

## NDF Guidelines for making NDFs for trees in the European Union

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# Basics of EU Wildlife Trade Regulation

- All EU Member States and the EU (since 8 July 2015) are Parties to CITES
- CITES implemented in the EU through EU Wildlife Trade Regulations (WTR), legally binding for all 28 EU Member States
- WTR establishes stricter import conditions than CITES
  - Import permit required for Annex II species
  - Import of Annex II species requires separate NDF
  - Suspension of imports possible
- Separate NDF made by the Scientific Authorities of the EU member states or the SRG
- Stronger option to check legality of shipments

# Role and Tasks of the SRG

- EU regulation establishes a scientific body at EU level – the **Scientific Review Group**
- **Complement** and **coordinate** the scientific evaluation of national EU Scientific Authorities
- Examine scientific questions relating to implementation of the EU Wildlife Trade Regulations, e.g. scientific evaluation of imports of CITES listed timber species
- Advice ahead of CITES listings, evaluate CITES amendmend proposals, advice to amend EU annexes
- Formulate **opinions** and **restrictions** in relation to exports or imports into EU as species/country combination
- **Negative opinion** is formed, if import is deemed to have a harmful effect on the conservation status of the species, but will be **reconsidered** as new information is available
- EU offering assistance in **Capacity Building** on NDF

# EU-Guidelines for making NDF

- EU established guidelines on duties and tasks of SA and SRG
- Guidelines help to check basis information and minimum requirements along specified categories
- Guidelines contain categories, factors and conditions that should be considered when making NDF
- Guidelines make reference to Draft Guidance of AC/PC, International Expert workshop and Res. 16.7
- **Research from desk: Data quality** must be plausible and reliable, data gaps should be assessed
- Apply **precautionary approach** as fundamental EU principle

# EU-Guidelines for making NDF

## EU-Guidelines: Categories, factors and conditions that should be considered (not exhaustive list)

- Species characteristics (life history, distribution, habitat adaptability)
- Biological and conservation status, (abundance, population structure, population trends, quality of data etc.)
- Harvest characteristics (types, volumes, trends)
- Management regimes, (aims, measures, adaptive management, protection from harvest)
- Monitoring programs (population, offtake, feedback to adapt the management)
- Current or anticipated trade ( volume of legal and illegal trade, existence of any voluntary export quotas etc.)

→ makes reference to draft guidance AC/PC and Res. 16.7

→ NDF based on proportionate resource assessment methodologies

**Shortcomings:** lack of explanation of the indicators, not tree specific

# Some current EU approaches when making NDF for tree species

Some background aspects may worth to be considered....

- Research studies and increased knowledge in forest dynamics and silviculture provide findings related to making NDF.
- Research findings reveal insufficient understanding of population dynamic; logging intensities may be too high for sustained yield due to low cutting diameter, short cutting cycles, poor silvicultural treatment.
- For an NDF of tropical timber species also to be considered
  - Country specific regulatory and institutional framework, land management, property rights
  - weak enforcement capacity along forest management, harvest and chain of custody
  - High tree diversity in the tropics; CITES timber species are mostly used together with other commercial timber species (e.g. Afrormosia 20-30 other species)

# Some current EU approaches when making NDF for tree species

- Findings from Cancun-Work proved useful, but refinements and additions are needed in some aspects
- Basic information encompasses
  - distribution area and conservation status
  - **population structure and population dynamic**
    - select carefully suitable parameters for **growth parameter models** (tree ages, increment volume, recruitment, mortality) as prerequisites to define species specific and site-specific management criteria for determining harvesting volumes, minimum cutting diameter, optimal cutting cycle, silvicultural treatments
    - Use permanent plots in suitable size, shape and numbers
  - management and harvest regimes
  - controlling, **monitoring**, verification
    - **Implementation monitoring** (including post-harvest monitoring) using suitable indicators to assess whether and how the management program or plan was carried out as planned
    - **Effectiveness monitoring** to evaluate how effective the harvest regime and the silvicultural management were in meeting results, needs and expectations for which the management was established.



# Some current EU approaches when making NDF for tree species

## Stepwise approach of collecting documentation on carrying capacity of *Pericopsis elata* populations

- What information is requested to make a NDF and what documents are needed to provide those information?
- Distinctions are made what kind of information should be required at this time, within 5 years and within 10 years
- Matches with three priority categories
- Based on the analysis of field data (forest inventories) that are likely available, possibly supplemented by information available in the scientific literature.

# Some current EU approaches when making NDF for tree species

Stepwise approach (cont.)

## Information required today

- **Administrative information** allowing an unambiguous identification of the exporting logging company and regarding the forest unit of timber origin
- **Full management plan**
- Minimum logging diameter applied by the company
- Number of stems per diameter class (starting from 10 or 20 cm dbh)
- **Total inventoried area** from which the previous data are extracted, as well as the location of this area, the inventory threshold and sampling rate
- Any **available certificate** (FSC, OLB, TLTV, *etc.*) that the logging company may have had obtained, or plan to obtain, should be declared together with the existing or expected date

# Some current EU approaches when making NDF for tree species

Stepwise approach (cont.)

## Information required within 5 years

- Mean annual diameter increment (2 to 3 diameter classes just below the felling diameter)
- Increment accompanied with number of considered trees, monitoring period of growth and the location of those trees
- For those monitored trees, annualized mortality rate (recovery rate)
- Yield of the exploitation
- Average sawmill yield in case of sawn wood or veneer exportation
- Volume computed over- or under the bark, volume equation (roundwood)
- Average number of seedlings being planted per year in the forest concession

## Information required within 10 years

- Minimum fertility diameter, Fruiting (ripe fruits) frequencies
- Annualized mortality rate specifically due to logging activities
- If applicable, activities to stimulate regeneration
- Information on fieldwork by scientific researchers supported by the logging company; involvement of the company in scientific projects incl. timber species



# Some current EU approaches when making NDF for tree species

## Preliminary checklist of required information and documents for timber imports from DRC

1. Full name and address of the exporting company.
2. Year, in which the exported timber has been harvested.
3. Detailed geographic source of the timber: Region, district, location of the concession.
4. From which concession comes the imported wood (location, concession number, concession size, owner)? Was the timber applied for export harvested in this concession or does it originate from another concession/location?
5. Is there a current pre- and/or post- harvest inventory for the concession area available, containing specific data like age/size classes, distribution, growth rates, volume of the commercial trees as well as information on non-commercial trees, ideally with mapping / spatial referencing ? (Request submission of an inventory)
6. Does a current short- or long term forest management plan for the concession exist, approved by the forest administration? Does the management plan include information on minimum logging diameter, cutting cycle, silvicultural treatments etc.? (Request submission of the management plan)
7. Is the concession published in the list of concession holders (liste des detenteurs de titre forestier industriel) of the DRC Ministry of Environment?
8. Is the concession contract (for which a management plan is condition) ) available and also published on the website of the DRC Ministry of the Environment?
9. Is a valid logging permit for the concession available (ACIBO, Autorisation de Coupe Industrielle de bois d'œuvre), specifying exactly harvest locality, species and volume to be taken (Request submission of ACIBO)
10. For sawn wood:
  - a) Where (city/location/concession, etc.) took the sawing of logs into sawn timber place?
  - b) Is the owner of the concession also owner of the saw mill?
  - c) How much is the conversion rate, i.e. volume of standing roundwood to volume of export grade sawn wood?
- 11) Name of the city (port) which the timber was shipped in?
- 12) Is documentation accompanying logs in transit to processing or exportation facilities and/or is a \_\_\_\_\_ system or technology in place to ensure, that the harvested wood can be traced through all \_\_\_\_\_ stages of transportation, from point of harvesting to processing and exportation facilities? (Request description of the control process along the supply chain)
- 13) Is there any certification system used by the exporting company to prove legality and traceability? (e.g. SGS-TLTV, WWF-GFTN, Smartwood verification etc.)



# Preliminary checklist of required information and documents for timber imports from DRC

