

Мо	dule & Title	Working Group Mandate
0	General Introduction to NDFs & provisions of the Convention	The working group shall: 1) Consider the draft generic NDF guidance (Modules 1 & 2, including the simple evaluation template), as well as other relevant
1	Principles and concepts of NDFs	 materials and: a) Draft improved wording for Module 1 section 4.7 on <i>Governance, policy and management ("M-risk")</i> as one type of risk to be considered in making NDFs;
		b) Review indicators and fields in templates contained in Module 2, ensure coherence with Module 1, and ensure these are sufficiently generic to adapt to any species group;
		c) Ensure appropriate representation of NDFs for all relevant trade situations (export, introduction from the sea) in Module 2;
	NDF in practice	d) Condense the number of steps for each phase of adaptive management (Module 2 section 2.4) to a manageable number (ca. 5 steps per phase);
		e) Consider any improvements to the flow diagram for the overall NDF process (Module 2 figure 2A);
		f) Consider including checks for any existing trade suspensions in the pre-NDF checks (Module 2, Section 4 and Figure 2B);
2		 g) Consider whether the guidance should retain Option 3 for making NDFs in situations whether species-specific identification is not possible (section 4.1 of Module 2);
		h) Insert examples of conversion factors into section 4.5 of Module 2;
		 i) Consider the risk evaluation phase of making more complex NDFs (Module 2 figure 2F) and the simple NDF template (Module 2, table 2C and figure 2C) and make recommendations on whether and how these two approaches should be reconciled or kept as sequential steps;
		 j) Add a footnote in Module 2 in relation to the paragraph 1 of section 6.3.5 to caution that the Parties to CITES and CBD differ, and amend the section on benefits of wildlife trade for local livelihoods to impacts of wildlife trade on livelihoods;
		 k) Consider whether impacts on / benefits to local livelihoods should be maintained as one aspect of the risk assessment phase (Figure 2F and section 6.2.8 of Module 2), or whether these would be better placed as an aspect relevant for species management during impact evaluation (Figure 2G and section 6.3.5);

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		 I) Decide whether section 6.3.5 and Figure 2G (Module 2) should retain a differentiation between harvest impacts and impacts on the role of species in their ecosystems, noting that both concepts would apparently be measured with the same set of guiding questions;
		m) Discuss whether paragraph 1 of section 6.3.5 (Module 2) should be retained, noting that it suggests that all CITES listed species can be assumed to currently fulfil all their roles in all their ecosystems;
		n) Consider, and if appropriate, develop an evaluation template for steps 6 and 7 of Module 2;
		o) Make other improvements to Modules 1 & 2, as appropriate; and
		p) Submit revised draft guidance to the Secretariat and IUCN.
		2) Identify a list of definitions for any relevant specialist terms contained in Module 1 & 2 that are not yet contained in the glossary on the CITES website to assist users with applying the NDF guidance, and submit to IUCN.
		3) Submit a list of relevant online tools in relation to Modules 1 & 2 to IUCN, for inclusion to Module 12.
		4) By Wednesday, 6 December, 3pm, submit a progress report to the Secretariat for plenary review (with 1-2 slides, as appropriate), and by Thursday evening (7 December), submit a presentation of revised draft guidance to the Secretariat for plenary discussion.
		5) By Thursday, 7 December, 5pm, submit recommendations to the Secretariat for a feedback mechanism for Parties and the wider CITES community to share experiences with using NDF guidance, and to review and update the NDF materials as may be needed.
		The working group shall:
	Local and traditional knowledge and participatory species monitoring and management in NDFs	1) Consider Module 3, as well as any other relevant materials and:
		a) Decide how to incorporate ethical guidance (e.g. <u>International Society for Ethnobiology's Code of Ethics</u> , <u>CBD Mo'otz Kuxtal</u> <u>Voluntary Guidelines</u>) under step 2 (" <i>If local and traditional knowledge is available, how and from whom should it be</i> <i>collected?</i> ");
3		 b) Decide how to incorporate guidance on how to understand, test, and probe traditional knowledge (e.g. <u>Mātauranga</u> <u>Framework</u>) in step 4 ("How can differences between local and traditional knowledge and western science be resolved?");
		c) Provide examples for using reliability indices in step 4 to rate the validity of information from local and traditional knowledge (based on <i>Tomasini, Theilade (2019)</i> and <i>Ziembicki et al. (2013)</i>);
		d) Improve step 5 ("What is the role of the CITES Scientific Authority in collecting and using local and traditional knowledge in NDF making?") in alignment with Res. Conf. 10.3 on the Designation and role of the Scientific Authorities;

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		 e) Improve table 2; f) Improve section 10 (summary and conclusion) to become a concise summary of this Module to be included as box into Module 1; g) Elaborate one case study how traditional knowledge could be used for making simple NDFs (Module 2, table 2C and Figure 2C), and one hypothetical case study how it could be used to contribute to more complex NDFs (Module 2, Figures 2F and 2G); h) Recommend three take-away lessons for SAs for each section of Module 3; i) Make other improvements to Module 3, as appropriate; and
		 j) Submit revised draft guidance to the Secretariat and IUCN. 2) Identify a list of definitions for any relevant specialist terms contained in Module 3 that are not yet contained in the glossary on the CITES website to assist users with applying the NDF guidance, and submit to IUCN. 3) Submit a list of relevant online tools in relation to Module 3 to IUCN, for inclusion to Module 12. 4) By Wednesday, 6 December, 3pm, submit a progress report to the Secretariat for plenary review (with 1-2 slides, as appropriate), and by Thursday evening (7 December), submit a presentation of revised draft guidance to the Secretariat for plenary discussion 5) By Thursday, 7 December, 5pm, submit recommendations to the Secretariat for a feedback mechanism for Parties and the wider CITES community to share experiences with using NDF guidance, and to review and update the NDF materials as may be needed.
4	NDFs for Appendix I imports	Mandate to be confirmed
5	NDFs for marine and aquatic species	 The working group shall: 1) Consider Module 5, as well as any other relevant materials and: a) Taking into consideration Module 2, identify any additional fields that are as a general rule applicable to marine and aquatic species, and that should complement/be considered in addition to those of the Module 2; b) Consider the simple NDF template (Module 2, table 2C) and elaborate taxon-specific thresholds for the criteria within the Simple NDF template for aquatic species in international trade, if appropriate; c) Elaborate 1 case study for an aquatic species, using the simple and complex generic NDF approaches as proposed in Modules 1 and 2; d) Transform Module 5 from a compendium-style document to an operational tool to support SAs in making NDFs – e.g. consider the usefulness of a decision tree approach similar to Module 7 on Terrestrial invertebrates;

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	e) Consider merging section 2.1 CITES NDF website/database and 2.2 eNDF platform into Module 12 and update section on sea cucumber eNDF to include relevant information;
	f) Consider Section 2.3 Simplified guidance documents section to decide if elements should be incorporated into Module 2;
	 g) Consider Figure 2 and its explanation in Section 3.1 Use of risk assessments as the starting point of NDFs to decide if elements should be included in Module 2;
	 h) Consider paragraph on stakeholders in Section 3.0 How do address low/poor data situations and Section 3.1.3 Use of Local Ecological Knowledge to align wording for "local ecological knowledge" with the terminology from Module 3, and to decide if any parts should be merged into Module 3 on Local and traditional knowledge;
	i) Formulate improvements to Section 3.1.2 Strategies to improve linkages between fisheries departments and CITES Authorities" in alignment with Res. Conf. 10.3 on the <i>Designation and role of the Scientific Authorities</i> ;
	 j) Consider shortening Section 3.4 on How to account for other sources of mortality of listed species to retain key points and formulate recommendations on how to consider other sources of mortality when making NDFs;
	 k) Consider merging Section 3.5 Monitoring to inform NDFs for adaptive management (including its subsections) with Module 2 and only retain information related to aquatic species;
	l) Condense Section 3.6.3 Trans-shipment and formulate recommendations, if possible;
	 m) Consider merging Section 3.6 Shared stocks, IFS and the role of Regional Fisheries Bodies in making NDFs and Sub sections of Section 3.10 Geographic scale of NDFs into a single heading and include recommendations on role of RFMO/Bs;
	n) Consider Section 3.9.1 Ranched species – source code R and identify guidelines for application of source code R for marine species;
	o) Recommend three take-away lessons for SAs for each section of Module 5;
	p) Consider the queen conch NDF as a case study;
	q) Make other improvements to Module 5, as appropriate;
	r) Submit revised draft guidance to the Secretariat and IUCN.
	2) Identify a list of definitions for any relevant specialist terms contained in Module 5 that are not yet contained in the glossary on the CITES website to assist users with applying the NDF guidance, and submit to IUCN.
	3) Submit a list of relevant online tools in relation to Module 5 to IUCN, for inclusion to Module 12.

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	 4)By Wednesday, 6 December, 3pm, submit a progress report to the Secretariat for plenary review (with 1-2 slides, as appropriate), and by Thursday evening (7 December), submit a presentation of revised draft guidance to the Secretariat for plenary discussion. 5) By Thursday, 7 December, 5pm, submit recommendations to the Secretariat for a feedback mechanism for Parties and the wider CITES community to share experiences with using NDF guidance, and to review and update the NDF materials as may be needed
6 NDFs for migratory and transboundary species	 The working group shall: 1) Consider Module 6, as well as any other relevant materials and: a) Taking into consideration Module 2 identify any additional aspects that are as a general rule applicable to migratory species and transboundary species, and that should complement/be considered in addition to those of the Module 2; b) Consider the simple NDF template (Module 2, table 2C) and elaborate taxon-specific thresholds for the criteria within the Simple NDF template for migratory species, using the simple and complex generic NDF approaches as proposed in Modules 1 & 2; c) Elaborate 1 case study for a migratory species, using the simple and complex generic NDF approaches as proposed in Modules 1 & 2; d) Throughout Module 6, ensure consistent use of the terms "migratory species" and "transboundary species", and, as appropriate, clarify which aspects of the Module refer to which of these two groups of species (or both); e) Consider the usefulness of a decision tree approach similar to Module 7 on <i>Terrestrial invertebrates</i>; f) Consider the draft guidance on NDFs for African lion, <i>Panthera leo</i> and how this could be adapted to Module 2; g) Make other improvements to Module 6, as appropriate; h) Submit revised draft guidance to the Secretariat and IUCN. 2) Identify a list of definitions for any relevant specialist terms contained in Module 6 that are not yet contained in the glossary on the CITES website to assist users with applying the NDF guidance, and submit to IUCN. 3) Submit a list of relevant online tools in relation to Module 6 to IUCN, for inclusion to Module 12. 4) By Wednesday, 6 December, 3pm, submit a progress report to the Secretariat for plenary review (with 1-2 slides, as appropriate), and by Thursday, 7 December, Spm, submit a progress report to the Secretariat for a feedback mechanism for Parties and the wider CITES community to share experiences with using NDF guidanc
7 NDFs for terrestrial invertebrates	The working group shall:

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		1) Consider Module 7, as well as any other relevant materials and:
		a) Taking into consideration Module 2 identify any additional fields that are as a general rule applicable to terrestrial invertebrates, and that should complement/be considered in addition to those of the Module 2;
		 b) Consider the simple NDF template (Module 2, table 2C) in relation to the decision tree contained in Module 7, and draft amendments to Module 7, if appropriate (incl. any taxon-specific thresholds for the criteria within the Simple NDF template for terrestrial invertebrates in international trade);
		c) Elaborate 1 case study for a terrestrial invertebrate, using the decision tree as presented in Module 7 or the simple and complex generic NDF approaches as proposed in Modules 1 & 2, as appropriate;
		d) Consider the usefulness of a table on population survey methodologies similar to table 3 of Module 9;
		e) Consider section 5.1 of Module 7, and ensure alignment with exclusions and trade restrictions (section 4 of Module 7), as well as pre-NDF checks in Module 2;
		f) Consider any need for amending the decision tree with steps relating to impact evaluation and conditional NDFs (Module 2);
		 g) Draft options for a graphical flowchart of the decision tree contained in Module 7, including references to relevant steps of the generic framework as presented in Module 2;
		h) Make other improvements to Module 7, as appropriate;
		i) Submit revised draft guidance to the Secretariat and IUCN.
		2) Identify a list of definitions for any relevant specialist terms contained in Module 7 that are not yet contained in the glossary on the CITES website to assist users with applying the NDF guidance, and submit to IUCN.
		3) Submit a list of relevant online tools in relation to Module 7 to IUCN, for inclusion to Module 12.
		4) By Wednesday, 6 December, 3pm, submit a progress report to the Secretariat for plenary review (with 1-2 slides, as appropriate), and by Thursday evening (7 December), submit a presentation of revised draft guidance to the Secretariat for plenary discussion.
		5) By Thursday, 7 December, 5pm, submit recommendations to the Secretariat for a feedback mechanism for Parties and the wider CITES community to share experiences with using NDF guidance, and to review and update the NDF materials as may be needed.
8	NDFs for birds	The working group shall: 1) Consider Module 8, as well as any other relevant materials and:

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		 a) Taking into consideration Module 2 and identify any additional fields that are as a general rule applicable to birds, and that should complement/be considered in addition to those of the Module 2;
		 b) Elaborate 1 case study for a bird, using the simple and complex generic NDF approaches as proposed in Modules 1 & 2, as appropriate;
		 c) Refine information on the role of birds in their ecosystems with 2 examples to illustrate the methodology of Akcakaya (2020) for birds;
		d) Consider the usefulness of a decision tree approach similar to Module 7 on Terrestrial invertebrates;
		e) Consider the identification of bird eggs to include in the section on Identification of parts and derivatives, as appropriate;
		f) Complete Box 2 based on guidance in section 5 of Module 1;
		 g) Incorporate a summary of 'Bird Conservation - evidence for the effects of interventions'. Section 8, 'On Biological Resource Use' in section 3.2;
		h) Refine and expand information on survey methods and field monitoring, similar to table 3 of Module 9;
		i) Make other improvements to Module 8, as appropriate;
		j) Submit revised draft guidance to the Secretariat and IUCN.
		2) Identify a list of definitions for any relevant specialist terms contained in Module 8 that are not yet contained in the glossary on the CITES website to assist users with applying the NDF guidance, and submit to IUCN.
		3) Submit a list of relevant online tools in relation to Module 8 to IUCN, for inclusion to Module 12.
		4) By Wednesday, 6 December, 3pm, submit a progress report to the Secretariat for plenary review (with 1-2 slides, as appropriate), and by Thursday evening (7 December), submit a presentation of revised draft guidance to the Secretariat for plenary discussion.
		5) By Thursday, 7 December, 5pm, submit recommendations to the Secretariat for a feedback mechanism for Parties and the wider CITES community to share experiences with using NDF guidance, and to review and update the NDF materials as may be needed.
	NDFs for Reptiles	The working group shall:
9		1) Consider Module 9, as well as any other relevant materials and:
-		 a) Elaborate 1 case study for a reptile, using the complex generic NDF approaches as proposed in Modules 1 & 2, as appropriate (e.g. add to one of the simple case studies already completed);

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		b) Consider the usefulness of a decision tree approach similar to Module 7 on <i>Terrestrial invertebrates</i> ;
		c) Refine and expand information on types of data (table 2) survey methods and field monitoring (table 3);
		d) Consider any case study on Trionyx triunguis from Ghana;
		e) Identify any additional fields that are as a general rule applicable to reptiles, and that should complement/be considered in addition to those of the Module 2;
		f) Make other improvements to Module 9, as appropriate;
		g) Submit revised draft guidance to the Secretariat and IUCN.
		2) Identify a list of definitions for any relevant specialist terms contained in Module 9 that are not yet contained in the glossary on the CITES website to assist users with applying the NDF guidance, and submit to IUCN.
		3) Submit a list of relevant online tools in relation to Module 9 to IUCN, for inclusion to Module 12.
		4) By Wednesday, 6 December, 3pm, submit a progress report to the Secretariat for plenary review (with 1-2 slides, as appropriate), and by Thursday evening (7 December), submit a presentation of revised draft guidance to the Secretariat for plenary discussion.
		5) By Thursday, 7 December, 5pm, submit recommendations to the Secretariat for a feedback mechanism for Parties and the wider CITES community to share experiences with using NDF guidance, and to review and update the NDF materials as may be needed.
		The working group shall:
	NDFs for timber-producing trees	1) Consider Module 10, the case study on Rosewoods elaborated by TRAFFIC, as well as any other relevant materials and:
		 a) Taking into consideration the simple NDF template (Module 2, table 2C) elaborate taxon-specific thresholds for the criteria within the Simple NDF template for timber-producing tree species in international trade, if appropriate; b) Review, and if appropriate, expand the section 2.0 on sustainable management principles;
10		c) Based on the above, identify additional fields that are as a general rule applicable to all timber-producing tree species, and that should complement/be considered in addition to those of the Module 2;
		d) consider the outcomes of the Rosewood tree species study (Decision 19.243), including a case study on <i>Pterocarpus erinaceus</i> /Benin [TRAFFIC to present];
		 e) Identify and elaborate 1 representative case study each, using the simple and complex generic NDF approaches as proposed in Modules 1 & 2, one of which relating to <i>Dalbergia</i> spp., as appropriate, and applying the forest management concepts and approaches presented in Module 10, as appropriate;

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		f) Make other improvements to Module 10, as appropriate;g) Submit revised draft guidance to the Secretariat and IUCN.
		2) Identify a list of definitions for any relevant specialist terms contained in Module 10 that are not yet contained in the glossary on the CITES website to assist users with applying the NDF guidance, and submit to IUCN.
		3) Submit a list of relevant online tools in relation to Module 10 to IUCN, for inclusion to Module 12.
		4) By Wednesday, 6 December, 3pm, submit a progress report to the Secretariat for plenary review (with 1-2 slides, as appropriate), and by Thursday evening (7 December), submit a presentation of revised draft guidance to the Secretariat for plenary discussion.
		5) By Thursday, 7 December, 5pm, submit recommendations to the Secretariat for a feedback mechanism for Parties and the wider CITES community to share experiences with using NDF guidance, and to review and update the NDF materials as may be needed.
		The working group shall:
		1) Consider Module 11, as well as any other relevant materials and:
	NDFs for plant species	 a) Taking into consideration Module 2 identify any additional fields that are as a general rule applicable to all (non-timber) plant species, and that should complement/be considered in addition to those of the Module 2 (consider whether harvest risk as a function of harvested plant parts (section 2.4 of Module 11) is one such factor);
		 b) Consider the simple NDF template (Module 2, table 2C) elaborate taxon-specific thresholds for the criteria within the Simple NDF template for plant species in international trade, if appropriate;
		 c) Elaborate 1 case study of a simple and a more complex NDF, using the simple and complex generic NDF approaches as proposed in Modules 1 & 2, as appropriate;
11		d) Review and revise, if appropriate, all recommendations made by the online workstream in Module 11;
		e) Refine guidance for making NDFs for source code Y (section 2.3 of Module 11), taking into account case studies developed by Georgia and Mexico, if available;
		 f) Expand section 2.5 on evaluating harvest impacts, taking into consideration relevant section used in the <u>9-Step NDF guidance</u> for tree species, and guidance on resource inventory methodologies (if available);
		 g) Consider the "<u>NDF guidance on Agarwood</u>" and propose options to ensure Module 11 is applicable to making NDFs for Agarwood;
		 h) Consider any case study on <i>Prunus africana</i>, as well as proposed principles for the sustainable management of <i>P. africana</i> (Annex 2 and 3 of <u>PC26 Doc. 32</u>), and ensure that Module 11 is applicable to making NDFs for the species;

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		i) Make other improvements to Module 11, as appropriate;
		j) Submit revised draft guidance to the Secretariat and IUCN.
		2) Identify a list of definitions for any relevant specialist terms contained in Module 11 that are not yet contained in the glossary on the CITES website to assist users with applying the NDF guidance and submit to IUCN.
		3) Submit a list of relevant online tools in relation to Module 11 to IUCN, for inclusion to Module 12.
		4) By Wednesday, 6 December, 3pm, submit a progress report to the Secretariat for plenary review (with 1-2 slides, as appropriate), and by Thursday evening (7 December), submit a presentation of revised draft guidance to the Secretariat for plenary discussion.
		5) By Thursday, 7 December, 5pm, submit recommendations to the Secretariat for a feedback mechanism for Parties and the wider CITES community to share experiences with using NDF guidance, and to review and update the NDF materials as may be needed.
		The working group shall:
	Online tools and certification schemes in relation to NDFs	1) Consider Module 12, as well as any other relevant materials and:
		a) Complete relevant information on UNEP-WCMC online tool for making NDFs, if it will be available and operational by the time of the workshop (else consider to delete);
		b) Amend section 3.0 with additional information on the relevance of Figure 1 in Module 12, and
1		c) Consider how to incorporate tables 1 & 2 in <u>Timoshyna, A., Furnell, S. and Harter, D. (2019) CITES and voluntary certification for</u> <u>Wild Medicinal and Aromatic Plants. TRAFFIC Bulletin Vol 31 No 2;</u>
12		 d) Elaborate 2 case studies (for one plant and one animal species) to illustrate the usefulness of certification for making NDFs, and applying the simple and complex generic NDF approaches as proposed in Modules 1 & 2;
		e) Make other improvements to Module 12, as appropriate;
		f) Submit revised draft guidance to the Secretariat and IUCN.
		2) Identify a list of definitions for any relevant specialist terms contained in Module 12 that are not yet contained in the glossary on the CITES website to assist users with applying the NDF guidance, and submit to IUCN.
		3) Submit a list of relevant online tools in relation to certification schemes to IUCN, for inclusion to Module 12.
		4) By Wednesday, 6 December, 3pm, submit a progress report to the Secretariat for plenary review (with 1-2 slides, as appropriate), and by Thursday evening (7 December), submit a presentation of revised draft guidance to the Secretariat for plenary discussion.

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		5) By Thursday, 7 December, 5pm, submit recommendations to the Secretariat for a feedback mechanism for Parties and the wider CITES community to share experiences with using NDF guidance, and to review and update the NDF materials as may be needed.
13	Case studies	No working group
14	Glossary	No working group