

# International Expert Workshop on CITES Non-Detriment Findings

Huatulco, Oaxaca, Mexico (November 10-15<sup>1</sup>, 2008)

## I. Background

According to Articles II, III, and IV of the Convention, Parties shall only allow trade in specimens of species included in Appendices I and II in accordance with its provisions. Articles III and IV require that, for specimens of species on these Appendices, 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 the species being traded (i.e. non-detriment finding).

In Resolution Conf. 10.3 on “Designation and role of the Scientific Authorities”, the Conference of the Parties recommends that Management Authorities “not issue any export or import permit, or certificate of introduction from the sea, for species listed in the Appendices without first obtaining the appropriate Scientific Authority findings or advice”. Also, Resolution Conf. 10.3 recommends “that 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”. The importance of science in CITES-related decision-making is also emphasized in Resolution Conf. 14.7 on Management of nationally-established export quotas: “the fundamental principle to follow is that decision-making regarding the level of sustainable exports must be scientifically based, and harvests managed in the most appropriate manner”.

On the bases stated above, Scientific Authorities of exporting countries, and sometimes also from importing countries, are continually challenged to determine whether a particular export will be detrimental to the survival of a species and to define what information and parameters are most relevant to determine this. Therefore, it is important that the Parties be provided with some basic criteria and general guidelines, as well as documented methodologies, in order to facilitate the formulation of non-detriment findings (NDFs) and to make more complete and scientifically sound the evaluations required to improve the implementation of the Convention.

Based on this need, the IUCN-The World Conservation Union, through its Species Survival Commission (SSC), assisted by the CITES Secretariat, Parties and other organizations, convened two workshops in order to develop some practical assistance for Scientific Authorities; these resulted in very useful and comprehensive materials. The results, incorporated into a publication (Rosser, A. R. and Haywood, M. J. Comp. 2002. *Guidance For CITES Scientific Authorities: Checklist to assist in making non-detriment findings for Appendix II exports*) are a useful tool that includes a detailed checklist that can be used by Scientific Authorities when making NDFs. Many countries lack the necessary financial and technical resources to fulfil CITES obligations, including making these findings, and the checklist developed from these workshops was a first step in improving the capacity of countries to make proper NDFs.

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<sup>1</sup> Dates could be redefined based on funds availability.

Following these efforts and as recommended in the guidelines document itself, some regional and species-specific workshops and exercises have been developed on technical and biological aspects of making NDFs. For example, a regional workshop of Scientific Authorities was held in Nicaragua in 2002; results and lessons learned from this workshop (*Cursillo para las Autoridades Cientificas*, Nicaragua, September 16-19, 2002) could be useful in future discussions. Other recent efforts related to similar exercises for specific taxa could be used as a reference as well (e.g. medicinal plants, *Swietenia macrophylla*, *Cheilinus undulatus*, *Cuora amboinensis*, *Ptyas mucosa*, and *Aquilaria* spp.). These exercises have been successful in compiling relevant information and methodologies needed to formulate NDFs for some plant and animal species, thus providing single-species guidance. Now, Parties need to build on these efforts in the light of current experience.

The idea of organizing an international expert workshop on non-detriment findings originated from the recognition of the need to continue developing Parties' capacities for the proper implementation of the Convention, particularly in relation to the methodologies, tools, information, expertise, and other resources needed by Scientific Authorities (SA). Such a workshop such draw on expertise developed through case studies that build on the guidelines developed by IUCN, as well as on the experiences of Parties.

The proposal of having such a workshop was first raised and discussed during the XI Annual Meeting of Canada/Mexico/US Trilateral Committee for Wildlife & Ecosystem Conservation and Management (2006), a forum where Management and Scientific Authorities of the three countries periodically discuss CITES implementation issues for the region. This idea was presented and well received during the joint meeting of Plants and Animals Committees (PC16/AC22) held in Lima (July 2006) and later also at the 54<sup>th</sup> meeting of the Standing Committee (October 2006) in Geneva. Finally, a formal proposal was presented by Mexico and Canada at The Hague (June 2007) and approved through a Decision by the 14<sup>th</sup> Conference of the Parties to CITES (CoP14 Doc. 35), directing the Secretariat to assist in obtaining funds and preparing the workshop and asking Parties and Organizations to provide financial support, as well as any other help and information needed.

## **II. Goal**

The goal of the workshop is to provide guidance to CITES Authorities relating to the processes, methodologies and information needed to formulate NDFs, both in general and for selected species, by building on existing work (such as the IUCN Checklist, Parties own experiences and the results of workshops), so that the central provision that a non-detriment finding required for the exportation of Appendix I and II species can be better implemented.

## **III. Objectives**

The main objective of the workshop is to provide Parties with elements that enhance their understanding of what NDFs are and how they can be formulated. The workshop will analyse and summarise the different approaches and paths followed by Scientific Authorities along the NDF decision making process, taking into account the Parties' experiences (such as the use of the IUCN Checklist and other experiences). This will provide exporting countries with complementary

guidance and the relevant elements that should be taken in consideration in order to formulate adequate NDFs; doing so will also provide confidence about the findings to both exporting and importing countries.

The aim of this workshop is not to agree on a general guide to formulate NDFs for any given species or group of species, but propose a common guideline on what a NDF is, as well as a synthesis of the most relevant aspects of NDF development (both general and species specific) to be considered by Scientific Authorities (general and species specific), on a voluntary basis.

The workshop aims to deliver the following two main products:

1. General guidelines (principles and criteria) that summarise the different approaches<sup>2</sup> and paths followed by Scientific Authorities along the NDF decision-making process.
2. Taxon-based<sup>3</sup> guidelines (principles and criteria) for developing NDFs for taxa<sup>4</sup> commonly found in trade<sup>5</sup> (e.g. review and summarize basic parameters, field evaluation and analysis methodologies, develop risk-assessment checklists or step-wise approaches to conducting resource assessments, review monitoring systems and management elements, as well as other procedures for setting of quotas for off-take and export).

#### **IV. Scope**

The workshop intends to examine different aspects (mainly biological and technical) of the processes followed by Scientific Authorities to make NDFs. Other relevant aspects related to management and trade control that directly affect these findings could be considered if necessary.

It is proposed to cover the main groups of species in Appendix II that are currently and frequently found in international trade. Thus the main focus of the workshop will be on species on Appendix II, but if co-chairs decide that there is a good and useful example of an Appendix I species it will be used. The same will apply for the case of look alike species.

Species under consideration by the scientific committees (including, but not limited to, significant trade and Appendices reviews) or species reviewed by IUCN that have led to a determination on the availability of scientific information for the making of non-detriment findings, could be used for case studies, considering that these processes have already resulted in giving more attention to these species and triggered studies and/or reports that have made available relevant information.

The workshop also seeks to provide Scientific Authorities with complementary information, tools, and other resources that can help them formulate NDFs, including general principles, guidelines, and a compilation of case studies (lessons learned) for selected taxa of flora and fauna.

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<sup>2</sup> General guidelines formulation needs to have some feedback from the taxon-based guidelines formulation process.

<sup>3</sup> Taxa will be grouped according to taxonomy, life forms or commodities in trade.

<sup>4</sup> Workshop focus is on Appendix II species, but if good examples of NDFs for Appendix I species are available, and co-chairs consider them useful, these could be included as well.

<sup>5</sup> This task will be guided and facilitated by the presentation of case studies (prepared and distributed in advance), that may allow participants to share information, knowledge, and experiences about the methodologies and procedures by which Scientific Authorities formulate non-detriment findings for specific taxa.

Finally, the workshop is expected to help in strengthening the links between Scientific Authorities (from exporting and importing countries) and experts from different regions of the world, in order to work towards a consolidated network that can continue to grow and allow for regular communication and exchange of information in relation to making NDFs.

## **V. Participant profiles**

It is expected to have the participation of scientists (experts) regarding NDF-relevant areas, such as ecology and population biology, wildlife monitoring and management, conservation, and sustainable utilization. Among these, representatives from CITES Scientific and Management Authorities of the different regions will be considered, including both exporting and importing countries, but special attention will be given to exporting countries participation, as these countries are responsible for making NDFs. Experts from the industry sector could be considered as well, according to their profile and the specific needs of the working groups.

Criteria for selection of experts (to be taken into account by co-chairs):

- a) Invitation for participation will be based on personal knowledge and expertise.
- b) Curricula will be evaluated and sorted by the WG co-chairs and approved by the Steering Committee to make sure proper balance in expertise is maintained within the working groups and that their participation is on an individual basis (not representing the views of their organization or institution). In some cases however, institutions/organisations could be invited to nominate individuals with appropriate expertise.
- c) Participation from academic/scientific and management areas, as well as management and scientific authorities will be considered, giving preference to those institutions and persons directly involved in NDF formulation and management of the species.
- d) Co-chairs will guarantee the participation of at least one expert from each of the following fields: i) population biologists; ii) wildlife managers; iii) people actively involved in NDF formulation; and iv) other experts of international institutions like FAO or ITTO for the marine/aquatic and timber groups, respectively.
- e) Representation of case studies from different regions of the world and different taxa of plants and animals (including marine species) will be taken into account. Case studies will also be selected taking into consideration the relevant commodities/types of trade.
- f) Participants should have at least general knowledge of CITES principles and the operational responsibilities of Scientific and Management Authorities.
- g) The workshop will have a focus on attending exporting countries needs and practical problems, as well as gathering their experiences, and so it is expected to favour participation of experts from these countries.

## VI. Organization of work

### Plenary presentations (with time for discussions)

The first plenary session will begin with two background presentations in order to standardize concepts and provide participants with the most relevant aspects related to NDFs: **(a)** CITES & non-detriment findings: CITES and NDF basic concepts and legal aspects (CITES Secretariat); and **(b)** General principles and methodologies for making NDFs: The CITES-IUCN Checklist as an example (Alison Rosser, Durrell Institute for Conservation and Ecology). Based on these, plenary will have time to have a first discussion session on general aspects for NDF formulation and on the general content and nature of the taxon-based guidelines.

A compilation of all background documents and case studies prepared by the speakers and the discussion and general recommendations derived from the workshop (i.e. general and taxon-based guidelines) will be delivered through the proceedings and/or a publication (though some background information should be provided electronically to participants in advance).

#### 1. General aspects of NDF formulation

A background document with a summary that includes the related texts of the Treaty and relevant Resolutions and some of the history and state of play of the IUCN Checklist and developments since then (including the experiences shared by Parties in response to the Notification<sup>6</sup>) will be distributed well in advance to all participants as the basis for general discussion on NDF to produce the general guidelines. This has to be associated with an effective workshop methodology that facilitates the development of such a document during the workshop; such methodology will have to be defined before the workshop by the Academic Subgroup of the Steering Committee (some considerations are presented in the Annex to this document).

For this section it is suggested to have a plenary discussion to address key aspects related to the process followed by Scientific Authorities in order to formulate non-detriment findings; this could also consider aspects related to the interactions between the Scientific and Management Authorities. The discussion is expected to build on the checklist compiled by the IUCN-led workshop (Rosser and Haywood, 2002) and other general methodologies or approaches used by Parties to develop a document with general guiding principles and specific recommendations on the procedures (approaches and pathways) to formulate non-detriment findings; that is, on the elements that should underpin the decision making process.

As mentioned before, it is not the aim of this workshop to agree on a general guide to formulating NDFs for any given species or group of species, but to propose a common guideline on what these findings are, as well as a synthesis of the most relevant aspects of NDF development to be considered (on a voluntary basis) by Scientific Authorities in coordination with Management

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<sup>6</sup> The Secretariat will issue a Notification in order to consult the Parties about how -on the basis of their practical experience- they are using the IUCN Checklist or other guidance, approaches or methodologies to formulate NDF.

Authorities. Some of the conclusions and approaches derived from plenary could be addressed again by the working groups, adjusted and included as needed into the taxon-based guidelines.

## **2. Taxon specific aspects of NDF formulation: Case studies for selected Appendix II taxa**

The species or groups of species to be reviewed should be those commonly found in international trade in significant<sup>7</sup> numbers or volumes and whose wild populations are the main sources of the specimens traded. At the same time this part of the discussion is expected to cover most of the different life forms and taxonomic groups of species of both plants and animals included in the CITES Appendices (this can be reflected also in the different types of commodities that are currently traded), including marine species and medicinal plants, and to cover a range of relevant life history strategies. It is intended to analyse case studies to exemplify different use regimes; this is those that imply extraction/removal of whole specimens from the wild and those that do not (e.g. live shearing and barking), the latter implying a “non- destructive/non-lethal” harvest of the species. It is expected to also have a balanced consideration of case studies from the different regions and biomes of the world.

The guidelines should consider the optimal and minimal information and elements that have to be evaluated when formulating NDFs. Examining application forms that Scientific Authorities use to collect needed information from CITES permit applicants for this evaluation could be useful as well. Also, consideration should be given to analysing the need to set up robust monitoring systems, so that once an initial set of factors have been assessed to derive a NDF and for example, annual harvest/export quotas have been set, any new information can be fed into the monitoring ‘system’ to accommodate shifts in trade dynamics and additional knowledge (adaptive management). Information on some of the basic aspects that could be considered when developing the guidelines (e.g. risk-assessment checklists, step-wise approaches to conducting resource assessments, establishment of monitoring systems, adaptive management, and the setting of quotas for harvest and export) by the different working groups for each of the species or group of species can be found in the Annex to this document. Besides, some of the conclusions derived from plenary sessions, could be addressed again by the working groups, adjusted and included if appropriate and as needed into the specific taxon-based guidelines.

Case studies will be prepared and documented<sup>8</sup> (according to a format) well in advance and distributed to all participants within each working group. The committee’s academic group, in consultation with the co-chairs, shall prepare a format that will help focus participants and guide the results into the objectives and methodology of the workshop. Advance circulation of these documents will be key to having discussions in the sort of informed depth that will be required to make concrete progress beyond the ‘concept’ of NDF. If needed, working group co-chairs should consider, and suggest to presenters (experts), the preparation of joint case studies, either for related and/or similar species (e.g. crocodiles, snakes, timber species) or by both importing and exporting countries.

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<sup>7</sup> Seek advice from UNEP-WCMC.

<sup>8</sup> This is a description of the process and information a country is using to make an NDF for the particular species (factors that they consider when making the NDF for the particular taxon, focusing on process and information).

Outcomes of regional workshops or taxon specific workshops (e.g. *Hippocampus* spp., medicinal plants IMAP, *Swietenia macrophylla*, *Cheilinus undulatus*, *Cuora amboinensis*, *Ptyas mucosa*, *Aquilaria* spp., *Harpagophytum* spp.) could be compiled and made available to participants by co-chairs if considered necessary.

If some of the working groups gather a large number of case studies, such that it is not possible to have them analysed and discussed (as the basis for that WG debates) within the WG, the Co-chair can decide/suggest that some of these are rather presented during a poster session and not as a PPT during the WG sessions; of course these will also be included in the Proceedings. Presentations should be available in the Workshop's Website beforehand.

**Note:** The Steering Committee, in coordination with co-chairs and taking into account the responses from CITES Parties to **Notification 2007/032**, will produce a list of identified problems and shortfalls that appeared when producing NDFs according to the already existing guidelines and recommendations (both general and taxon-specific). The case studies and these results shall also be included in the documents to be distributed in advance to give some good guidance to the working groups at the workshop.

Each working group could produce one or more guiding principles (e.g. risk-assessment checklists, step-wise approaches to conducting resource assessments, establishment of monitoring systems, adaptive management, and the setting of quotas for harvest and export) as needed. For example, Trees Working Group could develop one for timber and another for medicinal trees.

Based on the following draft list (candidate species/country case studies), co-chairs will be directed to finalize the list and present it to the Steering Committee; the first draft list could be forwarded to the UNEP-WCMC for their review and to suggest addition of candidate species/countries, based on their databases (i.e. volumes and origin), for consideration by co-chairs:

Non-confirmed experts appear in yellow

## **Plants working groups**

### **1. Trees (timber\* and medicinal and aromatic plants):**

Brazilwood (*Caesalpinia echinata*) - Brazil; African teak (*Pericopsis elata*) - Cameroon; Lignum vitae (*Guaiaecum sanctum*) - Mexico; Big-leaf mahogany (*Swietenia macrophylla*) - Peru; Ramin (*Gonystylus* spp.) - Indonesia/Malaysia; Agarwood (*Aquilaria* spp.) - Malaysia/Indonesia; (*Gyrinops* spp.) - Malaysia/Indonesia; African cherry (*Prunus africana*) - Equatorial Guinea/Spain; Himalayan yew (*Taxus* spp.) - China.

**Co-chairs:** Rafael María Navarro Cerrillo (Spain) and Fernando Olave (Chile) or Maria Eugenia Saavedra (Chile).

**Note:** Consider discussion of NDF for tree species grown in plantations. According to Resolution Conf. 10.13 (Rev. CoP13) on Implementation of the Convention for timber species, timber taken from trees grown in monospecific plantations will be considered as being artificially propagated in accordance with the definition contained in Resolution Conf. 11.11 (Rev. CoP13). Nevertheless, many countries have multi-specific plantations (specially for tropical species) and thus their products do

not qualify as artificially propagated specimens. The effect of plantations on local endemic species could be taken into account as well.

**2. Perennials (ornamental, medicinal and aromatic plants):** American Ginseng (*Panax quinquefolius*) - USA; *Hydrastis canadensis* - USA and Canada; *Picrorhiza kurroo* - Nepal; *Nardostachys grandiflora* - Nepal; *Rauwolfia serpentina* - Thailand; *Podophyllum hexandrum* - China; *Dionaea muscipula* - USA; *Adonis vernalis* - Romania/Germany; *Sarracenia* spp. - Canada/USA.

**Co-chairs:** Greg Leach (Australia) and **PENDING**

**Note:** Besides the case studies, a presentation on the ISSC-MAP work, which has been done the IUCN SSC Med Plants SG and the German Federal Agency for Nature Conservation (BfN), related to the “International Standard for Sustainable Wild Collection of Medicinal and Aromatic Plants” (ISSC-MAP), should be considered for this working group as well.

**3. Succulents and cycads (medicinal & ornamental plants):** Columnar cacti: Saguaro (*Carnegiea gigantea*) - Mexico; Small globose cacti; Aloe (*Aloe* spp.) - Country?; Candelilla (*Euphorbia* spp.) - Mexico; *Hoodia* spp. - South Africa/Namibia/ Botswana; Madagascar palm (*Pachypodium* spp.) - Madagascar; Cycads (*Cycas* spp.) - Mexico/Honduras/Haiti/Australia/ South Africa/Dominican Republic/Viet Nam; Tree ferns (*Cyathea*, *Cibotium*, *Dicksonia*) - Viet Nam/China/Australia/New Zealand/Indonesia/Brazil.

**Co-chairs:** John Donaldson (South Africa) and Patricia Dávila (Mexico). Both Confirmed.

**4. Geophytes and Epiphytes (live, roots, dried plants and derivatives):** *Galanthus* spp. - Turkey/Georgia; *Cyclamen* spp. - Turkey/Georgia; *Sternbergia* spp. - Turkey; *Cistanche deserticola* - China; Orchids<sup>9</sup> (*Dendrobium* spp., *Cymbidium* spp.) - Country?.

**Co-chairs:** Noel Mc Gough (UK) and Beatrice Khayota (Kenya).

### Animals working groups

**5. Birds (live animals):** Blue-fronted Amazon (*Amazona aestiva*) - Argentina, Saker falcon (*Falco cherrug*) - Mongolia/Pakistan/Syria/United Arab Emirates; African grey parrot (*Psittacus erithacus*) - Cameroon/Congo/Cote d'Ivoire/Sierra Leone/Liberia/Guinea; Hornbills (*Buceros* spp.) - Malaysia; Cockatoos (*Cacatua* spp.) - New Zealand/Solomon Islands/Malaysia; **Passeriformes:** *Rupicola peruviana* - Peru; *Pitta* spp. - Indonesia; *Pycnonotus jocosus* - China; *Paroaria capitata*/*P. coronata* - Paraguay; **Struthioniformes:** Ostrich (*Struthio camelus*) - Sudan; Rhea (*Rhea americana*) - Argentina; **Waterbirds:** Flamingo (*Phoenicopterus ruber*) - Tanzania/Cuba; *Anas* spp. - Egypt/Canada/UK.

**Co-chairs:** Frederick Launay (IUCN Re-introduction Specialist Group); Rod Hay (New Zealand); Phil McGowan (UK).

**Note:** This working group should take into account and differentiate NDFs for both wild-caught and ranched specimens.

**6. Mammals (skins, trophies, live animals, medicinal):** USA (SA & States representative): Bobcat (*Lynx* spp.); **(hunting trophies):** African SA: Leopard (*Panthera pardus*), Sitatunga (*Tragelaphus speki*) or Bongo (*T. eurycerus*), Grizzly bear-trophy exports (*Ursus arctos*) - Canada; Bighorn sheep (*Ovis canadensis*) - Mexico, Vicuña (*Vicugna vicugna*) - Peru; *Macaca fascicularis* -

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<sup>9</sup> If considered appropriate, time could be given within this group (that could include an orchid: *Dendrobium*) to discuss artificially propagated orchids and how some countries, such as the USA, formulate NDFs for these.



Mauritius/Viet Nam/Indonesia/Laos; *Tayassu pecari* – Peru; Dolphins (*Tursiops* spp.); Narwhal (*Monodon monoceros*), others.

**Co-chairs:** Rodrigo Medellín (Mexico) and Holly Dublin (IUCN's SSC) or Malan Lindeque (Namibia).

**7. Reptiles and amphibians (skins and live animals):** Tegu (*Tupinambis* spp.) - Argentina, Anaconda (*Eunectes notaeus*) - Argentina, Monitor lizards (*Varanus* spp.) - Indonesia; Snakes (*Python* spp., *Naja* spp., *Ptyas mucosus*.) - India, Crocodiles (*Melanosuchus niger*, *Crocodylus acutus*, *Caiman yacare*) - Brazil/Cuba/Venezuela; Box turtles (*Terrapene* spp., *Cuora* spp) - USA/Indonesia/Malaysia; Poison arrow frogs (*Dendrobates* spp.) - Nicaragua/Peru; *Python regius*, *Kinixys* sp., *Malacochersus tornieri* and *Geochelone pardalis*. The first two from W. Africa, the last two from E. Africa.

**Co-chairs:** Peter Paul van Dijk (IUCN Turtle and Tortoises Specialists Group) and James Perran Ross (Australia) or Charlie Manolis (Wildlife Management International).

**Note:** *This working group should take into account and differentiate NDFs for both wild-caught and ranched specimens.*

**8. Fishes (food, ornamental and medicinal):** Humphead wrasse (*Cheilinus undulatus*) - IUCN/FAO/TRAFFIC; Sharks<sup>10</sup> (*Lamna nasus*) - Germany/TRAFFIC; Basking shark (*Cetorhinus maximus*) - Norway/New Zealand/UK; Whale shark (*Rhincodon typus*) - Taiwan/UK; White shark (*Carcharodon carcharias*) - Australia/Taiwan/South Africa; Sturgeons (*Acipenser* spp., *Huso* spp.) - Iran/Russia; Seahorses (*Hippocampus* spp.) - Project Seahorse; European eel (*Anguilla anguilla*) – Italy/Spain/Germany.

**Co-chairs:** Kevern Cochrane (FAO) and Glenn Sant (TRAFFIC Global Marine Programme Leader).

**Note:** Consider discussing the introduction from the sea approach within the group.

**9. Aquatic invertebrates (food, ornamental and medicinal):** Sea cucumber (*Isostichopus fuscus*) - Ecuador; Queen conch (*Strombus gigas*) - Caribbean country/USA; Giant clams (Tridachnidae) – Fiji and Indonesia; Hard corals (Scleractinia) - Country.

**Co-chairs:** Vincent Fleming (UK) and Andy Bruckner (USA).

**Note:** *Consider discussing the introduction from the sea approach within the group.*

## VII. Logistics

A 5 day workshop of up to 100 persons (including scientists/experts and CITES Scientific and Management Authorities related to the study-monitoring, management, conservation, and utilization of selected taxa) representing a wide range of disciplines and working on relevant research and operational projects from the different regions will be convened in Mexico.

### Draft schedule

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<sup>10</sup> CoP14 adopted the following **decisions** related to Sharks: **The Secretariat** shall distribute a Notification to the Parties on implementation of listings for shark species. This will focus specifically on obtaining from Parties' Scientific and Fishery Authorities case studies on the development of non-detriment findings for shark species, and will collate and summarise these for provision to the Non-Detriment Findings expert workshop to be held in Mexico; **and** in consultation with the Steering Committee of the Non-Detriment Findings expert workshop to be held in Mexico, shall seek to ensure that this workshop considers the development of non-detriment findings for sharks, including shared, migratory, straddling and high seas stocks.

Day	Event		Activities	Products
Day 0	Participants arrive		- Participants register	- Updated list/directory of Participants
Day 1	Plenary <sup>11</sup> session 1		- Welcome - General aspects on NDF presentations - Discussion on general aspects for NDF formulation - Explanation of taxon based check-lists and working groups methodology	- Elements for general and taxon based guidelines - Final composition of WG's participants
Day 2	AM	Working groups sessions	- Case studies presentations	<i>Products in progress</i>
	PM	Working groups sessions	- Taxon-based guidelines development	<i>Products in progress</i>
		Summary Plenary Session	- Review progress (results)	<i>Products in progress</i>
Day 3	AM	Working groups sessions	- Taxon-based guidelines development	<i>Products in progress</i>
	PM	Summary Plenary Session	- Review progress (results)	<i>Products in progress</i>
Day 4	AM	Working groups sessions	- Finalize taxon-based guidelines - Discuss general guidelines for NDF formulation	- Taxon-based <u>guidelines proposals</u> - Elements to be considered for the general guidelines
	PM	Plenary session 2	Working groups present conclusions and taxon-based guidelines for approval	- <u>Draft taxon-based guidelines</u>
Day 5	AM	Plenary session 3	Working groups present conclusions and taxon-based guidelines for approval	- <u>Draft taxon-based guidelines</u>
	PM	Plenary session 4	Based on plenary sessions 1, 2 and 3, discuss and develop a final paper on general NDF guidelines.	- <u>Draft proposal of the general guidelines</u> for NDF formulation (draft document for AC and PC consideration; possible Resolution)
Day 6	Field trip		- Field trip, participants leaved	-
Day 7	Chairs and Steering Committee meeting		- Review and finalize taxon based and general guiding principles - Development of proceedings based on summaries, products and general conclusions of the workshop.	- Draft proceedings - Revised general and taxon-based guidelines for AC

#### Notes:

***Short joint (plenary) sessions in the afternoons to share progress and ideas (main conclusions) that could be incorporated into the discussion for the following sessions of each working group; For days 2-4 a brief plenary (one hour) would be held at every afternoon to assess advances of different working groups and feedback.***

***Considering the timeframe, it is expected that working groups and plenary sessions produce draft documents and a small drafting group conformed (by some members of the Steering Committee and Co-chairs) to produce a document that can be validated -electronically- later by the participants.***

#### Resources needed and budget

A number of governments and organizations have already expressed their interest in assisting in the organization and funding of the workshop, as well as in contributing with expertise and

<sup>11</sup> Working language will be English, but English/Spanish interpretation will be provided for plenary sessions.

information. Funding or in-kind support is required for the items shown bellow (provisional budget shows a rough estimate, but figures will be adjusted when final venue and participants list are defined). The Steering Committee shall formalize available offers and continue to seek for financial or in-kind support.

### Provisional (estimated) maximum budget (USD)

**Note:** *Some Parties may be asked to fund the travel of their participants, in which case, travel costs could be less than estimated below. Invited participants and experts should be asked if they need travel support. The UK, the European Union, WWF-TRAFFIC, USA and Mexico have expressed their intention and committed to look for some funds for the workshop, though not formal offer has been completed.*

<b>Hotel, food and transportation for participants</b>				
<b>Item</b>	<b>nights/days/times</b>	<b>Persons</b>	<b>Cost</b>	<b>Subtotal</b>
Hotel <sup>12</sup> (all inclusive)	6 nights	100 <sup>13</sup>	\$150.00	\$90,000
Taxis <sup>14</sup>	2 rides	100	\$35.00	\$7,000
Airfare	1 ticket	100	\$2,000.00	\$200,000
<b>Subtotal 1:</b>				<b>\$297,000</b>
<b>Logistics, working rooms, equipment, interpretation and materials</b>				
<b>Item</b>	<b>Days/number/quantity</b>	<b>Persons</b>	<b>Cost</b>	<b>Subtotal</b>
Case studies <sup>15</sup>	-	-	-	-
Interpretation <sup>16</sup>	5 days	-	\$20,000	\$20,000
Coordination and logistics support <sup>17</sup>	3 payments	1	\$2,000	\$6,000
Steering Committee coordination room	1	-	-	-
Plenary room	1, 6 days	100	-	-
WGs rooms <sup>18</sup>	8, 6 days	10-15	-	-
Sound equipment <sup>4</sup>	For 8 rooms, 6 days	-	-	-
Projection Screens <sup>4</sup>	1 screen (plenary), 6 days; 8 for WG rooms or wall	-	-	-
Computers (PC)	2 for committee room	-	-	-
Digital projectors	8	-	-	-
Wireless Internet <sup>19</sup>	7 days	-	\$450	\$3,150
Copier-printer	1	-	\$500	\$500

<sup>12</sup> Hotel shall be defined as soon as possible; Secretariat have a great of experience in negotiating "all-in" deals with hotel - considerable savings can be achieved.

<sup>13</sup> Number of participants (100) considers a maximum of 9 persons (experts, including SA and MA Authorities) for each of the 9 working groups (c.a. 80 persons), the interpreters (2 persons), and support personnel (8 persons).

<sup>14</sup> Negotiations with the hotel may result in them covering this.

<sup>15</sup> If needed, Parties and/or organizations shall allocate funds to compile and/or prepare case studies for the workshop.

<sup>16</sup> Interpretation into (English and Spanish) will be provided for plenary sessions; developing discussion plenary sessions (not welcome) in English only and use these resources for translation of documents into the three working languages will be considered.

<sup>17</sup> CONABIO will provide the funds to hire a person that will help in different coordination and logistical aspects.

<sup>18</sup> The costs for rooms, sound equipment and screens are expected to be covered by the hotel as a service if a minimum number of rooms are booked.

<sup>19</sup> Negotiations with the hotel may result in them covering this.

Stationery <sup>20</sup>	-	-	\$1,000	\$1,000
Banner <sup>21</sup>	1	-	\$600	\$600
Coffee-breaks	2, 6 days	100	\$15	\$18,000
Fieldtrip <sup>22</sup>	1	100	\$2,000	\$2,000
			<b>Subtotal 2:</b>	<b>\$51,250</b>
			<b>Total:</b>	<b>\$348,250</b>

## International Steering Committee

### Parties

Argentina.- Victoria Lichtschein: [vlichtsc@ambiente.gov.ar](mailto:vlichtsc@ambiente.gov.ar)

Australia.- Greg Leach: [Greg.Leach@nt.gov.au](mailto:Greg.Leach@nt.gov.au)

Canada.- Carolina Cáceres/Adrienne Sinclair: [Carolina.Caceres@ec.gc.ca](mailto:Carolina.Caceres@ec.gc.ca), [Adrienne.Sinclair@ec.gc.ca](mailto:Adrienne.Sinclair@ec.gc.ca)

Costa Rica.- José Joaquín Calvo Domingo: [joaquin.calvo@sinac.go.cr](mailto:joaquin.calvo@sinac.go.cr)

European Commission.- Henk Eggink: [henk.eggink@ec.europa.eu](mailto:henk.eggink@ec.europa.eu)

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Ireland.- Colman O'Criodain: [Colman.O'Criodain@environ.ie](mailto:Colman.O'Criodain@environ.ie)

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Rwanda.- Tony Mudakikwa: [saveagorilla@rwandatourism.com](mailto:saveagorilla@rwandatourism.com)

South Africa.- Sonja Meintjes: [smeintjes@deat.gov.za](mailto:smeintjes@deat.gov.za)

Spain.- Mercedes Lasso: [MLasso@mcx.es](mailto:MLasso@mcx.es)

United Kingdom.- Noel McGough: [N.McGough@rbgkew.org.uk](mailto:N.McGough@rbgkew.org.uk)

USA.- Rosemarie Gnam: [Rosemarie\\_Gnam@fws.gov](mailto:Rosemarie_Gnam@fws.gov)

### CITES Scientific Committees

Thomas Althaus, Animals Committee Chair: [thomas.althaus@bvet.admin.ch](mailto:thomas.althaus@bvet.admin.ch)

Margarita Clemente, Plants Committee Chair: [cr1clmum@uco.es](mailto:cr1clmum@uco.es)

### CITES Secretariat

David Morgan/Milena Sosa Schmidt: [david.morgan@cites.org](mailto:david.morgan@cites.org), [milena.schmidt@cites.org](mailto:milena.schmidt@cites.org)

### IGOs and NGOs

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Peter Poeschel, IFAW: [ppoeschel@ifaw.org](mailto:ppoeschel@ifaw.org)

Sue Lieberman, WWF: [slieberman@wwfspecies.org](mailto:slieberman@wwfspecies.org)

James Compton, TRAFFIC South-East Asia: [james.compton@po.jaring.my](mailto:james.compton@po.jaring.my)

Will Travers, Born Free Foundation/SSN: [will@bornfree.org.uk](mailto:will@bornfree.org.uk)

<sup>20</sup> Certificates, badges, paper, ink, pencils, folders, etc.

<sup>21</sup> This could be covered by Mexico as host country.

<sup>22</sup> This could be covered by Mexico as host country, or by the participants themselves.

## Subcommittees (thematic groups)

1. **General coordination, liaison, outreach and communication** (electronic group, website): Hesiquio Benítez/Gabriela López (Lead), Sue Liebermann and Carolina Cáceres.
2. **Academic** (presentations, background documents, templates, coordination with chairs):  
**General:** Thomasina Oldfield (Lead), James Compton, Adrienne Sinclair, Will Travers;  
**Plants:** Margarita (Lead), Greg Leach, Noel MGogh, Uwe Schippman, Colman O’Criodain and Milena Sosa. **Animals:** Gabriela López/Rodrigo Medellín (Lead), Thomas Althaus, Mercedes Lasso, Victoria Lichtschein and Sonja Meintjes.
3. **Fund raising and management:** David Morgan<sup>23</sup>, Peter Pueschel, Rosemarie, Henk Heggins, Will Travers and James Compton.
4. **Logistics** (venue, accommodation, travelling, rooms, equipment, interpretation): Gabriela López/Alejandra Garcia-Naranjo (lead) and Will Travers.

## Local contacts

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<sup>23</sup> In order for funds to be disbursed via the Secretariat, we will need to establish a Memorandum of Understanding with the Mexican authorities. This MoU and the budget will need to comply with UNEP/CITES financial rules.

