumer countries (HK)
- Species status assessments
- Consultation with range States

What has been done?
- WWF, IUCN and TRAFFIC worked with CITES Parties to provide advice on the utility of a CITES App II listing at CoP13 in 2004

What is happening now?
- Consumer awareness
  - WWF Hong Kong has worked with AFCD, HHW traders, restaurateurs and IUCN to understand the industry and encourage sustainable consumption and trade
  - Campaigns on HHW (WWF) and on new HK legislation (AFCD)
What is happening now?

- IUCN and TRAFFIC, working with the CITES Sect. FAO and the Govt. of Indonesia, have analyzed fish stocks, capture, trade, regulation and management practices.
- Working with stakeholders (fishers, collectors, exporters, government officers, scientists) at national and provincial levels.
- Assisted in formulating sustainable management approaches in line with CITES Appendix II provisions.

Sulu Sulawesi Marine Ecoregion (SSME)

- A WWF supported Tri-National initiative with Indonesia, Malaysia & the Philippines.
- Tri-National Committee organized and convened with WWF as a member.
- Developed and adopted an Ecoregion Conservation Plan, prioritizes Fisheries, Endangered Species, and Marine Protected Areas and Networks.

WWF, LRFFT, and HHW

- WWF-SSME programme developed a WWF Action plan to compliment ECP.
- Prioritized Live Reef Food Fish Trade (LRFFT) as one of its “flagship” programs, including HHW.

Initial steps towards Sustainable HHW fisheries

- Conducted survey of consumers of LRF fishes.
- Initiated seafood consumer campaign.
- Conducted sustainability assessments on the LRFFT industry.

Way forward ... SSME as sustainably managed biomass reserve

- Elevate the issue of LRFFT in the SSME Tri-National Committee.
- Explore collaborations for implementing CITES for HHW in MY, PH (and PNG).
- Assess and monitor further the regional trade of LRFFT.
- Strengthen links from source market with relevant partners e.g., government, fishing industry, consumers, scientists, researchers, WWF/IUCN/TRAFFIC collaborators.

Way Forward... ‘adaptive management’

- IUCN and FAO model to be applied and refined as new information is gathered in Indonesia.
- Malaysia, Philippines and PNG to consider how these ID parameters can be applied to their national contexts.
Thank you
**Liaison with Other Organizations**

**Case:**
- The import volume of freshwater turtle (especially *Cuora amboinensis*) from Malaysia was very high. This issue was discussed with Malaysia M.A. unofficially in one of the CITES meetings.
- Permit verification system was established later on (still exist).
- The system stopped 15,000 freshwater turtle from entering Hong Kong because of permit irregularities.

**Enforcement**

**Case:**
- In 2005, the CITES Secretariat was aware of some illegal trade in parrot of false declaration of the country of origin and the species of specimens.
- Enforcement agency in South Africa noted the issue and informed Hong Kong (the destination) about one of the suspicious consignments.
- The specimens (18 App I and 39 App II) were seized at Hong Kong airport
- Case information was sent to S.A. MA, CITES Secretariat, Interpol for further investigation.

**Donation or Loan of Specimens**

**Cases:**
1. Donation of Shahtoosh shawl (*Pantholops hodgsoni*) to Netherlands Forensic Institute, Netherlands.
2. Loan of bear gall to Korean Customs to train their sniff dogs.

*(generally for conservation, education, enforcement or training purposes)*

**Re-homing of Confiscated Animals**

**Cases (2002-2006):**
1. 1 white-cheeked gibbon to Pingtung Rescue Center for Endangered Wild Animals
2. 13 lesser slow lorises to Cuc National Park
3. 1 siamang Gibbon to Zoo Melaka, Malaysia
4. 1 Aldabra tortoise to Singapore Zoological Gardens
5. 307 star tortoise to Turtle Survival Alliance
6. 2 common teals release in Hong Kong
7. 2 sea turtles release in Hong Kong
8. 1 *Arapaima gigas* donated to Artis Zoo, Amsterdam

*How about Humphead Wrasse???*

**Public Education**

**Case:**
- Frequent trade in Endangered Species between the border of HKSAR and Guangdong province;
- Hong Kong Traders are not familiar with the regulations in the Mainland;
- Annual Trader seminars co-organized by the Management Authorities in Guangzhou and HKSAR;
Training on Implementation of CITES

**Cases:**
- Mekong River Sub-regional meeting (2004)
- Training workshop organized for the CITES MA of Laos (2005).
- CITES Implementation Training Class for different CITES MA offices (2006)
- Identification workshops organized by the CITES MA in Mainland for HKSAR (Annual).

This Humphead Wrasse Workshop?

~ Q & A ~

5-7/6/2006
Endangered Species Protection Division
Agriculture, Fisheries and Conservation Department
CITES Management Authority of Hong Kong SAR, China
CITES collaboration

Voluntary – enhance existing CITES infrastructure
- Collaboration and communication
- Capacity building and training

Obligatory – using the CITES toolkit
- Resolutions [long term]
- Decisions [short term]
- Review of Significant Trade [short term]

Enhance existing CITES infrastructure

- CITES capacity building materials and training workshops
  - Primary CITES resources
  - Training packages for Scientific Authorities
  - Self training course for Customs officers
- Role of proponents in facilitating compliance with the listing [identification]
- Bring HHW to the attention of Animals Committee, Standing Committee or Conference of the Parties

Externally funded projects

- Parties can ask the Secretariat for support in undertaking scientific work related to CITES
- Resolution Conf. 12.2: Procedure for approval of externally funded projects

CRITERIA FOR PROJECT DEVELOPMENT:

a) priority areas:
   i) compilation of scientific information on species
   ii) protection, conservation or management schemes
   iii) scientific and legal advice
   iv) development of legal, trade and economic policies
   v) training packages for implementation and enforcement
   vi) assistance to developing countries
b) proposals for projects should be directed towards the areas of greatest need
c) projects that are technical studies for species in abundance that are not perceptibly threatened by actual or potential trade are not consider a priority
Resolutions

• A number of Resolutions deal with the conservation of and trade in particular species, and are aimed at improving conservation, combating illegal trade, ensuring non-detrimental trade where possible, and strengthening enforcement

• Examples relevant to Asia:

  Appendix II
  - Sturgeons: Resolution Conf. 12.7 (Rev. CoP13)
  - Bears: Resolution Conf. 10.8 (Rev. CoP12)
  - Tortoises & freshwater turtles: Resolution Conf. 11.9 (Rev. CoP13)
  - Musk deer: Resolution Conf. 11.7
  - Sharks: Resolution Conf. 12.6
  - Stony corals: resolution Conf. 10.10 (Rev. CoP12)

  Appendix I
  - Elephants: Resolution Conf. 10.10 (Rev. CoP12)
  - Markhor: Resolution Conf. 10.15 (Rev. CoP12)
  - Tibetan antelopes: Resolution Conf. 11.8 (Rev. CoP13)
  - Tigers and Asian big cats: Resolution Conf. 12.5

Conf. 12.7 (Rev. CoP13) - sturgeon

• Resolution Conf. 12.7 on Conservation of and trade in sturgeons and paddlefish

• The Conference of the Parties requires the establishment of harvest and export quotas at a bio-geographic level, and a regional conservation strategy and monitoring regime, for the exploitation of wild sturgeon stocks shared between different range States [Caspian Sea; lower Danube River; Amur River]

• These rules do NOT apply to endemic stocks or specimens from aquaculture operations

Conf. 12.7 (Rev. CoP13) - sturgeon

• For annual catch and export quotas:
  - The Secretariat confirms that catch and export quotas have been agreed by all relevant range States on the basis of information provided by 30 November on the status of stocks of the species concerned
  - The Secretariat communicates quotas for the following year by 31 December
  - Otherwise, Parties should not import sturgeon specimens from these range States

• Range States have to collaborate with the Secretariat to implement every 3 years, starting in 2006, evaluations of the implementation of regional conservation strategies and monitoring regime by appropriate experts, and respond to the results accordingly

Decisions

• At each CoP, Parties adopt several Decisions dealing with the conservation of and trade in particular taxa

• Typically, these require short-term actions and need to be implemented by the next CoP [e.g. CoP13 (2004) to CoP14 (2007)]

• Decisions are usually directed to Parties, the Standing Committee, the Scientific Committees, or the CITES Secretariat

• At CoP13 on: African and Asian rhinos, elephants, saiga antelope, tortoises and freshwater turtles, sharks, sturgeons and paddlefishes, sea cucumbers, medicinal plants, tree species, bigleaf mahogany, agarwood-producing taxa,
Decisions

- Saiga antelope: Decisions 13.27 to 13.35
  - Important consumer and trading countries to report on saiga horn stockpiles and steps taken to control legal and illegal trade
  - Range States (Kazakhstan, Mongolia, Russian Federation, Turkmenistan, Uzbekistan) to sign CMS ‘Memorandum of Understanding concerning Conservation, Restoration and Sustainable Use of the Saiga Antelope’ and implement the associated Saiga Action Plan
  - China to research status of wild population of Saiga tatarica

- Tortoises and freshwater turtles: Decisions 13.36 & 13.37
  - Secretariat to liaise with World Customs Organization for specific customs headings; to disseminate proceedings of a technical workshop on conservation of and trade in freshwater turtles and tortoises

Decisions

- Bigleaf mahogany: Decisions 13.55 to 13.59
  - Plants Committee to oversee BM Working Group, composed of range States and major importers
  - Range States to adopt management plans, promote forest inventories and develop capacity building programmes

- Agarwood-producing taxa: Decisions 13.61 to 13.65
  - Parties to support DNA identification work; undertake or support research on dynamics of trade in all agarwood producing taxa (not only Aquilaria malaccensis)
  - Secretariat to invite IUCN to evaluate threats to all agarwood producing taxa; obtain funding for capacity building workshop; look at labeling systems; collect information on identification and the making of non-detriment findings

- Other examples:
  - Determine size or age classes of specimens to be allowed in trade (sea horses; tortoises; …)
  - Provide guidance on marking and identification of specimens in trade (crocodilians, caviar, …)
  - Convene technical workshops (tortoises and freshwater turtles, sea horses, sea turtles, …)
  - Undertake targeted research; produce guidance and discussion papers
  - Instructions to collaborate with other agencies or expert organizations

Non-detriment requirement

- The principal requirement of managing wildlife for international trade in the context of CITES is that exports should be legal and not detrimental to the survival of the species in the wild – i.e. should be sustainable

Causes of unsustainable trade

- Two important causes of unsustainable trade in Appendix-II species are:
  - Unauthorized or illegal trade occurring parallel to legal trade
  - Inadequately managed or excessive legal trade
  - SA not asked to advise on safe levels of exports; lack of expertise and management planning; inadequate scientific information; levels of off-take set too high; ‘non-detriment’ finding incorrect, arbitrary, market-driven, or not made at all; monitoring of wild population to determine impact of harvesting for trade ineffective or absent; MA issued export permits contrary to SA advice
  - The causes of unsustainable trade are usually complex and closely related to general problems in environmental protection, national development, socio-economic and political context, and governance

Corrective measures

- CITES provides for a number of corrective mechanisms when it appears that authorized Appendix-II trade may be detrimental to wild populations:
  - Regular review of levels of trade in Appendix-II species that are reported by the Parties and requesting Parties to take corrective measures where necessary [Res. Conf. 12.8 (Rev. CoP13)]
  - Adoption of specific Resolutions or Decisions
  - Quotas to limit export levels (can be established by Parties, the COP or the Standing Committee)
  - Transfer from Appendix II to Appendix I to halt all further commercial trade (e.g. at CoP13 Cacatua sulphurea, Ptyxis planicauda)
Review of Significant Trade – the process

- Reviews undertaken by Animals or Plants Committees:
  - identify Appendix-II species traded at “significant” levels i.e. problematic vs. their conservation status (CITES trade data)
  - evaluate whether trade could be detrimental to wild populations in exporting countries (in consultation with range States, experts and the Secretariat)
  - make time bound recommendations to range States where trade appears problematic
- Compliance evaluated by the Secretariat, in consultation with AC/PC Chairman
- Standing Committee decides on outcome of review process:
  - When recommendations are met, range State removed
  - In case of non-compliance, appropriate actions will be proposed (may include trade suspensions)

Example

Strombus gigas

- Selection of Strombus gigas by AC in 2001:
  - First review in 1995
  - Large domestic, regional and international trade primarily from the wild
  - National and regional management? Trade monitoring and reporting? Illegal trade?
  - Compilation of trade and conservation information; consultation with range States in 2002-03
  - Meeting with 16 range States in Dec. 2003 to discuss provisional evaluation
  - Standing Committee already agreed to ban trade where insufficient compliance

Evaluation of implementation
- Categorization and formulation of recommendations by AC in 2003
  - 13 ‘urgent concern’ [DO, HN, HT]
  - 13 ‘possible concern’

Implementation by range States of recommendations
- [Aug. 2003-Sep. 05]

AC recommendations concerning Strombus gigas (1)

- Timeframes for implementation ranging from 4 weeks to 24 months, including:
  - Establish a standardized minimum weight of unprocessed and processed meat that corresponds to adult specimens
  - Design and implement a fishery data collection programme to collect catch and effort data
  - Design and implement a long-term population monitoring programme to provide reliable estimates of adult and juveniles densities within commercial fishing areas
  - Consider and implement a regional management regime, including cooperative quota setting, improved law enforcement capacities, population assessments and other research relating to the management of Strombus gigas
AC recommendations concerning Strombus gigas (2)

- Timeframes for implementation ranging from 4 weeks to 24 months, including:
  - Establish cautious catch and export quotas
  - Apply adaptive management procedures to ensure that further decisions about harvesting and management of the species will be based on the monitoring of the impact of previous harvesting and other factors
  - For species of urgent concern [Dominican Republic; Haiti; Honduras]: establish a moratorium on the commercial harvest and the international trade of Strombus gigas until better management is in place

Strombus gigas outcome

- Most countries complied: some undertook major research, developed new legislation, moratoria or closures for three most problematic countries, etc.
- Identification of strengths and weaknesses in management, research and enforcement; model practices
- Manual for the management of S. gigas by FAO, incorporating research and management results of sig trade review
- Enhanced collaboration at regional level between range States, between regional and international fisheries agencies, etc.; awareness raising; attention from policy perspective
- An example of a natural resource that can be commercially traded internationally in a non-detrimental, legal and profitable way with direct benefits to local communities and revenues reinvested in conservation and management
- How to maintain ‘momentum’ and regional collaboration

Review of Significant Trade — a CITES Safety Net

- The Review of Significant Trade is a multilateral process involving a high degree of consultation and cooperation
- The Review can result in temporary punitive measures, but species remain in Appendix II and range States can eventually resume trade when the management is improved
- The Review removes the need for importing States to apply stricter domestic measures
- If the appropriate corrective measures are taken, the Review prevents that species becoming eligible for inclusion in Appendix I
- The Review can provide assistance to exporting countries (such as field studies, capacity building, etc.)

Review of Significant Trade

- The Review of Significant Trade has resulted in:
  - Population surveys followed by revised, more sustainable levels of export
  - Limitations of the kind of specimens to be exported
  - Marking obligations
  - Improved legislation
  - Controllable harvesting and export quotas
  - Regional conservation strategies
  - Management and monitoring programmes for species to be exported
  - National CITES Implementation Action Plan [Madagascar]
  - Collaboration with and strengthening of regional conservation and trade agreements
  - Export bans
NAPOLEON FISH (HUMPHEAD WRASSE) *Cheilinus undulatus*

*Map* shows global distribution of the humphead wrasse (Napoleon fish) – the species occurs in the areas shown by the thick lines. *Body shape and colour* change markedly with growth. All phases have a pair of distinctive lines running through the eye (see *arrow* and note that the lines are more distinct behind the eye and in juveniles; these marks are not found in any similar wrasses)

*Photos on reverse side:* (a) small juveniles are light with dark bands; (b) larger juveniles are pale green; (c) adults are olive to green; (d) the largest fish have pronounced forehead and are blue-green. Most fish (except (a)) have bright yellow dorsal margin to caudal fin.

*Note:* there are two related species that can be distinguished as follows. (1) *do not* have the strong eye stripes or a distinct bright yellow dorsal edge to the caudal fin (2) *do have* rows of white spots (C. chlorourus) (3) *do have* pink dots and rows (C. trilobatus) *(Photographs by kind courtesy of J.E. Randall [a,b,c] and R. F. Myers [d].).*

*Courtesy: Groupers and Wrasses Specialist Group, IUCN (www.humpheadwrasse.info)*