



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

Organizers



Species & Marine Specialist Group



Final Report

**Western Pacific Workshop on Policy, Enforcement and
Sustainable Trade for the CITES Appendix II – listed
Humphead/Napoleon Wrasse, *Cheilinus undulatus*
5 - 7 June 2006**

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Organising committee

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Table of Contents

	Page
1. Executive Summary	1
2. Workshop Document	5
3. Workshop Agenda	9
4. Recommendations of Regional Cooperation	13
5. Meeting Notes	17
6. Participants Contact List	41

Annexes

Annex 1	CITES Secretariat Presentation – 05 June 2006	i
Annex 2	IUCN Presentation – 05 June 2006	vii
Annex 3	Indonesia Presentation – 05 June 2006	x
Annex 4	Malaysia Presentation – 05 June 2006	xiii
Annex 5	Philippines Presentation – 05 June 2006	xvii
Annex 6	Papua New Guinea Presentation – 05 June 2006	xx
Annex 7	China Presentation – 05 June 2006	xxiii
Annex 8	China Hong Kong SAR Presentation – 05 June 2006	xxvii
Annex 9	Malaysia Presentation – 06 June 2006	xxxi
Annex 10	Indonesia Presentation – 06 June 2006	xxxiii
Annex 11	IUCN Mariculture Presentation – 06 June 2006	xxxvii
Annex 12	IUCN Non-detriment Finding Presentation – 06 June 2006	il
Annex 13	FAO Presentation – 06 June 2006	ilv
Annex 14	IUCN-TRAFFIC-WWF Presentation – 07 June 2006	ilix
Annex 15	China Hong Kong SAR Presentation – 07 June 2006	lii
Annex 16	CITES Secretariat Presentation – 07 June 2006	lv
Annex 17	Humphead wrasse Identification guide	

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 temporally 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 Document

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;

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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

	Activities	Presenter
Morning		
8:30	Registration	
9:00	Opening speech, introduction of organisers and participants	WWF, JNC, AFCD, IUCN, TRAFFIC
9:30	Background of CITES	CITES Secretariat
9:45	Background to the CITES Appendix II listing to Humphead wrasse	IUCN
10:00	Coffee Break	
10:30	<p><u>Implementation of CITES for Humphead wrasse (I):</u> <i>Exporting country/region</i> Report of existing or future policies, legislation, enforcement and trade data management on the implementation and challenges in relation to the Humphead wrasse</p> <p>(15 min for each speaker / presentation with about 10 slides)</p>	Presentation sequence is in alphabetical order: China, Indonesia, Malaysia, Papua New Guinea and the Philippines
12:30	Lunch	
Afternoon		
1:30	<p><u>Implementation of CITES for Humphead wrasse (II):</u> <i>Importing and re-exporting country/region</i> Report of existing or future policies, legislation, enforcement and trade data management on the implementation and challenges in relation to the Humphead wrasse</p> <p>(15 min for each speaker / presentation with about 10 slides)</p>	Presentation sequence is in alphabetical order: China, Hong Kong SAR
2:00	Plenary discussion	All
3:00	Coffee Break	

<u>Market and Trade trend of Humphead wrasse:</u>		
3:30	Traders to introduce their trade practices for Humphead wrasse, or live coral reef fish, <ul style="list-style-type: none"> ♦ 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. 	Hong Kong Chamber of Seafood Merchants Limited
4:00	Plenary discussion	All
5:00	End of day 1	
6:30	Dinner hosted by the organisers	All

Day 2

	Activities	Presenter
Morning		
<u>Fisheries of Humphead wrasse and Non-detriment finding model of Humphead wrasse in Indonesia (I)</u>		
9:00	Coral reef fisheries of Humphead wrasse in sources country/region (10 min for each speaker) (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)	Presentation sequence is in alphabetical order: China, Indonesia, Malaysia, Papua New Guinea and the Philippines
9:50	Update on mariculture / grow-out of Humphead wrasse	IUCN
10:10	Plenary discussion	All
10:45	Coffee Break	
<u>Fisheries of Humphead wrasse and Non-detriment finding model of Humphead wrasse in Indonesia (II)</u>		
11:15	Report of NDF model in Indonesia for Humphead wrasse	Indonesia delegates and IUCN
11:30	Presentation of NDF model	FAO & IUCN

12:15	Plenary discussion on issues relating to the adoption of the NDF model including issues raised in the February Humphead wrasse workshop in Indonesia, particularly in relation to NDF model	All
1:00	Lunch	
Afternoon 2:00	Field visit – The Aberdeen Wholesale fish market and Atoll reef of Ocean Park	All
5:00	End of Day 2 Dinner: Free time	

Day 3

	Activities	Presenter
Morning		
	<u>Further co-operation on the implementation of CITES for Humphead wrasse (I)</u>	
9:00	Regional conservation work on Humphead wrasse	WWF and TRAFFIC
9:30	Sharing of successful global or regional stories on bilateral co-operation on implementation of CITES	CITES Secretariat
10:15	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.	All
10:45	Coffee Break	
	<u>Further co-operation on the implementation of CITES for Humphead wrasse (II)</u>	
11:15	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).	All
12:00	Statement of Cooperation Participants will be invited to review the draft Statement of Cooperation and comment on the	All

	contents of the statement for finalization and possible ratification at the end of the workshop.	
	Wrap up session	WWF
12:30	Ending speech & Souvenir presentation	All
12:45	Group photo.	All
1:15	Lunch	
Afternoon		
2:00	Side meetings	

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.

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- 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. Recommendation 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. Recommendations 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

1. Guangzhou Branch Office of the Endangered Species Import and Export Management Office, China
2. Division of Aquatic Wild Fauna and Fauna, China Fishery Law Enforcement Command, Aquatic Wild Fauna and Flora Administrative Office, Ministry of Agriculture, China
3. Resources and Environment Administration Division, Guangdong Provincial Bureau of Ocean and Fisheries, China
4. Guangdong Sub-Administration General Administration of Customs, China Customs, China
5. Agriculture, Fisheries and Conservation Department, Hong Kong SAR, China
6. Fish Marketing Organization, Hong Kong SAR, China
7. Customs & Excise Department, Hong Kong SAR, China
8. Research Center of Oceanography, Indonesian Institute of Science, Indonesia
9. Oceanography Research Centre of Indonesia, National Institute of Science, Indonesia
10. Centre for Fish Quarantine, Ministry of Marine Affairs and Fisheries, Indonesia
11. Directorate General of Marine Coast, and Small Islands, Directorate Conservation and Marine National Park, Ministry of Marine Affairs and Fisheries, Indonesia
12. Fish Health & Quarantine Section, Department of Fisheries, Malaysia,
13. Licensing & Resources Management Division, Department of Fisheries, Malaysia,
14. Department of Fisheries, Sabah, Malaysia
15. National Fisheries Authority, Papua New Guinea
16. Department of Agriculture, Bureau of Fisheries and Aquatic Resources, Philippines
17. Research and Policy Division, Office of the President, Palawan Council for Sustainable Development, Philippines
18. Scientific Support Unit, CITES Secretariat
19. Fishery Resources Division, UN FAO
20. Hong Kong Chamber of Seafood Merchants Ltd, Hong Kong SAR, China
21. IUCN Species Survival Commission, Specialist Group for Groupers and Wrasses,
22. TRAFFIC Southeast Asia
23. TRAFFIC East Asia
24. WWF Indonesia
25. WWF Hong Kong
26. WWF Malaysia
27. WWF Philippines

5. Meeting Notes

Rapporteurs: William Cheung, Craig Kirkpatrick, Yvonne Sadovy, Andrew 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 but it cannot be Humphead wrasse because all Humphead wrasse come from the wild*]. 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 are 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.

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- 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).

[Post notes: Update of “Stage 2”: As Humphead wrasse is listed on CITES Appendix II, the management of this species will be treated as endangered aquatic wild animal under China’s “Wild Animal Protection Law” and the “Aquatic Wild Animal Protection Regulation”. Fishing/capture, transporting, captive breeding, trading, imports and exports of Humphead wrasse must have the approval and relevant permits issued from the Administration of Fisheries of China. Furthermore, imports and exports of Humphead wrasse require relevant permits issued from CITES Management Authority of 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 find out the presence of Humphead wrasse when it is mixed with other fish species in the shipment (imports/exports).
- Major cites for trade in the Humphead wrasse are Hong Kong, Guangzhou, Hanzhou, Beijing, Dalian. The prices for this species between 2000 and 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 latter 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 Humpheads 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.

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- 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 specially 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

International Cooperation on Implementation of CITES Presentation

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

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 a 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?

Acronyms

AFCD	Agriculture, Fisheries and Conservation Department, Hong Kong Special Administrative Region Government
ASEAN	Association of Southeast Asian Nations
ASEAN+3	Association of Southeast Asian Nations +3 countries (China, Japan and Republic of Korea)
Chamber	The Hong Kong Chamber of Seafood Merchants Ltd
CITES	Convention on International Trade in Endangered Species of Wild Flora and Fauna
FAO	United Nation Food and Agriculture Organisation
IUCN	The World Conservation Union
MA	Management authority
NDF	Non-detriment finding
NGO	Non-government organisation
PNG	Papua New Guinea
PRC	The Peoples Republic of China
SCRFA	Society for the Conservation of Reef Fish Aggregations
TRAFFIC	The Wildlife Trade Monitoring Network
UVC	Underwater visual census
WWF	World Wide Fund for Nature

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