

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



Thirtieth meeting of the Animals Committee  
Geneva (Switzerland), 16-21 July 2018

Interpretation and implementation matters

General compliance and enforcement

Captive-bred and ranched specimens

NON-DETRIMENT FINDINGS FOR SPECIMENS  
WITH SOURCE CODES W, R AND F

1. This document has been submitted by the Chair of the Animals Committee on behalf of the intersessional working group on captive breeding.\*

Background

2. At its 17th meeting (CoP17, Johannesburg, 2016), the Conference of the Parties adopted Decisions 17.101 to 17.107 on *Captive-bred and ranched specimens* (see document AC29 Doc. 14.1), including Decision 17.104 which relates to non-detriment findings for such specimens and reads as follows:

***Directed to the Animals Committee***

**17.104** *Subject to available resources, the Animals Committee shall review the differences in the nature of non-detriment findings made for specimens with source code W, R and F and provide guidance for Parties, to be sent to the Secretariat for inclusion in the section for non-detriment findings on the CITES website referred to in Resolution Conf. 16.7 (Rev. CoP17) on Non-detriment findings.*

3. The following definitions apply to the source codes referred to in Decision 17.104:

Source code	Definition
W	Specimens taken from the wild
R	Ranched specimens, which are specimens of animals reared in a controlled environment, taken as eggs or juveniles from the wild, where they would otherwise have had a very low probability of surviving to adulthood
F	Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof

\* *The geographical designations employed in this document do not imply the expression of any opinion whatsoever on the part of the CITES Secretariat (or the United Nations Environment Programme) concerning the legal status of any country, territory, or area, or concerning the delimitation of its frontiers or boundaries. The responsibility for the contents of the document rests exclusively with its author.*

4. There is an obligation on the Scientific Authority of an exporting country to provide advice, or make a non-detriment finding (NDF) for trade in specimens using source codes W, R and F. However, the risks to, and impacts on wild populations of harvesting and trade activities may be different for the three sources, and this could be reflected in NDF guidance for Parties.
5. To address Decision 17.104, the Animals Committee, at its 29th meeting, formed an intersessional working group with the following membership and mandate:

**Membership:**

Chair: the AC Chair (Mr. Lörtscher);

Parties: Canada, China, European Union, France, Hungary, Kenya, Netherlands, South Africa, Spain, Switzerland, United Kingdom of Great Britain and Northern Ireland and United States of America; and

IGOs and NGOs: United Nations Environment Programme-World Conservation Monitoring Centre (UNEP-WCMC), International Union for Conservation of Nature (IUCN); Born Free Foundation, Center for Biological Diversity, Humane Society International, International Fund for Animal Welfare (IFAW), Lewis and Clark College - International Environmental Law Project, Natural Resources Defense Council, Parrot Breeders Association of Southern Africa (PASA), Species Survival Network, TRAFFIC, Wildlife Conservation Society, World Animal Protection, and World Wildlife Fund (WWF).

**Mandate:**

- a) Compare and contrast the nature of non-detriment findings (NDFs) for specimens originating from production systems that meet the definitions of source codes R and F, with NDFs for specimens originating from the wild (source code W) using case studies, existing guidance and input from Parties, as follows:
    - i) Case studies should be compiled representing a wide variety of life histories, life stages, and production systems from terrestrial and marine species. Examples could include: amphibians, reptiles, butterflies, corals, humphead wrasse, giant clam, queen conch, etc;
    - ii) Consider existing guidance that may be applicable to NDFs for source codes R and F, including NDF guidance on tortoises and freshwater turtles that is contained in AC28 document 15.2, and NDF guidance for snakes contained in document AC29 Doc. 31.1, or any other existing guidance; and
    - iii) Solicit and consider input from Parties on NDFs for source codes R and F, including examples, guidance, or concerns/issues that have arisen in their country during the course of implementation of the Convention.
  - b) Based on the review and analysis above, develop draft guidance on making NDFs for specimens from source codes R and F for consideration by the Animals Committee or the consultant through an intersessional working group.
8. The Secretariat was not able to secure funding for a consultant to support the Animals Committee in the implementation of this Decision by collecting a broad range of examples of NDFs for specimens from source code F and R, comparing these with NDFs for species from wild origin, and formulating findings for consideration by the Animals Committee or its intersessional working group. However, the Secretariat did provide some support to the intersessional working group in terms of moving the work forward.

Case studies

9. An analysis of the CITES trade database for the period 2012 to 2017 identified the species that were traded under source code R and purpose code T (trade). The results are presented in Annex 1 to this document. Only records of direct exports were included in this list. The exporting countries are indicated for each species. As appropriate, documents concerning non-detriment findings (NDFs) pertaining to the species or taxa concerned are also indicated.

10. Annex 1 highlights the range of taxa and life forms that are traded under the ranching source code (R), including sturgeons, eels, amphibians, birds, mammals, corals, reptiles (including snakes, chameleons, tortoises and turtles), butterflies, scorpions and queen conch. Annex 1 does not make any comment as regards to whether source code R is appropriate for a particular species. It also shows the lack of guidance for Parties in relation to NDFs for many of the species listed.
11. To assist the work of the intersessional working group, the Secretariat issued [Notification No. 2018/032](#) in March 2018, inviting Parties that have made NDFs or produced guidance for trade in specimens with source codes R or F to submit any relevant information to the Secretariat. The Notification also invited Parties to highlight any concerns or issues that may have arisen in relation to the making of NDFs for trade in specimens from source codes R or F. At the time of writing, three Parties had responded to this Notification (Australia, Colombia and Mexico). These responses are included in Annex 2 in the language in which they were submitted.

#### Existing guidance

12. The intersessional working group was also tasked with collating any existing guidance relating to NDF. Specific guidance that has been reviewed and approved by the Animals Committee is available for tortoises and freshwater turtles (see document AC28 Doc. 15.2) and for snakes (document AC29 Doc. 31.1). More generic guidance on making NDFs is found in the IUCN checklist ([Rosser and Haywood, 2002](#)). Further NDF guidance of a variety of species is available from the CITES website, (see <https://www.cites.org/eng/prog/ndf/index.php>).
13. Resolution Conf. 16.7 (Rev. CoP17) on *Non-detriment findings* notes “that because of the great variety of taxa, life forms and biological characteristics of species included in Appendices I and II, there are various ways a Scientific Authority can make non-detriment findings” and states that the Conference of the Parties is “aware of the challenges that Parties face when making scientifically-based non-detriment findings, and that the sharing of guiding principles and experience for making such findings would improve implementation of Articles III and IV of the Convention”.
14. One of the more comprehensive resources for NDFs came from the international Expert Workshop on CITES Non-Detriment Findings that was hosted by Mexico in Cancun in 2008. The workshop generated guidance on NDFs for a wide range of CITES-listed taxa, including some that are listed on Annex 1 and outputs were discussed at the 15th meeting of the Conference of the Parties (Doha, 2010; see documents CoP15 Doc. 16.2.2 and CoP15 Doc. 16.3). The Secretariat has since collated a significant number of NDF reports on trade in various species that are available on the CITES website, however there are less than 40 concerning animal species.
15. Although guidance exists on the application of source codes: <https://cites.org/sites/default/files/eng/com/sc/66/E-SC66-41-01-Annex4-ALL.pdf>, it appears that the code for ranching remains somewhat problematic and may still be inappropriately applied by some Parties.
16. A quick examination of the CITES trade database for the period 2012 to 2016 indicates that there are a large variety of taxa being traded under source code F. The most commonly traded species are corals, birds of prey and reptiles. Interestingly, there is quite a bit of overlap with taxa that are frequently traded under source code R.

#### Discussion

17. The document on “Application of CITES source codes - Key 1”, which was submitted to the 66th meeting of the Standing Committee as document [SC66 Doc. 41.1 Annex 4](#), provides guidance to Parties on when to apply the various source codes. The document explains that CITES defines the term “ranching” as the rearing in a controlled environment of animals taken as eggs or juveniles from the wild, where they would otherwise have had a very low probability of surviving to adulthood. Although the ranching definition was already amended to be more specific in Resolution Conf. 11.16 (Rev. CoP15) when applied to *ranching and trade in ranched specimens of species transferred from Appendix I to Appendix II*, it still contains several ambiguous terms that are open to interpretation or may result in miss-declaration of the source if not well defined. As such, what constitutes “a very low probability of surviving to adulthood” or “rearing in a controlled environment” can be interpreted differently by different Parties. Overall, it remains unclear if source codes R and F are correctly used by the Parties.

18. The scale of the review, the apparent lack of case studies (with available NDFs), and the lack of existing guidance for NDFs for species that originate from sources R or F, made the mandate of the inter-sessional working group impossible to complete in the limited time available. The working group acknowledges the need to look at the issue in a more comprehensive way and in that regard draws the Committee's attention to Document [AC29 Doc. 10/PC23 Doc. 11.01](#) and the proposal by the Secretariat to systematically review the NDF materials and guidance that are currently available to the Parties, identify gaps and needs, and organise one or more expert workshops to develop any new or updated materials required. The Secretariat intends to develop draft decisions in this regard for consideration by the Conference of the Parties at its 18th meeting (CoP18, Sri Lanka, 2019) to convene a NDF workshop.

#### Recommendations

19. The Animals Committee is invited to:
- a) note the information in this document;
  - b) request the Secretariat to continue to seek case studies from Parties identified in the table in Annex 1 as trading in species using the source code R; and
  - c) request the Secretariat to include a comparative review of specimens from source codes F and R with those taken from the wild (source code W) as well as the development of NDF guidance when using those source codes in the agenda of any NDF workshop that might be mandated by the 18th meeting of the Conference of the Parties.

**Cases where source code R has been used with purpose T (trade)  
(Extracted from CITES trade database for 2012-2017; re-exports have been excluded).**

<b>Taxon</b>	<b>Exporter</b>	<b>NDF or relevant case study available (*specific to ranching)</b>
<b>MAMMALS</b>		
<i>Chlorocebus aethiops</i>	SY	
<i>Civettictis civetta</i>	ET	
<i>Damaliscus pygargus</i> ( <i>pygargus</i> )	NA (ZA)	
<i>Equus zebra hartmannae</i>	ZA	
<i>Eryx tataricus</i>	UZ	
<i>Hippopotamus amphibius</i>	MW	
<i>Kobus leche</i>	NA ZM	
<i>Loxodonta africana</i>	ZA ZW	
<i>Lycalopex griseus</i>	AR	
<i>Ovis ammon</i>	GR	
<i>Panthera leo</i>	MW	Case study by Tanzania at Cancun NDF workshop (2008). <a href="https://cites.org/sites/default/files/ndf_material/WG5-CS1.pdf">https://cites.org/sites/default/files/ndf_material/WG5-CS1.pdf</a> <a href="https://cites.org/sites/default/files/ndf_material/WG5-CS1-P.pdf">https://cites.org/sites/default/files/ndf_material/WG5-CS1-P.pdf</a> <a href="https://cites.org/sites/default/files/ndf_material/WG5-CS1-A.pdf">https://cites.org/sites/default/files/ndf_material/WG5-CS1-A.pdf</a>
<b>BIRDS</b>		
<i>Amazona aestiva</i>	AR BH BO	
<i>Myiopsitta monachus</i>	UY	See AC24 Doc 8.1: <a href="https://www.cites.org/sites/default/files/eng/com/ac/24/E24-08-01.pdf">https://www.cites.org/sites/default/files/eng/com/ac/24/E24-08-01.pdf</a>
<i>Pavo cristatus</i>	CN	
<i>Phoenicopterus ruber (ruber)</i>	CU	See AC24 Doc 8.1: <a href="https://www.cites.org/sites/default/files/eng/com/ac/24/E24-08-01.pdf">https://www.cites.org/sites/default/files/eng/com/ac/24/E24-08-01.pdf</a>
<i>Psittacus erithacus</i>	TG	Case study submitted by Guinea to Cancun NDF workshop (2008). <a href="https://cites.org/sites/default/files/ndf_material/WG5-CS1-P.pdf">https://cites.org/sites/default/files/ndf_material/WG5-CS1-P.pdf</a> <a href="https://cites.org/sites/default/files/ndf_material/WG6-CS1-S.pdf">https://cites.org/sites/default/files/ndf_material/WG6-CS1-S.pdf</a>
<i>Rupicola peruvianus</i>	PA	
<b>REPTILES</b>		
<i>Alligator mississippiensis</i>	BJ CH TG US	
<i>Caiman crocodilus</i>	AR BO BR IT	
<i>Caiman crocodilus fuscus</i>	CO	

<i>Caiman crocodilus yacre</i>	AR BO BR BZ	
<i>Caiman latirostris</i>	AR CH	
<i>Calabaria reinhardtii</i>	BJ GH TG	
<i>Centrochelys sulcata</i>	BJ GH TG	
<i>Chamaeleo gracilis</i>	BJ GH TG TJ	
<i>Chamaeleo senegalensis</i>	BJ GH TG TJ	
<i>Crocodylus moreletii</i>	MX	
<i>Crocodylus niloticus</i>	BW CL ES ET FR IL IT KE MW MZ NA NP SG UG ZM ZW	Case study from Kenya at Cancun NDF workshop (2008). <a href="https://cites.org/sites/default/files/ndf_material/WG7-CS1.pdf">https://cites.org/sites/default/files/ndf_material/WG7-CS1.pdf</a> <a href="https://cites.org/sites/default/files/ndf_material/WG7-CS1-P.pdf">https://cites.org/sites/default/files/ndf_material/WG7-CS1-P.pdf</a>  For Tanzania see also AC24 Doc 8.1: <a href="https://www.cites.org/sites/default/files/eng/com/ac/24/E24-08-01.pdf">https://www.cites.org/sites/default/files/eng/com/ac/24/E24-08-01.pdf</a>
<i>Crocodylus novaeguineae</i>	ID IT	
<i>Crocodylus porosus</i>	AT AU CH FR GB ID IT JP KR SG	Wildlife Trade Management Plan for the Saltwater Crocodile ( <i>Crocodylus porosus</i> ) in the Northern Territory of Australia, 2016-2020 (DOCX - 721.11 KB)
<i>Cuora mouhotii</i>	VN	
<i>Geochelone elegans</i>	SY	
<i>Gongylophis muelleri</i>	BJ TG	
<i>Heosemys annandalii</i>	VN	
<i>Heosemys grandis</i>	VN	
<i>Iguana iguana</i>	PA	
<i>Indotestudo elongata</i>	VN	
<i>Kinixys belliana</i>	BJ GH TG	
<i>Kinixys erosa</i>	BJ TG	
<i>Kinixys homeana</i>	BJ GH TD TG	
<i>Kinyongia boehmei</i>	KE	
<i>Malayemys subtrijuga</i>	VN	
<i>Manouria impressa</i>	VN	
<i>Podocnemis unifilis</i>	PE	<a href="https://cites.org/sites/default/files/ndf_material/DENP-de-Taricayas-C.N.-Musakarusha-2015.pdf">https://cites.org/sites/default/files/ndf_material/DENP-de-Taricayas-C.N.-Musakarusha-2015.pdf</a>
<i>Python bivittatus</i>	VN	
<i>Python regius</i>	BJ CA GH TG TJ	For Ghana see AC24 Doc 8.1: <a href="https://www.cites.org/sites/default/files/eng/com/ac/24/E24-08-01.pdf">https://www.cites.org/sites/default/files/eng/com/ac/24/E24-08-01.pdf</a>
<i>Python reticulatus</i>	FR VN	
<i>Salvator merinae</i>	AR	

<i>Salvator rufescens</i>	AR	
<i>Siebenrockiella crassicollis</i>	VN	
<i>Stigmochelys pardalis</i>	MZ	
<i>Testudo graeca</i>	ML SY TR	
<i>Testudo hermanni</i>	TR	
<i>Testudo horsfieldii</i>	DE UZ	For Uzbekistan See AC24 Doc 8.1: <a href="https://www.cites.org/sites/default/files/eng/com/ac/24/E24-08-01.pdf">https://www.cites.org/sites/default/files/eng/com/ac/24/E24-08-01.pdf</a>
<i>Testudo marginata</i>	TR	
<i>Trioceros ellioti</i>	KE	
<i>Trioceros hoehnelii</i>	KE	
<i>Trioceros jacksonii</i>	KE	
<i>Uromastyx aegyptia</i>	SY	Case study on <i>Uromastyx</i> spp. in Israel at Cancun NDF workshop (2008) <a href="https://cites.org/sites/default/files/ndf_material/WG7-CS5.pdf">https://cites.org/sites/default/files/ndf_material/WG7-CS5.pdf</a> <a href="https://cites.org/sites/default/files/ndf_material/WG7-CS5-A.pdf">https://cites.org/sites/default/files/ndf_material/WG7-CS5-A.pdf</a> <a href="https://cites.org/sites/default/files/ndf_material/WG7-CS5-P.pdf">https://cites.org/sites/default/files/ndf_material/WG7-CS5-P.pdf</a>
<i>Uromastyx geyri</i>	BJ TG	See above
<i>Uromastyx ocellata</i>	TG	See above
<i>Uromastyx ornata</i>	SY	See above
<i>Varanus albigularis</i>	BW	
<i>Varanus exanthematicus</i>	BJ GH TG TJ US	
<i>Varanus niloticus</i>	BJ GH IT TG	
<i>Varanus ornatus</i>	TG	
<i>Varanus salvator</i>	TG	
<b>AMPHIBIANS</b>		
<i>Agalychnis spurrelli</i>	EC	
<i>Dendrobates</i> spp.	EC	
<i>Epipedobates anthonyi</i>	EC	
<i>Epipedobates tricolor</i>	EC	
<i>Oophaga histrionica</i>	EC	
<i>Oophaga sylvatica</i>	EC	
<b>FISH</b>		
<i>Acipenser baerii</i>	FR	Case study at Cancun NDF workshop (2008) <a href="https://cites.org/sites/default/files/ndf_material/WG8-CS5.pdf">https://cites.org/sites/default/files/ndf_material/WG8-CS5.pdf</a> <a href="https://cites.org/sites/default/files/ndf_material/WG8-CS5-A.pdf">https://cites.org/sites/default/files/ndf_material/WG8-CS5-A.pdf</a> <a href="https://cites.org/sites/default/files/ndf_material/WG8-CS5-S.pdf">https://cites.org/sites/default/files/ndf_material/WG8-CS5-S.pdf</a>
<i>Acipenser gueldenstaedtii</i>	BG	As above

<i>Anguilla anguilla</i>	GR	Case study at Cancun NDF workshop (2008) <a href="https://cites.org/sites/default/files/ndf_material/WG8-CS2.pdf">https://cites.org/sites/default/files/ndf_material/WG8-CS2.pdf</a> <a href="https://cites.org/sites/default/files/ndf_material/WG8-CS2-A.pdf">https://cites.org/sites/default/files/ndf_material/WG8-CS2-A.pdf</a> <a href="https://cites.org/sites/default/files/ndf_material/WG8-CS2-A.pdf">https://cites.org/sites/default/files/ndf_material/WG8-CS2-A.pdf</a>
<i>Arapaima gigas</i>	BR	<a href="https://cites.org/sites/default/files/ndf_material/ArapaimaCITES2009.pdf">https://cites.org/sites/default/files/ndf_material/ArapaimaCITES2009.pdf</a> <a href="https://cites.org/sites/default/files/ndf_material/WG8-CS1-S.pdf">https://cites.org/sites/default/files/ndf_material/WG8-CS1-S.pdf</a>
<i>Huso dauricus x Acipenser schrenckii</i>	CN	See Acipenser.
<b>ARACHNIDS</b>		
<i>Pandinus imperator</i>	BJ GH TG TJ	
<b>INSECTS</b>		
<i>Ornithoptera aescus</i>	ID MY	
<i>Ornithoptera akakeae</i>	ID	
<i>Ornithoptera chimaera</i>	AU ID MY	
<i>Ornithoptera croesus</i>	AT AU ID MY	
<i>Ornithoptera goliath</i>	AT ID MY	
<i>Ornithoptera meridionalis</i>	AT ID MY	
<i>Ornithoptera paradisea</i>	AU ID	
<i>Ornithoptera priamus</i>	AT AU ID SB	
<i>Ornithoptera rothschildi</i>	ID	
<i>Ornithoptera tithonus</i>	AU ID MY	
<i>Ornithoptera victoriae</i>	IS SB	
<i>Trogonoptera brookiana</i>	ID MY PE	
<i>Troides amphrysus</i>	ID	
<i>Troides andromache</i>	ID	
<i>Troides criton</i>	ID	
<i>Troides cuneifera</i>	ID	
<i>Troides dohertyi</i>	ID	
<i>Troides halipron</i>	ID	
<i>Troides helena</i>	AU ID MY	
<i>Troides hypolitus</i>	ID	
<i>Troides Miranda</i>	ID	
<i>Troides oblongomaculatus</i>	ID	
<i>Troides plato</i>	ID	
<i>Troides prattorum</i>	ID	
<i>Troides vandepolli</i>	ID	



<b>GASTROPS</b>		
<i>Strombus gigas</i>	TC	Case study on this species from Colombia at Cancun NDF workshop (2008). <a href="https://cites.org/sites/default/files/ndf_material/WG9-CS3.pdf">https://cites.org/sites/default/files/ndf_material/WG9-CS3.pdf</a> <a href="https://cites.org/sites/default/files/ndf_material/WG9-CS3-P.pdf">https://cites.org/sites/default/files/ndf_material/WG9-CS3-P.pdf</a> <a href="https://cites.org/sites/default/files/ndf_material/WG9-CS3-S.pdf">https://cites.org/sites/default/files/ndf_material/WG9-CS3-S.pdf</a>
<b>CORALS</b>		
<i>Acanthastrea</i> spp.	ID	
<i>Acropora</i> spp.	ID	
<i>Australomussa rowleyensis</i>	ID	
<i>Echinophyllia</i> spp.	ID	
<i>Euphyllia paraancora</i>	ID	
<i>Leptoseris</i> spp.	ID	
<i>Lithophyllon</i> spp.	ID	
<i>Lobophyllia</i> spp.	ID	
<i>Montipora</i> spp.	ID	
<i>Oxypora</i> spp.	ID	
<i>Pectinia</i> spp.	ID	
<i>Scleractinia</i> spp.	ID	Case study at Cancun NDF workshop (2008) <a href="https://cites.org/sites/default/files/ndf_material/WG9-CS5.pdf">https://cites.org/sites/default/files/ndf_material/WG9-CS5.pdf</a> <a href="https://cites.org/sites/default/files/ndf_material/WG9-CS5-A.pdf">https://cites.org/sites/default/files/ndf_material/WG9-CS5-A.pdf</a> <a href="https://cites.org/sites/default/files/ndf_material/WG9-CS5-P.pdf">https://cites.org/sites/default/files/ndf_material/WG9-CS5-P.pdf</a> <a href="https://cites.org/sites/default/files/ndf_material/WG9-CS5-S.pdf">https://cites.org/sites/default/files/ndf_material/WG9-CS5-S.pdf</a>
<i>Symphyllia</i> spp.	ID	

**Australian response: CITES Notification 2018/032: Request for non-detriment findings with a focus on source codes R and F.**

Australia is grateful for the opportunity to respond to Notification 2018/032. Some of the content of this response was taken from Australia's response to Notification 2017/019 in relation to non-detriment findings more generally.

Australia considers that the sharing and publication of existing science based assessments of non-detriment findings will lead to improved outcomes in implementing Resolution Conf. 16.7 (Rev CoP17) including more consistent non-detriment findings for similar species. The publication of the scientific assessments will facilitate the sharing of scientific data amongst Parties and the scientific community more generally. Further, non-detriment findings involving shared or common populations and migratory species will be better informed by local, regional and international information and context.

We would welcome the Secretariat publishing on the CITES website any of the below information for the benefit of Parties.

Implementation of CITES and Australian non-detriment findings

CITES is given effect in Australia through Australia's national environment law, the *Environment Protection and Biodiversity Conservation Act 1999* (the EPBC Act). Part 13A of the EPBC Act provides for the assessment of the ecological sustainability of trade in regulated species, as well as the permitting and enforcement functions of CITES.

In accordance with Resolution 16.7 (Rev CoP17), export permits for specimens of species included in Appendices I and II may be granted only when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of the species (following a determination known as a 'non-detriment finding'). A non-detriment finding is therefore required prior to all exports of CITES-listed specimens, regardless of the purpose of trade. In Australia, a decision on what form the non-detriment finding should take is made on a case-by-case basis largely based on the conservation needs of the taxon, the management arrangements, and the scale of harvest and trade. This flexibility allows Australian authorities to apply the best format of non-detriment finding to the individual case.

All specimens of CITES species exported from Australia for commercial purposes must be sourced from a harvest or propagation program approved by Minister for the Environment and Energy (or delegate) under the EPBC Act. The EPBC Act sets out step-by-step the sustainability considerations for approval of harvest for export. Having this requirement embedded in national legislation provides for consistent regulation of export trade, embeds the qualities of the non-detriment findings in the legislative process, and sets out clear expectations for exporters. The CITES Scientific Authority of Australia can therefore make non-detriment findings based on the legislative process.

Most non-detriment findings take the form of a sustainability assessment of the individual harvest or propagation program against legislative requirements. The EPBC Act sets out various program types based on the scale of harvest or management arrangements. Once the program is approved, the operator may then harvest and apply for export permits for their specimens within the boundaries defined by the approved program.

Wildlife trade management plans are generally large scale harvest programs which are developed by the Australian state or territory government agency responsible for managing the species. Wildlife trade management plans may be approved for up to five years. In approving these operations, the approver (the

Minister for the Environment and Energy or their delegate) must be satisfied that there has been an assessment of the environmental impact of the activities covered by the plan, including but not limited to

- an assessment of the status of the species to which the plan relates in the wild;
- the extent of the habitat of the species to which the plan relates;
- the threats to the species to which the plan relates; and
- the impacts of the activities covered by the plan on the habitat or relevant ecosystems.

The approver must also be satisfied that the plan includes management measures directed towards ensuring that the impacts of the activities covered by the plan on the taxon, any other affected taxa, or a relevant ecosystem are ecologically sustainable and will not be detrimental. Finally, the approver must be satisfied that the plan includes measures to

- mitigate and/or minimise the environmental impact of the activities covered by the plan;
- monitor the environmental impact of the activities covered by the plan; and
- respond to changes in the environmental impact of the activities covered by the plan.

If the plan relates to the taking of live vertebrate specimens (except fish) the approver must also be satisfied that the animal will be taken, transported and held in a way that is known to result in minimal stress and risk of injury to the animal, and that if it is killed, it is killed in a way that is generally accepted to minimise pain and suffering. All wildlife trade management plans on which non-detriment findings are made are publicly available. A full list of approved wildlife trade management plans (including for non-CITES Australian native species) can be found at <http://www.environment.gov.au/biodiversity/wildlife-trade/trading/commercial/management-plans>.

We are pleased to provide the following example of Australia's approach to making non-detriment findings, relevant to trade in specimens with R and F source codes: The Government of the Northern Territory of Australia has fostered the saltwater crocodile farming industry, and the industry has grown in conjunction with the crocodile population to the point where the Northern Territory leads the world in the production of high quality saltwater crocodile skins.

Crocodile skins are the number one CITES product exported from Australia by volume of permits issued. A Wildlife Trade Management Plan developed by the Northern Territory Department of Land Resource Management for saltwater crocodiles was re-approved in December 2015 and is valid until 2020. This management plan covers the management of the saltwater crocodile (*Crocodylus porosus*) in the Northern Territory and all details of harvest, ranching practices, population monitoring and sustainability are outlined in the plan.

The management plan is available at <http://www.environment.gov.au/biodiversity/wildlife-trade/publications/mgt-plan-saltwater-crocodile-nt-2016-2020>

The mainstay of the crocodile farming industry in the Northern Territory is the annual harvest of eggs from the wild under a ranching program. This harvest has operated annually since the first small trial harvest in the 1983/84 nesting season. The annual harvest of up to 90,000 live eggs provides a significant employment and commercial opportunity to landholders, in particular remote indigenous communities. During this plan (2016-2020) the wild harvest of eggs will continue to be the primary form of harvest. Commercial live harvest (hatchlings, juveniles and adults) has been permitted since 1994 but has always been small, substantially less than the current annual ceiling of 1200 live animals.

We hope that this response usefully contributes to the important work of the CITES Animals Committee intersessional working group on captive-bred and ranched specimens, particularly as a case study of a well-established, successful and sustainable operation.

**Respuesta a la Notificación a las Partes 2018/032.**  
**Solicitud de dictámenes de extracción no perjudicial (DENP), centrándose en los**  
**códigos de origen R y F**

Autoridades CITES de México, 25 abril, 2018

Decisión 16.53

- a) Experiencias y resultados de talleres, proyectos o publicaciones relacionados con la formulación de dictámenes de extracción no perjudicial para su inclusión en el sitio web de la CITES

Taller internacional sobre la elaboración de DENP de tiburones y rayas incluidas en el Apéndice II de la CITES: limitantes y retos para su construcción y aplicación (Santa Marta, Colombia, 1-2 sep, 2016). En este taller los participantes compartieron la información sobre los lineamientos y protocolos que se aplican para elaborar NDF para la exportación de especímenes de tiburones listados en la CITES. México compartió la metodología de Análisis de Productividad y Susceptibilidad (PSA) modificado y del Riesgo por el Manejo (MRISK), ambas metodologías se encuentran disponibles para su consulta en:

<http://www.biodiversidad.gob.mx/CITES/taller/PsaMrisk2015/>

Taller Dictámenes de Extracción no Perjudicial de Herpetos, fortalecimiento de Autoridades CITES (Cartagena, Colombia, 21-24 de noviembre de 2017). En este taller los participantes compartieron información sobre los lineamientos y protocolos que se aplican para elaborar NDF para la exportación de especímenes de reptiles listados en la CITES. México en particular, compartió la metodología compilada para generar información base para el establecimiento de proyectos de rancho para *C. moreletii*. El protocolo se puede consultar en la siguiente liga:

<http://www.biodiversidad.gob.mx/planeta/cites/publicaciones.html>

“Taller internacional sobre especies arbóreas y la CITES”

Debido a la alta inclusión de especies arbóreas en los Apéndices de la CITES, se propuso la elaboración del “Taller Internacional sobre especies arbóreas y la CITES”, el cual se realizó del 7 al 9 de febrero de 2017 en la Ciudad de La Antigua, Guatemala. El propósito fue reforzar las capacidades para la implementación de la CITES para especies de árboles y contribuir a la aplicación de las Decisiones y Resoluciones adoptadas para la 17ª Conferencia de las Partes. Los objetivos fueron 1) destacar la importancia de la CITES en la regulación del comercio internacional de especies reguladas por la Convención; 2) reforzar la implementación de la CITES en un marco de cooperación internacional; 3) considerar Resoluciones, Decisiones y nuevos listados o enmiendas adoptadas durante la CoP 17.

En el Taller participaron 16 países, la secretaría CITES y un representante de la OIMT, SSN y la EIA. Durante el Taller, se llevaron a cabo presentaciones por país, ya sea con el enfoque de origen de la madera o como importador. Asimismo, se establecieron dos grupos de trabajo, a partir de los que derivaron diversas conclusiones y recomendaciones. Algunas de las recomendaciones prioritarias fueron:

1) Mejorar la comunicación entre los actores involucrados y compartir información; 2) Para la elaboración de NDF es necesario seguir orientando y generando asistencia técnica para la recolección de información actualizada sobre las especies; 3) Fortalecer las capacidades dirigidas a los funcionarios de las instituciones responsables de implementar la CITES; 4) Mejorar los esfuerzos de colaboración entre los países de origen y los países importadores, y así mejorar la implementación; 5) La revisión de políticas y los procedimientos que fortalezcan las capacidades de los actores involucrados en la cadena de producción/exportación para trabajar en el marco legal.

- b) Materiales de fomento de capacidad que puedan considerarse para su inclusión en el sitio web,

**El Protocolo de Rancho de *Crocodylus moreletii* en México** describe los parámetros mínimos necesarios para poder evaluar que las actividades de rancho se realizan de una forma sustentable, así como la metodología que se recomienda para obtener dichos parámetros. Se elaboró tomando en cuenta la experiencia de programas de manejo bajo este esquema en otros países, así como de consultas con expertos nacionales e internacionales,

para adaptarlo a las características del cocodrilo de pantano y su hábitat en México. El Protocolo se puede consultar en la siguiente liga:

<http://www.biodiversidad.gob.mx/planeta/cites/publicaciones.html>

Una herramienta que sirve de apoyo para la formulación de NDF para la exportación de especímenes de tiburones listados en la CITES es la evaluación del PSA modificado y del MRISK. Ambas metodologías se encuentran disponibles para su consulta en: <http://www.biodiversidad.gob.mx/CITES/taller/PsaMrisk2015/>

En el caso de Borrego cimarrón, el libro Borrego cimarrón (*Ovis canadensis mexicana*): Resultados del monitoreo aéreo en el Estado de Sonora, México.- Contiene elementos generalizados sobre metodologías, implementación y resultados internacionalmente reconocidos como las mejores prácticas para la estimación de poblaciones de *O. canadensis*. Esta metodología puede ser de apoyo para la consulta de otras Partes que realicen monitoreos aéreos para fauna.

<http://hunting.sonora.gob.mx/convenios/libro.pdf>

- c) Necesidad concreta en materia de fomento de capacidad que hayan podido identificar en relación con la formulación de los dictámenes de extracción no perjudicial.

Es necesario implementar un taller de análisis de información disponible en conjunto con una evaluación de pesquerías con datos pobres para las especies de tiburones mexicanos listados en la CITES, a fin de contar con estimaciones cercanas a un “stock assesment” y adoptar prácticas de captura que permitan potenciar la gestión del recurso a nivel nacional.

Como resultado de la segunda fase del proyecto “Apoyo al Comercio Sustentable de Especies Listadas en la CITES” apoyado por la Comisión para la Cooperación Ambiental (CCA) (2017-2018), se contará con una estrategia de creación de capacidades para tiburones mexicanos listados en la CITES. Esta estrategia delimitará las necesidades de capacitación en identificación, gestión y manejo en los puertos pesqueros prioritarios a nivel nacional. Con ello, se busca mejorar las capacidades de operación de las comunidades y potenciar el beneficio que obtienen con el aprovechamiento sustentable de sus recursos pesqueros.

A fin de mejorar el manejo de los recursos forestales en México, la Autoridad Científica, en conjunto con otras autoridades, academia, sociedad civil y prestadores de servicios, desarrolló la Guía informativa para elaborar programas de manejo forestal y documentos técnicos unificados que incluyan aprovechamiento de caoba (*Swietenia macrophylla* King) en el marco de las disposiciones de la CITES. No obstante, es necesario realizar un taller que permita capacitar a los prestadores de servicios, que son quienes desarrollan los Programas de Manejo Forestal, para el uso adecuado de la Guía.

#### Decisión 17.104

- d) Información relevante sobre la formulación de dictámenes de extracción no perjudicial y orientación que hayan generado para el comercio de especímenes con códigos de origen R o F.

El Protocolo de Rancho de *C. moreletii* referido en el inciso b), es un material base para la formulación de NDF para el comercio de ejemplares con origen R. El protocolo se puede consultar en la siguiente liga:

<http://www.biodiversidad.gob.mx/planeta/cites/publicaciones.html>

Durante el 2017 y 2018, la Autoridad Científica de México ante la CITES (CONABIO) ha recibido solicitudes de opinión por parte de la Autoridad Administrativa de México ante la CITES (DGVS-SEMARNAT) para la importación de especímenes originados en criaderos de especies de Apéndice I que se exportan con código F con finalidades de parque Zoológico (Z) y de Cría en Cautividad o Reproducción Artificial (B). Estas importaciones han estado enmarcadas en programas de conservación o reproducción asistida, y por tanto han sido acotadas bajo los términos de la reglamentación de especies incluidas en el Apéndice I del Artículo III del Texto de la Convención.