

TECHNICAL SERIES

22

## MAKING THE MAHOGANY TRADE WORK

Report of the workshop on capacity-building for the implementation of the CITES Appendix-II listing of mahogany

OCTOBER 2004



INTERNATIONAL TROPICAL TIMBER ORGANIZATION

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An ITTO-sponsored workshop hosted by the Peruvian National Institute  
for Natural Resources (INRENA), with the assistance of FONDEBOSQUE,  
held in Pucallpa, Peru, 17–21 May 2004

ITTO Technical Series No 22

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The International Tropical Timber Organization (ITTO) is an intergovernmental organization promoting the conservation and sustainable management, use and trade of tropical forest resources. Its 59 members represent more than 75% of the world's tropical forests and 90% of the global tropical timber trade. ITTO develops internationally agreed policy documents to promote sustainable forest management and forest conservation and assists tropical member countries to adapt such policies to local circumstances and to implement them in the field through projects. In addition, ITTO collects, analyses and disseminates data on the production and trade of tropical timber and funds a range of projects and other action aimed at developing industries at both community and industrial scales. All projects are funded by voluntary contributions, mostly from consuming member countries. Since it became operational in 1987, ITTO has funded more than 700 projects, pre-projects and activities valued

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ISBN 4 902045 14 1

## Foreword

Mahogany is one of the best-known and most valuable tropical timbers on the international market. *Swietenia mahogany*, native to Central America and the Caribbean, has been traded around the world since the 16th century, while *S. humilis* from Central America has been extensively used locally. Heavy demand for both these species has resulted in declines in their populations to the point where they are no longer commercially available. *S. macrophylla*, also known as caoba or big-leaf mahogany, is now the main true mahogany in commerce. The species has recently become a *cause célèbre* in discussions on international timber utilisation and forest conservation policy.

After ten years of debate among parties to the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), many of whom are also members of ITTO, and a considerable degree of controversy, the decision was taken at the 12th Conference of the Parties to CITES in 2002 to include *S. macrophylla* in Appendix II of the Convention. All species in the genus *Swietenia* are therefore now included in CITES Appendix II, *S. humilis* having been added in 1975 and *S. mahogany* in 1992.

The inclusion of *S. macrophylla* in Appendix II of CITES imposes exporting, importing and monitoring requirements on the species, which should be linked to its sustainable management in natural forest habitats. A key requirement is the formulation of the so-called non-detriment finding prior to export. The CITES listing of this valuable and somewhat symbolic species has been operational since November 2003. ITTO is committed to helping ensure that the listing is effective, in line with Objective (d) of the ITTA, which is:

*To enhance the capacity of members to implement a strategy for achieving exports of tropical timber and timber products from sustainably managed sources by the year 2000.*

National policies for sustainable forest management are well advanced in the main producer countries for big-leaf mahogany, but aspects of practical implementation remain challenging. ITTO and other international agencies are supporting progress

in sustainable forest management through a wide range of project and policy initiatives. ITTO's policy initiatives include facilitating debate and the exchange of practical knowledge and experiences between member countries. One such initiative has been to bring together countries involved in the trade in mahogany to discuss CITES implementation in relation to the sustainable management of mahogany stocks.

This report presents the results of a workshop organized by ITTO and held in Peru, currently the main country of export for mahogany, in May 2004. The purpose of the workshop was to encourage and inform practical action for the formulation of CITES non-detriment findings for mahogany exports. Discussions at the workshop were based on the understanding that the determination of non-detriment findings is an individual country's role and that the criteria for that determination will be set by each country in line with the broader implementation of national forest policy. Focusing on the key mahogany-producing countries (Bolivia, Brazil and Peru), the workshop provided a forum for sharing initial experiences in implementing the Appendix-II listing of mahogany and allowed a review of capacity in key range states to effectively implement CITES obligations with respect to this species. The workshop drew on the cooperative efforts of exporters, importers, governments and the non-governmental community.

When the proposal to include *S. macrophylla* in CITES Appendix II was approved in November 2002, CITES parties stressed that this should be a measure to promote the sustainable trade of the species and should not be interpreted as a trade restriction. The challenge is now to ensure that the sustainability of the species is in fact enhanced. Recommendations in this report set out the key steps necessary to reach the goal of a sustainable mahogany trade. ITTO urges all members of the international community to work together towards the achievement of this crucial objective.

**Manoel Sobral Filho**

Executive Director

International Tropical Timber Organization

## Acronyms

ADEX	Exporters Association (Peru)	ITTO	International Tropical Timber Organization
AFOP	Annual Forest Operational Plan (Bolivia)	IUCN	World Conservation Union
AFOPAR	AFOP Annual Report (Bolivia)	IWPA	International Wood Products Association (USA)
AIMEX	Para State Export Industry Association (Brazil)	MCD	Minimum cutting diameter
AOP	Annual Operational Plan	MMA	Ministry for the Environment (Brazil)
APHIS	Animal and Plant Health Inspection Service (USA)	NDF	Non-detriment finding
ASL	Local Social Groups (Bolivia)	NGO	Non-governmental organization
ATFF	Technical Forest Administration Unit (Peru)	OEMA	State Environmental Organizations (Brazil)
CBD	Convention on Biological Diversity	OSINFOR	Timber Forest Resource Supervisory Agency (Peru)
CFO	Forest Certificate of Origin (Bolivia)	PAPMP	Raw Material Supply and Processing Program (Bolivia)
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora	PPF	Permanent production forest
COP	Conference of the Parties	SENASAG	National Agricultural Health Service (Bolivia)
DBH	Diameter at breast height	SIF	Forest Superintendence (Bolivia)
DEFRA	Department of Environment, Food and Rural Affairs (UK)	SIF	Forest Information System (Peru)
DHS	Department of Homeland Security (USA)	SIVEX	Single Export Office System (Bolivia)
EC	European Commission	SPDA	Peruvian Environmental Law Society
EU	European Union	TTF	Timber Trade Federation (UK)
FSC	Forest Stewardship Council	UNALM-FCF	National Agrarian University of La Molina – Faculty of Forestry Science (Peru)
FUNDEMPRESA	Foundation for Enterprise Development (Bolivia)	UNEP-WCMC	United Nations Environment Programme-World Conservation Monitoring Centre
FWS	Fish and Wildlife Service (USA)	USAID	United States Agency for International Development
GFMP	General Forest Management Plan (Bolivia, Peru)	USDA	United States Department of Agriculture
HPVA	Hardwood Plywood and Veneer Association (USA)	VMRNMA	Vice-Ministry for Natural Resources and the Environment (Bolivia)
HS	Harmonized System	WWF	Worldwide Fund for Nature
IBAMA	Institute for Environment and Natural Resources (Brazil)	YOP	Yearly Operational Plan
INRENA	National Institute for Natural Resources (Peru)		
ITTA	International Tropical Timber Agreement		
ITTC	International Tropical Timber Council		

## Acknowledgements

ITTO gratefully acknowledges the assistance and support of INRENA and FONDEBOSQUE in the convening of the workshop. We are particularly grateful to Mr Leoncio Álvarez Vásquez, the Chief of INRENA, for making time in his busy schedule to enable his active participation. Mr Carlos Salinas (INRENA), Mr Enrique Toledo and Ms Martha Puga (both of FONDEBOSQUE) all deserve credit for the smooth conduct of the workshop, which was due in large measure to their excellent coordination and administration. ITTO is also grateful to Ms Sara Oldfield and Dr Georgina Magin of Fauna & Flora International, who assisted with the editing of this report, and to UNEP-WCMC for access to the CITES trade database. ITTO thanks all the participants (and especially the many traders and NGOs who attended at their own expense) for their active contributions to the workshop and ultimately to a more sustainable trade in mahogany. The workshop was funded through ITTO by the governments of Japan and the USA.

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## Executive summary

*Swietenia macrophylla*, commonly known as big-leaf mahogany or caoba, has been included in Appendix II of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), with effect from 15 November 2003. CITES aims to protect listed species against over-exploitation caused by international trade and to ensure that this trade is sustainable. This is done primarily through the requirements placed on producer countries to verify that exports will not have a detrimental effect on listed species by making non-detriment findings prior to issuing export licences, and by monitoring the levels of export. The inclusion of the commercially valuable big-leaf mahogany under the provisions of CITES is complementary to the key objective of the International Tropical Timber Agreement (ITTA), which is:

*to enhance the capacity of members to implement a strategy for achieving exports of tropical timber and timber products from sustainably managed sources.*

Implementing the CITES mahogany listing presents new challenges in sustainable forest management for the species and in controlling the international trade in its products. At its 35th Session (3–8 November 2003), the International Tropical Timber Council (ITTC) noted the imminent entry into force of the Appendix-II listing of mahogany and heard concerns expressed by mahogany importers and exporters regarding the effective implementation of the listing, particularly the ability of exporters to issue reliable non-detriment findings. Council decided (through Decision 4(XXXV)) to sponsor a meeting of all stakeholders to facilitate effective implementation of the Appendix-II listing.

This report presents the discussions and outcomes of the resulting 'workshop on capacity-building for implementation of the CITES Appendix-II listing of mahogany (*S. macrophylla*)' held on 17–21 May 2004 in Pucallpa, Peru. The main objective of the workshop was to encourage and inform practical action with respect to the formulation of non-detriment findings for mahogany exports, focused on the key mahogany-producing countries: Bolivia, Brazil and Peru. Specific objectives included describing current market conditions for mahogany; identifying opportunities for national inter-agency cooperation and regional cooperation; identifying international assistance needs; discussing common

approaches to monitoring; elaborating potential private-sector actions, and facilitating the sharing of information.

To achieve these objectives, the workshop included presentations by the three producer countries present and by Canada, Spain, the UK and the US, significant mahogany importers. The workshop provided a forum for countries to share their early experiences in implementing the Appendix-II listing and allowed a review of capacity in key range states to effectively implement CITES obligations with respect to mahogany. Presentations were also made by the CITES Secretariat, trade organizations and environmental non-governmental organizations (NGOs). Following the presentations, participants formed three working groups to focus on:

- monitoring activities and technical assistance needs;
- private-sector efforts and market conditions; and
- inter-agency coordination and regional cooperation.

From the presentations it was clear that significant progress has already been made in meeting the requirements of Appendix II for mahogany, but in each exporting country further work is considered necessary. Common issues prevent development of a robust non-detriment finding in each country. There is a lack of information on mahogany stocks and distribution throughout the region, and on the regeneration and ecology of the species in different circumstances. Regulatory authorities lack capacity and resources for monitoring and control, and transparency, communication and information systems need to be improved.

The importing countries represented at the workshop generally have not encountered specific problems with the CITES Appendix-II listing of *S. macrophylla*. An implementation problem for all timber species covered by CITES is identification by customs officials to confirm that shipments correspond with documentation. Various identification tools have been developed to address this issue, as highlighted in this report. Irregularities in permits or incorrect paperwork can also be a significant problem for mahogany imports, as with other CITES-listed species. Communication is one of the key issues for mahogany, to ensure maximum transparency and mutual understanding of the requirements by all parties concerned, including the private sector.

A significant feature of the workshop was the close relationships forged between some of the participating NGOs and trade representatives who are working towards helping to ensure supplies of sustainable and legal mahogany. Some members of the trade offered to investigate the possibility of providing financial assistance to producer countries to support inventories of mahogany resources.

The working groups formulated a number of recommendations, which are given in Section 5 of this report. The recommendations focus on the following key areas:

- the need for accurate data and information on mahogany stocks and ecology to be incorporated in management plans, and the role of the private sector and the academic and scientific communities in obtaining such information;
- the need for improved communication, transparency and availability of information on mahogany management and trade;
- the use of chain-of-custody tools and well-defined procedures and documentation to track mahogany in trade; and
- the development of voluntary codes of conduct by the private sector and coalitions of buyers, sellers and NGOs.

The workshop recommended that both national inter-agency cooperation and regional cooperation should be enhanced, and that additional workshops on mahogany should be convened, especially at the national and sub-national levels. Technical assistance should be sought from relevant international organizations to develop and implement control systems for mahogany, and the CITES Secretariat should provide training on request on the implementation of CITES listings.

The workshop also resulted in two resolutions: one from the CITES authorities in Bolivia, Brazil and Peru, announcing their intention to form a working group to continue regional cooperation on mahogany management and calling for international assistance to support their activities, and the second from a number of organizations commending the efforts of range-state governments to implement the CITES Appendix-II listing of mahogany and expressing their hope that these efforts would be successful in allowing mahogany to be transferred from Appendix II to Appendix III as soon as possible. The full texts of these resolutions are given in Annex 2.

The recommendations and resolutions of the Pucallpa workshop were endorsed by the ITTC at its 36th meeting (June 2004), and it is hoped that these will form the basis of further work to ensure a sustainable trade in mahogany.

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## 1 Introduction

Big-leaf mahogany, *Swietenia macrophylla*, is a slow-growing species that is distributed patchily at low densities from southern Mexico through Central America into South America as far south as Bolivia and Brazil. It is now the most important source of mahogany timber; Caribbean mahogany, *S. mahoganii*, and Honduras mahogany, *S. humilis*, which once supplied the world's mahogany markets, are at or near commercial extinction through much of their ranges. Subject to heavy levels of exploitation and international trade, big-leaf mahogany is now also showing signs of population decline and fragmentation in many parts of its range.

### Mahogany and CITES

Concern over the status of big-leaf mahogany (hereafter referred to as mahogany) led parties to the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) to consider listing it in Appendix II of the treaty. Proposals for an Appendix-II listing were considered at Conferences of the Parties (COPs) in 1992, 1994 and 1997. Although none of these proposals was accepted, several countries did list their populations in Appendix III: Costa Rica in 1995, Bolivia, Brazil and Mexico in 1998 and Colombia and Peru in 2001. These Appendix-III listings required that internationally traded mahogany in the specified product categories (logs, sawnwood and veneer sheets) be accompanied by export permits from those range states or by certificates of origin from other countries.

At COP10 (Harare, 1997), Brazil, Bolivia and the USA (the largest importer of the timber) agreed to form an informal working group to examine the status, management and trade in mahogany. At COP11 (Nairobi, 2000) a formal CITES Mahogany Working Group was established (Decision No 11.4), aiming to include the participation of all range states and key consumer countries. This group met for the first time in Santa Cruz de la Sierra, Bolivia in October 2001. The meeting was attended by twelve out of the 17 mahogany range states, three major importing countries and five international organizations, including ITTO. The working group submitted its report at COP12 in 2002.

At COP12, Guatemala and Nicaragua submitted a proposal to list mahogany in Appendix II.

The proposal referred to neo-tropical populations and was applicable to logs, sawnwood, veneer and plywood. After a secret ballot, the proposal was adopted, with 68 votes in favour, 30 against and 14 abstentions. The listing came into force on 15 November 2003, one year after its adoption.

COP12 also agreed to maintain the Mahogany Working Group but under a new mandate (Decision 12.21):

*The Working Group shall discuss the capacities needed for the implementation of the Appendix-II listing of Swietenia macrophylla related to sustainable harvest and scientifically made non-detriment findings, and shall review the recommendations contained in Annex 3 to these Decisions.*

*This Working Group shall report to the Conference of the Parties at its 13th meeting.*

Accordingly, the second meeting of the Mahogany Working Group was held in Belem, Brazil in October 2003, with ITTO support. This meeting was attended by twelve of the 17 range states, two major importing countries and three international organizations. Recommendations from this meeting were submitted to the CITES Plants Committee (PC14, February 2004), in order to establish priorities and provide practical guidance for their implementation. The priority measures and recommendations agreed by the Committee are given in Box 1. The Mahogany Working Group will complete its mandate when it reports to COP13 (Bangkok, October 2004), where the parties will decide on its future.

### **Sustainable management of mahogany – implications of the CITES listing**

The primary aim of CITES is to protect listed species against over-exploitation caused by international trade and to ensure that this trade is sustainable. The text of the Convention sets out the provisions for controlling, monitoring and reporting on trade in species listed in the three appendices, and other measures to be undertaken by the parties. Each party to the Convention is required to establish a management authority and a scientific authority as part of the implementation process. Key points relating to mechanisms for international trade in mahogany under the provisions of CITES are given in Box 2.

**Box 1** *Recommendations of the 14th Plants Committee in relation to mahogany*

**Management plans:** the development and official approval of mahogany management plans at the national and sub-regional levels is considered to be a priority.

**Inventories:** it is important to promote forest inventories and to further and promote programs to determine and monitor the distribution of mahogany, its population numbers and its conservation status.

**Training:** it is necessary to develop training programs on the monitoring and management of CITES processes and documents.

**Working groups:** mahogany working groups should be established in the range states.

**International cooperation:** it is recommended that the country parties, the CITES Secretariat, international organizations and non-governmental organizations should explore ways of sharing information through regional workshops, training programs, exchange of experiences and identification of financing sources, among others.

The sustainable management of mahogany as required by CITES is the responsibility of the individual producer country and specific means to achieve this are outside the scope of the Convention. Determining the levels of export that are likely to be non-detrimental to the survival of a species is however essential to achieving the aims of the Convention. The requirement for the so-called non-detriment finding for exports of mahogany, and all other CITES Appendix-II species, arises from Article IV, paragraph (2) of CITES, which states that:

*An export permit shall only be granted when the following conditions have been met:*

- (a) *a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species;*
- (b) *a Management Authority of the State of export is satisfied that the specimen was not obtained in contravention of the laws of that State for the protection of fauna and flora.*

The Scientific Authority of the exporting country is also responsible for monitoring the levels of export as set out in Article IV, paragraph (3) of the Convention, which states:

*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.*

The Scientific Authority is thus required to ensure that an Appendix-II species is managed in such a way as to allow exports on a sustained basis that will not damage the conservation status of the species or its ecological functioning.

#### **Making a non-detriment finding**

The manner in which a non-detriment finding is made is a management decision for the exporting country. The text of the Convention indicates that a non-detriment finding should be made for each export. This is, however, not always necessary where, for example, countries have voluntarily established annual export quotas. Such a quota means that the country concerned has determined that the export of a certain amount of specimens per year will not be detrimental to the survival of the species.

General guidance for the development of non-detriment findings has been developed (Rosser & Haywood 2002), but until *S. macrophylla* was listed in CITES Appendix II little attention was paid to the specific application of non-detriment findings to timber species. Prior to the Pucallpa workshop, this issue was addressed at the second meeting of the Mahogany Working Group, at which a paper prepared by the IUCN Global Tree Specialist Group suggested that:

*Recognizing that the information currently available is incomplete and scattered and that policies for sustainable forest management are not yet fully in place, procedures for NDF [non-detriment finding] development for mahogany should be developed and refined in an incremental way as approaches are tested, sustainable forest management more generally is developed and information is built up.*

**Box 2** Key points from communication issued by the CITES Secretariat on the Appendix-II listing of mahogany (Notification to the Parties No 2003/070, 12 November 2003)

- International trade in specimens of Appendix-II species may be authorized by the granting of an export permit or re-export certificate in accordance with Article IV of the Convention. An export permit may be granted only if the Management Authority (as designated by the country considering the export or re-export) is satisfied that the specimens to be exported were acquired legally and if the Scientific Authority (as designated by the country considering the export or re-export) has advised that the export will not be detrimental to the survival of the species. A re-export certificate may be granted only if the Management Authority is satisfied that the specimens were imported in accordance with the provisions of the Convention;
- Specimens transferred from one Appendix to another are subject to the provisions applying to them at the time of export or re-export. Therefore, from 15 November 2003, the requirements of Article IV shall apply to the export or re-export of logs, sawnwood, veneer sheets and plywood of *Swietenia macrophylla*. Any re-export of such specimens from that date may be authorized only under the provisions of Article IV, even if they had been imported as Appendix-III specimens in accordance with Article V;
- Certificates of origin, export permits or re-export certificates referring to *S. macrophylla* as a species included in Appendix III issued in compliance with Article V may be used for export before 15 November 2003. Importing countries should accept Appendix-III documents for specimens of *S. macrophylla* only if the export has taken place before that date;
- Re-export certificates issued on or after 15 November 2003 for specimens that had been imported under the provisions relating to Appendix-III species should refer to either the export permit or the certificate of origin with which the specimens concerned were imported;
- International trade of any logs, sawnwood or veneer of *S. macrophylla* acquired before the Appendix-III listing took effect on 16 November 1995, or non-veneer plywood (eg blockboard) acquired before 15 November 2003 ('pre-Convention specimens'), requires a special certificate that indicates the precise date of acquisition or contains a statement that acquisition occurred before the Convention became applicable to the specimen;
- CITES provides definitions of the terms 'logs', 'sawnwood', and 'veneer sheets' based on the tariff classifications in the Harmonized System (HS) of the World Customs Organization. The term 'plywood' has not been formally defined, but it is expected that the CITES Plants Committee will provide final recommendations regarding the definition of this term based on the HS definition at its meeting in February 2004. The preferred unit of measure for plywood is square metres, since it usually only contains one outer veneer of mahogany;
- Confiscated specimens of mahogany should be disposed of in the best manner possible to benefit enforcement and administration of the Convention. Steps should be taken to ensure that the person responsible for the offence does not receive financial or other gain from the disposal;
- Specimens of *S. macrophylla* that have been confiscated as a result of attempts to import or export them illegally and that have subsequently been sold by the Management Authority, having satisfied itself that this would not be detrimental to the survival of the species, should, for the purposes of issuing export permits or re-export certificates, be deemed to have been obtained in accordance with the provisions of the Convention and with the laws of the state for the protection of fauna and flora. Such permits and certificates should clearly indicate that the specimens are confiscated specimens.

Three components were suggested as a basis for developing non-detriment findings for mahogany:

- national- or regional-level stock assessment as a basis for determining overall quantities for export, for example, through an annual export quota;
- a requirement for management plans for forest management units from which mahogany is harvested for export. Management plans should demonstrate provisions for the sustainable management of the forest unit and mahogany stocks as a prerequisite for determining that export will be non-detrimental; and
- the monitoring of mahogany harvesting in the forest management units and timber exports against the overall export quota.

The second meeting of the Mahogany Working Group agreed that the forest management unit is the most appropriate for making a non-detriment finding for mahogany and recommended that only wood originating under management plans, with specific components for mahogany management, should be accepted for export under Appendix II.

#### ***The Review of Significant Trade process***

Where there is concern amongst the CITES parties that export permits are being issued without the benefit of effective non-detriment findings, an international mechanism to address the problem has been developed. This process is known as the Review of Significant Trade and is established in CITES Resolution Conf. 12.8.

Both the Animals and Plants committees of CITES have a specific mandate to identify Appendix-II species that are subject to significant levels of trade. To do so they are required to consult with range states, the CITES Secretariat and experts to review and assess relevant biological and trade information. If necessary, they can make recommendations for action by the range state, with time limits for their implementation to ensure compliance with Article IV.

The process can result in corrective or punitive measures, including trade restrictions or bans, where there are problems with the implementation of the provisions of Article IV in particular range states. However, individual exporting countries can also receive assistance to undertake field studies, as well as to develop the technical and administrative capacity necessary to implement the requirements of Article IV if these are lacking. Implicit in the process is the

fact that the species remains in Appendix II rather than being moved to Appendix I. This allows the range state to remain in control of trade and to recommence or continue the sustainable exploitation of the natural resource.

#### ***The role of importing countries***

Importing countries have an important role to play in ensuring that CITES requirements for the issuance of permits for international trade are met, in seizing or confiscating shipments that arrive at their ports without the correct documentation, and in reporting on levels of trade. Some importing countries have imposed stricter domestic controls than those required under the Convention; for example, the system for CITES implementation in the European Union (EU) is given in Box 3.

### **Mahogany and ITTO**

ITTO has undertaken a number of activities relevant to the CITES Appendix-II listing of mahogany. The context for these activities includes Objective (a) of the International Tropical Timber Agreement (ITTA):

*To provide an effective framework for consultation, international cooperation and policy development among all members with regard to all relevant aspects of the world timber economy.*

Some of the activities providing direct assistance to members to implement the CITES listing and achieve a sustainable trade in mahogany are in pursuance of Objective (d) of the ITTA:

*To enhance the capacity of members to implement a strategy for achieving exports of tropical timber and timber products from sustainably managed sources by the year 2000.*

Such activities are also relevant to Action 7 of Goal 2 of the Economic Information and Market Intelligence section of the ITTO Yokohama Action Plan 2002–2006, which seeks to encourage and assist members, where appropriate, to (amongst other things):

*Identify trade barriers, shortcomings in forest law enforcement and other factors that may affect the access and marketability of tropical timber, and propose measures to overcome them.*

ITTO has long recognized the need to improve cooperation between ITTO and CITES, and played

**Box 3** *Import requirements for mahogany in the EU*

In member states of the European Community (EC), CITES is implemented by European Community wildlife trade regulations. EU Council Regulation (EC) No 338/97 on the Protection of Species of Wild Fauna and Flora came into force on 1 June 1997. This lays down the core controls on wildlife trade and implements CITES in the EU. Commission Regulation (EC) No 939/97, introduced at the same time, contains detailed implementation provisions, particularly on the use of permits and certificates.

In the EU, the CITES Appendices are replaced by annexes to EC Regulation No 338/97:

- Annex A – includes all species listed in Appendix I of CITES, plus certain other species;
- Annex B – includes all the remaining species listed in Appendix II of CITES, plus certain other species included on a ‘look-alike’ basis, or because the level of trade may not be compatible with the survival of the species or local populations, or because they pose an ecological threat to indigenous species;
- Annex C – includes all the remaining species listed in Appendix III of CITES; and
- Annex D – includes those non-CITES species not listed in Annex C which are imported into the Community in such numbers as to warrant monitoring.

Changes to the list of species in the annexes to Council Regulation 338/97 are made through new Commission regulations. Commission Regulation (EC) No 1497/2003 of 18 August 2003 amending EC Regulation No 338/97 was published in the (official) European Journal on 27 August 2003, featuring *S. macrophylla* on Annex B with the annotation that this inclusion would come into force on 15 November 2003.

An important feature of EC Regulation No 338/97 is that there are stricter import conditions for Annex A and B species than are required by CITES. Therefore, as well as a permit from the exporting or re-exporting management authority, *S. macrophylla* specimens are also required to have import permits for the European Community. As recommended in the Convention, permits must be issued before shipment should take place. Import permits are issued in accordance with Article 4 of EC Regulation No 338/97 if the following criteria are met:

- an export or re-export permit has been issued in accordance with the Convention by the competent authority in the country of export or re-export (the Management Authority requires prior sight of a copy of this permit);
- the Scientific Authority, after examining available data and considering any opinion from the Scientific Review Group (made up of members of national CITES scientific authorities), is of the opinion that the introduction into the Community would not have a harmful effect on the conservation status of the species or on the extent of the territory occupied by the relevant population of the species, taking account of the current or anticipated level of trade. This opinion shall be valid for subsequent imports as long as the above-mentioned aspects have not changed significantly;
- the Management Authority is satisfied, following consultation with the competent Scientific Authority, that there are no other factors relating to the conservation of the species which militate against issuance of the import permit.

The EC wrote to some of the range states for *S. macrophylla* shortly before the uplisting:

*While Community CITES legislation requires that Member States independently assess the conservation impacts of trade in Appendix-II species before issuing import permits, it is not in our interest to apply this provision in an arbitrary or excessively punitive manner. We would rather work with the larger exporting countries to reach a common understanding of the basic requirements for non-detriment findings. We recognise the need for a straightforward practical approach to the making of such findings, while still meeting the requirements of Article IV (3) of the Convention.*

an active role in the CITES Timber Working Group (which was established in 1994 and reported to the CITES COP in 1997). ITTC decisions 6(XII), 3(XVI), 5(XVIII) and 7(XX) refer to this cooperation. ITTO has also attended and provided inputs to the meetings of the CITES Mahogany Working Group. At its 34th Session (12–17 May 2003), the ITTC made a decision concerning cooperation between ITTO and CITES on mahogany (see Box 4). Accordingly, ITTO supported the second meeting of the Mahogany Working Group in Belem, Brazil.

At its 35th Session (3–8 November 2003), the ITTC noted the imminent entry into force of the Appendix-II listing of mahogany and heard concerns expressed by both importers and exporters of mahogany regarding the effective implementation of the listing, particularly the ability of exporters

to issue reliable non-detriment findings. Council decided (through Decision 4(XXXV)) to sponsor a meeting of all stakeholders to facilitate effective implementation of the Appendix-II listing.

The resulting workshop on capacity-building for implementation of the CITES Appendix-II listing of mahogany was convened on 17–21 May 2004 in Pucallpa, Peru (a key mahogany processing and transit point) with the assistance of the Peruvian National Institute for Renewable Resources (INRENA).

### The Pucallpa workshop

The overarching purpose of the workshop was to encourage and inform practical action with respect to the formulation of non-detriment findings for mahogany exports, focused on the key mahogany-

#### *Box 4 Decision 7 (XXXIV) of the International Tropical Timber Council*

##### **Cooperation between ITTO and CITES on mahogany (*Swietenia macrophylla*)**

The International Tropical Timber Council,

**Recalling** Decisions 6(XII), 3(XVI), 5 (XVIII) and 7(XX) on measures to improve cooperation between ITTO, CITES, and the CITES Timber Working Group;

**Noting** that ITTO has, in recent years, attended meetings of and provided inputs to the CITES Mahogany Working Group;

**Further noting** the decision taken at the 12th meeting of the Conference of Parties to CITES (COP12) in November 2002 to list *Swietenia macrophylla* (big-leaf mahogany) in CITES Appendix II;

**Aware** of the concerns expressed by member countries regarding the implementation of the Appendix II listing of *Swietenia macrophylla* (the first high-volume, high-value timber species included in Appendix II);

**Taking note** of the related decision taken at COP12 to extend and revise the mandate of the CITES Mahogany Working Group subject to the availability of external funding;

##### **Decides to:**

1. Request the Executive Director to contact the CITES Secretariat to offer to collaborate in order to provide technical, scientific and financial support to the work of the Mahogany Working Group;
2. Request the Executive Director to contact ITTO producer Member countries that are mahogany range States to identify their needs, if any, for effective implementation of the CITES Appendix II listing;
3. Request the Executive Director to assist countries that have identified needs and that are significant mahogany exporters to develop and submit projects to facilitate the effective implementation of the Appendix-II listing; and
4. Authorize the Executive Director to seek voluntary contributions from Member countries to meet the financial requirements of this decision, not exceeding US\$66,600.00. If sufficient contributions are not received by 31 July 2003, the Executive Director is requested to use funds from the Sub-Account B of the Bali Partnership Fund.

producing countries, and drawing on the cooperative efforts of exporters, importers, governments and the non-governmental organization (NGO) community. The workshop was based on the understanding that the determination of non-detriment findings is an individual country's role and that the criteria for that determination will be set by each country. The workshop provided a forum for countries to share their early experiences in implementing the Appendix-II listing and allowed a review of capacity in key range states to effectively implement CITES obligations with respect to mahogany.

As well as the general workshop objective, eight specific objectives were identified:

- Objective 1:** describe current conditions in markets for mahogany;
- Objective 2:** identify monitoring activities countries may find useful, including approaches, technologies and timing;
- Objective 3:** identify actions that the private sector (industry and NGOs) can take to reinforce and support efforts to use CITES to manage trade in mahogany;
- Objective 4:** identify opportunities for coordination across relevant agencies within producing countries;
- Objective 5:** identify regional cooperation activities to aid implementation, including technical assistance and resources;
- Objective 6:** identify areas of need for technical assistance;

**Objective 7:** share information on issues of relevance to importing countries; and

**Objective 8:** share information on relevant international developments.

Over 80 participants were involved in the workshop. These represented seven countries (including the major mahogany exporting and importing nations), seven NGOs, twelve trade/business concerns, and four international organizations (including representatives of the ITTO and CITES secretariats); The full list of participants is contained in Annex 1. The agenda included presentations by the main exporting/importing countries, the trade and NGOs, and working groups which focused on three clusters of objectives:

- monitoring activities and technical assistance needs;
- private-sector efforts and market conditions; and
- inter-agency coordination and regional cooperation.

This report, the main output of the workshop, reviews the status of mahogany production and international trade and summarizes the experiences to date with the Appendix-II listing of mahogany based on information presented at the workshop. It also contains the workshop's recommendations, which were endorsed by the ITTC at its 36th meeting in June 2004 and which should form the basis of further work to ensure a sustainable trade in mahogany.

## 2 Market reviews

Mahogany is the most valuable Latin American timber; maintaining a sustainable trade in it is important to national economies within the region and to the broader development of sustainable forest management. Market information, in turn, is important for the planning of sustainable mahogany production. This section contains information presented at the workshop from exporting or key importing countries on the international trade in mahogany. The national trade data included in tables 5–10 are as given in the national presentations.

As noted for the timber trade in general by ITTO (2004):

*Production statistics in many ITTO member countries are often weak or non-existent. The primary problem in many producer countries is the lack of a comprehensive*

*forest outturn measurement system as well as any kind of regular industrial survey to obtain production figures, while many consumer countries are unable or unwilling to distinguish the processing of tropical timber from all timber processing.*

Since the listing of *S. macrophylla* in CITES Appendix III and more recently in Appendix II, trade data for the species has been generated by the licensing processes of the CITES parties. As a general introduction to this section, tables 1–4 provide a summary of recent trade information on mahogany compiled through CITES reporting processes. It should be noted, however, that there are deficiencies in all aspects of reporting to CITES and these data cannot give a fully accurate representation of levels of trade; this is demonstrated by the discrepancies that exist between the data presented in Table 1 and those given in the individual

**Table 1** Annual volumes of *S. macrophylla* exported, by the main countries of export, for the years 1996–2002, as recorded in CITES trade statistics

Annual export of mahogany timber (m <sup>3</sup> )								
Country of export	1996	1997	1998	1999	2000	2001	2002	mean
Brazil	101,473	94,744	43,438	54,961	39,857	40,413	41,183	59,438
Peru	4448	10,893	20,720	51,487	33,048	41,400	50,429	30,346
Bolivia	25,989	27,963	20,159	8520	10,549	7613	4596	15,056
Nicaragua	17,106	19,029	5773	5165	3863	5991	7278	9172
Guatemala	2100	1687	1098	406	2716	3135	2483	1946
Belize	1931	233	125	2326	2030	709	1173	1218
Mexico	2266	497	271	168	–	2473	589	895
Honduras	–	885	880	1324	666	556	–	616

Source: the CITES Trade Database maintained by UNEP-WCMC

Note: the quantities include mahogany reported as sawnwood and timber; data are based on trade records provided by countries of both export and import, with re-export data excluded

**Table 2** Annual volumes of *S. macrophylla* veneer exported, by the main countries of export, for the years 1996–2002, as recorded in CITES trade statistics

Annual export of mahogany veneer (m <sup>3</sup> ; m <sup>2</sup> where indicated)								
Country of export	1996	1997	1998	1999	2000	2001	2002	mean
Brazil	78	17,130	3408 13,420 m <sup>2</sup>	5055	3621 789,081 m <sup>2</sup>	4468	3508 28 m <sup>2</sup>	5324
Mexico	31	24	–	44	44 12,636 m <sup>2</sup>	–	–	20
Peru	–	–	–	–	2	34	–	5.3
Canada	–	–	–	25	–	–	–	3.6

Source: the CITES Trade Database maintained by UNEP-WCMC

Note: data are based on trade records provided by countries of both export and import, with re-export data excluded

**Table 3** Annual volumes of *S. macrophylla* imported, by the main countries of import, for the years 1996–2002, as recorded in CITES trade statistics

Annual import of mahogany timber (m <sup>3</sup> )								
Country of import	1996	1997	1998	1999	2000	2001	2002	mean
USA	54,455	73,846	74,485	89,161	70,601	85,615	68,632	73,828
Dominican Republic	10,214	10,643	5163	17,771	14,165	9911	16,610	12,068
UK	16,832	1739	4167	5664	2741	2922	1136	5029
Canada	10	28	102	278	344	–	21,224	3141
Spain	791	825	2392	2147	775	766	710	1201
Netherlands	880	537	1685	2797	1139	601	730	1196
Mexico	778	107	201	140	553	2461	475	674
Ireland	2303	1146	310	145	84	17	18	575
Denmark	1558	557	68	412	299	611	273	540
Germany	–	254	857	522	289	500	347	396

Source: the CITES Trade Database maintained by UNEP-WCMC

Note: quantities include mahogany reported as sawnwood and timber; data are based on trade records provided by countries of both export and import, with re-export data excluded

**Table 4** Annual volumes of *S. macrophylla* veneer imported, by the main countries of import, for the years 1996–2002, as recorded in CITES trade statistics

Annual import of mahogany veneer (m <sup>3</sup> ; m <sup>2</sup> where indicated)								
Country of import	1996	1997	1998	1999	2000	2001	2002	mean
USA	31	17,024	2546	3182	2511 789,081 m <sup>2</sup>	3178	2037	4358
Canada	–	–	399	1209	593	715	801	531
Italy	–	–	140	129	49	108	139	81
Denmark	78	130	139	47	75	17	8	71
Venezuela	–	–	27	114	86	76	7	44
Germany	–	–	14	64	43	81	88	41
Spain	–	–	30	38	76 12,636 m <sup>2</sup>	50	77 28 m <sup>2</sup>	39
Taiwan	–	–	5	54	34	20	78	27
China	–	–	–	–	–	63	109	25
Belgium	–	–	6 13,420 m <sup>2</sup>	50	46	48	5	22

Source: The CITES Trade Database maintained by UNEP-WCMC

Note: data are based on trade records provided by countries of both export and import, with re-export data excluded

country reports that follow. No CITES data are yet available for mahogany plywood because plywood was only included in reporting with the uplisting of mahogany to CITES Appendix II in November 2003.

The remainder of this section provides summaries from country reports presented at the workshop.

## Bolivia

Bolivia currently has 7,996,065 hectares of natural forests under forest management plans. Of this, approximately 60% is forest considered to be, or to have been, mahogany production areas. Since 1998 the Forest Superintendence (SIF) has authorised mahogany volumes to be logged mainly on the basis of management plans for four kinds of users:

forest concessions, native community lands, private properties and long-term contracts. The volumes authorised for logging each year are given in Table 5; although there are variations, in the past few years (2001–2003) the volume has been approximately 10,000 m<sup>3</sup>.

The annual volume of mahogany exported is shown in Table 6. The annual average volume of exports between 1998 and 2003 was 9,786 m<sup>3</sup>, almost twelve times lower than exports before the entry into force of the new 1997 Forestry Law. The number of certificates or permits issued by CITES has not shown significant variation over the past four years.

Although no data are available for the illegal mahogany trade, the situation has improved greatly since the implementation of the 1997 Forestry Law. CITES and Bolivian data are very similar for the last two reporting periods, proving that there is a healthy level of coordination between the two responsible institutions.

The USA was the main buyer of mahogany from Bolivia in 1998–2003, consuming 87% of mahogany exports under CITES certificates. Other destinations include the Dominican Republic, Argentina and Chile (Table 7). Exports to Argentina have declined in the past few years, mainly as a result of the economic crisis affecting the country. All other countries (including Europe) combined imported only 1% of the total volume of Bolivian mahogany.

## Brazil

As shown in Table 1, Brazil was for many years the largest supplier of mahogany to the international market. However, export volumes have decreased progressively and Peru has now replaced it as the world's largest exporter of the timber.

A series of legislative measures in Brazil has limited the harvesting and trade of mahogany. Biannual export quotas were established in 1992, although

**Table 5** Volume of mahogany production approved by SIF in Bolivia, 1998–2003

	1998	1999	2000	2001	2002	2003
Volume authorised (m <sup>3</sup> )	6806	12,152	5213	10,574	8524	11,698
No of trees	1193	2122	1055	1111	1332	3656

**Table 6** Volume of mahogany exported by Bolivia and number of permits issued by CITES, 1998–2003

	1998	1999	2000	2001	2002	2003
Export volumes (m <sup>3</sup> )	14,460	8520	10,493	7405	8334	7116
No of permits issued	249	69	113	86	116	130

**Table 7** Volumes of mahogany exported from Bolivia to various countries with CITES permits and certificates (m<sup>3</sup>)

Country	1998	1999	2000	2001	2002	2003	TOTAL
USA	13,567	7752	8508	5691	6957	8615	51,090
Dominican Republic	38	602	1421	1368	1122	662	5213
Argentina	739	99	114	30	–	–	982
Chile	36	37	289	65	255	129	811
Mexico	51	–	–	193	–	–	243
Denmark	28	–	91	–	–	–	119
Spain	–	–	–	28	–	80	108
Barbados	–	31	50	–	–	–	80
Great Britain	–	–	20	32	–	–	52
Other countries	–	–	–	–	–	18	18
TOTAL	14,460	8520	10,493	7405	8334	9504	–

**Table 8** Volume of mahogany export permits from Peru, 1996–2003

	1996	1997	1998	1999	2000	2001	2002	2003
Volume exported (m <sup>3</sup> )	12,338	26,323	41,483	52,783	51,267	32,843	52,135	42,844

these quotas were exceeded in some years. The issuing of new authorizations for mahogany harvesting has been suspended since 1996, and a decree in the same year required that mahogany for export must come exclusively from forests with sustainable forest management plans approved by the country's Institute for Environment and Natural Resources (IBAMA). In 2001, following continued problems with regulation of the trade, all mahogany logging and trade was halted. New measures to regulate mahogany logging and trade have been developed in Brazil (see page 29), but at the time of the Pucallpa workshop, trade was yet to be resumed. Nonetheless, CITES trade statistics show mahogany exports in 2001 and 2002 (see Table 1), and the USA reported receiving shipments of mahogany from Brazil in 2003/2004 (see page 22).

## Peru

The main export product of Peru's forest industry is sawnwood, accounting for about two-thirds of foreign exchange earnings from the export of timber over the last few years. Exports increased steadily up to the year 2000 when, with the promulgation of the Forestry and Wildlife Law (Law No 27308), new regulations were introduced, including bans on the harvesting of mahogany in several watershed areas. Due to the high price of mahogany on the international market, the percentage of export value accounted for by mahogany has increased over the last few years, and it now represents around 80% of the total value of sawnwood exports.

Mahogany sawnwood production in Peru was less than 10,000 m<sup>3</sup> in the 1950s, increasing slowly but steadily until 1974. Production levels varied between 15,000 m<sup>3</sup> and 57,000 m<sup>3</sup> between 1975 and 1993. From 1994, production accelerated, peaking in 1995 with a record 101,386 m<sup>3</sup> before falling to 48,000 m<sup>3</sup> in 1997, when only the export of parts and pieces was allowed. Between 2001 and 2003, reported mahogany sawnwood production levels fell further.

**Table 9** Destination of mahogany sawnwood exports from Peru in 2002

Country	Volume (m <sup>3</sup> )
USA	43,835
Dominican Republic	6946
Denmark	273
Sweden	214
Mexico	193
Others (five countries)	410

The volume of mahogany exported in 1996–2003 is shown in Table 8. As a result of the export ban imposed by Brazil and the high price of Bolivian mahogany, exports experienced a boom in 2002, rising to almost 53,000 m<sup>3</sup> (worth over US\$55 million). Exports dropped to under 43,000 m<sup>3</sup> in 2003, but values remained high at over US\$47 million.

Table 9 shows the main destinations of mahogany sawnwood exports from Peru in 2002. The USA is the main mahogany sawnwood importing country,

**Table 10** Major Peruvian mahogany exporters, 2003

Exporter	Volume (m <sup>3</sup> )	FOB Value (US\$)
Maderera Bozoviich SAC	9770	9,896,966
Maderera Vulcano SAC	8374	10,499,326
Transforestal C.C.C. SAC	4631	4,578,875
Procesos Industriales Madereros SAC	3927	4,381,695
Others	16,142	17,706,581
Total	42,844	47,063,443

accounting for 85% of exports in 2002. It is followed in importance – but very distantly in volume – by the Dominican Republic, at around 13%.

As a result of the mahogany export boom, exporters have increased their influence over all mahogany producing areas. They are now at the top of an economic pyramid supported by transactions and exchanges of all types, including fair and equitable practices, but also abusive and corrupt practices, where the lower social classes only benefit from the opportunity to work under very unfavourable conditions. Table 10 shows the main Peruvian mahogany exporting companies in 2003.

### Canada

*S. macrophylla* is, for the most part, imported to Canada as a re-export from the USA. The quantities traded between 1998 and 2002 were variable, with a low of about 127 m<sup>3</sup> in 2002, declining from a high of about 3,859 m<sup>3</sup> in 1998. Sawnwood is the major import form, with limited veneer quantities also received. In 2002, it was estimated that Canada imported roughly 1% of the total global *S. macrophylla* trade.

### Spain

Spain mainly imports *S. macrophylla* as sawnwood and to a much lesser extent as veneer and plywood. The countries that export this timber to Spain are largely Brazil, Nicaragua and Peru. Practically all the imported timber goes to the national market or to the EU market, and the timber is not re-exported.

There has been an increase in recorded import volumes in recent years. However, this is probably not due to an increase of imports in real terms but rather to improved control systems and, therefore, to improved recording procedures for imports.

### UK

The UK used to be the main market for *S. macrophylla* in Europe, when the main supplying country was Brazil. Imports peaked at the end of the 1980s and early 1990s at about 100,000 m<sup>3</sup> of sawnwood. From then on they declined continuously to 4,000 m<sup>3</sup> after Brazil's ban on mahogany exploitation in 2001. According to UNEP-WCMC,

total EU imports in the years 2000–2001 were less than 7,000 m<sup>3</sup>. Currently, imports into the UK are as low as only several hundred cubic meters. According to the Department of Environment, Food and Rural Affairs (DEFRA), which is the CITES Management Authority in the UK, three import applications with a total volume of less than 100 m<sup>3</sup> have been received since 15 November 2003. The few UK companies that still offer mahogany mainly rely on their own older stock.

The decline in the volume of mahogany imported into the UK is due largely to increased prices, with limited availability pushing prices to about US\$1,200 per m<sup>3</sup>. According to traders in Britain, the restricted availability and high prices are not likely to change and the remaining growing stock of mahogany is not of a commercially interesting magnitude. In addition, regardless of CITES certification, mahogany is controversial in environmental terms or embodies reputational risk to UK merchants. Therefore, most of the British trade sees little or no potential for *S. macrophylla* trade in the near future, and many companies formerly involved in the trade have changed to sapele (*Entandrophragma cylindricum*) from West and Central Africa.

### USA

The USA is the world's largest importer of mahogany, accounting for approximately 60% of global trade (Robbins 2000). Historically (up to the 1960s), Central America was the main source region for the timber, but supply has shifted progressively to South America. By the late 1990s, Brazil was the largest supplier to the USA, but since Brazil has imposed restrictions on mahogany trade, Bolivia and Peru have taken over as the main source countries.

Approximately 204 shipments of mahogany were imported by the USA between 15 November 2003 (the effective date of the Appendix-II listing) and 15 May 2004. One hundred and twenty of these had an export date of 15 November 2003 or later and were exported under CITES Appendix II; 21 were from Bolivia, two were from Brazil, and 60 were from Peru and the remaining 37 shipments were from Belize, Guatemala, Honduras, Mexico and Nicaragua. Data on volumes are not yet available.

### 3 Experience to date with CITES Appendix-II listing of mahogany

#### Producer countries

The workshop offered a chance to share information on the legal and institutional arrangements in place in mahogany range countries for the regulation of forest exploitation and the timber trade, and for the implementation of CITES. With the Appendix-II listing in place for six months, producers were able to review experiences and identify needs.

Significant progress has already been made in meeting the requirements of Appendix II for mahogany, but in each country further work is considered necessary. While the legislative and regulatory framework varies between the three represented producer countries, common issues prevent the development of a robust non-detriment finding in each country. There is a lack of information on mahogany stocks and distribution throughout the region, and on the regeneration and ecology of the species in different circumstances. Regulatory authorities lack capacity and resources for monitoring and control, and transparency, communication and information systems need to be improved. Recommendations were developed during the workshop for actions to address these issues (see Section 5).

At the conclusion of the workshop, the scientific and management authorities of Bolivia, Brazil and Peru signed a resolution declaring their intention to form a working group to coordinate efforts for the implementation of the CITES Appendix-II listing of mahogany and calling on support from the international community to enable this to happen. The full text of the resolution is given in Annex 2.

#### Bolivia

Forests and forest lands in Bolivia are under the control of the state and subject to the competence of the national government. The sustainable management and protection of forest and forest lands are issues of public interest, and their regulation is universally and compulsorily enforceable. Any forest right granted to private persons is subject to reversal in the case of failure to comply with official regulations and conditions.

The Bolivian Forest Act was enacted in 1997.

Under Section 19 of the Act, the national forest regime is managed by the Ministry for Sustainable Development as the governing body, SIF as the regulatory body, and the National Fund for Forest Development as the financing body. Prefectures and municipal councils complement and contribute to the regime in a supporting role, strengthening municipal forest units, departmental forest development plans, monitoring activities and other relevant aspects.

The Forestry Law seeks to regulate the sustainable utilisation and protection of forests and forest lands for the benefit of present and future generations, harmonising the social, economic and ecological interests of the nation. The objectives of the law include the following:

- to promote the establishment of sustainable and efficient forest activities so as to contribute to the achievement of national socioeconomic development targets;
- to achieve improved sustainable forest resource yields while ensuring the conservation of ecosystems, biodiversity and the environment;
- to improve access to forest resources and their benefits for the entire population, in strict compliance with protection and sustainability standards; and
- to promote forest research, as well as the dissemination of research results, for the benefit of forest resource production, conservation and protection processes.

The Forestry Law has encouraged democratic access to forest resources. It regulates the establishment of Local Social Groups (Agrupaciones Sociales del Lugar – ASL) made up of traditional forest users. These groups receive forest concessions within the municipality of their residence. The law also regulates the logging of forests by private and community owners, such as indigenous peoples with community lands. At present, over 2.1 million hectares are managed by these new users, out of the total of nearly 8 million hectares that are currently under forest management.

The Forestry Law includes regulations and technical standards for forest management. The following issues required by the regulations are of particular interest:

- drafting of a general forest management plan (GFMP) based on a total forest inventory of the area (following systematic sampling as defined in the regulations). These results help determine

which species offer potential for timber yield, the logging cycle to be used (minimum 20 years) and the size of the annual logging areas, which are a function of the logging cycle. The GFMP must be updated every five years;

- restriction of the logging of species with fewer than 0.25 specimens per hectare, or the so-called rare species (taking into account specimens with over 20 cm diameter at breast height (DBH));
- establishment of minimum cutting diameters (MCD) for commercial species according to forest type – for mahogany it is 70 cm DBH;
- maximum logging levels: only 80% of trees with a diameter over the MCD may be logged. The remaining trees are left as insurance for the following cycle and to ensure the regeneration of harvested species;
- definition and demarcation of ecological reserves in the area under forest management. Respect for key species and species of significance as wildlife food. Census of all commercial species in the annual logging areas to determine the volume to be logged per species, on the basis of the MCD;
- preparation of an annual forest operational plan (AFOP) based on the commercial census. AFOPs include maps indicating the location of trees to be logged and trees to be left standing, possible collection areas, and planning of major and secondary roads;
- establishment of permanent monitoring plots to determine the impact of logging on forest dynamics and yield; and
- the application of silvicultural treatments as required.

SIF has fixed and mobile control posts, and carries out random forest inspections of the areas under forest management. SIF will also conduct five-yearly audits of all areas under forest management to determine whether the 40-year concession will be renewed. The system used by SIF to control the chain of custody of the timber is outlined in Box 5 and Figure 1.

#### **Procedures for CITES implementation in Bolivia**

The CITES management authority in Bolivia is the Vice-ministry for Natural Resources and the Environment under the Ministry for Sustainable Development. Within the Vice-ministry, the

#### **Box 5 Timber trade monitoring system in Bolivia**

All along the production chain, the timber from any species is accompanied by various certificates of origin (CFO) issued by SIF. For the purposes of this report, three kinds of CFOs will be mentioned: CFO1, CFO2 and CFO4.

**CFO1** – used to transport logs from the logging area to processing centres. The number of CFO1s issued by SIF to a forest company will depend on the volume reported in its AFOP.

**CFO2** – required to trade processed boards to other processing centres.

**CFO4** – only required by processing centres that produce boards for export, or exporting companies without processing centres.

SIF monitors volumes logged by producers by cross-checking the AFOP information (prepared on the basis of trade census data) with the volume reported in CFO1s used by the company.

Processing centres must prepare a raw material supply and processing program (PAPMP) and submit quarterly reports to SIF. Quarterly reports include the origin and volume of timber entering the processing centre as logs and the volume leaving the centre as boards either for the domestic market (CFO2) or for export (CFO4). Export companies use a similar procedure.

task has been delegated to the General Office for Biodiversity. The CITES scientific authority is the National Museum of Natural History. Both the Management Authority and the Scientific Authority coordinate their activities with SIF and with the Single Exports Office System (SIVEX).

For a company to be able to export mahogany sawnwood, laminated sheets and veneer, it must register once with the CITES office, providing the documentation listed in Box 6. Once registered, the company may request a CITES export licence by submitting the appropriate documentation (see Box 6). The Management Authority will send the documents to the Scientific Authority for assessment, and the CITES licence will be issued within five days at the latest (three days in general).

**Box 6** *Document requirements for CITES licence applications in Bolivia*

Documents required for company registration with the CITES office include:

- legalised copy of the Certificate of Incorporation of the company;
- certificate and legalised copy of the PAPMP;
- legalised copy of the quarterly reports submitted to SIF;
- accreditation of its legal representative;
- legalised copies of the Single Annual Registry and Single Exports Registry, and
- legalised copy of its registration with FUNDEMPRESA.

Documents required for the issuance of a CITES licence to a registered company:

- duly detailed letter of application;
- original of CFO4;
- invoice;
- packing details provided by SIVEX; and
- a bank payment note for the certificate.

Since the CFO4 accompanies any timber to be exported from Bolivia, it is the basic document required by the CITES management and scientific authorities to issue a CITES licence. The management and scientific authorities verify the information provided in the CFO4, checking with the PAPMP (see Box 5) and the quarterly reports. In order to improve information flow between the Management Authority and SIF, a real-time internet communication network has been set up between CITES, SIVEX and the local office of SIF in La Paz. This makes it possible to check compliance with the requirements of each institution for mahogany exports. The implementation of this system in the other ports of exit of the country requires further funds.

**Developments in the implementation of the Appendix-II listing**

Implementation of the CITES Appendix-II listing of mahogany in Bolivia is facilitated by the existence of the 1997 Forestry Law and the fact that at least some of the Appendix-II requirements were already being met under the Appendix-III listing. According to TRAFFIC, the introduction of the Forestry Law in 1997 has “facilitated the development and

restructuring of government institutions and mechanisms which are contributing to more effective forest management, harvest and trade controls” (TRAFFIC 2001). The implementation of the Forestry Law has resulted in integrated forest utilisation, and there has been a considerable reduction in the pressure exerted on the most valuable species such as mahogany, which represented only 0.55% of the volume logged in 2002 (SIF 2003).

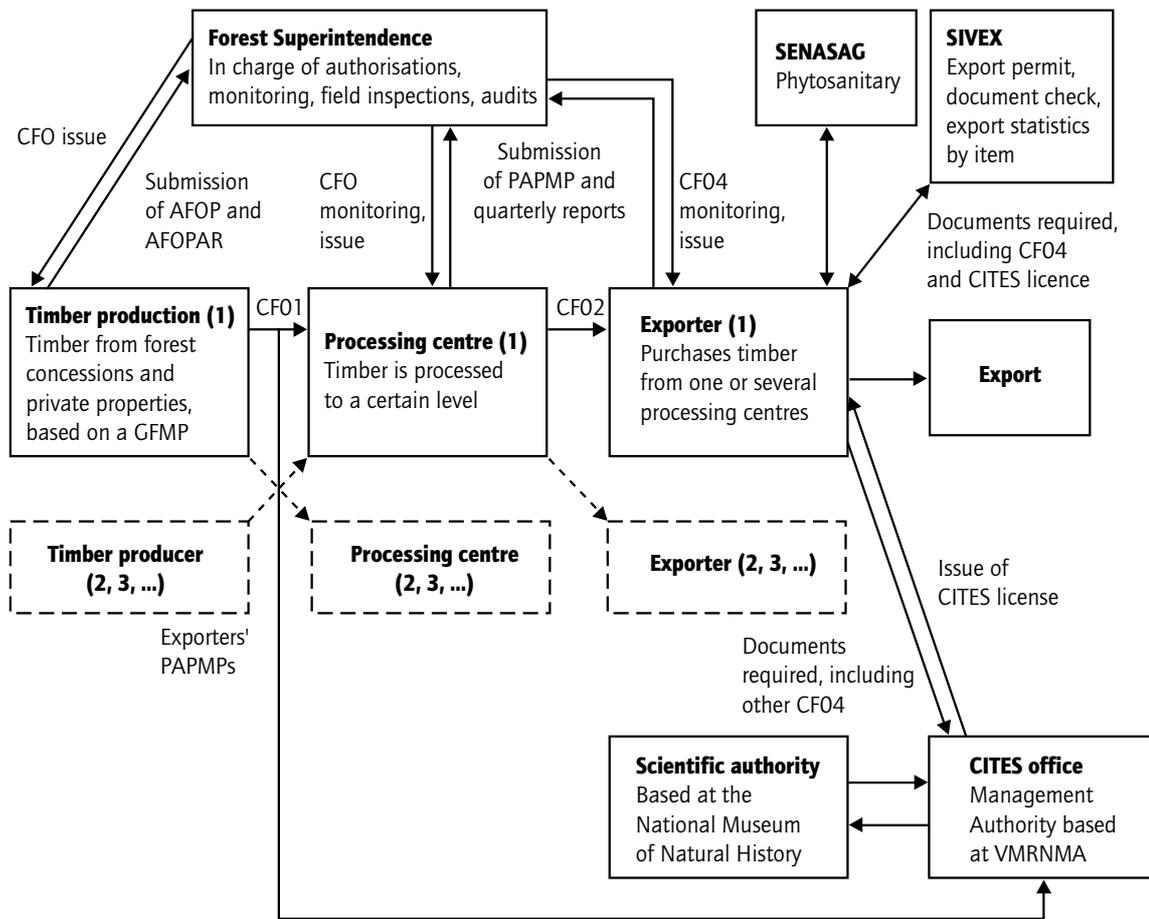
To assist with the introduction of the Appendix-II listing, a national workshop on capacity-building for the implementation of the CITES Appendix-II listing of mahogany was held in the city of Santa Cruz in May 2004. The 20 participants in the workshop represented different sectors associated with the export of mahogany timber and with the study of tropical forest diversity and conservation.

The workshop reviewed the implementation of recommendations made by the second meeting of the Mahogany Working Group. One of these recommendations was that any mahogany exported should come from areas under a management plan containing at least the components listed in Table 11. As the table shows, most of these components are required in Bolivian management plans.

However, little progress has been made in the formulation of a non-detriment finding for mahogany, which was also recommended by the second meeting of the Mahogany Working Group. This is mainly because information on the dynamics of the species is lacking, and resources to carry out this kind of study are not available. Studies on the abundance and dynamics of mahogany would help determine suitable management tools (logging cycle, intensity of use, MCD) for sustainable use under different conditions (low or high density of specimens, varying environmental conditions, indiscriminately logged areas or areas logged according to current regulations). Studies suggest that these variables have an impact on mahogany density, survival rates and growth rates, and it is therefore important that they are incorporated into non-detriment findings. Since the density and stand structure of the species varies within its range, setting a production quota for each producer is not considered appropriate.

The second meeting of the Mahogany Working Group also recommended that non-detriment findings should contain information on silvicultural treatments, regular audit systems, and mechanisms to ensure long-term implementation of the forest

**Figure 1** Diagram of the mahogany chain of custody, showing the various stakeholders, their roles and the documents they require or provide for mahogany timber export



management plan. Bolivia has experience with various silvicultural methods to promote tree growth and natural and artificial regeneration, and this could be incorporated into the non-detriment finding. The country already has a monitoring and control system for areas under forest management, implemented by SIF, and this system could be the basis for the development of a specific and more detailed system for mahogany logging. The Scientific Authority and SIF have shown an interest in working jointly on this subject once the necessary resources become available. There are also incentives to ensure long-term implementation of management plans. These include the granting of 40-year concessions renewable every five years, the incentives for gaining FSC certification, and the exemption of private properties under forest management from land tax. However, the issue of land tenure has not been settled in the country, and this represents a risk to long-term forest management.

In order to make progress towards the formulation of non-detriment findings, it is important to make financial resources available to the Scientific Authority so that it can carry out necessary studies and establish a multidisciplinary working group for the joint review of this subject.

### Problems

Problems identified during the Santa Cruz meeting include the following:

- the Management Authority and Scientific Authority offices are located in the city of La Paz; they have little information on the mahogany production chain to qualify them to certify timber for export. The CFO4 and the PAPMP are issued or approved by SIF. Both CITES authorities are therefore only able to certify the work done by SIF;

**Table 11** Comparison between minimum management plan components recommended by the second meeting of the Mahogany Working Group and components of a management plan in Bolivia

<b>Recommended</b>	<b>Bolivian situation</b>
Commercial forest census	Censuses are carried out in annual logging areas, including all commercial trees (with a diameter over the MCD). Basis for AFOP drafting
Mapping of commercial and sub-commercial trees (AFOP)	Prepared on the basis of the forest census, including location of rivers, topographical features and roads. Maps are attached to the AFOP. No mapping is done for sub-commercial trees
Selection of seed trees and minimum density per hectare after logging	20% of commercial trees are left untouched, numbered and mapped. A symbol is painted on them during the census so that the chainsaw operator knows it is a seed tree
Minimum logging diameter	In practice, 70 cm for mahogany
Monitoring of the dynamics of specimen trees destined for future logging	Not done. There are permanent plots in different regions of the country to monitor the forest response to logging. However, plots do not include many mahogany specimens
Regeneration promotion	Indirectly, by promoting the use of alternative species, leaving seed trees untouched, applying a logging cycle. There are some experimental studies

- the Management Authority is unable to impose direct sanctions on the exporter when it detects irregularities in the CFO4 because it lacks the relevant mechanisms (S. Arias, CITES Management Authority, pers. comm.). The Management Authority is only able to return the document to SIF, which will then analyse the situation and impose the sanction on the offender. It is therefore important that the Management Authority has adequate coordination channels with SIF;
- there is no non-detriment finding yet to determine the mahogany volume that can be logged without damaging the natural stand. At this point in time, the Scientific Authority only confirms that the logging has been done in forests under management plans and forest operational plans based on the commercial census approved by SIF;
- SIF is part of the Renewable Natural Resources Regulation System and, as such, has had an important role in the advancement of the implementation of CITES Appendix III and will continue to play an important role in the implementation of CITES Appendix II. However, better control of the entire mahogany production chain (from tree-cutting to its final marketing in domestic or foreign markets) will require the design of more efficient control mechanisms for some of the links in the production chain. SIF has been working on the identification of problematic links, which include:
  - a lack of accurate information on performance at the time of timber-processing,
  - the difficulties encountered in tracing timber once it has been processed and sold to different consumers, and
  - the lack of formality of processing centres and of some exporting companies;
- SIF is keenly interested in continuing with this work, but it needs far greater support (mainly financial) to enable it to have suitable control tools for the entire production chain; and
- Bolivia signed the Agreement to become a party to the CITES Convention on 23 December 1974 and ratified it through Supreme Decree No 16464 of 17 May 1979; later, on 5 July 1991, it ratified it again through Law No 1255. The ‘Regulations for International Trade in Endangered Species of Wild Fauna and Flora (CITES)’ are currently being drafted.

### **Opportunities**

The following is a list of opportunities discussed during the Santa Cruz meeting, which will help find solutions to the problems identified:

- the General Office for Biodiversity and the CITES office are studying the possibility of decentralizing the roles of the Management Authority and the Scientific Authority. This possibility has been discussed at different levels and with various stakeholders, and has in general been welcomed. This structure would be more suitable to the current forest scheme in which

the Ministry for Sustainable Development has a regulatory role through the General Office for Biodiversity, while SIF is in charge of monitoring and control. The Scientific Authority could be decentralised at the taxa level in order to find a better option in scientific capacity terms.

It is essential, however, that both the Scientific Authority and the Management Authority have sufficient financial resources to carry out the checks and studies required under CITES;

- SIF has identified the problematic links in the timber production chain (see above) and is working on the design of suitable control mechanisms. For example, the difficulty in defining the precise origin of timber through the current system is due to the fact that processing centres are able to purchase timber from various producers who can sell to many processing centres at the same time. Therefore, two years ago SIF introduced the use of a single 'authorization code' for each producer, processing centre and exporting company. This code must be included in quarterly reports submitted to SIF and in the CFOs. However, follow-up and assessment are required to ensure that the code is fully adopted throughout the entire production chain. In addition, regular inspections of companies put a focus on the control of logging of valuable species (including mahogany), and five-yearly audits to be carried out this year for most areas under forest management will emphasise the logging of mahogany, cedar and oak. Stump surveys were carried out in the Department of Santa Cruz in 2003 to check species and volumes logged, and it is expected that this type of monitoring will be extended to the rest of the country this year;
- the Vice-ministry is planning to implement cross-checking mechanisms among institutions such as SIF, the CITES office, SIVEX and SENASAG by means of a real-time intranet connection. This connection will make it possible to monitor compliance with mahogany export requirements in each institution. This system has been implemented with CITES, SIVEX and the local SIF office in La Paz with very good results, and it should be introduced to other departments;
- another important step taken by SIF is the banning of the export authorization of timber originating from an illegal act that has been

seized and sold at auction. In such cases, the relevant CFO4 is not issued (SIF Administrative Resolution 50/2002); and

- the country has the technical capacity to study the dynamics of mahogany stands in sites with a high concentration of the species. Further permanent plots could be set up that, together with those already established by companies and other institutions, could help monitor the impact of mahogany logging more efficiently.

### **National strategy**

#### *a) Identification of cross-sectoral synergies*

The recognition of problematic links in the mahogany production chain has allowed the identification of the sectors involved and the steps needed to implement the monitoring of mahogany logging and trade, and to speed up the permit procedure. The following issues were discussed at the Santa Cruz meeting:

- there is a need to continue the decentralization process of CITES authorities. This must be a gradual process with a clear and agreed joint policy involving the various stakeholders of this sector. Institutions assuming the role of Management Authority and Scientific Authority must be highly credible;
- the Scientific Authority needs institutional support and a minimum of financial resources to be able to adequately fulfil its role;
- SIF and the Scientific Authority have shown their willingness and interest in working jointly towards field checking to verify that exported mahogany timber really does come from well-managed areas (production chain). Funds must be made available to cover the cost of such work;
- financial resources are essential to improve inter-institutional synergies for institutions currently involved in the mahogany production chain. Such funds would cover ongoing training costs for various stakeholders (approximate cost: US\$40,000), minimum operational expenses of the Scientific Authority (approximate cost: US\$15,000/year), implementation of an internet communication network (US\$50,000) and operation and maintenance expenses for the communication network (US\$25,000/year). This communication network would help monitor the progress of the implementation of the CITES agreement; and

- there is a need to train stakeholders involved in the marketing and export of mahogany timber (such as customs agents, SIVEX personnel), especially in the recognition of documents such as CFOs, signatures, certificates, etc.

*b) Identification of synergies between producers and importers*

For the implementation of the CITES Appendix-II listing of mahogany to be really effective there must be a sense of shared responsibility among producer and consumer countries.

The adequate control of the mahogany production chain requires countries to have access to information generated by importer countries. In this way, national CITES offices can cross-check information and establish whether mahogany is leaving their country without the relevant CITES documentation. This information exchange may be implemented with reasonable ease, since major exit ports and buyers are widely known.

Timber importers must undertake to return to the country of origin any timber that does not have the correct documentation. Importers must accept each country's regulations on mahogany logging and export.

*c) Minimum sub-regional plan (suggestions)*

In the past there have been reports of irregularities in the logging of mahogany in border areas, but official information has been lacking. It is recommended that such reports be made formally and with the relevant evidence to facilitate inspections by the authorities of the countries involved.

Moreover, agreements should be drafted between equivalent institutions in neighbouring countries. This type of agreement would facilitate joint border control activities, and would promote the exchange of scientific information on the management of mahogany, experiences in the implementation of mahogany management instruments, and control of the mahogany production chain.

### **Conclusions**

Bolivia has made significant progress in the implementation of the Appendix-III and now Appendix-II listings of mahogany. Since the Forestry Law was enforced, exported mahogany volumes have decreased substantially, which is evidence of a major improvement in the regulation and control of forest utilisation. The existence of

the Forestry Law has made it easier for many areas to obtain certification under Forest Stewardship Council (FSC) criteria, which contributes not only to mahogany management but also to the sustainable management of the forest as a whole.

Despite its financial and logistic limitations, SIF has maintained a presence in the main mahogany production areas, as well as in major access points. SIF has also identified problematic links in the timber production chain and launched a process to remedy failures. This is encouraging, not only for the control of the mahogany production chain but also for the control of any species.

The management and scientific authorities for the implementation of CITES in Bolivia have had a major role in the certification of mahogany exports, despite their financial limitations. The similarity of CITES and SIVEX figures is evidence of such progress. A decentralisation process of the CITES authorities' roles has also been initiated, which will be positive in the specific case of mahogany. However, the only way to improve and implement all the functions of the CITES authorities is to obtain the necessary financial resources.

Although no non-detriment finding has been forthcoming for the country, several research initiatives are under way to help provide information on the dynamics of mahogany under different ecological and disturbance conditions. However, it is important to continue developing more studies and monitoring the response of mahogany stands that are subject to logging, so that a robust non-detriment finding can be made.

### **Brazil**

There has been an inter-institutional and multi-disciplinary discussion of the mahogany issue involving IBAMA technicians and experts in mahogany ecology, management and genetic conservation. Specific legislation has been established for the development of forest management plans that regulate the logging of mahogany. It covers specific ecological and silvicultural issues that are relevant to the management of mahogany and includes technical standards for the submission of management plans, yearly operational plans and maps. The text of this legislation (IN 07/03) is available at [www.ibama.gov.br/flora](http://www.ibama.gov.br/flora).

To date, nine management plans have been submitted in the states of Acre and Rondônia, and these are under technical and legal review. The reviews are carried out by the Inter-Agency Technical Commission (consisting of the regional IBAMA office, IBAMA headquarters, state environmental organizations – OEMA – and the Ministry for the Environment – MMA). Inspections will be carried out by this Commission and the CITES Scientific Committee (see below).

The legislative basis for CITES Administration in Brazil is contained in Decree No 3607 of 21 September 2000. IBAMA acts as both the management and scientific authority. Relevant legislative documents for issuing CITES permits are a regulation of 3 January 2004, and standards of 17 April 2004.

The CITES Scientific Authority is under the responsibility of IBAMA's General Forest Resource Management Coordination Department. A Scientific Committee made up of 5–7 experts has been formed to assist in the implementation of the Appendix-II listing and to provide support to the Authority. Two experts will accompany a field visit as part of the mahogany harvesting process (as stipulated in the management plan). The experts' findings will be submitted to the Scientific Committee, and the final conclusions of the Committee will be forwarded to the Scientific Authority for consideration and decision.

The Management Authority is under the responsibility of the Forest Directorate of IBAMA.

Several procedures in Brazil help with the implementation of the Appendix-II listing of mahogany. The standards regulating forest management for the harvesting of mahogany are unique and include specific requirements for logging in accordance with CITES regulations. The marketing of mahogany from clearing permits has been banned for a period of five years (Decree No 4722 of 5 June 2003). Chain-of-custody monitoring is achieved through submission of an official statement on all stages of the chain (reporting volumes, companies, etc) prepared by the exporter. IBAMA verifies the accuracy of information contained in the statements.

#### ***Developments in the implementation of the Appendix-II listing***

Legislation on mahogany harvesting and trade is available on the internet in Brazil. An information system for the issuing of CITES permits is currently

being tested. This would include the ability to request CITES permits on-line and would facilitate the tracking of the permit process from the request to issuing stage. This innovative approach improves transparency in the process and consolidates the information into a single database. At present, whenever a CITES permit is issued in relation to mahogany, an official communication is sent to the CITES Management Authority in the importing country containing the permit number, CITES stamp number, exported volume and date of issue.

No progress has been made regarding regional forest inventories; the populations to be managed are still to be mapped. Undertaking forest inventories is clearly important, and these should include not only mahogany but also other species. These inventories should be used as a tool for forest zoning, forest management subsidies and the planning of government actions.

A total of 50 technicians will be trained on timber identification, focusing firstly on those who work at the ports so that timber species are not exported under false names. A timber identification manual will be developed to support monitoring activities. Technicians from other producer countries will be invited for the training on timber identification.

An ad-hoc working group was established in Brazil in 2003 to address the issue of mahogany forest management. The findings of this group are available at [www.mma.gov.br](http://www.mma.gov.br). IBAMA and MMA have technicians involved in the implementation of proposals. These technicians meet as required to discuss the implementation and progress of activities, as well as the solution of specific problems.

#### **Peru**

Logging in Peru is governed by Law No 27308. This law defines a land-use system that includes permanent production forest (PPF), in which forest concessions for harvesting may be granted. To date, in a process that began in 2002, 475 concessionaires have been granted concessions covering a total of 7.4 million hectares.

Apart from concession areas, there are two other forest harvesting modalities which were inherited from the previous regime (Law No 21147) and which are currently being adapted or phased out: 'major contracts' for more than 1,000 hectares, which entered into force after the promulgation of Law

No 27308, and 'extraordinary authorizations', for the movement of logs from permits of less than 1,000 hectares. Only 13 major contracts are current, with areas that range between 4,000 and 41,000 hectares; these are currently being adapted to the regulations of the new law. In the Department of Loreto there are 262 lots that have extraordinary authorizations for the removal of already-felled logs up to a scheduled date. The expiry date for these authorizations is 30 June 2004, but this date has already been changed twice due to a delay in the incorporation of the Department of Loreto into the concession system.

Another important source of mahogany logs is native community lands. The material limitations that prevent INRENA from exercising adequate control in the PPFs are even more apparent in forests that fall into this category. Opportunistic traders take advantage of this fact and acquire timber simply by buying logs which are already cut and in some cases are made ready for transport.

All harvesting modalities are conditional on the approval and implementation of management plans, and only those specimens with an MCD larger than the minimum established by INRENA may be harvested. Law No 27308 also provides for the establishment of a timber forest resource supervisory agency (OSINFOR), a specialized agency responsible at the national level for monitoring compliance with forest management plans in timber-producing concessions. However, this agency has not yet been established and, in the meantime, INRENA is carrying out its monitoring and control functions.

At the decentralized level, there are currently 30 technical forest administration units (administraciones técnicas forestales – ATFFs), which are directly responsible to INRENA, but also coordinate with regional authorities from the agricultural sector. The 14 ATFFs that cover tropical forest lands are responsible, on behalf of INRENA, for the approval of general forest management plans (GFMPs) and yearly operational plans (YOPs), and their subsequent monitoring and control. Extraordinary authorizations are also approved, monitored and controlled by these bodies. Inadequate control has been exerted by these bodies in some cases.

#### **Procedures for CITES implementation in Peru**

The CITES management and scientific authorities in Peru are INRENA and the National Agrarian

#### **Box 7 Requirements for the export of mahogany from Peru**

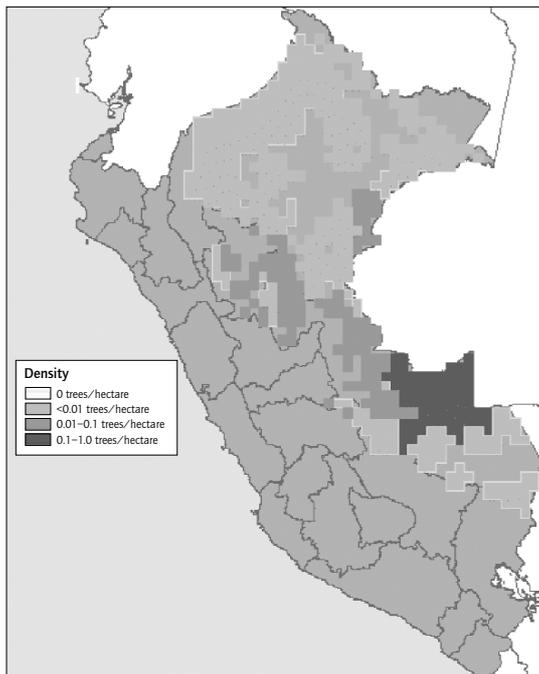
(Procedure No 76 under the Unique Text of Management Procedures by INRENA, approved through S.D. No 014-2004-AG)

1. A request addressed to the authority issuing the approval as per model
2. Registration with the Forest Product Exporters and Traders Registry or authorization by INRENA to operate as a processing plant or warehouse and/or commercial establishment
3. Forest transport waybill (original document) and receipts or invoices for payment of forest logging fees for the products to be exported
4. Product purchase order or transaction receipt
5. Certificate of identification and primary processing of products to be exported, signed by an INRENA certified professional or body. For parts and components, a moisture content certificate is required
6. Packing list
7. Receipt for payment of administrative fees

University of La Molina, Faculty of Forestry Science (UNALM – FCF), respectively. The procedure required by the Management Authority to regulate the export of mahogany is given in Box 7.

The Scientific Authority is currently assessing the status of mahogany populations in Peru, but due to a lack of reliable information, no non-detriment finding has yet been made. However, the Scientific Authority has developed a preliminary map of mahogany distribution in four major producing departments, which is based on an inventory of forest resource studies carried out over the last 50 years (see Figure 2). The map derived from this inventory only contains tree density levels. This is due to the time that has elapsed between studies and to the wide range of methodologies used to collect statistical data on the entire mix of species and not just on mahogany populations.

**Figure 2** Preliminary map of mahogany distribution in the departments of Loreto, San Martín, Ucayali and Madre de Dios, Peru



### **Developments in the implementation of the Appendix-II listing**

A number of activities have been undertaken to implement the Appendix-II listing of mahogany in Peru. Information and dissemination meetings have been held in several locations with the participation of producers, industrialists, exporters and INRENA regional offices. Participants were informed of the impacts of the CITES listing and of the requirement to have a report by the Scientific Authority to export mahogany.

Prior to hosting the international ITTO workshop in Pucallpa, a national preparatory meeting was held, with the participation of exporters, concession holders, INRENA, UNALM, the Worldwide Fund for Nature (WWF) and the Peruvian Environmental Law Society (SPDA). This meeting facilitated the exchange of ideas and the definition of the Peruvian position for the international workshop. An ongoing dialogue between the management and scientific authorities, exporters and producers has been established.

In order to facilitate the transfer of mahogany from Appendix III to Appendix II, the Management

Authority has established a mahogany quota for timber felled prior to 15 November 2003, which will be submitted to the CITES Secretariat.

A geo-referenced database on mahogany stocks (volume and number of trees per hectare) has been compiled, systematized and integrated, based on information derived from inventories conducted in the last century and data generated recently by WWF through surveys carried out for the development of GFMPs and YOPs. UNALM has secured support from ITTO for a project that will, among other things, evaluate commercial stocks of mahogany in Peru.

Both authorities have prepared a strategy to reverse the conditions that led to the listing of the species in CITES Appendix II. This strategy is aimed at resuming, in the medium and long terms, the free trade of Peruvian mahogany without any restrictions except for those imposed by the forest management plans.

### **Problems**

- The information available on mahogany is scarce and there is no consistent set of studies on the geographic distribution of the species and the sustainability of its economic utilization.
- There is also a lack of studies on the reproductive biology of mahogany.
- GFMP approval procedures are not as expedient as they should be.
- The forest-concession supervising agency – OSINFOR – does not yet exist; the draft rules and regulations for this have been formulated and are under review by the Presidency of the Ministerial Council.
- There is a lack of effective mechanisms to assess both compliance of commitments by concession holders and the development of control and supervisory bodies.
- There are limited financial resources to carry out monitoring and control activities, which hampers the field supervision and verification of YOPs.
- The forestry control system is still not consolidated.
- The information system generated by the ATFFs is not integrated into or accessible through a database system.

### **Opportunities**

- There is a sustained demand for mahogany timber in the international market.
- The Forest Information System has been finalized as part of a forest information centre, which allows the development of a reliable database to meet information needs in the control, supervision, statistical and economic fields.
- A National Commission Against Illegal Logging has been established as a mechanism to reduce and eventually eradicate illegal logging.
- Exporters are willing to support the Scientific Authority (agreement – not yet concluded – between UNALM and the Exporters Association's (ADEX) Timber Exporters Committee).
- Concession holders are interested in verification and control mechanisms for log production in the areas defined by the YOPs.
- Forest professional associations, such as the National Forestry Chamber, the National Timber Corporation and the National Timber Confederation, among others, carry out information and coordination activities aimed at the management of production forests.
- Technological studies have been identifying potential substitute species for mahogany, which could eventually be part of more specific mahogany conservation strategies.
- Positive results have been obtained in reforestation projects with Meliaceae species.
- Low impact logging techniques have been introduced in Peruvian forests with some success.
- Various forest sub-sector stakeholders share the view that there is a need to launch an aggressive research program on forests and mahogany.
- ATFFs are recognized as key points in the monitoring and control of timber logging, and their appropriate functioning, supported by a timely information system with permanent access, would help to improve the management of forest resources in general and of mahogany in particular.
- INRENA has professional teams with extensive experience, powerful information systems and a sound organizational structure, which could help achieve better efficiency in the management of forest resources in general and of mahogany in particular.

- Forest Discussion and Coordination Round Tables have been established at the national and regional levels, as well as Forest Management Committees, which contribute to the improvement of the administration of resources.
- Both CITES authorities have an outstanding track record and an undeniable commitment to the principle of the sustainable management of forest resources in general and of mahogany in particular, which, strengthened by ongoing consultation and coordination mechanisms and adequate financial support, will ensure effective compliance with CITES regulations on mahogany.

### **National strategy**

The national strategy for the implementation of the CITES Appendix-II listing of mahogany represents a coordinated effort between both CITES authorities and key forest-sector stakeholders.

The objective of the strategy is to achieve the unlisting of mahogany from CITES Appendix II. It contains four implementation stages or terms:

#### *Immediate*

- Establish a permanent coordination commission with the Scientific Authority, the Management Authority and users
- Establish a verification program for harvesting volumes authorized by the competent authorities

#### *Short term*

- Establish a mechanism to control the felling of trees and monitor the application of silvicultural techniques as proposed in the GFMPs, and their compliance in the YOPs
- Assess the availability and conservation status of mahogany based on three variables:
  - population assessment
  - habitat analysis
  - trade system analysis

#### *Medium term*

- Establish the country's potential to produce mahogany at the national, regional and local levels, and even at the concession and native community levels, so as to determine the annual production quota for each unit
- Implement a mechanism to verify compliance with the quota

*Long term*

- Ongoing monitoring of the status of planted populations (plantations) and natural populations (natural regeneration) and maintenance of the silvicultural treatments applied.

**Main actions***Scientific Authority*

- Establish the size of mahogany populations and assess their conservation status through the ITTO-funded project 'Evaluation of Commercial Stocks and Strategy for the Sustainable Management of Mahogany (*Swietenia macrophylla*) in Peru'
- Set up a technical support unit to provide support to CITES mahogany authorities
- Ensure the in-situ and ex-situ conservation of mahogany populations
- Establish a Permanent Coordination Commission with the Management Authority so as to improve the implementation of CITES mahogany mechanisms
- Establish a mahogany research and development fund

*Management Authority*

- Strengthen the illegal mahogany trafficking control and monitoring system, including the chain of custody, based on the design of a specific inter-institutional strategy
- Strengthen the information system, with documents confirming the legal origin of mahogany at the national level, through a mahogany trade monitoring database
- Strengthen the capacity of forest concession holders in silvicultural treatments proposed for mahogany species
- Ensure the transfer of technology on low impact mahogany logging techniques

**Importing countries**

Importing countries have a range of experiences in implementing CITES requirements. For timber, the identification of species by customs officials to confirm that shipments correspond with documentation is one of the major challenges. Irregularities in permits or incorrect paperwork can

also be a problem. Communication is one of the key issues for ensuring maximum transparency and mutual understanding of the requirements by all parties concerned, including the private sector.

**Canada**

*S. macrophylla* is, for the most part, imported to Canada in the form of sawnwood that is re-exported from the USA. It is the view of most Canadian observers and CITES authorities consulted that the listing of *S. macrophylla* in Appendix II has not posed any new enforcement problems.

In the Canadian experience, species identification is the primary enforcement problem relating to *S. macrophylla*, as it is with other tropical woods. In 2002, CITES Canada Enforcement Branch produced the *CITES Identification Guide B Tropical Woods* (Environment Canada 2002), which greatly contributed to the resolution of identification problems experienced at Canadian borders. The guide, which uses the internal anatomic structure of wood for making species' determinations, has proved a useful tool in the identification of logs and sawnwood. However, it does not offer great assistance in the identification of veneers and plywoods.

Given that ongoing challenges relating to *S. macrophylla* identification remain, the listing of *S. macrophylla* in CITES Appendix II is likely to prove helpful. A particularly useful aspect of the change is the grouping of all species in the genus *Swietenia* within the same Appendix. The requirement to identify specimens at the genus level, rather than as individual species, has greatly simplified the work of enforcement authorities.

**Spain**

The mechanisms for CITES implementation in Spain are based on the EC regulations outlined in Box 3. No particular problems have been detected in Spain after the listing of mahogany in CITES Appendix II. On the contrary, the Appendix-II listing has led to improved customs controls and a more accurate recording of import volumes.

The main problems encountered are not specific to mahogany but rather are common to all imported tropical timber species and are mainly related to the identification of species. Although information materials have been prepared by the Botanical Gardens

of Cordoba, and a guide has been made available by the Canadian authorities, the identification of timber is complicated, especially when imported as veneer or plywood.

Furthermore, the way the timber trade is structured makes the identification problem all the more difficult. Timber consignments usually arrive in large ships carrying many different timber species, with documentation that in the majority of cases only refers to the common or local names of species. This makes the work of customs services very complicated.

As a result of certain problems that have arisen with other tropical timber species, the National Natural Science Museum is currently developing a DNA identification system. However, useful results are not expected in the short term.

## UK

The UK Government is committed to sustainable forest management and is playing a leading role in international negotiations on forests in a number of fora, including the Convention on Biological Diversity, the United Nations Forum on Forests, Forest Law Enforcement and Governance processes and the G8.

The CITES Management Authority in the UK is the Department for Environment, Food and Rural Affairs (DEFRA), and the Scientific Authority is the Royal Botanic Gardens, Kew. The UK is a member of the EC and, as in all other member states, the implementation of CITES on its territory is governed by a set of EC regulations (see Box 3). When *S. macrophylla* was included in CITES Appendix III, the UK Management Authority's involvement was limited to recording the import. Provided that a valid export permit accompanied the shipment or certificate of origin, the only other requirement was the presentation to customs of a self-completed import notification form, which would be checked/endorsed by customs and returned to the authority so that the import could be recorded. Any further Management Authority involvement was generally limited to assisting customs in validating the export documentation.

The major change in permit requirements with the Appendix-II listing is that as well as a permit from the exporting or re-exporting management authority, *S. macrophylla* specimens must also have import permits for entry into the EC. As recommended

in the Convention, permits must be issued before shipment takes place. Transparency, the flow of information and timing (ensuring applications can be processed and permits issued in advance of shipment) are crucial to the implementation of the CITES Appendix-II (EC Annex B) listing of *S. macrophylla*.

The CITES Management Authority endeavours to involve all stakeholders in the process of implementing the regulations. The Management Authority works in full collaboration with the Scientific Authority and the appropriate enforcement authorities (Her Majesty's Customs and Excise, the police, etc), not only on individual cases but also on training. The Management Authority also has a cooperative working relationship with traders. Regular Sustainable Users Network meetings are held, and a seminar with traders and trade representatives, the Timber Trade Federation in particular, was convened on 2 July 2003 at the Royal Botanic Gardens, Kew to discuss the new listings and what they would entail. The country's Scientific Authority has prepared various help packs for timbers, including posters for *S. macrophylla*.

Transparency and the sharing of information between the origin/exporting and importing countries is crucial to ensure the smooth flow of legitimate trade. DEFRA believes it would be desirable to have a chain of custody or tracking system showing the movements of specimens from source, ensuring that the legality of the timber is recorded at every stage. Updated information on stocks, quantities harvested, and remainders would be very useful to the Scientific Authority's assessment of the conservation impacts of trade in *S. macrophylla* before it issues advice on import applications.

Accurate timing of applications is also very important, so that they can be processed and import permits produced before export/import takes place.

Applications made after the goods have arrived in the UK have to be considered retrospectively; permits for Annex B-listed specimens may only be issued retrospectively where the competent management authority of the member state is satisfied that:

- (a) any irregularities which have occurred are not attributable to the (re)exporter and/or the importer; and
- (b) that the (re-)export/import of the specimens concerned is otherwise in compliance with the provisions of: (i) Regulation (EC) No 338/97, (ii) the Convention, and (iii) the relevant legislation of a third country.

## USA

The CITES management and scientific authorities of the USA are housed with the US Fish and Wildlife Service (FWS). These offices are responsible for evaluating whether applications for the import or export of CITES-listed species meet the requirements of CITES, and for coordinating US government efforts on setting CITES policy and evaluating species for listing. These primary CITES authorities work in concert with FWS Law Enforcement, which has port inspection and enforcement responsibilities for animals, and with the US Department of Agriculture-Animal and Plant Health Inspection Service (USDA-APHIS) and the Department of Homeland Security (DHS), which share these responsibilities for plants. Regular participants in the CITES Coordinating Committee include these agencies as well as other USDA agencies (Forest Service, Foreign Agricultural Service), Department of State, Office of the US Trade Representative, USAID, Department of Justice and Department of Commerce.

Since November 2002, when the CITES parties decided to list mahogany on Appendix II, the United States, as the largest importer of the species, has taken many proactive measures to smooth the transition from Appendix III and to support implementation of the listing. Measures have been taken at US ports of entry, with range states and importers, and within CITES committees and the second meeting of the Mahogany Working Group, for which the USA provided major funding.

At the US ports of entry, USDA-APHIS notified holders of APHIS *S. macrophylla* import permits of the implementation changes that would occur at US ports with the onset of the Appendix-II listing. APHIS made presentations to two industry groups, the International Wood Products Association (IWPA) and the Hardwood Plywood and Veneer Association (HPVA), about the effect of the uplisting in terms of CITES export permit requirements, especially with regard to plywood. US port inspectors were informed about the change from Appendix III to Appendix II and the manual used by APHIS port inspectors was amended.

The USA launched a timber page on its CITES website, with specific pages on the Appendix-II listing of *S. macrophylla*, and has communicated with range countries, major importing countries, and importers before, on, and after 15 November 2003 regarding US implementation measures. The FWS provided an information packet to more than 350 US mahogany importers and re-exporters on implementation of the Appendix-II listing.

The USA worked with IWPA and HPVA to develop the US interim definition of *S. macrophylla* plywood. This document was provided to *S. macrophylla* range countries and submitted to the 13th meeting of the CITES Plants Committee, which endorsed it. The document was adopted by the second meeting of the Mahogany Working Group and reaffirmed by the 14th meeting of the CITES Plants Committee. The USA has submitted this document for consideration at COP13 of CITES.

Based on discussions at the second meeting of the Mahogany Working Group, the USA submitted a document entitled 'The use of marks and numbers in lieu of bill of lading numbers for CITES export and re-export documents for timber species'. This is designed to assist importing authorities in cases when bills of lading are not available until exporting vessels have departed the port.

A critical component of the implementation of CITES is monitoring of the trade by the Management Authority. This is done in the US through review of the import documents that are endorsed at the ports by USDA-APHIS or DHS. As of 15 May 2004, approximately 204 shipments of bigleaf mahogany had been imported since 15 November 2003, the effective date of the Appendix-II listing (see page 22). While data on volumes of mahogany imported in this period are not yet available, 120 of these shipments had an export date of 15 November 2003 or later and were exported under CITES Appendix II. The rest of the shipments were exported prior to 15 November 2003 under CITES Appendix III. In reviewing these Appendix-II and Appendix-III documents there were only three instances of apparent confusion related to the transition in documentation between Appendix III and Appendix II. Each of these involved a different issuing country.

## 4 Other international perspectives

### Trade organizations

Trade bodies from both exporting and importing countries have mixed experiences and views of the CITES Appendix-II listing of mahogany. The trade bodies present at the Pucallpa workshop all recognized the importance of managing forests sustainably and ensuring that logging and trade is conducted legally within a solid, well-controlled regulatory framework. However, many questioned the value of CITES in contributing to these goals, perceiving the Appendix-II listing of mahogany as a trade restriction that will disadvantage both the species and the region's tropical forests as a whole. Many find the procedures required for CITES-listed species to be excessively bureaucratic, and do not believe that the Convention can assist in addressing the real issues of illegal logging, conversion of forest to other land-uses, and the underlying cause of many of these problems: poverty. The IWPA noted that a primary concern in the USA market is continuity and reliability of supply, and that difficulties implementing the Appendix-II listing were already impacting negatively on mahogany in this regard. From the consumer angle, the UK's Timber Trade Federation reported that CITES lacks credibility in the marketplace, and does not fulfil the very real need of traders to demonstrate to their customers and the public at large that their timber is legally and sustainably sourced.

Despite these views, several trade bodies are cooperating with CITES authorities to aid the implementation of the Appendix-II listing. For example, the Exporters Association in Peru (ADEX) has held meetings with the CITES scientific and management authorities in the country to implement a number of activities in relation to the listing (see Box 8). During the course of the workshop, some members of IWPA (USA) offered to investigate the possibility of raising funds to support the strengthening of CITES authorities in producer countries (with a particular focus on conducting inventories of mahogany stocks) through a voluntary levy on mahogany sales.

The Pará State Export Industry Association (AIMEX) from Brazil reported that mahogany is just one of the 400 marketable timber species in the Brazilian forest. They also stressed the importance to producer countries of increasing the amount of mahogany that is processed at home into value-added products such as furniture (currently, it is mostly sold as sawn timber or veneer). AIMEX drew attention to the involvement of industry in collaborative research in Brazil, studying pest control and genetic improvement of mahogany with a view to diminishing the risks to plantations and minimizing the pressure on natural populations of the species.

Although some trade representatives questioned the value of voluntary certification initiatives, others (eg the UK Timber Trade Federation) believed that the verification of the origin of wood products and tracking of products through the supply chain is

#### **Box 8** *Aims of meetings between Peruvian CITES authorities and ADEX*

1. To establish communication channels to allow CITES authorities to access information from exporting country suppliers so as to establish a code of business practice
2. To develop an information bank with CITES authorities so as to assess and identify the legal origin of the mahogany supplied in the market. The databank should contain references to approved management plans and hence the availability of authorized volumes
3. To develop, in cooperation with CITES authorities, formats and documentation using appropriate technology to prevent false reporting to support mahogany supply in the market
4. To establish, in cooperation with CITES authorities and the corporate sector, coordinated actions with the recently established National Commission Against Illegal Logging
5. To develop a methodology to promote voluntary forest certification and consolidate a chain of custody from the forest to final mahogany marketing channels
6. To promote and support research initiatives in the silvicultural field with a view to ensuring improved mahogany harvesting practices and genetic improvement of the species

**Box 9** *Recommendations made by the UK Timber Trade Federation at the Pucallpa workshop*

1. Develop a framework for third-party auditing/independent verification; inputs may be taken from the Timber Trade Federation work on a framework for the auditing of legality, to be finalized by the end of 2004
2. CITES will have to ensure there is a significant improvement in regulatory capacity in countries where both law enforcement and more general governance is weak, including provision for independent auditing by third parties
3. Increase the involvement of NGOs in the issuing of CITES permits and monitoring
4. Further support measures should include substantial communication, information and education campaigns for CITES officials, particularly at border control points and harbours

becoming increasingly important for maintaining certain markets; some also acknowledged the role of NGOs in monitoring and control systems. Specific recommendations offered to the meeting by the Timber Trade Federation are given in Box 9.

At the conclusion of the meeting, several trade, environmental and international organizations signed a resolution (the Ucayali Declaration) commending the efforts of range state governments to implement the CITES Appendix-II listing of mahogany and expressing their hope that these efforts would be successful in allowing mahogany to be transferred from Appendix II to Appendix III as soon as possible. The full text of the resolution is given in Annex 2.

### **Environmental organizations**

Environmental organizations in general see a high value in the CITES Appendix-II listing of mahogany, believing that it will help to regulate exploitation and trade in the species. WWF International, for example, is calling for the complete and immediate implementation of CITES Appendix II for mahogany by all stakeholders. Their rationale for this position is given in Box 10.

**Box 10** *WWF rationale for its position with regard to the implementation of CITES Appendix II for mahogany*

WWF International believes that the implementation of the Appendix-II listing of mahogany will help to:

- conserve an indicator species of forest health and biodiversity;
- reduce illegal logging, especially in protected areas and indigenous territories;
- maintain the long-term economic value of forests;
- support livelihoods and alternative, equitable and legal economic development opportunities for local populations; and
- contribute to national and regional economic growth and prosperity in a vital industry.

Many environmental NGOs are helping with CITES implementation in practical ways. For example, WWF is providing technical assistance to the concession process in 146 concessions in Peru, covering a total of 2.8 million hectares. TRAFFIC International is also working in Peru on a wide-ranging sustainable forest management project, which will include the production of a manual or guide for the implementation of Appendix II in the country. Fauna & Flora International and the Nicaraguan government are jointly organizing a workshop on the development of non-detriment findings for mahogany in Nicaragua.

In Brazil, the NGO Imazon has been involved in several research projects relating to mahogany ecology and management, and has analysed information on human settlement, deforestation and fires in the Amazon region. They warned that, according to their data, all mahogany forest is economically available for harvesting in the Brazilian Amazon and that, although information is limited, there are worrying signs for remaining stocks of the species.

An approach to improving mahogany management suggested by Imazon is to focus on the foresters active in the region, checking their performance history for previous involvement in fraud or failure to implement management plans, and providing training on the new regulations. Some groups also highlighted

the need for improved communications between institutions and the establishment of strategic partnerships between projects.

Several groups at the Pucallpa meeting mentioned the use of the precautionary principle in mahogany management. In practical terms, Imazon suggested that the application of the precautionary principle through management could include the creation of reserves and measures to ensure regeneration at the stand level. TRAFFIC International and Fauna & Flora International are working with IUCN and Resource Africa on a major project on the precautionary principle in sustainable development, natural resource management and biodiversity conservation. This project will include a detailed case-study on how the precautionary principle is applied to forest management in general and specifically to mahogany.

The use of voluntary certification schemes is widely supported by environmental NGOs, including those at the Pucallpa workshop. The Peruvian Council for Voluntary Forest Certification pointed out that chain-of-custody certification, as conducted by the FSC alongside forest management certification, provides a useful model for monitoring legal products from the forest. The FSC certification system can help guarantee legality by ensuring compliance with national and local legislation, international treaties and agreements (eg CITES), and the payment of taxes and royalties. Specific recommendations made to the meeting by the Peruvian Council for Voluntary Forest Certification are given in Box 11.

Regardless of whether mahogany is certified or not, several NGOs (eg WWF-US) are establishing buyers' groups to facilitate links between mahogany importers and exporters, improve transparency and reduce illegal shipments. The workshop forum provided opportunities for discussions between NGOs and the trade on these buyers' groups.

**Box 11** *Recommendations from the Peruvian Council for Voluntary Forest Certification for the implementation of the CITES Appendix-II listing of mahogany in Peru*

**Management Authority:**

- Outsource the state monitoring system to independent certification bodies
- Strengthen capacities for internal monitoring and control
- Analyse risk levels to prioritise control areas

**Scientific Authority, NGOs:**

- Conduct studies on mahogany regeneration to ensure its sustainability
- Link the concept of high-conservation-value forests with the status of mahogany populations
- Work together with importers on the development of specifications and responsible purchasing policies

**FSC:**

- Consider the possibility of mutual recognition between the FSC and CITES
- Identify strategic partners and reliable verification systems

## 5

## 5 Conclusion and recommendations

Participants in the workshop recognized that it had provided an excellent opportunity for dialogue and interaction between all stakeholders related to the management and trade of mahogany. The background papers presented and the working groups convened during the workshop greatly facilitated the sharing of experiences on the implementation of, and concerns about, the CITES Appendix-II listing of mahogany.

The workshop participants also highlighted the strong synergies between the work of CITES and ITTO, and provided direction for continuing and strengthening such synergies. All participants expressed their shared commitment to the successful implementation of the Appendix-II listing of mahogany and on-going efforts towards sustainable forest management in general.

The workshop participants identified the following recommendations for consideration and early action as appropriate by national governments, the private sector (trade and NGOs), international organizations and other stakeholders. Recommendations were made with the workshop objectives in mind and are grouped accordingly below. Note that some may apply to more than one objective. No recommendations were made for Objective 1 on current market conditions for mahogany, but the workshop did stress the need for better market information to facilitate the sustainable management, monitoring and control of the species.

The workshop also endorsed two resolutions tabled at its closing session; these are given in Annex 2.

### Recommendations

**Objective 2:** *identify monitoring activities countries may find useful, including approaches, technologies and timing*

- 1 Control systems (including management plans and licensing systems) should be simple, inexpensive, easily applicable, efficient and reliable
- 2 Countries should simplify, make more transparent and publicize their legal requirements for the extraction, transformation, transportation and export of wood products
- 3 National forestry authorities and the international community should consider incentives for mahogany concessionaires who stay within the terms of the law and produce sustainably

- 4 Charges and penalties for violations of mahogany regulations, as well as the procedures through which they are imposed, should be clearly defined and widely publicized
- 5 When resources are limited, national forestry authorities should concentrate first on applying control systems in situations involving high conservation risks in areas where mahogany is present
- 6 National authorities should make resources available to establish databases on the management of mahogany and other species. Such databases should be accessible to the public
- 7 Management plans should incorporate data relevant to the diversity of distribution, density and ecology of mahogany populations
- 8 On-site inspection of mahogany management should be increased as a means of control
- 9 Forest management plans (and, as appropriate, utilization plans) for all areas where mahogany production occurs (including agricultural and indigenous holdings) should be based on accurate data including forest inventories on the diversity, density and ecology of mahogany, consistent with national practices and legislation
- 10 Existing chain-of-custody tracking tools should be employed to facilitate the monitoring of traded mahogany
- 11 Shipping documents for all traded wood products (including those not in CITES appendices) should list scientific names as well as customs codes
- 12 Shipping documents for forest products should be designed so as to make it difficult for them to be changed, forged or counterfeited
- 13 Tax collection authorities should detect and prevent false price quotations for the purpose of tax evasion

**Objective 3:** *identify actions that the private sector (industry and NGOs) can take to reinforce and support efforts to use CITES to manage trade in mahogany*

- 1 The academic and scientific communities should be encouraged to continue playing major roles in undertaking the research necessary for proper forest management (ie by developing volume or yield tables, etc)
- 2 The private sector should play a role in strengthening the CITES management authorities and scientific authorities in producer

countries. Particular attention should focus on the scientific authorities and developing their information systems and operational capabilities by:

- a) providing direct financial assistance and political support, and
  - b) working through the national authorities and the CITES Secretariat to provide information to improve implementation of the listing
- 3 Recognizing the role of the CITES Secretariat as a focal point and source of technical assistance, the private sector should provide information on problems in implementation and assist in identifying needs for technical assistance for national CITES authorities
  - 4 The private sector should strengthen or develop effective voluntary codes of conduct, with particular attention to the participation of exporters in the range countries
  - 5 The private sector should contribute to the sustainable management of mahogany and other species by increasing efficiency through training (for loggers, mills, etc), technology transfer, and facilitating inventory work
  - 6 Voluntary formal coalitions of buyers, sellers and NGOs should be used to reinforce national laws including those related to CITES

**Objective 4:** *identify opportunities for coordination across relevant agencies within producing countries*

- 1 Within the framework of national policies, synergies should be enhanced and autonomies recognized between CITES scientific and administrative authorities
- 2 Communications among national forestry authorities, users, producers, exporters and importers should be improved to ensure transparency in the control process
- 3 Governments in range states should immediately declare forest development a subject of national interest affecting society as a whole, with a special focus (including national campaigns) on the issue of illegal logging. National programs and bilateral/multilateral agreements should be employed (as appropriate) to achieve this
- 4 Forestry development programs should be defined and implemented jointly with native communities

- 5 Additional workshops on mahogany should be convened, especially at the national and sub-national levels, to continue and extend interaction and cooperation among the commercial private sector, NGOs and national authorities (including representatives of foreign affairs' departments as appropriate). Such workshops should consider, inter alia, the implementation of these recommendations

**Objective 5:** *identify regional cooperation activities to aid implementation, including technical assistance and resources*

- 1 Communications among the CITES scientific and administrative authorities in Bolivia, Brazil and Peru should be enhanced within the framework of the regional coordination which has been established
- 2 Regional agreements already reached and connections already established should serve as the framework for joint actions by the countries implementing the Appendix-II listing of mahogany
- 3 Countries should share forest management and control systems/software with each other

**Objective 6:** *identify areas of need for technical assistance*

- 1 Countries should seek technical assistance for developing and implementing control systems for mahogany from CITES, ITTO, FAO, TRAFFIC and/or other relevant organizations
- 2 The CITES Secretariat should provide training for authorities implementing CITES listings upon request as appropriate. Such training should include an information program to make CITES known to all stakeholders
- 3 The report of the Pucallpa workshop should be widely disseminated and results of the workshop should be communicated to relevant fora, particularly the 36th session of the International Tropical Timber Council (20–23 July 2004) and COP 13 of CITES (2–14 October 2004)

**Objective 7:** *share information on issues of relevance to importing countries*

- 1 Importing countries and markets should be made more aware of CITES and its rules related to promoting the sustainable trade of mahogany, as well as the importance of sustainable forest management in general

**Objective 8:** *share information on relevant international developments*

- 1 CITES should discuss a revision of CITES listing procedures so as to adapt them to the specific needs of timber species. Bolivia, Brazil and Peru should propose such a discussion

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## Annex 1

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## Annex 2

### Resolution 1 – exporting countries

The CITES scientific and management authorities responsible for the CITES Appendix-II listing of mahogany in Bolivia, Brazil and Peru, having met on the occasion of the Workshop on Capacity-building for Implementation of CITES Appendix-II Listing of Mahogany (*Swietenia macrophylla*),

HEREBY AGREE:

- That the utmost effort should be made to ensure the optimal implementation of the Convention's provisions, in particular, the implementation of the Appendix-II listing of mahogany
- That a working group should be established in order to coordinate and join efforts to ensure better achievement of objectives, particularly in relation to non-detriment findings
- That each country has different realities and hence particular situations for the implementation of the CITES Appendix-II listing of mahogany

AND HEREBY SUGGEST:

- That the international financial community should provide support for the implementation of national strategies as required for the application of this provision through projects
- That financial support should be provided so that the working group to be established by CITES authorities in the three countries can meet and develop a common strategy to be implemented by all three States
- That international institutions should support in-country initiatives to be undertaken independently of regional initiatives

**Pucallpa, 21 May 2004**

**Signed by the CITES scientific and management authorities of Bolivia, Brazil and Peru**

### Resolution 2 – Ucayali Declaration, Peru

The undersigned participants of the Workshop on Capacity-building for Implementation of CITES Appendix-II Listing of Mahogany (*Swietenia macrophylla*) recognize and commend the efforts being made by CITES scientific and management authorities in Bolivia, Brazil and Peru to face the challenges derived from the commitments undertaken in relation to CITES Appendix II and the implementation of measures aimed at the conservation and sustainable development of mahogany, and welcome the constructive attitude of key industrial and non-industrial forest stakeholders for the sustainable management of Amazon forests.

We hereby express our sincere hope that, as a result of these efforts, the listing of mahogany will be transferred from CITES Appendix II to Appendix III in the shortest term possible.

**Pucallpa, 21 May 2004**

**Signed by representatives from a range of trade, non-governmental and international organizations present at the workshop**



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