



## Recent CITES Developments Relevant to tree species listed in CITES: Understanding permits, listings and annotations

INTERNATIONAL MEETING ON SUSTAINABLE FOREST MANAGEMENT IN  
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Convention on International Trade in Endangered  
Species of Wild Fauna and Flora



# Tree species in CITES

- In this presentation we will look at:
  - CITES provisions for plant species
  - Annotations
  - CITES permits and special provisions for timber species
  - Tree species listings
  - NDF and quotas

# CITES and Plants

- Are plants treated differently than animals under CITES?  
...YES

- Definition of ‘species’, with respect to readily-recognizable parts and derivatives (“...*any readily recognizable part or derivative thereof specified in Appendices II and III in relation to the species*”)
- Definition of ‘artificially propagated’
- Treatment of hybrids
- Use of phytosanitary certificates
- Permits for timber species
- Exemptions for seedlings and tissue cultures *in vitro*, *solid or liquid media, transported in sterile containers*

# CITES and Plants

- The Convention defines **species** as meaning *any species, subspecies, or geographically separate population thereof*
  - This means that inclusion of plant species under CITES control can be done at the level of **species, subspecies, or geographically separate populations**
  - Conversely, listings in the Appendices can be limited to certain subspecies or geographic populations, thereby excluding others from CITES controls

# CITES and Plants

- The Convention states that a plant, whether alive or dead, can be a CITES **specimen**
  - For **plant species** included in **Appendix I**, any readily recognizable part or derivative is **included**
  - For **plant species** included in **Appendices II and III**, any **specified** readily recognizable part or derivative is **included**

# CITES and Plants

	Appendix I	Appendix II	Appendix III
Animal parts and derivatives	Always included	Always included	Included if specified
Plant parts and derivatives	Always included	Included if specified	Included if specified

- Annotations** to the listings for plants in Appendix II, and for Appendix III species, **determine which parts and derivatives are included** (*The Parties have agreed that for plant species included in Appendix II, the absence of an annotation relating to that species indicates that all readily recognizable parts and derivatives are included*)



# Annotation example

- ***Aniba rosaeodora*** (Appendix II) applies only to **logs, sawn wood, veneer sheets, plywood and essential oil** (excluding finished products packaged and ready for retail)



# Annotation example

- *Dalbergia retusa* (for Guatemala: Appendix III, applies only to **logs, sawn wood and veneer sheets**, but other populations are not included in this listing)
- and *Dalbergia stevensonii* (same annot. and, only applicable to populations of Guatemala)





# Annotation example

- *Guaiacum* spp. (App. II) and *Dalbergia retusa* from Panama

**All parts and derivatives except:**

- a) seeds and pollen; and
- b) finished products packaged and ready for retail trade.



# Annotation example



- ***Cedrela odorata*** (Appendix III, applies only to logs, sawn wood and veneer sheets. Brazil and the Plurinational State of Bolivia listed the whole species; in addition, the following countries have listed their national populations: Colombia, Guatemala and Peru). **Appendix III applies only to logs, sawn wood, veneer sheets**

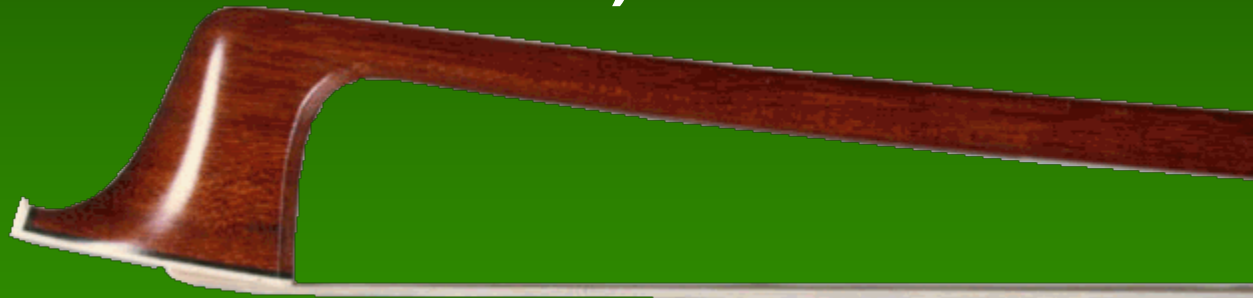
## Annotation example

- ***Swietenia macrophylla*** (Appendix II, applies only to **logs, sawn wood, veneer sheets and plywood from** populations of the **Neotropics**, all other populations and all other parts and derivatives are not subject to the provisions of the Convention)



# Annotation example

- ***Caesalpinia echinata*** (Appendix II, only applies to **logs, sawn wood, veneer sheets**, including unfinished wood articles used for the fabrication of bows for stringed musical instruments)



Finished items are  
not covered by  
CITES

# Annotation example

- *Pterocarpus santalinus* (Appendix II, applies only to **logs, wood-chips, powder and extracts** and all other parts and derivatives are not subject to the provisions of the Convention)



# Annotation example

- ***Bulnesia sarmientoi*** (Appendix II, applies only to logs, sawn wood, veneer sheets, plywood, powder and extracts, and all other parts and derivatives are not subject to the provisions of the Convention)





# Plants and **permits** (different source and purpose codes than for animal spp.)

- Export permit
- Import permit (Appendix I only)
- Re-export certificate
- Export permit (Appendix III)
- Certificate of Origin (Appendix III)
- Pre-Convention certificate
- Artificial propagation certificate
- Phytosanitary certificate (*for export of artificially propagated Appendix-II specimens*)

# Tree species in CITES (special procedures)

- Resolution Conf. 12.3 (Rev. CoP14) on Permits and certificates specifies
  - The possibility to extend the validity of a permit to 12 months
  - The possibility to change the destination mentioned on the permit
- These two provisions only apply to timber trade

# Tree species in CITES

- Several countries are trying to implement new regulatory systems for timber species
- In many cases this new systems are highly complex and are at first the object of strong opposition from the private sector



# Tree species in CITES

- One of the biggest problems is the institutional weakness
- The communication between MA and SA is often very weak
- Frequently the scientific information to allow the development of management programmes is not available or up to date

# Tree species in CITES

- The private sector is playing an increasing role in supporting the work of the MA and the SA
- It is possible that traders make strong commitments to show that they are willing to cooperate, e.g. through the funding of projects, technology, codes of conduct, registers, etc

# Tree species in CITES

We can learn from different cases, for instance, the case of ramin and the recommendations made by Malaysia, Indonesia and Singapore at their first tri-national ramin workshop held in Kuala Lumpur on 15-16 April 2004





# Tree species in CITES

## Recommendations for ramin

- To improve the speed with which countries share enforcement intelligence;
- To address the lack of knowledge about each others' regulations and policies (which is hampering enforcement efforts).

# Tree species in CITES

## Recommendations for ramin

- To try to harmonize the codes: each country has its own codes for different ramin products (in addition to the Harmonized Code for ramin) and this makes comparisons and tracking difficult;
- To establish a tri-country ramin Task Force to combat illegal trade.

# Tree species in CITES

## Recommendations for mahogany

**The CoP agreed that in the case of *Swietenia macrophylla*, range States should**

*perform studies of the sawn timber yields from logs, and on the height-diameter ratio, in order to improve management of and control over bigleaf mahogany timber;*

## Sawn timber yield of *Swietenia macrophylla*

- **Peru** reported in April 2008 the following percentages on timber yield for *Swietenia macrophylla* :

Loos for natural defects from standing trees to roundwood 29%

Timber yield from roundwood to sawn wood for all uses 52 %

## Some tools to strengthen the control and monitoring of the harvest and exports

- Setting Harvest and Export **quotas**
- Use **yield rates**
- The use of **conversion factors** link the harvest volumes approved by the Scientific Authority, to the export shipments
- Maintenance of national **registers** and production of accurate **annual reports** are the basis for sound statistics and monitoring

Tools to strengthen the control and monitoring of the harvest and exports

A wide variation exists in potential results and methodologies for determining conversion factors given differences in species, harvest and production systems, mill efficiency, sampling sizes, and nature of the final product



# Tree species in CITES (History)

- On 1 July 1975, 18 species were included in the Appendices
- Most of the species that were not in trade have been deleted since, but some still remain from that time
- To date, more than 200 species traded for their timber are included in the CITES Appendices.

# Tree species in CITES (History)

- The interest to include timber species in the Appendices increased in the beginning of the nineties
- Proposals to include timber species in Appendix II have been fiercely opposed and some countries have been using Appendix III as an alternative since the end of the 90s.

## Recent listings (since CoP15, March, Doha, 2010)

- **Bolivia** listed two species of Spanish cedar in Appendix III (*Cedrela fissilis*, and *C. lilloi*);
- **Brazil** and **Bolivia** listed the species *C. odorata*;
- the **Russian Federation** listed the species of the Korean nut pine (*Pinus koraiensis*);
- **Madagascar** listed 104 species of ebony (*Diospiros* spp) and 5 species of rosewood (*Dalbergia* spp);
- **Panama** followed listing its 2 populations of 2 species of rosewood (*Dalbergia darienensis* and *Dalbergia retusa*).

# Recent listings

**115 high-value timber species, have been listed over the last two years in CITES Appendix III and, we expect more to follow**



# Towards CoP16 (March 2013, Bangkok)

The 13 proposals to list tree species in Appendix II and, to modify two annotations, comprise more than 200 tree species and will have a great impact on the joint ITTO-CITES work.



# Towards CoP16 (March 2013, Bangkok)

	Proponent	Species covered by the proposal	English common name (not official – for reference only)
1	Belize	<i>Dalbergia retusa</i> and <i>Dalbergia granadillo</i>	Black rosewood and Granadillo rosewood
2	Belize	<i>Dalbergia stevensonii</i>	Honduras rosewood
3	Brazil	<i>Aniba rosaeodora</i> (Modify annotation)	Brazilian rosewood
4	China, Indonesia, Kuwait, Thailand	<i>Aquilaria</i> spp. and <i>Gyrinops</i> spp (Modify annotation)	Agarwood
5	Kenya, United Republic of Tanzania	<i>Osyris lanceolata</i>	East African sandalwood
6	Madagascar	<i>Cyphostemma laza</i>	Laza
7	Madagascar	<i>Dalbergia</i> spp. (pps of MG)	Madagascan rosewood
8	Madagascar	<i>Diospyros</i> spp. (pps of MG)	Madagascan ebony woods
9	Madagascar	<i>Operculicarya decaryi</i>	Jabihy
10	Madagascar	<i>Senna meridionalis</i>	Taraby
11	Mexico	<i>Yucca queretaroensis</i>	Queretaro yucca
12	Thailand, Viet Nam	<i>Dalbergia cochinchinensis</i>	Thailand rosewood
13	Madagascar	<i>Uncarina stellulifera</i>	Malagasy: fandriboalavo





# Tree species in CITES

e.g. *Swietenia macrophylla*

Appendix II requires making a non-detriment finding, requires the assurance of the legal origin of the timber, and has fostered international cooperation (ITTO-CITES cooperation program; BO, BR and PE have benefited greatly).



# Tree species in CITES

e.g. *Dalbergia monticola*

Appendix III does not require making a non-detriment finding, requires the assurance of the legal origin of the timber, and does not foster international cooperation since the aim for the listing country (Colombia, Guatemala and Peru) is: to monitor its exports.



# Making and NDF for a tree species

If removal of the specimen results in the death of the tree, then adherence to comprehensive **guidelines** (encompassing information available, possible methodologies, etc.) **is required**.

The current **guidance** available in CITES to assist the SAs **on formulating NDF for tree species**, is available in Annex 2 of document **CoP15 Doc. 16.3**

<http://www.cites.org/eng/cop/15/doc/E15-16-03.pdf>



# Logging and processing

- Establishing quotas necessarily implies an accurate knowledge of the populations
- When quotas are established without knowledge of populations and based solely on commercial and pre-commercial stocks, it is impossible to ensure the impact that exports will have on the populations. This is the usual example of over-estimated export quotas

# Logging and processing

- The analysis of harvesting/export quotas must be based on the available yield studies (i.e., methodology proposed by Dr. James Grogan), so as to reflect losses inherent to processing round wood into sawn timber; export quality percentage; stem/bole quality (holes or poor condition) in order to identify physical and pathologic defects, and elements such as bark thickness, stem shape and others relating to size and age.
- Failure to take these values into consideration will probably result in an overestimation of export quotas.

# Summing up

- Plant species have different provisions in CITES than those used for animal species
- The number of tree species listed in the Convention is increasing very quickly. Since Proposals to include tree species in Appendix II have been historically rejected at the CoPs, some countries have been using Appendix III as an alternative
- Appendix II requires making a NDF, requires the assurance of the legal origin of the timber, and fosters international cooperation (countries participating at the ITTO-CITES cooperation program have benefited greatly)
- Quotas and conversion factors can be useful tools for management reasons. They link harvest volumes to export shipments
- The annotations can be sometimes convoluted although they are an integral part of the Appendices so they need to be clear and precise

# Summing up

- CITES' aim is to ensure that international trade does not threaten the survival of these tree listed species
- The objective is to strengthen the control of the management and of the trade in order to make them responsible and sustainable

# Some final matters to further consider...

- How has the ITTO-CITES programme strengthened the capacities of your Scientific Authorities to make NDF for CITES listed tree species?
- How can we improve this work over the next three years?
- Which would be your proposed priorities and target species and why?
- Please take the opportunity of your participation in this meeting to establish good contacts and to share your experiences.







Mahogany tree; picture of J. Grogan

Enjoy Bali

**Muchas gracias ! Merci beaucoup! Thank you!**

