Introduction to non-detriment findings (NDFs)

Foundations in CITES non-detriment findings (NDF) with a focus on *Pterocarpus erinaceus*

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Pterocarpus erinaceus (African rosewood) and listing in CITES Appendix II

- ***Pterocarpus erinaceus***: native to woody savanna and dry forests in West Africa, but also found in humid coastal savanna.
- Slow growing species, taking up to 100 years to reach its adult size (15 m).
- Threats: population decline do to ilegal logging, hábitat conversión, fuel wood collection and low regenerative capacity.
- The African populations of ***P. erinaceus*** are listed in Appendix II with Annotation #17: ***Logs, sawn wood, veneer sheets, plywood and transformed wood.***
- Factsheet available in the workshop webpage: https://cites.org/eng/node/139090

What are non-detriment findings (NDFs)?

Definition: A conclusion by a Scientific Authority that the export of the specimens of a particular species will not impact negatively on the survival of that species in the wild. **Is harvest for export sustainable?**

Purpose: To ensure that international trade does not threaten the survival of species - **harvest for international trade is biological sustainable**.

Why do NDFs for CITES-listed tree species?

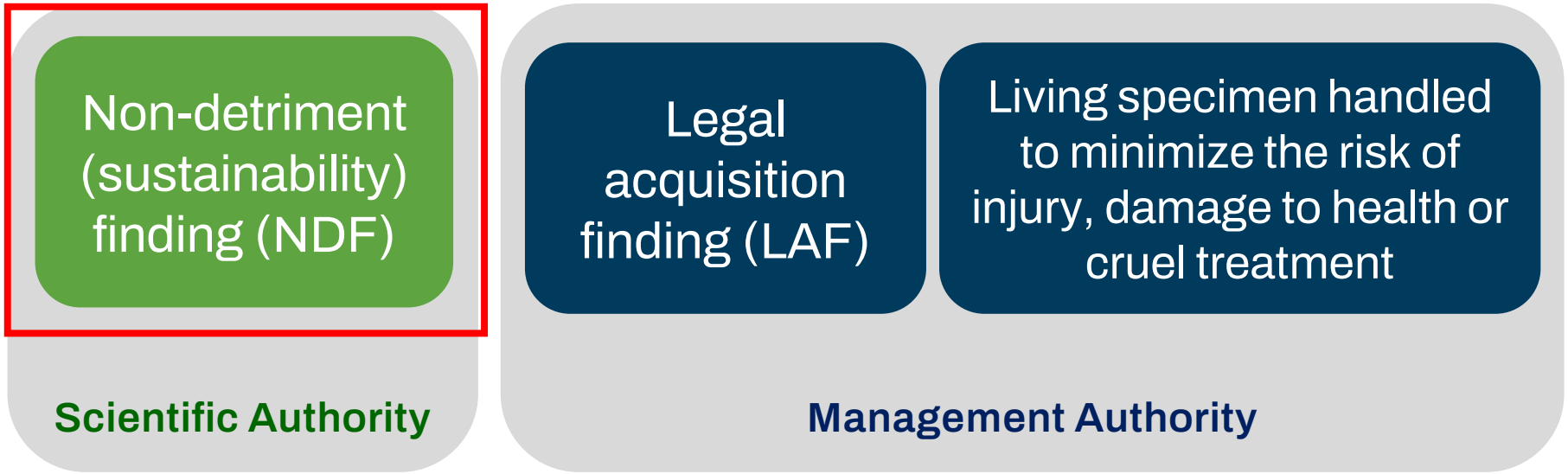
It is required under Article IV for Appendix II listed species for all specimens.

Article III/IV (Appendix I/II)

- An export permit shall only be granted when … a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species

Who makes NDFs for CITES-listed tree species?

Before an export permit is granted, the State of Export makes:



This advice is effectively a decision that must be made by the Scientific Authority.

Who makes NDFs for CITES-listed tree species?

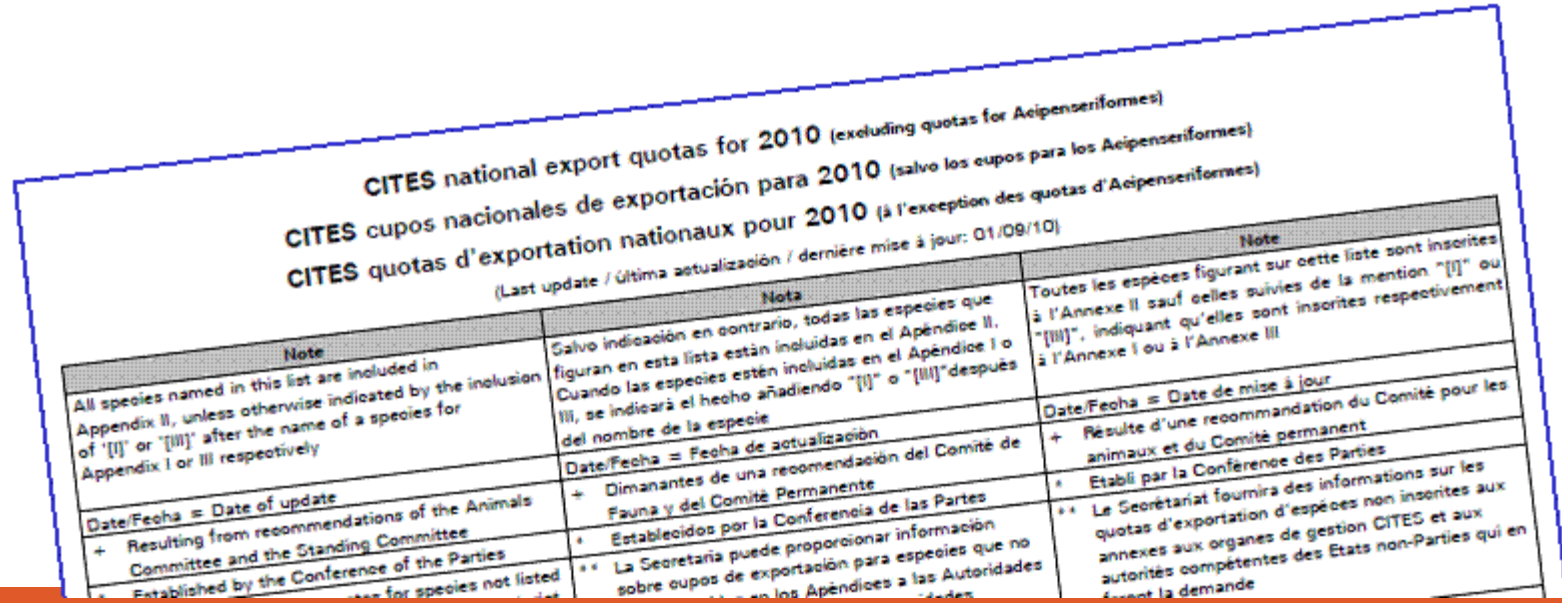
- **CITES Scientific Authorities**: The SA is responsibility of gathering and analyzing data on species' status and trends, understand the impact of trade, and consulting with local and international experts, as appropriate. Also responsible for reviewing existing conservation measures and ensuring that trade will not be detrimental to the survival of the species.

- **Expert involvement**: The Scientific Authority may collaborate with experts, research institutions, and other stakeholders to gather necessary data and conduct comprehensive assessments.

- **Interdisciplinary approach**: Effective NDFs often require input from various disciplines, including biology, ecology, fisheries science, and socio-economics.

Non-detriment finding

- A non-detriment finding is a decision that can take many forms:
  - **A written advice from the Scientific Authority**
  - **A verbal advice from the Scientific Authority**
  - **A quota agreed by the Scientific Authority for a specific time period**



CITES national export quotas for 2010 (excluding quotas for Acipenseriformes)

CITES cupos nacionales de exportación para 2010 (salvo los cupos para los Acipenseriformes)

CITES quotas d'exportation nationaux pour 2010 (à l'exception des quotas d'Acipenseriformes)

(Last update / última actualización / dernière mise à jour: 01/09/10)

Note	Nota	Note
All species named in this list are included in Appendix II, unless otherwise indicated by the inclusion of '[I]' or '[III]' after the name of a species for Appendix I or III respectively	Salvo indicación en contrario, todas las especies que figuran en esta lista están incluidas en el Apéndice II. Cuando las especies estén incluidas en el Apéndice I o III, se indicará el hecho añadiendo "[I]" o "[III]"después del nombre de la especie	Toutes les espèces figurant sur cette liste sont inscrites à l'Annexe II sauf celles suivies de la mention "[I]" ou "[III]", indiquant qu'elles sont inscrites respectivement à l'Annexe I ou à l'Annexe III
Date/Fecha = Date of update	Date/Fecha = Fecha de actualización	Date/Fecha = Date de mise à jour
+ Resulting from recommendations of the Animals Committee and the Standing Committee	+ Dimanantes de una recomendación del Comité de Fauna y del Comité Permanente	+ Résulte d'une recommandation du Comité pour les animaux et du Comité permanent
* Established by the Conference of the Parties	* Establecidos por la Conferencia de las Partes	* Etabli par la Conférence des Parties
** La Secretaría puede proporcionar información sobre cupos de exportación para especies que no	** Le Secrétariat fournira des informations sur les quotas d'exportation d'espèces non inscrites aux annexes aux organes de gestion CITES et aux autorités compétentes des Etats non-Parties qui en

Guidance on how to make NDFs

- Resolution Conf. 16.7 (Rev. CoP17) on ***Non-detriment findings***.

- CITES NDF Guidance (new!)

	Module 0	Introduction and preambular text (this module)
Generic guidance	Module 1	Principles and Concepts of NDFs
	Module 2	Practical considerations for making NDFs
Thematic modules	Module 3	Incorporation of Local and Traditional Knowledge in NDF making
	Module 4	NDFs for Appendix I Imports
	Module 5	NDFs for Aquatic species
	Module 6	NDFs for Migratory species and Transboundary populations
	Module 7	NDFs for Terrestrial Invertebrates
	Module 8	NDFs for Birds
	Module 9	NDFs for Reptiles
	Module 10	NDFs for Tree species
	Module 11	NDFs for Perennial Plants
Supporting modules	Module 12	Online tools and certifications for assisting in NDF making
	Module 13	Templates
	Module 14	NDF case studies
	Module 15	Glossary of key terms and definitions introduced in this guidance

Available at: https://cites.org/eng/prog/ndf/index.php

Key concepts for NDFs

- Science-based assessment: NDFs are based on scientific evidence and data on biology and ecology of a given species.

- Proportionality: The depth of data and analysis should be proportional to the vulnerability of the species. More threatened species require more detailed and rigorous assessments.

- Best available Information: Utilizing the best available scientific information is crucial in making accurate and reliable NDFs.

Understanding Risks and Uncertainty

Possibility of harvest being detrimental is linked to how management copes with **risk** and **uncertainty**.

- **Risk:** Known events with predictable outcomes and probabilities.
  - Can be measured, anticipated, and managed.
  - Examples: Over-exploitation leading to population decline.
  - Management: identifying risks, assessing their impact and likelihood, and implementing mitigation strategies (e.g., reducing harvest).
- **Uncertainty:** Unknown events with unpredictable outcomes, often novel or unexpected.
  - Unpredictable in terms of occurrence, impact, and outcome.
  - Examples: Novel diseases (e.g., COVID-19); unforeseen natural disasters (e.g., tsunamis).
  - Management: Responses are developed post-event as information becomes available; initially challenging to quantify or manage.

Types of risks

- **Intrinsic biology and vulnerability of a species**
- **Extinction risk, conservation status and level of harvest**
- **Geographic extent of harvest**
- **Governance, policy, and management**: type and effectiveness of any governance regime and/or regulation of any harvest affects the degree of risk
- **Social & economic**: Changes in demand, resulting from social trends, etc.

Managing Risks and Uncertainty

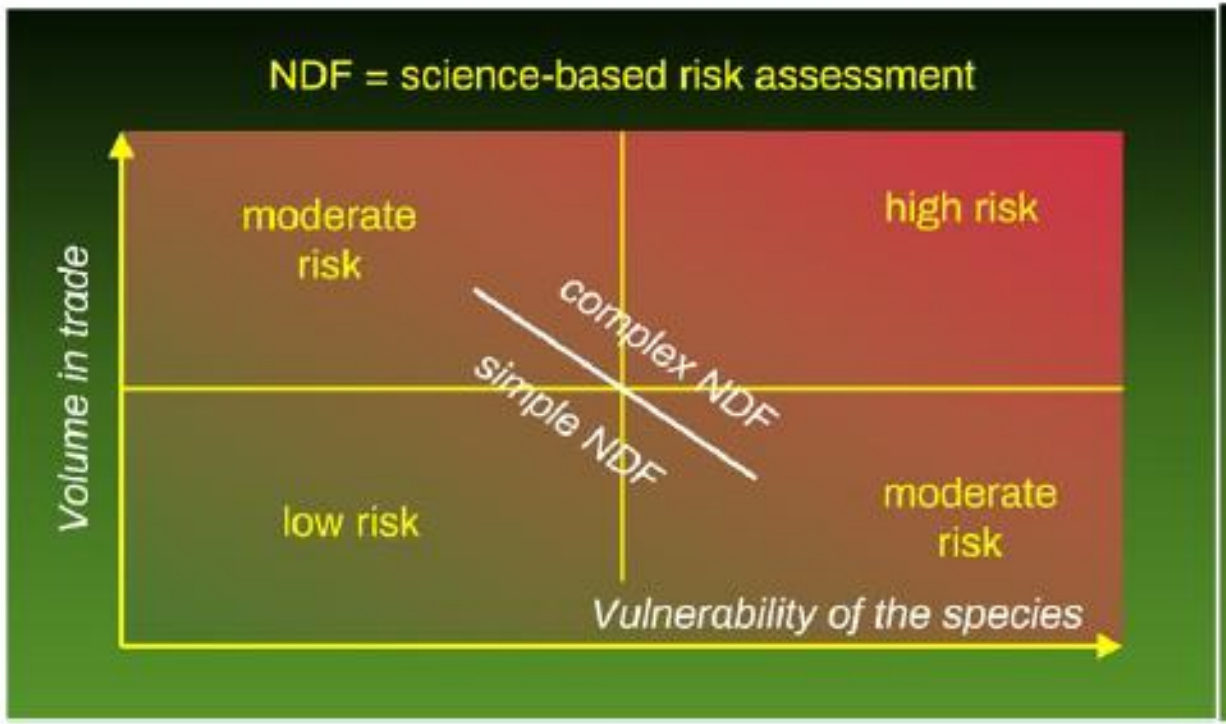
- **Precautionary Approach**: When there is uncertainty, a precautionary approach should be taken.

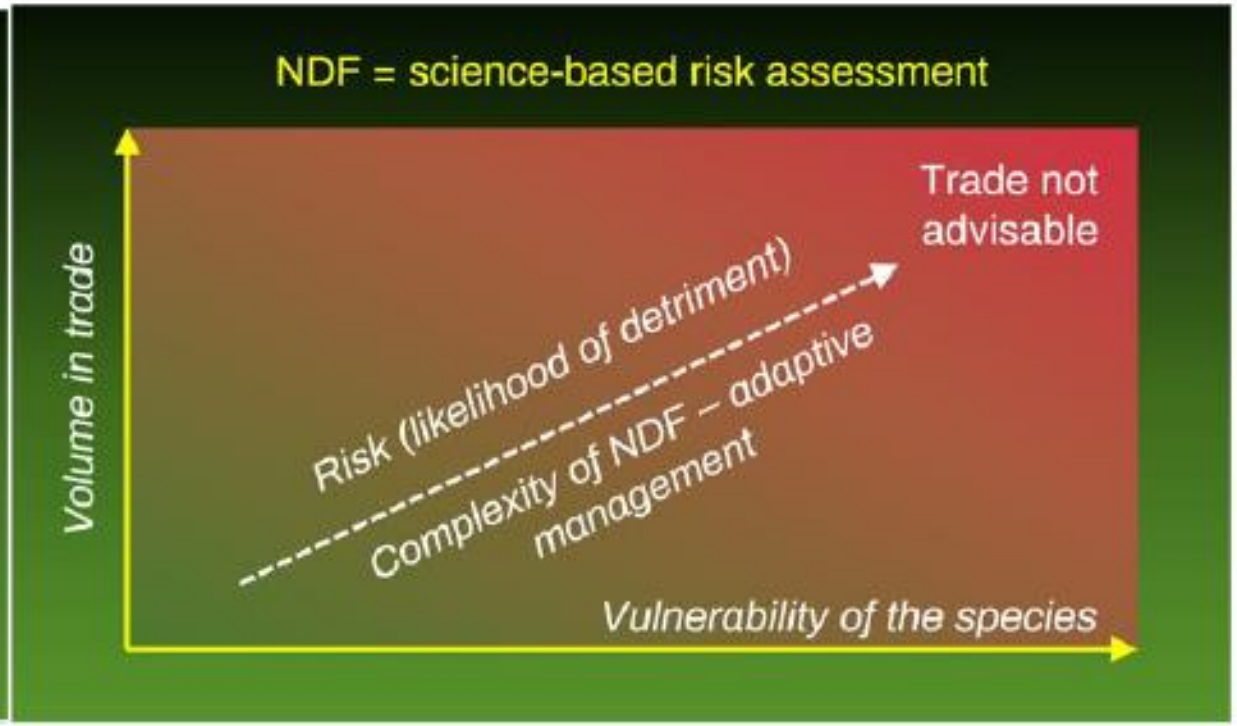
  This means erring on the side of caution to avoid potentially harmful impacts on the species. For example, setting lower quotas or implementing stricter trade controls until more information is available.

- The data requirements for a determination that trade is not detrimental to the survival of the species should be proportionate to the vulnerability of the species concerned.

- Taking a precautionary approach does **not** mean that if any risks are identified, a positive NDF cannot be made or that trade or harvests need to be halted.

Precautionary approach





Managing Risks and Uncertainty

- **NDFs with conditions** : When there is uncertainty, a precautionary approach should be taken. This means erring on the side of caution to avoid potentially harmful impacts on the species.
- A range of conditions can be applied to limit or restrict harvest as shown by adjusting or implementing:
  - Quotas
  - Size, age or weight limit
  - Spatial or temporal closure
  - Limitations on effort and methods
  - Setting trigger points
  - Monitoring/data gathering
  - Compensatory measures

Role in its ecosystem

Article IV on ***Regulation of Trade in Specimens of Species Included in Appendix II***

3. A Scientific Authority in each Party shall monitor both the export permits granted by that State for specimens of species included in Appendix II and the actual exports of such specimens. Whenever a Scientific Authority determines that the export of specimens of any such species should be limited in order to maintain that species throughout its range at a level consistent with its role in the ecosystems in which it occurs and well above the level at which that species might become eligible for inclusion in Appendix I, the Scientific Authority shall advise the appropriate Management Authority of suitable measures to be taken to limit the grant of export permits for specimens of that species.

CITES SA should maintain an overview of exports and other indicators of harvest levels to look for early warning signals, that the trade might become a risk in terms of threatening the role of a species.

Adaptive management

- This involves continuously monitoring the species and trade impacts, and adjusting management measures as new data becomes available.

Learning by doing

- Adaptive management allows for flexible and responsive decision-making that can adapt to changing conditions and new information.

Adaptive management

1. Review and plan: assess current condition, review available info, determine goals for management, plan monitoring methodology
2. Implement & monitor: implement agreed management plan; assess the impact and success of the plan.
3. Evaluate & adjust: Use results of the monitoring process to learn. Review, revise and adjust the plan (and the NDF conclusion)

How to make an NDF?

Resolution Conf 16.7 (Rev. CoP17)

A. species biology and life-history characteristics;

B. species range (historical and current);

C. population structure, status and trends (in the harvested area, nationally and internationally);

D. threats;

E. historical and current species-specific levels and patterns of harvest and mortality (e.g., age, sex) from all sources combined;

F. management measures currently in place and proposed, including adaptive management strategies and consideration of levels of compliance;

G. population monitoring; and

H. conservation status;

the best available scientific information is the basis for non-detriment findings.

Geographic focus

Many approaches ways to make NDFs:

- case-by-case
- for a species for part of the country's population for a defined time-period
- for a species for all of the country's population for a defined time-period

If making NDF for the whole country: take into account all harvest areas and the overall distribution of the species.

Frequency of making NDFs

How often to make NDF will depend on:

- Specific characteristics of species and trade
- Monitoring systems in place

The frequency of making NDFs may change over time with increasing confidence in the harvest and management.

Based on the NDF, the SA may decide that XX amount of harvest annually is non-detrimental. This can be formalized into an annual quota nationally or by area. Offtake up to the quota can be harvest without having to make new NDFs for each permit application.

NDFs and export quotas (Resolution Conf. 14.7 (Rev. CoP15))

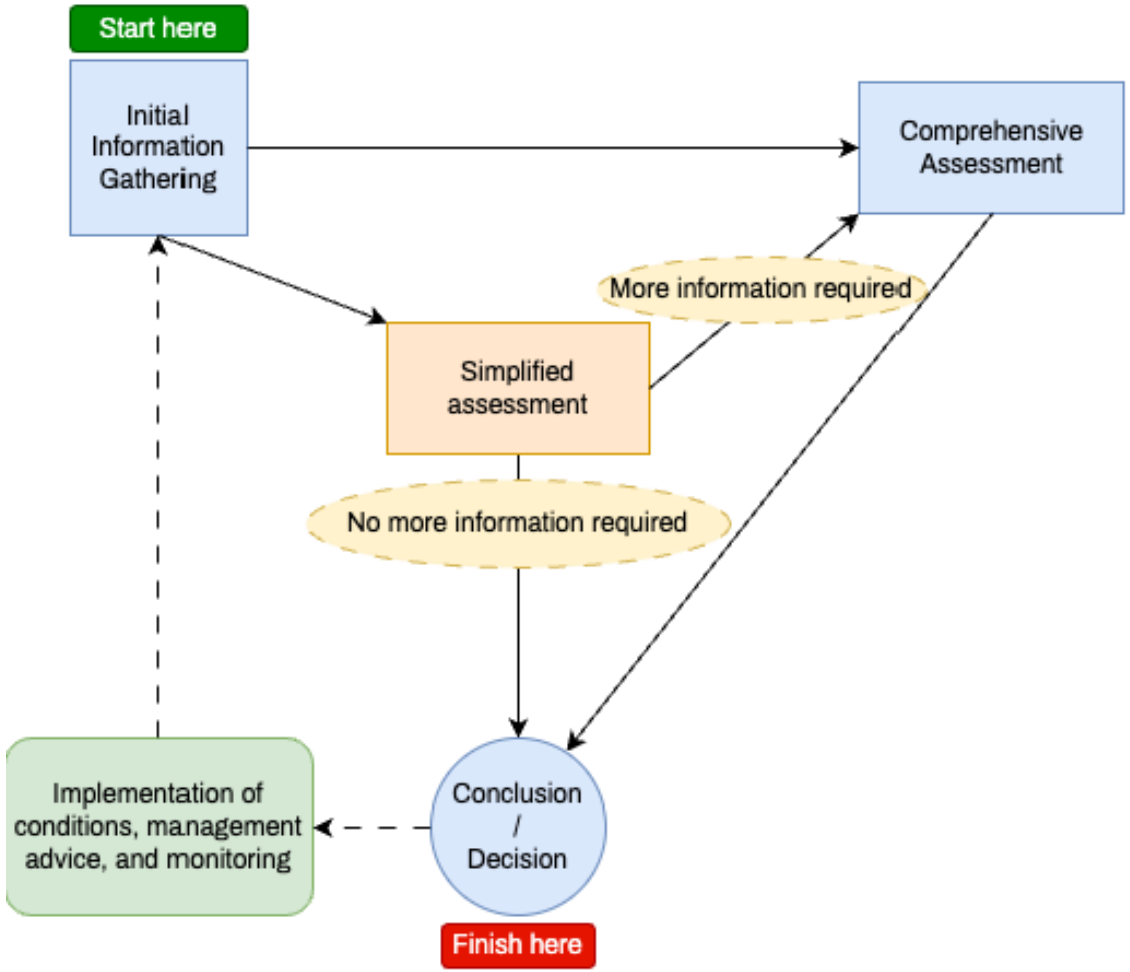
Export quotas:

- When established, should be set as a result of a NDF by a CITES SA.
- Should ensure that the species is maintained throughout its range at a level consistent with its role in the ecosystem.
- Should be set at a level that takes into account the number of specimens that are taken from the wild legally and illegally.

Linkages between quotas and NDFs:

An NDF should be made whenever an export quota is established for the first time or revised, and reviewed annually.

NDF process


Start here
Initial Information Gathering
Comprehensive Assessment
More information required
Simplified assessment
No more information required
Implementation of conditions, management advice, and monitoring
Conclusion / Decision
Finish here

Initial information gathering

1. Is the species correctly identified and named? Checklist of CITES Species https://checklist.cites.org/#/en and https://cites.org/eng/timber/timber-ID-repository

2. Is the species or specimen listed in Appendix I or II?

3. Is the species exempted or excluded from CITES controls? In the case of Pterocarpus erinaceus, only the specimens of Annotation #17 are listed.

4. Have recommendations been issued to suspend trade in the species being exported? Art. XIII ongoing trade suspensions for certain range States, and RST recommendations for 8 range States.

5. What is the quantity of specimens exported?

6. Describe the specimen. Parts, derivatives, size?

7. What is the source of the specimens? Note the exemptions allowed for Artificially propagated specimens.

8. What is the purpose of exports? Is it commercial? scientific? Helps determine risk.

9. Where were (or will) the specimens (be) harvested from? Geographic area? This will determine the geographic area of NDFs.

10. What is the scale of the current NDF assessment (e.g., national, or area-specific)? Local, sub-national, or national? Maps are useful.

11. National legislation – can national regulations help to understand potential detriment from harvesting or extinction risks? Are there national stricter domestic measures? CITES MA makes legal acquisition findings. National regulations can help understand possible detriment.

NDF conclusions

- Positive NDF – trade is not detrimental
- Negative NDF – trade is detrimental or insufficient information to make a conclusion
- Conditional NDF: Applies conditions to trade, allow for precautionary levels of harvest and associated exports, while risks are reduced, gaps in management are addressed, or quality of information is improved.

Time-bound “positive with conditions” example:

– enable trade of newly-listed species while improvements are made to existing fisheries and trade management and monitoring framework. NDF will be re-evaluated in 3 years.

– adopt NDF for 6 months, re-evaluate and decide if NDF term should be extended.

Size-restriction “positive with conditions” example:

- enable trade as long as size is below or above a certain value.

“negative with conditions example:

- Negative NDF until management measures are in place and appropriate policy are in place

Role of NDFs in CITES

- NDFs are a critical tool for ensuring that CITES achieves its objectives of sustainable trade and species conservation.
- They help prevent overexploitation of species and ensure that trade benefits both conservation and livelihoods.
- NDFs are an essential part of the adaptive management cycle, providing feedback for improving management strategies.

Merci!
Thank you!