

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



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Synergy between CITES and CBD

ADDIS ABABA PRINCIPLES AND GUIDELINES FOR THE SUSTAINABLE USE OF BIODIVERSITY

1. This document has been prepared by Dr. Siti Nuramaliati Prijono, the regional representative for Asia and Mr. Alvaro Velasco Barbieri, the alternate member for Central and South America and the Caribbean.
2. Conservation efforts are necessary to promote the sustainable utilization of living resources and their ecosystems, so that living resources and their ecosystems are always maintained and able to create a balance and be integrated in development. Utilization of wild species both of plants and animals shall be in accordance with their long-term survival, carrying capacity, and species diversity.
3. Commercial trade may be beneficial to the conservation of species and ecosystems and/or to the development of local people when carried out at levels that are not detrimental to the survival of the species in question. However, over-utilization is detrimental to the conservation of wild fauna and flora.
4. The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) aims to protect species from the detrimental effects of over-exploitation for international trade, to ensure sustainable utilization of others, and to encourage international cooperation between signatory Parties in achieving this aim. The Convention has three Appendices that provide different levels of regulation for the species listed in each. The Convention is administered at the national level by Management and Scientific Authorities.
5. The concept of sustainable use is a cornerstone of both CITES and the Convention on Biological Diversity (CBD). According to the CBD definition, sustainable use means the use of components of biological diversity in a way and at a rate that does not lead to the long-term decline of biological diversity, thereby maintaining the potential to meet the needs and aspirations of present and future generations. That is consistent with the CITES non-detriment findings. Although CITES does not have a definition of sustainable use, Article III and IV of the Convention require that any export of Appendix I and II specimens must be assessed to be non-detrimental to the survival of the species. Furthermore, Article IV, paragraph 3, is well integrated in the ecosystem approach of CBD, by requiring that exports must be monitored so as to maintain the species at a level consistent with its role in its ecosystem.

RECOGNIZES that commercial trade may be beneficial to the conservation of species and ecosystems and/or to the development of local people when carried out at levels that are not detrimental to the survival of the species in question

Resolution Conf. 13.2 provides a context in which CITES Parties should make use of the Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity

6. Various resolutions have been adopted (Resolution Conf. 2.6, 4.7, 6.1 and 8.9) that give other bodies the mandate to make decisions on non-detriment findings, including other Parties (Resolution Conf. 2.6), the Animals Committee (Resolution Conf. 6.1), and the Standing Committee and CITES Secretariat (Resolution Conf. 8.9). Nevertheless, Resolution Conf. 10.3 recommends, *inter alia*, that:
 - a) The appropriate Scientific Authority advise on the issuance of export permits or of certificates for introduction from the sea for Appendix-I or –II species, stating whether or not the proposed trade would be detrimental to the survival of the species in question, and that every export permit or certificate of introduction from the sea be covered by Scientific Authority advice;
 - b) The findings and advice of the Scientific Authority of the country of export be based on the scientific review of available information on the population status, distribution, population trend, harvest and other biological and ecological factors, as appropriate, and trade information relating to the species concerned; and
 - c) The appropriate Scientific Authority of the importing country advice on the issuance of permits for the import of specimens of Appendix- species, stating whether the import will be for purposes detrimental to the survival of the species.
7. Precaution is a partner of another key element and tool of sustainable use adaptive management. In general, the precautionary principle, or precautionary approach, argues in favour of anticipating taking action to avert potential harm, even where there is no scientific certainty surrounding that harm. Adopted at 11th meeting of the Conference of the Parties (Gigiri, 2000), the CITES Strategic Vision states that “Where uncertainty remains as to whether trade is sustainable, the precautionary principle will be the ultimate safeguard”. The Precautionary principle is a response to potential risks for health or the environment. With reference to proposals to amend Appendix I or II, CITES Resolution Conf. 9.24 (Rev. CoP13) resolves that Parties “shall, by virtue of the precautionary approach and in case of uncertainty either as regards the status of a species or the impact of trade on the conservation of a species, act in the best interest of the conservation of the species concerned and adopt measures that are proportionate to the anticipated risks to the species”. The CBD includes the precautionary principle in its Preamble, and also in its programme of work on marine and coastal biodiversity. Principles 15 of the 1992 Rio Declaration states: “In order to protect the environment, the precautionary approach shall be widely applied by States according to their capabilities. Where there are threats of serious or irreversible damage, lack of scientific certainty shall not be used as a reason for postponing cost-effective measures to prevent environmental degradation”.
8. Resolution Conf. 13.2 on Sustainable Use of Biodiversity urges the Parties to make use of the Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity, also taking into account scientific, trade and enforcement considerations, when adopting non-detriment-making processes and making CITES non-detriment findings.
9. The Addis Ababa principles and guidelines can be utilized in the implementation of CITES by Parties as follows:
 - A. Policies, laws and regulations (Addis Ababa Principles and Guidelines, practical principles 1, 2, 3, 10 and 12)

The development of strengthened CITES implementing legislation has shown the importance of: simultaneous preparation of enabling and implementing legislation; complementary legislation governing the legal acquisition of and domestic trade in CITES specimens; policy coherence in relation to national wildlife trade policy, other biodiversity-related conventions, natural resource

management, and development policy; timely updating of legislation to incorporate amendments to the CITES Appendices and provision for offences related to the violation of permit or certificate conditions as well as the absence of a valid permit or certificate.

Application

- The Secretariat should continue to give assistance with the analysis and preparation of legislative measures to the Parties which still have specific weaknesses or gaps that render national legislation inadequate for implementation of the Convention. This assistance should be provided not only by the Secretariat but also by other Parties, inter-governmental organizations and non-governmental organizations.
- Parties themselves should make better use of available internal expertise by consulting closely with governmental legal offices and forming multi-agency legislative committees.
- Local customs and traditions (and customary law where recognized) should be considered when drafting new legislation and regulations.
- Cooperative and supportive linkages between all levels of governance should be strengthened and/or create in order to avoid duplication of efforts or inconsistencies;
- Existing regulations should be reviewed to see whether they can be used for delegating rights. Regulations amended where needed and possible, and/or new regulations drafted where needed. Throughout local, customs and traditions (including customary law where recognized) should be considered.
- Training and extension services should be provided to enhance the capacity of people to enter into effective decision-making arrangements as well as in implementation of sustainable-use methods.
- Economic valuation studies of the environmental services of natural ecosystems should be promoted. This information needs to be incorporated in policy and decision making processes, as well as educational applications.
- Policies and regulations should be adopted that ensure that indigenous and local communities and local stakeholders who are engaged in the management of a resource for sustainable use receive an equitable share of any benefits derived from that use. An equitable share of the benefits should remain with the local people in those cases where foreign investment is involved.
- Effective enforcement of the national wildlife laws will substantially enhance management of wildlife and facilitate achieving sustainable use of wildlife resources.
- The issuance of CITES permits should be limited to specimens of CITES species. Permits for trade in all non-CITES wildlife should be on a separate form and a different stamp used.
- The efficiency of permit-issuing procedures should be enhanced by delegating authority to sign CITES and non CITES permits to at least one additional person.
- Mechanisms should be adopted to identify and monitor development of more restrictive legislation in importing countries that could adversely affect the exporting country's wildlife trade.
- Management Authorities, in collaboration with other expert bodies, should review existing guidelines including IATA Live Animal regulations, and where necessary develop and implement additional guidelines for the care and maintenance of live animals in captivity and animals subject to transport.

B. Adaptive management (Addis Ababa Principles and Guidelines, practical principles 4, 5, 7, 9, 11 and 13)

Adaptive management based on adequate monitoring and appropriate feedback is vital to ensure the sustainability of wildlife harvest. Current problems with making non-detriment findings result mainly from lack of capacity and resources to implement monitoring schemes across the wide range of species in international commercial trade. More attention should be given to developing and promoting cost-effective and pragmatic methods of resource monitoring, and in providing Scientific Authorities with the skills and means to make these determinations. In many cases such monitoring schemes need not be complex nor too resource intensive. For example, monitoring can be carried out by wildlife personnel or community scouts while undertaking anti poaching patrols. Information that should be considered for monitoring purposes includes: population size; distribution/range; population trends; management plans and protection of the populations from over-harvest. Monitoring of the off-take levels and trade patterns, as well as of population data, will allow establishment of the feedback loop necessary for adaptive management.

Adaptive management should be practiced, based on: a) Science and traditional and local knowledge; b) Iterative, timely and transparent feedback derived from monitoring the use, environmental, socio-economic impacts, and the status of the resource being used; and c) Adjusting management based on timely feedback from the monitoring procedures.

Application

- The checklist for non-detriment findings for Appendix II Exports that has been developed by CITES, IUCN and several Parties in 2002, should continue to be utilized by CITES Scientific Authorities in making non-detriment findings, and by the Secretariat in its capacity-building programme of work.
- Before any Party can issue a permit to allow export of specimens of species in Appendix I or II, the Scientific Authority of the State must advise that the proposed export will not be detrimental to the survival of the species (the so called non-detrimental finding in Article III, paragraph 2 (a), and Article IV, paragraph 2(a), of the Convention). The setting of an export quota by a Party in effect meets this requirement by establishing the maximum number of specimens of a species that it will allow for export over the course of a year that will not have a detrimental effect on the survival of the species. The responsibility for establishing quotas thus lies with each individual Party (unless they have been set by the Conference of the Parties). The Parties need to expand the use and scope of annual quota and management plans to ensure sustainable use of wildlife resources. This approach will in effect obviate the need to make non-detriment findings for exports of Appendix-I and -II species in the context of CITES.
- The Scientific Authority must consider total national harvest levels for both new and on-going exports to make a non-detriment finding. Hence, export for international trade is not detrimental when it is part of an off-take, the sum of which is sustainable, in that it does not result in unplanned range reduction, or long-term population decline, or otherwise change the population in a way that might be expected to lead to the species being eligible for inclusion in Appendix I.
- Ideally, an assessment should be performed before harvest of a wild species begins in order to acquire knowledge of the status of the species in the wild to determine its abundance, distribution, role in its habitat and ecosystem, reproductive capacity, reproductive behaviour, status of habitat, etc. Therefore, the types of information are used as the basis to make the decision that exports will not be detrimental to the survival of the species, as follows:
 - a) Minimum and maximum population estimates, using appropriate methodologies. (Field surveys should be representative of different habitats and include a comparison of exploited and unexploited populations);
 - b) Trends of change in population size (using field data, published data, or data from interviews of trappers, hunters and exporters);

- c) Life history parameters (using either field data or, where not available, data from captive populations or from closely related species) and population parameters including: age and sex structure; age first breeding, breeding seasonality; fecundity and the interval between breeding; and age specific survivorship; and
 - d) Ecological factors, including seasonal movements and differences in habitat occupancy, and factors that limit population size, e.g. competition and predation.
- To determine that a harvest is not detrimental to the survival of a species, the Scientific Authority of the State of export will ideally undertake a thorough review of the whole harvest management system. Scientific Authority staff should be encouraged to make an initial review, at the national level, of the likely effects of harvesting the target species. Information is then sought on the types of harvest, the degree of control over the harvest, the segment of the population harvested, the level of total off-take (for domestic and international use), the reason for the harvest, and the end users of the harvest. Scientific Authorities need to distinguish between regulated and illegal or unmanaged harvesting. Consideration of these data will begin or further assist the process of consultation between Scientific and Management Authorities. In the case of some types of harvest, it will also allow the Scientific Authority to advise quickly that harvest is not detrimental to survival.
 - The following recommendations should be considered:
 - Ensure that harvest levels and quotas are set according to information provided by the monitoring system, not the economic needs of the management system;
 - Encourage Scientific Authorities to review in more depth more general biological and management information for trade species;
 - Require adaptive management plans to incorporate systems to generate sustainable revenue, where the benefits go to indigenous and local communities and local stakeholders to support successful implementation;
 - Provide assistance in setting up and maintaining monitoring and feedback systems;
 - Design monitoring system on a temporal scale sufficient to ensure that information about the status of the resource and ecosystem is available to support management decisions and to allow conservation of resource;
 - Ensure management practices do not impair the capacity of ecosystems to deliver goods and services that may be needed some distance from the site of use;
 - Ensure that consumptive and non-consumptive use does not impair the long-term sustainability of that use by negatively impacting the ecosystem and species on which the use depends, paying special attention to the needs of threatened components of biological diversity;
 - Apply the precautionary principles in management decisions. The precautionary principle is a response to uncertain the face risks to health or the environment.
 - Identify successful experiences of management of biodiversity components in other countries in order to adapt and incorporate this knowledge in their efforts to resolve their own difficulties;
 - Management of sustainable use activities should be scaled to the ecological and socio-economic needs of the use. If, for example, fish are harvested from a lake, the owner of the lake should be in charge of, and accountable for, the management of the lake subject to national or, as appropriate, subnational policy and legislation;
 - Enable full public participation in the preparation of management plans to best ensure ecological and socio-economic sustainability;

- Involve indigenous and local communities and stakeholders, including the private sector and experienced people, at all levels of the decision-making process;
- Take account of socio-economic, political, biological, ecological, institutional, religious and cultural factors that could influence the sustainability of the management;
- Seek guidance from local, traditional and technical specialists in designing the management plan;
- Parties should seek to optimize management and to improve selectivity of extractive uses through environmentally friendly techniques so that waste and environmental impacts are minimized, and socio-economic and ecological benefits from uses are optimized;
- Eliminate perverse incentives and provide economic incentives for resource managers to invest in development and/or use of more environmentally friendly techniques, e.g. tax exemptions, funds available for productive practices, lower loan interest rates or certification for accessing new markets;
- To improve the process by which non-detriment findings are made, and to increase confidence in the findings, field surveys should be initiated for selected priority species and wildlife population monitoring methods should be available for distribution to members countries, so that information gathering can be performed on the basis of defined methods;
- The Management Authority, in consultation with the Scientific Authority and other experts, should develop guidelines for commercial captive breeding and ranching, including attention to the need to prevent undesirable hybridization and in-breeding problems; and
- Management Authority staff should be provided with the opportunity to participate in short courses on administration of wildlife trade and management.

C. Cooperation (Addis Ababa Principles and Guidelines, practical principles 6, 8 and 14)

Cooperation is the key to the effective implementation of the Convention and the task of fulfilling CITES obligations should be shared by exporting and importing countries. Although CITES places much of the responsibility on exporting countries to ensure that trade in Appendix-II species is non-detrimental, many countries lack the necessary financial and technical resources to fulfil these obligations adequately and in some cases even the political will to ensure that the obligations under the Convention are fully implemented. In these countries little progress will be made in improving CITES implementation unless more resources are made available. Importing countries should also be prepared to provide financial, technical and training inputs to develop the necessary monitoring programmes for species in trade in exporting countries. Strengthening CITES Scientific Authorities in this way could assist greatly in reducing the risk of trading in wild species, and their products, at unsustainable levels.

The effectiveness of such collaborations are, however, dependent on the efficiency of communications, the level of inter-departmental cooperation, the availability of technical knowledge bases and the presence of technical skills and resources. In developing countries, these factors vary in scale. It is therefore imperative, when addressing problems, to develop solutions that fit within the context of the variability of these factors.

Application

- The CITES Secretariat and the CBD Executive Secretary signed a Memorandum of Cooperation in 1996, which was endorsed at CBD COP3 in 1996 (Decision III/21) and welcomed at CITES CoP10 in 1997 (Resolution Conf. 10.4). The memorandum was amended in 2001 to make provision for the development of joint work plans and to incorporate the first of these plans. The work plan for the implementation of joint activities

between CITES and CBD, included as an annex to the Memorandum of Cooperation, detailed the following:

- a) Study of the impact of, and proposed sustainable practices for, the harvesting of non-wood forest products, including bushmeat;
 - b) Analysis of the possibilities for using economic incentives to promote the sustainable use of wild and flora, including endangered species, and/or to reduce trade pressure on these species;
 - c) Study of the potential use of labelling, green certification, and other positive measures, to denote in international markets, products derived from populations that are sustainably managed;
 - d) Compilation of case studies, best practices and lessons learned, and development of practical principles, operational guidance and associated instruments for the sustainable use of wild flora and flora, including endangered species;
 - e) Cooperation in taxonomy and the assessment of threats to habitats that impact on endangered species; and
 - f) Collaboration in the development of proposals for a global strategy for plant conservation, concerning species that are threatened by international trade.
- The following should be considered:
- Invest in research into techniques and technologies of management of biodiversity components that promote sustainability in both consumptive and non-consumptive uses of biodiversity;
 - Encourage international support and technology transfer relating to both consumptive and non-consumptive uses of biodiversity;
 - National programmes for sustainable use of wild species should accommodate the need to improve the capability of rural people to participate in local programmes that concern the sustainable use of wildlife;
 - Encourage active collaboration between scientific researchers and people with local and traditional knowledge;
 - Develop cooperation between researchers and biodiversity users (private or local communities), in particular, involve indigenous and local communities as research partners and use their expertise to assess management methods and technologies;
 - Establish technical cooperation mechanisms in order to guarantee the transfer of improved technologies to communities;
 - Investigate and develop effective ways to improve environmental education and awareness, to encourage public participation and to stimulate the involvement of stakeholders in biodiversity management and sustainable use of resources;
 - Plan education and public-awareness activities concerning management, values of sustainable use, changing consumptive patterns and the value of biodiversity in the lives of people;
 - Ensure that public-awareness programmes also inform and guide decision makers;
 - Increase awareness of the contributions of knowledge, practices and innovations of indigenous and local communities for the sustainable use of biological diversity;

- Make research results available in a form which decision makers, users, and other stakeholders can apply;
- Promote exchange programmes in scientific and technical areas;
- Make arrangements for international cooperation when the distribution of populations or communities/habitats being used span two or more nations;
- Promote multinational technical committees to prepare recommendations for the sustainable use of transboundary resources;
- Have bilateral or multilateral agreements between or among States for the sustainable use of transboundary resources;
- Establish mechanisms involving the collaborating States to ensure that sustainable use of transboundary resources does not negatively impact the ecosystem capacity and resilience;
- Share experiences on sustainable use internally within their countries, particularly between CITES Management and Scientific Authorities, and their CBD Focal Points; and
- Endeavour to ensure that CITES Management and Scientific Authorities participate, through their country's CBD Focal Points, in the work of CBD and its Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) on these Principles and Guidelines.