CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES
OF WILD FAUNA AND FLORA

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CHINESE TRANSLATION OF CITES NON-DETRIMENT FINDINGS GUIDANCE FOR PERENNIAL PLANTS. A NINE-STEP PROCESS TO SUPPORT CITES SCIENTIFIC AUTHORITIES MAKING SCIENCE-BASED NON-DETRIMENT FINDINGS (NDFS) FOR SPECIES LISTED IN CITES APPENDIX II. VERSION 3.0.

This document has been submitted by China* and Germany* and prepared together with TRAFFIC in relation to agenda item 78.

* *The geographical designations employed in this document do not imply the expression of any opinion whatsoever on the part of the CITES Secretariat (or the United Nations Environment Programme) concerning the legal status of any country, territory, or area, or concerning the delimitation of its frontiers or boundaries. The responsibility for the contents of the document rests exclusively with its author.*

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多年生植物CITES非致危性判定指南
CITES Non-detriment Findings
Guidance for Perennial Plants

支持CITES科学机构针对CITES附录II所列物种开展科学非致危性判定（NDFs）的九步法

3.0版本

A nine-step process to support CITES Scientific Authorities making science-based non-detriment findings (NDFs) for species listed in CITES Appendix II

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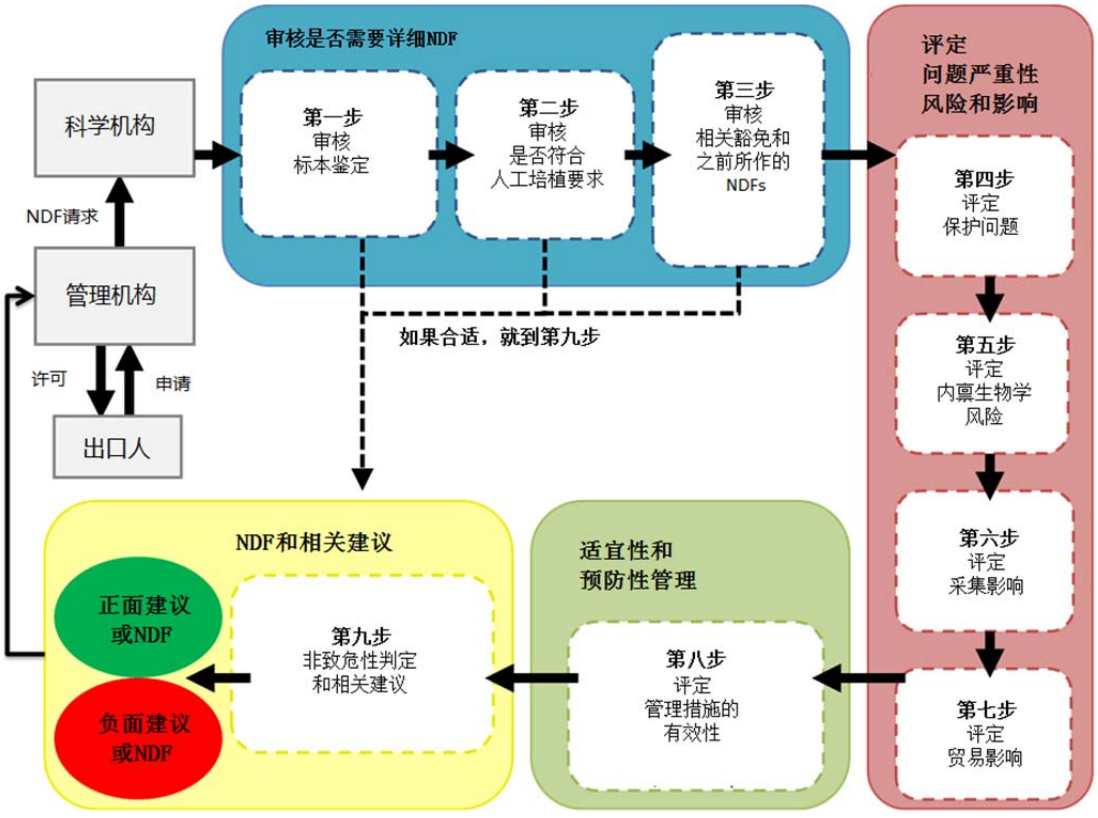

Bundesamt für Naturschutz

2016

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封面 Cover illustration: CITES **附录 II 所列多年生植物物种非致危性判定九步法过程**

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中文版翻译
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为多年生植物实施非致危性判定：九步法

MAKING NDFS FOR PERENNIAL PLANTS: A NINE-STEP PROCESS

CITES 语境下的非致危性判定
Non-Detriment Findings in the CITES Context

确保贸易在可持续限度之内是濒危野生动植物种国际贸易公约的核心。根据公约，缔约方如要允许被列入附录 II 物种的标本贸易，需其出口国的科学机构认为“此项出口不致危害该物种的生存”（第四条）。

而且各缔约方的科学机构应监督该国所发给的附录Ⅱ所列物种标本的出口许可证及该物种标本出口的实际情况。当科学机构确定，此类物种标本的出口应受到限制，以便保持该物种在其分布区内的生态系中与它应有作用相一致的地位，或者大大超出该物种够格成为附录Ⅰ所属范畴的标准（第四条）。这些要求被统一称作“非致危性判定”（NDFs）。如何实施附录 II 物种 NDFs 是每个出口国缔约方科学机构的职责。缔约方大会有关非致危性判定的 Conf.16.7 号决议，决定对 NDFs 的实施不采取特定的技术标准，而是采纳不具有约束性的指南。

Ensuring trade is within sustainable limits is at the core of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). According to the Convention, Parties shall allow trade in specimens of species included in Appendix II only if the Scientific Authority of the State of export has advised that “such export will not be detrimental to the survival of that species" (Article IV).

Further, 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 advice the appropriate Management Authority of suitable measures to be taken to limit the grant of export permits for specimens of that species(Article IV).

Collectively these requirements are referred to as ‘non-detriment findings’ (NDFs). How NDFs are made for Appendix II species is the responsibility of the Scientific Authority of each exporting Party. The Conference of the Parties (CoP) has decided not to adopt specific technical criteria for how NDFs

are undertaken, instead the CoP adopted non-binding general guidelines on making NDFs, outlined in Resolution Conf. 16.7 on Non-detriment findings[1].

为什么需要非致危性判定指南？
Why Is Guidance for Non-Detriment Findings Needed?

多年以来，一些缔约方、政府间组织和秘书处投入开发了针对一般性或特定分类类群的 NDFs 实施指南，尤其在植物类群上取得显著进展。

关键性的里程碑包括：

- IUCN 物种生存委员会出版（并资助了研讨）的《CITES 科学机构指南：附录 II 出口的非致危性判定辅助清单》2；
- CITES 非致危性判定国际专家研讨会（墨西哥坎昆，2008 年 11 月 17-22 日3），研讨会特别结合了 IUCN 清单和“药用和芳香植物可持续野生采集国际标准(ISSC-MAP, 如今被涵盖进了野生公平标准 2.0 版中4)”开发了多年生植物指南；
- CITES 虚拟大学有关实施 NDFs 的组件5。

我们呈现在此的多年生植物 CITES 非致危性判定指南第三版，是“植物 CITES 非致危性判定培训组件开发项目”和“CITES 物种可持续配额设定德国培训研讨会”的产出，这两个项目或研讨会由 TRAFFIC 国际代表 WWF 德国执行，由德国联邦自然保护署（BfN）提供资金支持。上述项目的目标是基于现有工作和方法的最新重要进展，改进指南和培训工具，协助科学机构实施针对多年生植物的 NDFs。

作为指南文件的补充，该项目的其它产出包括：

- 合并工作表和报告草稿格式（见另外的 excel 文件），及
- 多年生植物 CITES 非致危性判定培训组件。

本指南在前述里程碑的设计基础上，描述了一个的九步法过程，供各个科学机构在开展 NDFs 时，采用相应物种的保护问题、内禀生物风险、采集压力和贸易压力等数据信息，具有一定科学基础。

2008 年 11 月，在墨西哥坎昆召开的“CITES 非致危性判定国际专家研讨”以其工作组报告和案例研究为本指南提供了很多参考内容。2012 年 2 月，在墨西哥的墨西哥城召开的“CITES 植物非致危性判定（NDF）指南和培训专家会议”为本指南提供很多有用内容，并形成了第一份草稿。2012 年 10 月，在越南河内召开的 NDF 培训研讨会测试了指南的第二份草稿。2014 年，

[1]http://www.cites.org/eng/res/16/16-07.phpResolutions may be revised at each CoP (e.g. Rev CoP16), links to these on the CITES website are updated accordingly.
[2]http://data.iucn.org/themes/ssc/our_work/wildlife_trade/citescop13/CITES/guidance.htm#guide
[3]http://www.conabio.gob.mx/institucion/cooperacion_internacional/TallerNDF/taller_ndf.html
[4]http://www.fairwild.org/standard
[5]https://eva.unia.es/cites/

指南第一版6发布，其编号为 BfN-Skripten358。第一版随即应用在 2014 年 11 月秘鲁利马的 NDF 培训会上。该次会议有来自亚马逊合作条约组织（ACTO）的 6 个国家代表出席。第二版整合了秘鲁会议获得经验，虽然没有发表，但是被用于 2015 年 6 月格鲁吉亚第比利斯和 2015 年 12 月中国深圳的会议中。目前的第三版，基于格鲁吉亚和中国研讨会的经验和其他专家的反馈，阿德里亚尼·辛克莱整合了加拿大 CITES 科学机构小组，即吉娜·沙克和罗纳·布朗李的经验，做了详尽的回顾并提供了全面评估。

未来，我们会根据缔约方履约和评论修改目前的九步法版本，以供缔约方使用和根据他们自己的需求采纳。

虽然本文件意图指导科学机构形成决定，但最后科学机构有必要根据风险权衡和证据形成各自的非致危性判定结果。这需要依赖个体或群体的判断。而我们设计的该指南可以为形成最后决定提出相关信息途径。

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[6]D.J. Leaman and T.E.E. Oldfield. (2014). CITES Non-detriment Findings Guidance for Perennial Plants. BfNSkript.

Considerable efforts have been made by some Parties, IGOs, and the Secretariat over the years to develop general and taxon-specific guidance for making NDFs; in particular significant advances have been achieved for plant taxa.

Key milestones include:

- The publication (and supporting workshops)of the IUCN Species Survival Commission's ***Guidance for CITES Scientific Authorities: Checklist to assist in making non-detriment findings for Appendix II exports***[7];
- The ***International Expert Workshop on CITES Non-Detriment Findings*** (Cancun, Mexico, 17-22 November 2008[8]), in particular the development of guidance at the workshop for perennial plants combining the IUCN checklist with elements derived from the International Standard for sustainable Wild Collection of Medicinal and Aromatic Plants (ISSC-MAP, now included in the Fair Wild Standard version 2.0[9]);
- The CITES Virtual College module on making NDFs[10].

The Guidance on CITES NDFs for Perennial Plants presented here in Version 3.0 is an output of the projects "Development of Training Modules for CITES Non-Detriment Findings (NDF) for Plants" and "Training Workshops zurBestimmungnachhaltigerQuotenfür CITES-Pflanzenarten",both executed by TRAFFIC International on behalf of WWF Germany, with financial support from the German Federal Agency for Nature Conservation (BfN). These projects aimed to improve the guidance and training tools available to assist Scientific Authorities in making NDFs for perennial plants, based on existing work and significant recent advances in approach.

Additional outputs of this project, complementary to this Guidance document, include:

- *Consolidated Worksheets and Draft Report Format(see separate excel file),* and
- *A Training Module for CITES Non-Detriment Findings for Perennial Plants*.

This Guidance, designed to build on previous milestones, describes a nine-step process enabling Scientific Authorities to make NDFs that are science-based, using information with data quality appropriate to the severity of conservation concerns, intrinsic biological risks, harvest impacts, and trade impacts identified for the species concerned.

Much of the content of this Guidance is based on the working group reports and case studies resulting from the "International Expert Workshop on CITES Non-Detriment Findings", Cancun, Mexico, in November 2008. A first draft of this Guidance, and many useful contributions to its content, resulted from a small "Expert meeting on development of guidance and training for CITES non-detriment findings (NDF) for plants" in Mexico City, Mexico, in February 2012. A second draft was tested in an NDF training workshop in Hanoi, Viet Nam, in October 2012.Version 1.0[11] was thereafter published as BfN-Skripten 358 in 2014. Version 1.0 was subsequently applied in an NDF-training workshop in November 2014 in Lima, Peru with the attendance of six states of the Amazon Cooperation Treaty Organization (ACTO). The lessons learned in Peru led to Version 2,which was not

[7]http://data.iucn.org/themes/ssc/our_work/wildlife_trade/citescop13/CITES/guidance.htm#guide
[8]http://www.conabio.gob.mx/institucion/cooperacion_internacional/TallerNDF/taller_ndf.html
[9]http://www.fairwild.org/standard
[10]https://eva.unia.es/cites/

[11]D.J. Leaman and T.E.E. Oldfield. (2014). CITES Non-detriment Findings Guidance for Perennial Plants. BfNSkript.

published but used at workshops in June 2015 in Tbilisi, Georgia and Shenzhen, China in December 2015.This version, Version 3.0, has been revised on the basis of lessons drawn from the Georgia and China workshops and on feedback from other experts. Adrianne Sinclair carried out detailed reviews and provided in depth comments benefitting from the experience of the CITES Scientific Authority team in Canada, namely Gina Schalk and Lorna Brownlee.

Further revisions maybe made to the current version of the nine-step process based on outcomes from implementation and comments from Parties, as this guideis for Partiestouse and adapt to suit their own needs.

Although this document is intended to guide a Scientific Authority towards a decision, ultimately it will be necessary for the Scientific Authority to weigh up the risks and evidence to make its final NDF decision. This will require individual (or group) judgments; this Guidance is designed draw out the information relevant to informing the process that leads to that final decision.

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非致危性判定指南的使用
Using this NDF Guidance

本指南建议科学机构采取九步过程实施科学的 NDF。总的程序见图 1.

- 第一到三步评定需要开展详细科学的 NDF 的物种和其相关物种。在某些情况下，可以得出初步决定，快捷到第九步。
- 第四到七步评定对受关注物种的保护问题、内禀生物风险、采集影响和贸易影响。
- 第八步评定现有管理措施能否充分减轻之前所确定的保护关注度、风险。和影响。
- 基于第一到八步的产出，第九步是做出 NDFs 或者对管理机构提出其他建议的最后一步。

指南的每一步都包括如下组件：

- “基本原理：该步骤的重要性”总结了指南中该步骤对整个 NDF 过程的贡献
- 每步都有“关键问题和决策路线”图
- 每个关键问题的指南说明
- 每步的终点描述
- 基于之前步骤中确定的保护问题、风险和影响，所得到的推荐信息质量的来源和案例
- （只有第四到第八步）因子列表，用于评定保护问题、内禀生物学风险、采集影响、贸易影响，以及现有管理措施的严格程度等。

我们在一个单独的 Excel 文件里还做了一套合并工作表。这些工作表可以被用于记录所考察的资源，每一步的相关信息以及该过程的产出。合并工作不还可以用于最终 NDF 的报告草稿模板。

本指南并不打算为科学机构自动生成 NDF 决策，只是一个帮助形成明智决定的工具。使用该架构的人必然有他们自己的判断，他们可能不赞同指南指示的风险水平，或者拥有比这样的通用方法更好的洞察力。风险评估的意图是为了引导某人提升细节水平，并获得管理信心，确保采集和贸易不具有危害性。指南可以帮助组织各方面信息，做出致危性的结论。

本指南和相关的合并工作表可以被用于包括：

- 作为 CITES 虚拟学院 NDF 组件的补充，指导科学机构成员做 NDFs 或相关决策的自我培训
- 作为培训班材料
- 在合适的时候，用于组织 NDF 报告结构

This Guidance suggests **nine steps** that a Scientific Authority can take to make a science-based NDF. The overall process is shown in Figure 1.

- Steps 1-3 involve the evaluation of whether a detailed, science-based NDF is needed for the species and specimens concerned. Early decision (short cut to step 9) can be made in some cases.
- Steps 4-7 involve the evaluation of conservation concerns, intrinsic biological risks, harvest impacts, and trade impacts relevant to the species concerned.
- Step 8 involves the evaluation of whether the management measures in place adequately mitigate (= reduce the severity of) the concerns, risks, and impacts identified.
- Step 9 is the final step in making an NDF or in formulating other advice to the Management Authority based on the outcomes of Steps 1-8.

Each of the Guidance steps is comprised of the following components:

- "Rationale: Why is this Step Important?" summarizing the contribution of the guidance step to the overall NDF process
- A graphic presentation of the "Key Questions and Decision Pathway" for each step
- Guidance notes for each Key Question
- A description of the Endpoint for each step
- Useful sources and recommended information quality based on the severity of concerns, risks, and impacts identified in the previous steps
- (Steps 4-8 only) Tables of factors to consider in evaluating the severity of conservation concerns, intrinsic biological risks, harvest impacts, and trade impacts, and the level of rigour of management measures in place.

A set of Consolidated Worksheets is also provided in a separate excel file. These worksheets can be used to record the sources consulted, the information relevant to each of the steps, and the outcome of the process. The Consolidated Worksheets may be used as a draft report format for the final NDF.

This Guidance Is ***not*** intended to automatically generate the NDF-decision of a Scientific Authority, rather is it a tool to assist in making a well-informed decision. Anyone using the framework must use their own judgement; they may not agree with the level of risk the Guidance points to and are likely to have better insight than a generic tool. Assessing the risks is intended to guide someone to the level of detail and confidence that they have in the management that ensures the harvest and trade is going to be non-detrimental. The Guidance helps structure the relevant aspects and information to facilitate an individual conclusion on detriment.

This Guidance and the associated Consolidated Worksheets can be used in various ways, including:

- Self-training for members of Scientific Authorities needing guidance on how to make NDFs and related decisions, as a complement to the NDF Module of the CITES Virtual College
- Support material for training workshops
- Structure for written NDF reports, where appropriate

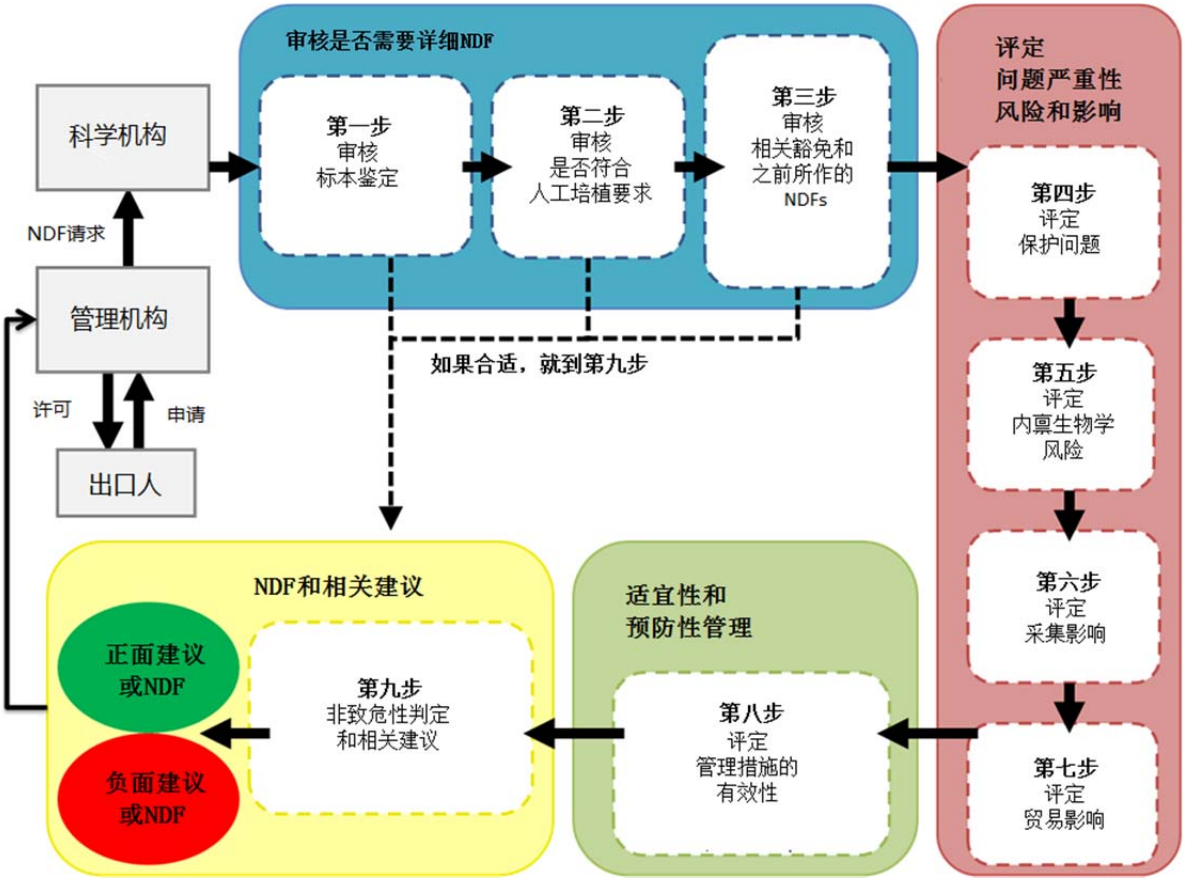


图 1，CITES 附录 II 所列多年生植物物种非致危性判定九步法过程

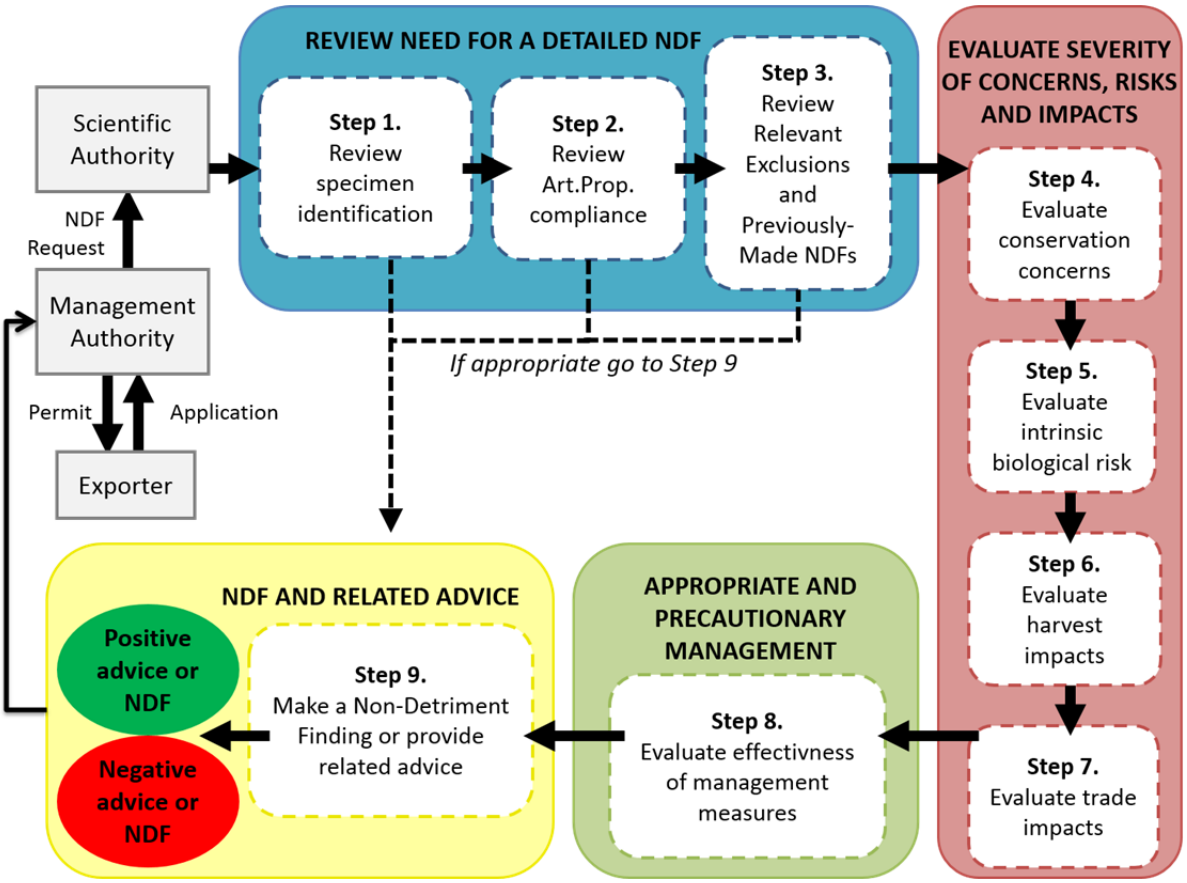


Figure 1. Nine-Step Pathway for Making Non-Detriment Findings for Perennial Plant Species Listed in CITES Appendix II

第一步
审核标本鉴定
STEP 1
REVIEW SPECIMEN IDENTIFICATION

基本原理：该步骤的重要性
Rationale: why is this step important?

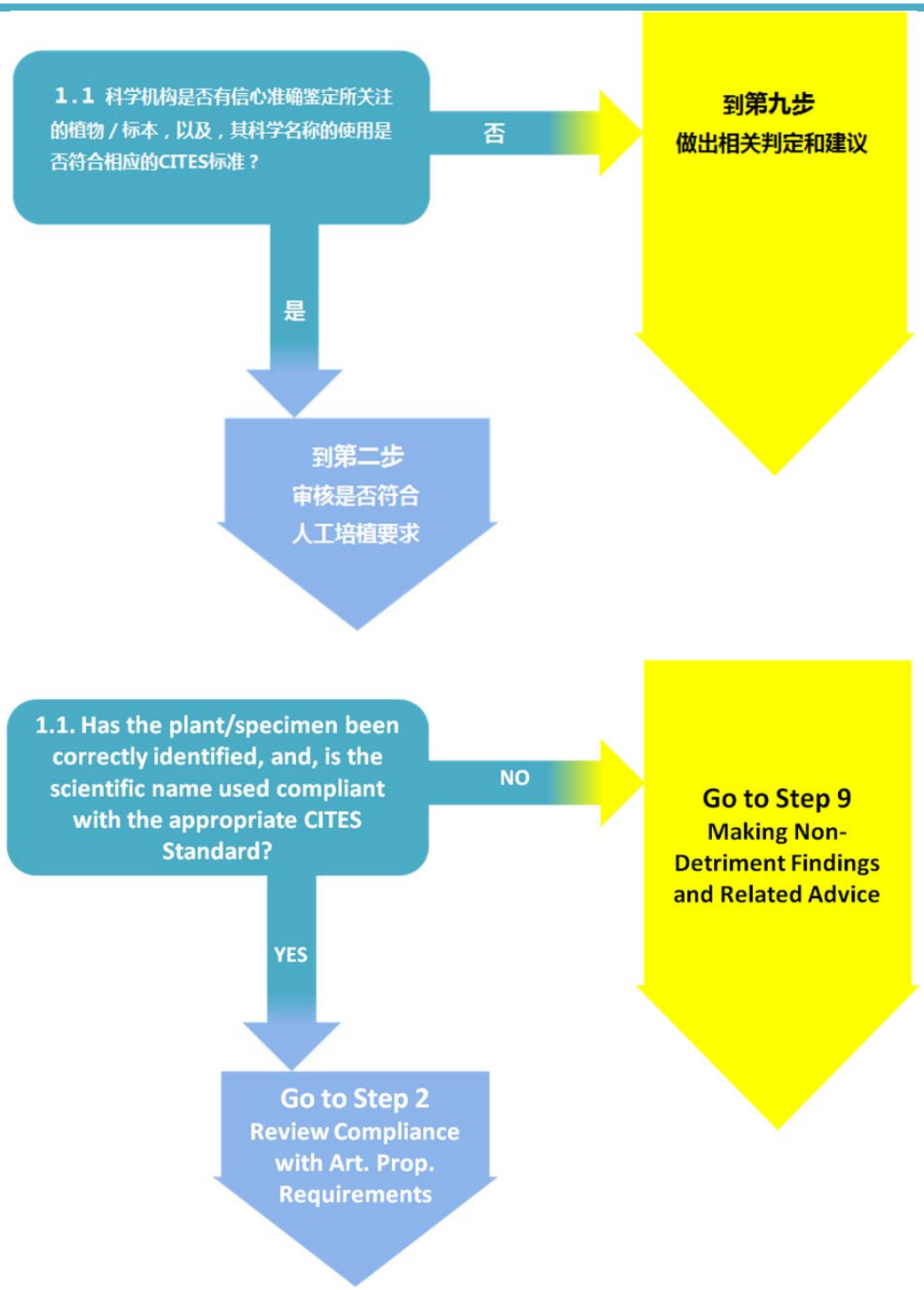
为了完成指定物种的非致危性判定，其物种信息岁初有哦明确。多项发布福利性份对于执行 CITES 和开展 NDFs 而言，标本的准确鉴定和贸易物种分类名称的一致性十分重要。无论是整株植物，部分植物还是其衍生物，植物相似物种之间的区分都较难。替代 CITES 所列附录物种的“相似标本”对于查验非法贸易是一大挑战。而且，有时比如在制药时，不同物种会混在加工产品或预知品种，因此，有可能要对一个产品的出口做多项不同的 NDF。

物种的分类和命名是一个动态变化的过程，会产生不确定性，对于标本和物种命名也缺乏共识，还可能在当前和过时的信息源中产生混淆。科学机构在实施 NDF 时，如果不能确认贸易标本的身份和分类地位，其收集和评定相关物种信息的能力也会因此受损。为此，在实施 NDF 的过程中，需要关注这些问题。

In order to make a non-detriment finding what species this is being made for must be known. Correct identification of specimens and agreement on taxonomic names for species in trade are essential to CITES implementation, and the making of NDFs. Plant species can be difficult to distinguish from others that look alike, whether the specimen is a whole plant, a plant part, or a derivative. Substitution of “look-alike specimens” of CITES-listed species is a challenge for the detection of illegal trade. Furthermore, it may be the case that multiple species are included in processed products or preparations, such as medicines; and it is therefore necessary to conduct a number of different NDFs for export of one product.

The classification and naming of species is a dynamic process that can lead to uncertainty and lack of consensus about specimen and species taxonomy, and can create confusion between current and out-dated information sources. Uncertainty about the identity and taxonomic status of the specimens entering trade can undermine the ability of Scientific Authorities to gather and evaluate information relevant to the species involved when undertaking an NDF. Therefore, these concerns need to be addressed in the process of making an NDF.

第一步关键问题和决策路径：
审核标本鉴定
Key Questions and Decision Path for Step 1: Review Specimen Identification



第一步指南 Guidance for Step 1

关键问题 1.1　科学机构是否有信心准确鉴定所关注的植物 / 标本，以及，其科学名称的使用是否符合相应的 CITES 标准？

指南说明：

科学机构通常看不到申请许可的标本，因此准确鉴定物种必须基于许可申请中的信息。

如果满足下列条件，标本鉴定可被视为明确：

a）许可申请将出口标本确定到诸如种、亚种或植物变种的水平；

b）出口许可申请中的分类名称与 CITES 命名法则相符（见 Conf. 12.11 (Rev.CoP16) 号决议 http://www.cites.org/eng/res/12/12-11R16.php）。

如果正确名称很清楚，科学机构可以选择更正简单的鉴定错误或过时的名称或同物异名。

科学机构可以向 CITES 植物委员会命名专家提出对标本分类地位的关注。可能有必要检查当时或之前是否有专家鉴定过该标本，以保证标本确实是许可申请中所指的标本，如果没有专家鉴定过，则需要进行核实。

如果对所涉标本没有清晰的分类鉴定，科学机构可能对物种信息的应用没有信心，无法判定意向贸易是否有害于物种的存续。

如果为“是”（满足 a 和 b 条件，或者科学机构可以订正笔误或过时物种名）：在**第一步工作表**中记录已使用信息源和已解决关注点。

如果为“否”（不满足 a 和 b 条件），或者是不确定，科学机构可能需要提出照片鉴定、询问管理机构，调查许可申请中是否存在有意或无意，以其他物种替代的情况，尤其要关注其相似物种存在大规模非法贸易的情况。如果管理结构也不能解决该问题，则在工作表第一步中描述有关物种鉴定的问题，并到第九步，做出第 9.1 决定。

Key Question 1.1. Is the Scientific Authority confident that the plant/specimen concerned has been correctly identified, and, is the scientific name used compliant with the appropriate CITES Standard?

Guidance notes:

The Scientific Authorities do not normally see the specimens for which a permit is being sought, therefore a judgement on the correct identification of the species must be made on the basis of the information supplied on the permit.

Identification of the specimen(s) may be considered clear if the following conditions are met:

a) The specimen(s) for export is/are identified on the permit application to the level of species, subspecies, or botanical variety as appropriate; AND

b) The taxon named on the export permit application is in accordance with the nomenclature adopted by CITES (see *Res. Conf. 12.11 Rev. CoP16* http://www.cites.org/eng/res/12/12-11R16.php).

第一步指南 Guidance for Step 1

The Scientific Authority may choose to correct a simple identification error or out-dated name or synonym where the correct name is obvious.

The Scientific Authority may refer concerns about taxonomic status of the specimen to the Nomenclature Specialist of the CITES Plants Committee. It may be useful to check whether the specimen has been identified by an expert at this time or previously so that the specimens are highly likely to be those referred to on the permit application and if not request verification.

Without a clear taxonomic identification of the specimens involved, the Scientific Authority may be unable to confidently apply species-related information required to determine whether the proposed trade will not be detrimental to the survival of the species.

If "Yes" (conditions a and b are met OR the Scientific Authority has corrected a simple error or out-dated name): record concerns resolved and information sources used in the **Worksheet for Step 1**.

If "No" (condition a and b are not met) or in cases of uncertainty, the Scientific Authority maywish to request photos for identification orcall upon the Management Authority to investigate a concern about the intentional or unintentional substitution of another species for the one named in the permit application, particularly in cases where look-alike species have significant levels of illegal trade. If the Management Authority is unable to resolve these concerns then describe any concerns about species identification in the **Worksheet for Step 1**, and **go to Step 9**: Decision 9.1.

第一步终点：科学机构就贸易标本的鉴定提出所有问题。确保标本鉴定的物种信息可被用于其余的 NDF 过程，决定意向的贸易是否会危害物种生存。

Endpoint of Step 1: The Scientific Authority identifies any concerns about the identification of the specimens in trade. Confidence in the identification of specimens ensures that species information can be applied to the rest of the NDF process to determine whether the proposed trade will not be detrimental to the survival of the species.

推荐的信息质量源和案例
Useful Sources and Examples of Recommended Information Quality

- 缔约方大会采纳的标准文献列表[*Conf. 12.11* (*Rev. CoP16)*号决议附件 2 标准命名: http://www.cites.org/eng/res/12/12-11R16.php]
- CITES 数据库 Species+ (http://www.speciesplus.net/)
- CITES 植物委员会命名专家(http://www.cites.org/eng/com/pc/member.php- currently Mr Noel McGough)
- List of standard references adopted by the Conference of the Parties / Flora [Annex 2, *Res. Conf. 12.11* (*Rev. CoP16)* Standard nomenclature: http://www.cites.org/eng/res/12/12-11R16.php]
- CITES Database Species+ (http://www.speciesplus.net/)
- Nomenclature specialist of the CITES Plants Committee (http://www.cites.org/eng/com/pc/member.php- currently Mr Noel McGough)

CITES 未采纳但是有用的文献或工具

推荐的信息质量源和案例
Useful Sources and Examples of Recommended Information Quality

References or tools not adopted by CITES but which are useful guides:

- 部分科植物的世界名录(http://apps.kew.org/wcsp/home.do)
- 已发表的各国、区域性或全球植物志
- 命名专家审核过的鉴定指南或名录
- 命名专家审核过的已发表文献或单行本
- 出口许可申请的指定采集地凭证标本
- World Checklist of Selected Plant Families (http://apps.kew.org/wcsp/home.do)
- Published national, regional, and global floras
- Identification guides and checklists reviewed by taxonomic experts
- Published papers or monographs reviewed by taxonomic experts
- Voucher specimens from the harvest site(s) specified in the application for export permit

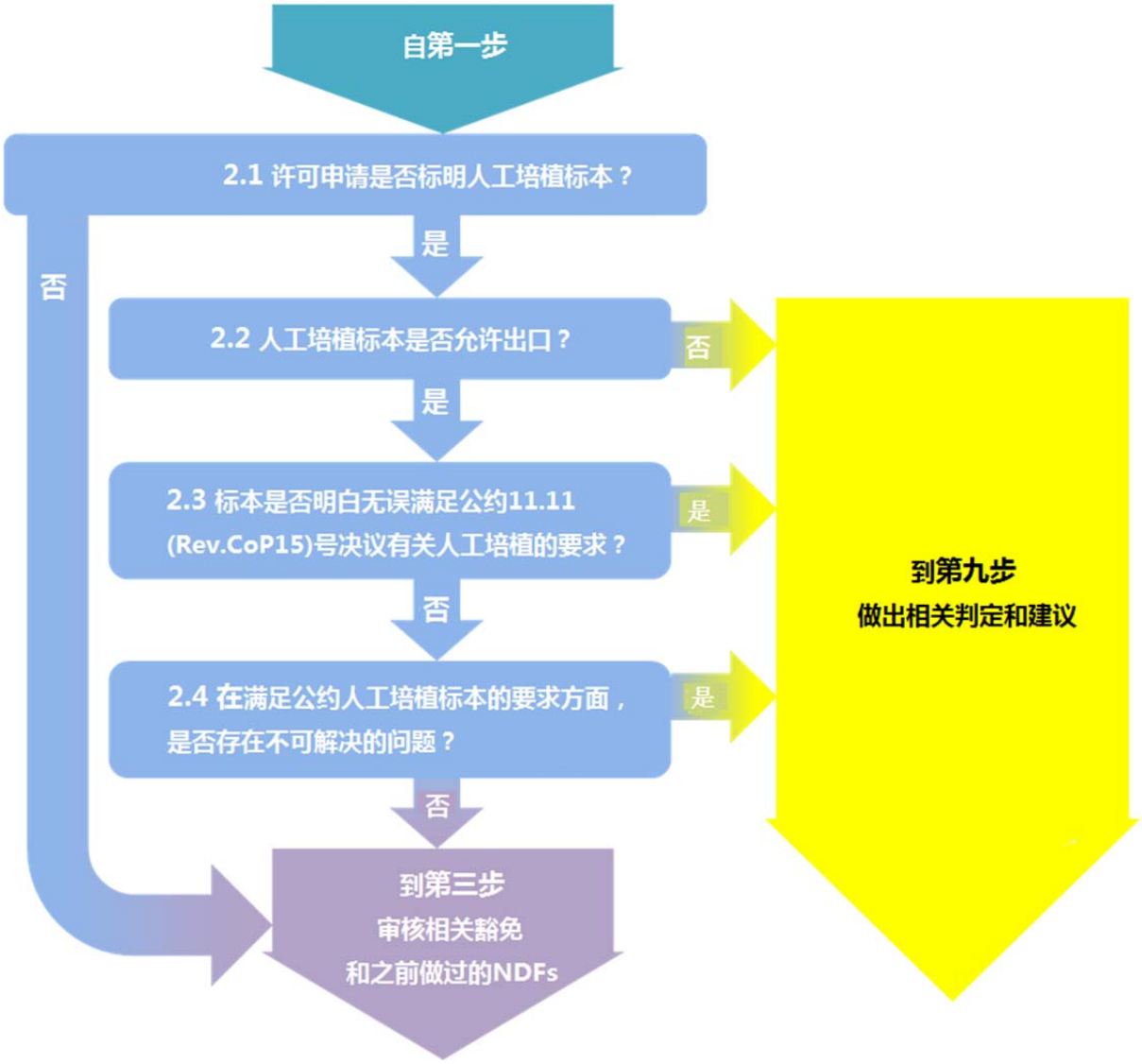
第二步
审核是否符合人工培植要求
STEP 2
REVIEW COMPLIANCE WITH REQUIREMENTS FOR ARTIFICIAL PROPAGATION

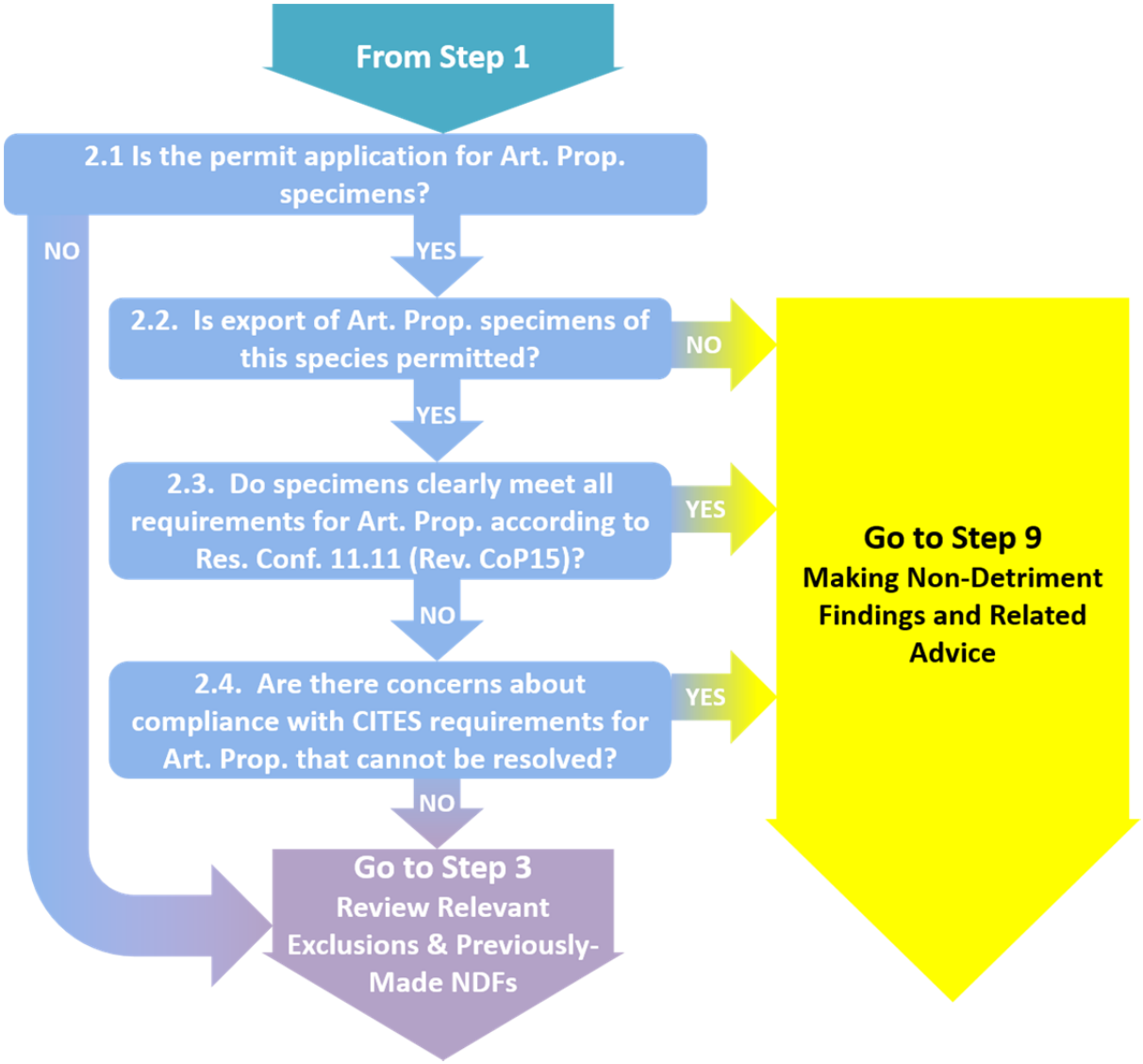
基本原理：该步骤的重要性
Rationale: why is this step important?

如果出口申请上有充分信息，使科学机构确认标本明确符合 CITES 第 11.11(Rev.CoP15)号决议中所有有关人工培植的要求，那么出口许可则很容易获得通过。但是，在许可贸易之前，必须调查相关议题，以明确是否符合要求。比如是否是野生采集标本冒充人工培植标本的非法贸易，或者采用野生亲本育苗的出口贸易。

If an export applicant presents sufficient information for the Scientific Authority to determine that the specimens clearly meet all CITES requirements for artificially propagated as defined in *Res. Conf. 11.11* (*Rev. CoP15)*, a simple positive decision may be made to permit export. However, concerns about compliance with these requirements (such as illegal trade of wild-harvested specimens declared as artificially propagated, or use of wild parental stock for nursery propagation of seedlings for export trade) need to be investigated before allowing trade.

第二步关键问题和决策路径：
审核是否符合人工培植要求
Key Questions and Decision Path for Step 2: Review Compliance with Artificial Propagation Requirements





第二步指南
Guidance for Step 2

关键问题 2.1 许可申请是否标明人工培植标本？

指南说明：

绝大多数情况下，科学机构看不到许可申请提及的标本。为此，重要的是，许可申请中是否包含充分信息，供科学机构回答**第二步**中的该问题以及下一个关键问题。

如果为“是”，在**第二步工作表**中记录信息源，到**关键问题 2.2**。

如果为“否”，到**第三步**。

Key Question 2.1. Is the permit application for artificially propagated specimens?

第二步指南
Guidance for Step 2

Guidance notes:

In most cases the Scientific Authority does not see the specimens to which the permit application refers. It is therefore important that the permit application contains sufficient information to enable the Scientific Authority to answer this and the following Key Questions in **Step 2.**

If "Yes", record information sources used in the **Worksheet for Step 2** and go to Key Question 2.2.

If "No", then **go to Step 3**.

关键问题 2.2 该物种的人工培植标本出口是否已经获得了全国级或者亚全国级的法律许可？

指南说明

为支持人工培植，如采集种子和孢子等，对野外种群的积极影响或限制其有害影响，全国或亚全国级的法律可能会做出例外或者限制性说明。某国可能禁止出口所有类型植物，包括来自人工培植的植物。

虽然考察合法性是管理机构的职责（公约文本第四条 2(b)），但科学机构的建议也必须遵照全国或者相应亚全国级法律。

如果为"是"，在**第二步工作表**中记录所用信息源，到**关键问题 2.3**。

如果为"否"，在**第二步工作表**中描述相应的法律，记录所用信息源，到**第九步**：决定 9.2。

Key Question 2.2. Is export of the artificially propagated specimens of this species permitted by national or relevant sub-national legislation?

Guidance notes:

National or sub-national legislation may specify exemptions or restrictions intended to support positive effects or limit detrimental impacts of artificial propagation on wild populations (e.g. collection of seeds and spores).A country may prohibit export of whole plants, including from artificial propagation.

Advice of the Scientific Authority must comply with national or relevant sub-national legislation, although the inspection of legality is the task of a Management Authority (Art. IV 2b of the Convention).

If "Yes", record information sources used in the **Worksheet for Step 2**and go to Key Question 2.3.

If "No", describe relevant legislation and record information sources used in the **Worksheet for Step 2**and **go to Step 9**: Decision 9.2.

关键问题 2.3 出口许可申请所涉及的标本是否明白无误全部符合公约 Conf. 11.11（Rev.CoP15）号决议中有关人工培植的要求？

指南说明：

有关人工培植 CITES 要求满足如下条件：

第二步指南
Guidance for Step 2

a）依照公约 11.11（Rev.CoP15）号决议，亲本居群必须自培植或野外合法取得；及

b）依照公约 11.11（Rev.CoP15）号决议，标本产自人工培植。

如果出口许可中包含的信息足够科学机构做出判断，明确标本全部符合公约 11.11（Rev.CoP15）号决议中有关人工培植要求，科学机构可以直接做出正面决定，同意许可此项出口。

科学机构可以要求管理机构提供更多有助于判断人工培植的信息。

经判断，不完全符合公约 11.11（Rev.CoP15）号决议中有关人工培植要求的标本，在此步骤中没有被排除。

如果为“是”，在**第二步工作表**中记录符合要求和所用信息源，到**第九步**：决定 9.3。

如果为“否”，在**第二步工作表**中记录所用信息源，到**关键问题 2.4**。

注意：一些全国已经依据 Conf.11.11(Rev.CoP15)引入了苗圃注册计划，可以确定一些物种的人工培植。当频繁接到一些特定物种的人工培植标本出口许可申请时，科学机构或管理机构可以就“人工培植”需要满足的条件提供指南。对满足要求的苗圃或培养场开展注册也便于做出决定。

有些物种在不完全满足 Conf.11.11(Rev.CoP15)要求的条件下依然可以人工培植或种植。虽然其可能不严格遵照决议要求，但采集不会对野生种群造成危害。在这种情况下，第 3 到 9 步可以帮助判断致危性。科学机构可能需要评估种源或补充亲本的野生种群所遭受的影响。

Key Question 2.3. Do the specimens covered by the export permit application clearly meet all requirements for artificial propagation according to *Res. Conf. 11.11 (Rev. CoP15)*?

Guidance notes:

CITES requirements for artificial propagation are met if:

a) The parental stock has been legally acquired and cultivated or wild-harvested in accordance with *Res. Conf. 11.11 (Rev. CoP15),* and
b) Specimens were produced from artificial propagation in accordance with *Res. Conf. 11.11 (Rev. CoP15).*

If an export permit application contains sufficient information for the Scientific Authority to determine that the specimens clearly meet all CITES requirements for artificial propagation according to *Res. Conf. 11.11 (Rev. CoP15),* a simple positive decision can be made enablinga permit to be issued for export.

The Scientific Authority could call upon the Management Authority for additional information to help confirm artificial propagation.

Specimens determined not to clearly meet all requirements for artificial propagation according to *Res. Conf. 11.11 (Rev. CoP15)* are not excluded at this step.

If “Yes”, record requirements met and information sources used in the **Worksheet for Step 2,** and **go to Step 9**: Decision 9.3.

If “No”, record information sources used in **Worksheet for Step 2**and go to Key Question 2.4.

NOTE: Some countries have introduced nursery registration schemes, which may confirm the

第二步指南
Guidance for Step 2

artificial propagation of the species in accordance with *Res. Conf. 11.11 (Rev. CoP15).* Where export permit applications for artificially propagated plants are frequently received for particular species, it may be useful for Scientific Authorities and Management Authorities to provide guidance on the necessary requirements for recognition of "artificial propagation". A register of nursery or cultivating operations meeting these requirements may also facilitate decision making.

Some species may be propagated or cultivated for which the requirements of *Res. Conf. 11.11(Rev.CoP15)*are not fully met. Although these may not strictly comply with *Res. Conf. 11.11*, harvest of these may pose no detriment to the wild populations. In such cases Steps 3 to 9 will help in the determination of non-detriment. For example the Scientific Authority may need to evaluate any impact on the wild population from sourcing of or replenishing mother stock.

关键问题 2.4 如果科学机构开展详细的 NDF，在标本满足 CITES 人工培植要求方面，是否仍然存在问题不能解决？

指南说明：

对于符合公约 11.11（Rev.CoP15）号决议，可能出现的问题如：

- 明显不能确认标本是培植还是来自野生采集，或者亲本居群是来自野生采集还是培植
- 不清楚该物种根据 CITES 有关人工培植条件的标准是否有全国性的生产，或者生产量是否足够供应出口许可申请中的量。

当出现上述情况时，科学机构可能没有足够信心申明，人工培植标本出口是否符合公约 11.11（Rev.CoP15）号决议，以及对野生种群是否没有危害。

科学机构可以要求管理机构提供更多信息，或者找负责执法的机构处理。

如果为"是"，在**第二步工作表**中记录问题和所用信息源，到**第九步**，决定 9.4。

如果为"否"，在**第二步工作表**中记录所用信息源，到**第三步**。

Key Question 2.4. Are there concerns about compliance of the specimens with CITES requirements for artificial propagation that cannot be resolved by the Scientific Authority by undertaking a detailed NDF?

Guidance notes:

Concerns about compliance with *Res. Conf. 11.11 (Rev. CoP15)* may arise, for example:

- If there is significant uncertainty about whether the specimens are cultivated or from wild collection, or whether the parental stock was cultivated or from wild collection.
- If the species is not known to be produced nationally according to CITES criteria for conditions for artificial propagation or in sufficient volume to supply the quantity of specimens covered by the export permit application.

The Scientific Authority may be unable to state with confidence that the export of artificially propagated specimens complies with *Res. Conf. 11.11 (Rev. CoP15)* and will not have a detrimental impact on the wild population. The Scientific Authority may call upon the Management Authority for additional information or refer to the responsible authority for enforcement.

第二步指南
Guidance for Step 2

If “Yes”, record concerns and information sources used in the **Worksheet for Step 2**and **go to Step 9**: Decision 9.4.

If “No", record information sources used in the **Worksheet for Step 2**and **go to Step 3**.

第二步的终点：科学机构对于出口许可申请涉及的标本是否符合公约有关人工培植的要求做了判断，同意发放出口许可，或者做详细 NDF，就不符合要求的方面以及对野生种群的有害作用进行调研，或者就不符合要求的部分直接对许可申请做出否定性的建议。

Endpoint of Step 2: Scientific Authorities make a decision about whether the specimens covered by the export permit application meet the Convention’s requirements for artificial propagation, enabling issue of an export permit; whether a detailed NDF is required to investigate concerns about non-compliance and detrimental effects on wild populations; or whether concerns about non-compliance requires negative advice on this permit application.

推荐的信息源和案例
Useful Sources and Examples of Recommended Information

- 有关标本来源的出口许可申请信息（野外/人工培植/未知）
- 有关出口该物种的全国级或亚全国级立法
- 公约 Conf. 11.11（Rev.CoP15）号决议，有关植物贸易的规定 (http://www.cites.org/eng/res/11/11-11R15.php)
- 苗圃调查和清点
- 苗圃注册(http://www.cites.org/common/reg/e_nu.html)
- Export permit application information concerning source of specimens (wild / artificial propagation / unknown)
- National and sub-national legislation relevant to export of this species
- *Res. Conf. 11.11 (Rev. CoP15):* Regulation of trade in plants (http://www.cites.org/eng/res/11/11-11R15.php)
- Nursery surveys and inventories
- Nursery registrations (http://www.cites.org/common/reg/e_nu.html)

第三步 审核相关豁免和之前所作的 NDFs

STEP 3

REVIEW RELEVANT EXCLUSIONS AND PREVIOUSLY-MADE NDFS

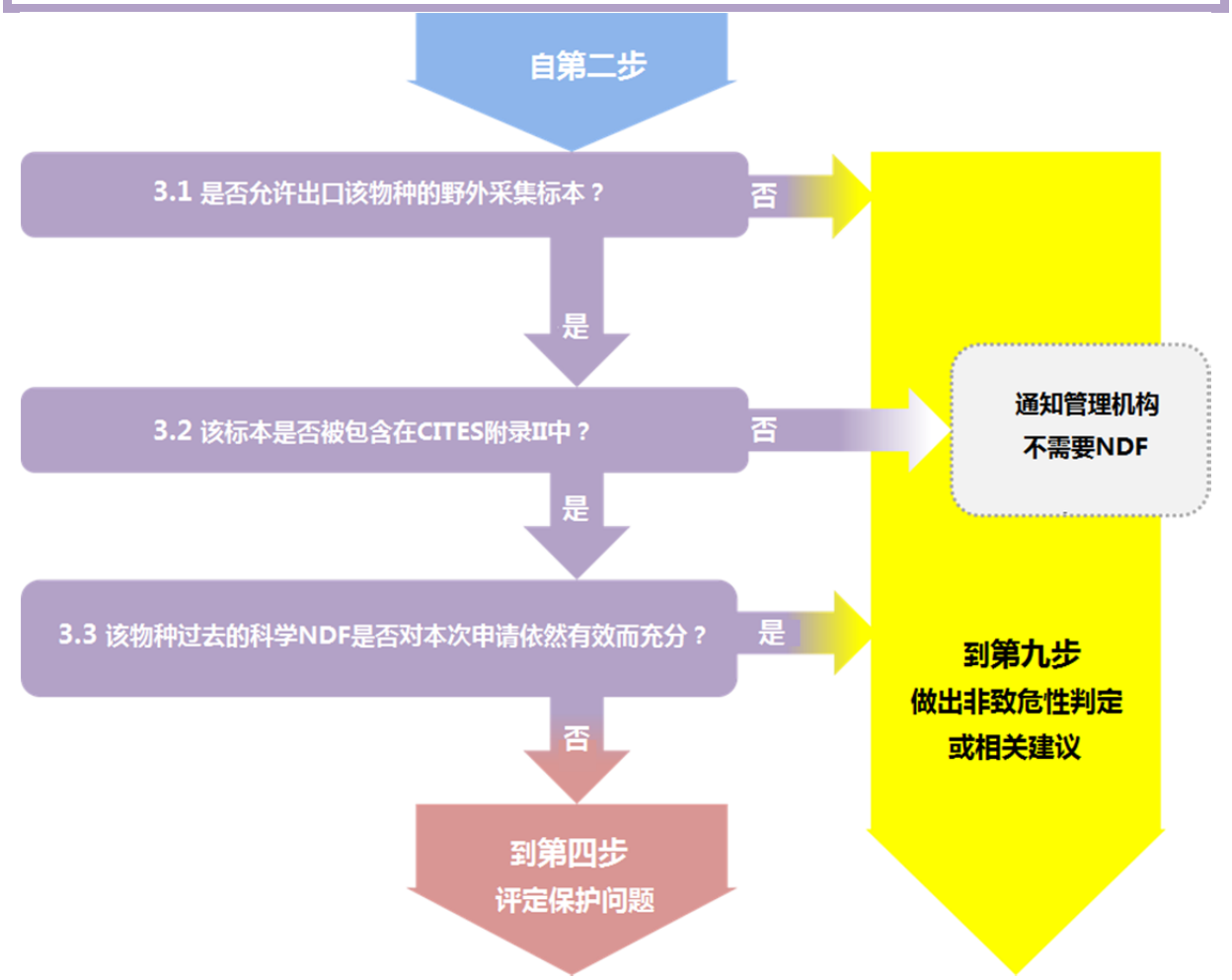
基本原理：该步骤的重要性

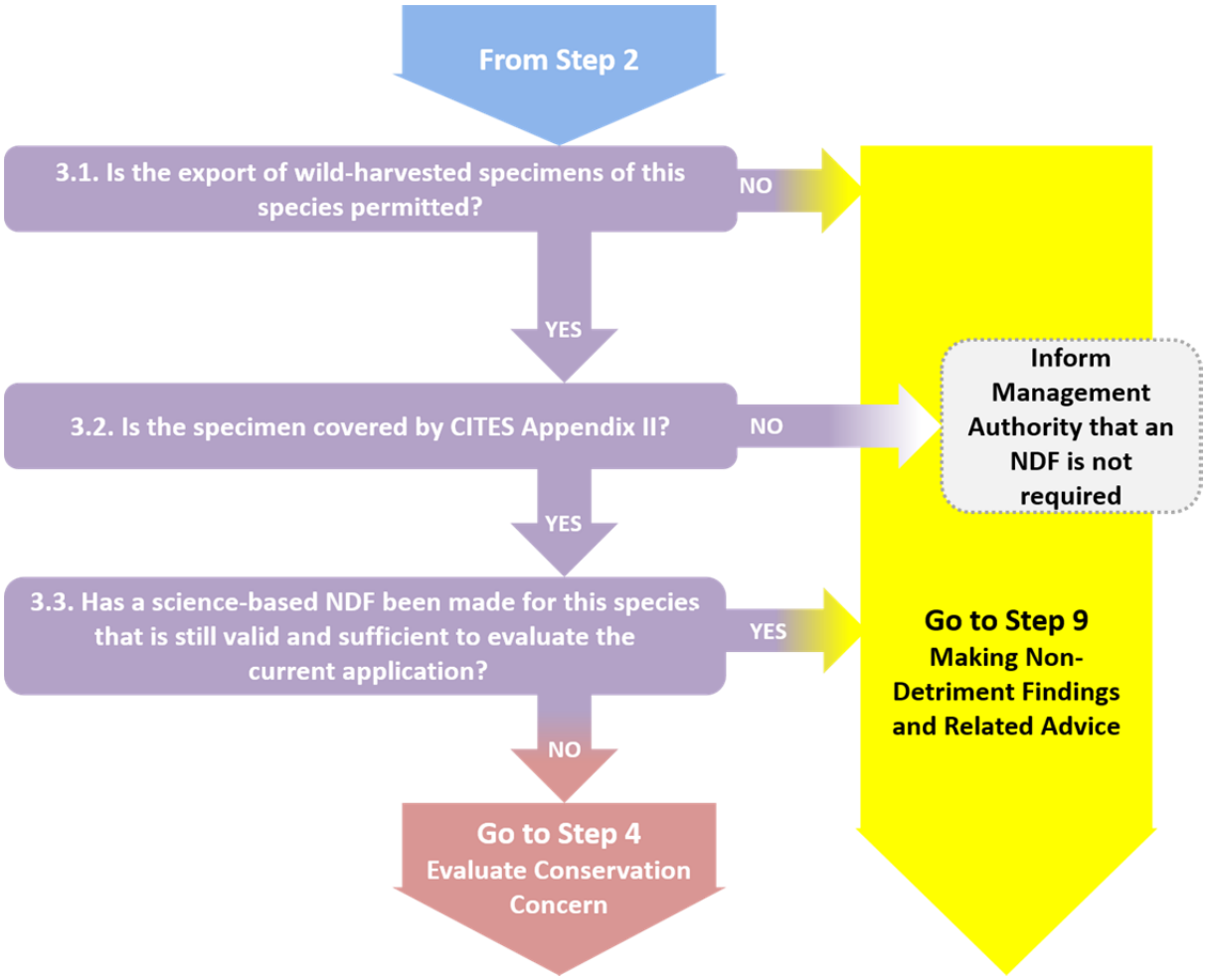
Rationale: why is this step important?

除了标本鉴定和符合人工培植标准等因素外，在本指南中，还有一些情况可以使得科学机构无需实施详细 NDF，快速完成九步法。这些情况包括：全国法律禁止采集或出口，或根据 CITES 附录注释对所列物种相应标本实施管制豁免，或出口许可申请与之前科学评判的结果相一致。

In addition to factors relating to specimen identification and meeting criteria for artificial propagation (if applicable), several other circumstances may make undertaking a detailed NDF unnecessary for Scientific Authorities resulting in a short cut to step 9 in this Guidance. These circumstances include: if harvest or export is prohibited by national legislation; if the relevant specimens are excluded from regulation by an annotation to the species listing in the CITES Appendices; or if the export permit application is consistent with previous science-based findings.

第三步关键问题和决策路径：
审核相应豁免和之前做出的 NDFs
Key Questions and Decision Path for Step 3:
Review Relevant Exclusions and Previously-Made NDFs





第三步指南 Guidance for Step 3

关键问题 3.1 全国级或亚全国级法律或条例是否允许采集或出口该物种野生采集的标本？

指南说明：

- 虽然查实合法性是管理机构的职责（公约文本第四条 2(b)），但科学机构的建议也必须遵照全国或者相应亚全国级法律。

如果为“是”，在**第三步工作表**中描述法律或条例中相关事项，记录所用信息源，到**关键问题 3.2**。

如果为“否”，在**第三步工作表**中描述法律或条例中相关事项，记录所用信息源，到**第九步**：决定 9.5。

Key Question 3.1. Is the harvest or the export of wild-harvested specimens of this species permitted by national or relevant sub-national legislation or regulation?

Guidance notes:

- Advice of the Scientific Authority must comply with national or sub-national legislation, although the verificationof legality is the task of a Management Authority (Art. IV 2b of the Convention).

If “Yes”, describe the legislation or regulation and its relevance in the **Worksheet for Step 3**, record

information sources used, and go to Key Question 3.2.

If “No”, describe the legislation or regulation and its relevance in the **Worksheet for Step 3**, record information sources used, and **go to Step 9**: Decision 9.5.

关键问题 3.2 标本是否受 CITES 附录 II 管制？

指南说明：

- 根据 CITES 附录中各个有编号的注释或附录中的解释段落，一些标本被排除在 CITES 管制之外。

如果为“是”，在**第三步工作表**中记录所用信息源（如 CITES 秘书处网站或 Species+发布的附录 II），到关键问题 3.3。

如果为“否”，在**第三步工作表**中描述豁免的原因，记录所用信息源（如附录注释），到**第九步**：决定 9.6。

告知管理机构，该标本不需要 NDF 和出口许可。

Key Question 3.2. Is the specimen covered by CITES Appendix II?

Guidance notes:

- Some specimens are excluded from CITES control by the relevant numbered annotation to Appendix II or through the Interpretation section of the Appendices.

If “Yes”, record information sources used(e.g., Appendix II on the CITES Secretariat website or Species +)in the **Worksheet for Step 3**, and go to Key Question 3.3.

If “No”, describe the reason for exclusion and record information sources (e.g., an annotation) in the **Worksheet for Step 3**, and **go to Step 9**: Decision 9.6.

Inform the Management Authority that an NDF and CITES export permit are not required.

关键问题 3.3 科学机构之前是否就该物种实施过科学的 NDF，该 NDF 是否依然有效并仍可用于评定当前的出口许可申请？

指南说明：

在某些情况下，科学机构可以采用之前做过的 NDF。ND 可以基于出口限额，采集限制或者其他现有管理系统。

例如，出口标本的数量如果在之前确定不会危害物种生存的限额之内，或者根据之前的判定很容易评定出口少量标本的影响等。

只有在如下条件下，才能采纳之前的 NDF：

- 考查到了包括保护问题，内禀生物风险，采集影响，贸易影响和现有保护措施的时候（见指南文件的第四到第八步）；
- 当前的出口许可申请与之前申请一致；
- 根据之前的判定，标本的意向出口不具有危害性。

采用对物种生存不产生危害性影响的物种标本出口当年最大数量，确定全国出口限额可以建立一个 NDF。

但是科学机构需确认全国出口限额不危害物种生存。

第三步指南 Guidance for Step 3

如果为"是"，在**第三步工作表**中描述之前做过的 NDF，记录所用信息源，到**第九步**：决定 9.7。

如果为"否"，在**第三步工作表**中记录之前 NDF 缺乏或不足，以及所用信息源，到**第四步**。

Key Question 3.3. Has the Scientific Authority previously made a science-based NDF for this species that is still valid and is sufficient to evaluate the specimens for the current export permit application?

Guidance notes:

In some cases, it may be possible for a Scientific Authority to make an NDF based on a previous NDF. The NDF may have been based on an export quota, harvest limit, or other management system in place.

For example, the quantity of specimens to be exported may be within a pre-determined quota deemed to be non-detrimental to species survival, or the impact of export of a small number of specimens may be easily evaluated based on previous findings.

The previous NDF can only be accepted if

- it considered conservation concerns, intrinsic biological risk, harvest impacts, trade impacts, and management measures in place (see Steps 4-8 of this Guidance document),
- the current export permit application is consistent with the previous applications;
- the proposed export of specimens is non-detrimental according to the previous finding.

A national export quota that establishes the maximum number of specimens of a species that may be exported over the course of year without having a detrimental effect on the species' survival can constitute an NDF. *However, a Scientific Authority may determine an existing national export quota to be detrimental to species survival*.

If "Yes", describe the previously made NDF, record information sources used in the **Worksheet for Step 3,** and **go to Step 9**: Decision 9.7.

If "No", record absence or deficiencies of a previous NDF, information sources used, and **go toStep4.**

第三步终点：如果全国级或者亚全国级法律对标本出口实施禁令，或者标本并未被列入 CITES 附录 II，或者出口许可申请与之前做过的科学判定相一致，科学机构可能无需实施详细的 NDF。

Endpoint of Step 3: Scientific Authorities may not need to undertake a detailed NDF if export of the specimens involved is prohibited by national or sub-national legislation, if the specimens are not covered by CITES Appendix II, or if the export permit application is consistent with previous science-based findings.

有用信息源和案例推荐
Useful Sources and Examples of Recommended Information

有关该物种出口的全国级或亚全国级法律规定

CITES 数据库和物种+(http://www.speciesplus.net/)

- 物种附录
- 相关注释

出口许可申请

- 材料、部分或产品类型（全株，植物部分或衍生物）
- 数量（欲出口的标本数/物质量）
- 出口目的

贸易数据

列入附录 I、II 和 III 的物种及标本贸易记录(http://trade.cites.org)

国家出口限额

- 公约 *Conf. 14.7 (Rev. CoP15)*号决议有关国家建立出口限额的管理 (http://www.cites.org/eng/res/14/14-07R15.php)
- CITES 出口限额(http://www.cites.org/eng/resources/quotas/index.shtml)

National and sub-national legislation relevant to export of this species

CITES Database Species+ (http://www.speciesplus.net/)

- Species Appendix listing
- Relevant annotations

Export permit application:

- Type of material, part or product (whole plant, plant parts, derivatives)
- Quantity (Number of specimens / volume of material to be exported)
- Purpose of export

Trade records:

Records of trade in specimens and species included in Appendices I, II, and III (in accordance with Art. VIII.6) (http://trade.cites.org)

Nationally established export quotas:

- *Res. Conf. 14.7 (Rev. CoP15)* on Management of nationally established export quotas (http://www.cites.org/eng/res/14/14-07R15.php)
- CITES export quotas (www.cites.org/eng/resources/quotas/index.php

第四步
评定保护问题
STEP 4
EVALUATE CONSERVATION CONCERN

基本原理：该步骤的重要性
Rationale: why is this step important?

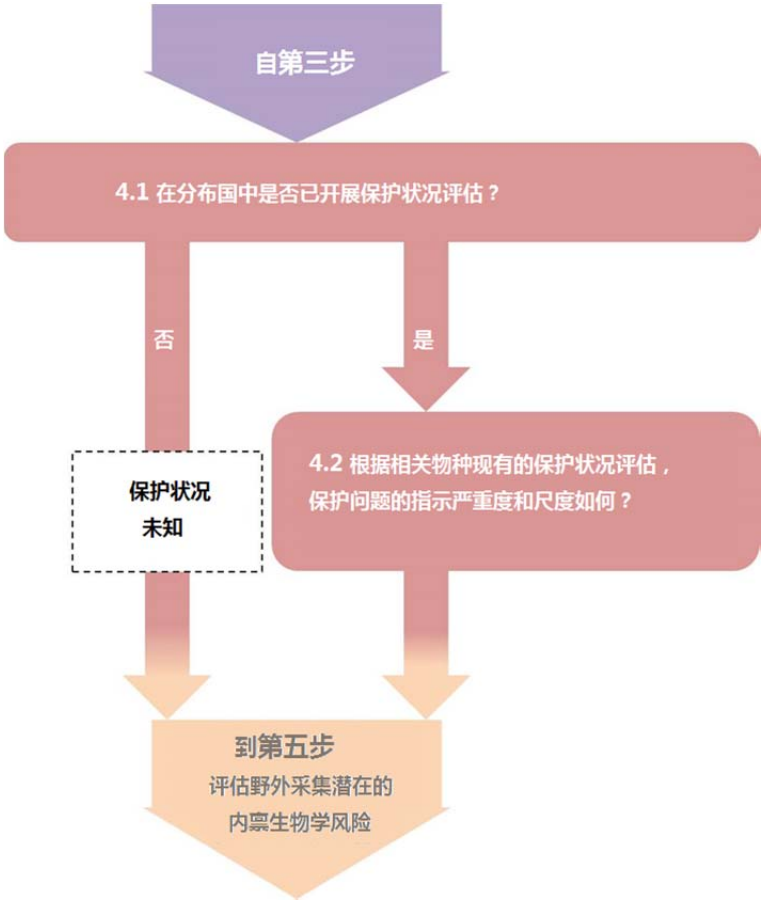
该步骤考查已有的保护状况评估，记录相关威胁因子，为评定采集区中相关物种的保护问题提供支持。在保护地位缺失、过时或不完全的情况下，科学机构不要将保护状况评估作为 NDF 的工作组成。

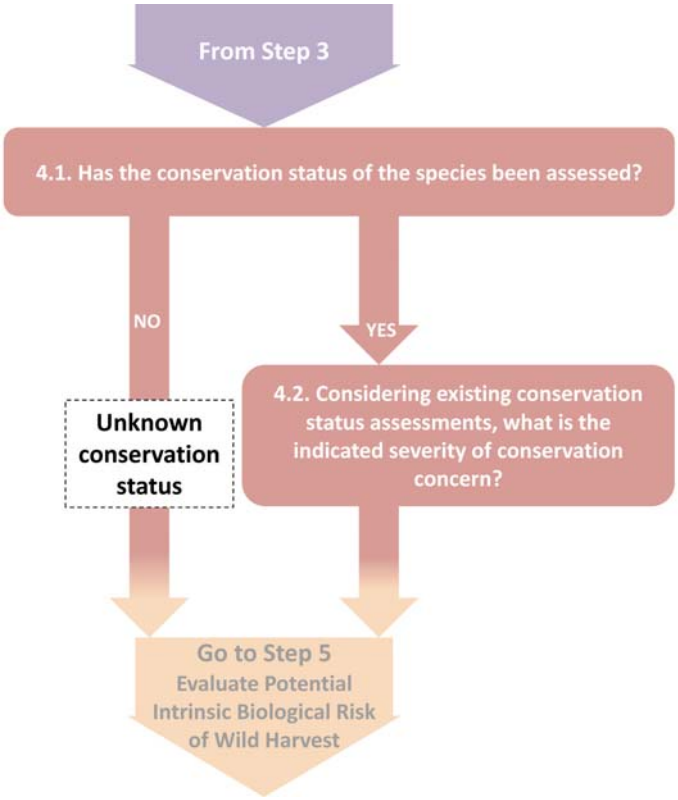
保护状况是对物种（或物种的亚种群）在近未来灭绝可能性的评估。保护状况评估系统具有各种形式，如红色名录、红皮书、受威胁物种名单等，也有一系列地理尺度，如亚全国级，全国级或全球性等。评估标准的定义和描述灭绝风险的类别也随着不同评估系统有所不同。一份详尽，证据充分且更新及时的保护状况评价可以给本指南的后续几步提供相关信息。

This step considers existing conservation status assessments to document relevant threats and to support evaluation of the severity of conservation concern relevant to the harvest area of the species concerned. It is not intended that the Scientific Authority will undertake conservation status assessments as part of the NDF where these are lacking, out-dated, or incomplete.

Conservation status is an assessment of the likelihood that a species (or sub-population of the species) will become extinct in the near future. Conservation status assessment systems have a variety of forms (e.g., Red Lists, Red Data Books, threatened species listings) and a range of geographic scope (sub-national, national, regional, or global). The definition of assessment criteria and categories describing extinction risk also varies among assessment systems. A detailed, well-documented, and up-to-date conservation status assessment may therefore provide information relevant to several of the remaining steps of this Guidance.

第四步关键问题和决策路径：
评定保护问题
Key Questions and Decision Path for Step 4: Evaluate Conservation Concern





第四步指南 Guidance for Step 4

关键问题 4.1 该物种是否已经完成任何地理尺度下包括种群或亚种群的保护状况评估？当缺乏评估时，考虑从其它与保护状况相关的信息。

指南说明：

物种的所有保护状态评估都可以为第四步和该指南其它步提供有益信息。

如果为“是”，在**工作表 4.1** 中记录每一个评估所得到的保护状态、尺度、所使用的信息源、威胁和可信度到，关键问题 4.2。

如果为“否”，在**工作表 4.2** 中标注“未知”到**第五步**。

Key Question 4.1. Has the conservation status of the species been assessed at any geographic scope? In cases where an assessment does not exist, other information relevant to the conservation concern should be considered.

Guidance notes:

Any conservation status assessment of the species may provide information useful for Step 4 and other steps of this Guidance.

If “Yes”, record conservation status and scope of the assessment, information sources used, threats and the confidence you have in each assessment **in worksheet for 4.1**, then go to Key Question 4.2.

第四步指南 Guidance for Step 4

If “No”, note “unknown” in **worksheet for 4.2** and **go to Step 5.**

关键问题 4.2 采集区有关的保护问题和确定的威胁状况是（低、中、高还是未知）？

指南说明：

参考“需考查的因子：保护问题”表格，根据现有保护现状评估，评定相关采集区保护问题的严重度。

与全国尺度 NDFs 最相关的是全国级的保护状况评估，但是很多 CITES 附录 II 物种缺乏全国级的评估。在一些地区，物种的保护状况评估只局限在亚全国级水平，如州或省级，而一些物种可能只有区域的或全球尺度的评估。在缺失全国评估或全国评估过时的情况下，全球性或区域性评估可以提供有关威胁的信息，标注问题的严重度。但是，对于广布或全球性分布的物种，在全国级尺度参考全球性的保护状况时必须小心。有些全国或亚全国级种群是受威胁的，比如地方小种群存在的地方性影响，而全球种群却并没有达到受威胁水平。另外一些时候，某个物种的全球种群是受威胁的，但特定全国或亚全国的种群却更安全，比如当地威胁消失或管理奏效。

保护状况评估在计算灭绝物种的风险时会考查到很多因子。这些因子可能与本指南的其它步骤相关，如：

- 在所评估的种群或亚种群中幸存的个体数目（第五和第六步）
- 阻碍繁殖或扩散的因子，如种群破碎化（第五步）
- 已知威胁，如采集和贸易影响，栖息地丧失或质量下降（第六和第七步）
- 现有管理系统及其效率（第八步）

如果有不止一个评估系统或在不同地理尺度上都评估了物种全国种群或亚全国级，最好考虑最近期的、数据可靠的，与采集区域相关性最强的评估。

用**工作表 4.2** 记录：

在“需考查的因子：保护问题”表格中标注保护问题严重度（低、中、高或未知）。

为支持评定现有管理措施的严格性（第八步），需将保护问题严重度的低、中、高和未知转移到**第八步工作表**。

→到**第五步**

Key Question 4.2. What is the severity (“Low”, “Medium”, “High”, or “Unknown”) of conservation concerns and identified threats relevant to the harvest area?

Guidance notes:

Refer to the table of **Factors to Consider: Conservation Concerns** to evaluate the severity of conservation concern relevant to the harvest area based on existing relevant conservation status assessments.

A national conservation status assessment is most relevant to the national scope of NDFs, but many species included in CITES Appendix II do not have national assessments. In some jurisdictions species conservation status is evaluated only at sub-national levels (e.g. state or province), and some species may have been assessed only at the regional or global scope. Where a national assessment is lacking or out-dated, a global or regional assessment can

provide useful information about threats and indicate the severity of concern. However, caution must be taken when considering the national implications of global conservation status, particularly for a widespread or globally distributed species. A national or sub-national population may be considered threatened (e.g. by localized impacts on locally small populations) while the global population may not qualify as threatened. Alternatively, the global population of a species may be considered threatened, but particular national or sub-national populations may be more secure (e.g. based on the absence of threats or the management in place).

Conservation status assessments may take many factors into account to evaluate risk of extinction. These factors may be relevant to other Steps in this Guidance. For example:

- Number of individuals remaining in the population or sub-population being assessed, and recent trends in population size (Steps 5 and 6)
- Barriers to reproduction and dispersal, such as population fragmentation (Step 5)
- Known threats, such as harvest and trade impacts, loss or degradation of habitat (Steps 6 and 7)
- Existence and effectiveness of management systems in place (Step 8)

If the national population or sub-population(s) of the species has been included in more than one assessment system or geographic scope of assessment, it is best to consider assessments and information most relevant to the harvest area with the most up to date and reliable data.

Use the **Worksheet for Step 4.2** to record:

The severity of conservation concern ("Low", "Medium", "High", or "Unknown") indicated in the table of **Factors to Consider: Conservation Concerns.**

To support the evaluation of appropriate rigour of existing management measures (Step 8), the severity of conservation concern "Low", "Medium", "High", and "Unknown" will be transferred to the **Worksheet for Step 8**.

→**Go to Step 5**.

第四步的终点：科学机构基于现有的物种保护状态评估结果，记录威胁全国或亚全国级种群生存的因素子，评定相关采集区保护问题的严重度。

Endpoint of Step 4: Based on existing conservation status assessments, threats contributing to the risk of extinction of the national population or sub-population(s) are documented, and severity of conservation concern relevant to the harvest area is evaluated by the Scientific Authority.

有用信息源和案例推荐
Useful Sources and Examples of Recommended Information

次国家级和国家级保护状况评估系统：

- 州、省或国际级红皮书
- 在线全国级红色名录(http://www.regionalredlist.com)
- 国家级保护评估
- 保护数据中心(如，www.natureserve-canada.ca/en/cdcs.htm)

多全国/区域保护状况评估系统：

- 自然服务探索者（美国和加拿大）(http://www.natureserve.org/explorer/)
- 俄罗斯红皮书(http://2mn.org/engl/rdbrf_en.htm)
- 北非淡水生物多样性（IUCN 红色名录分级和标准的区域性应用）(http://www.iucn.org/about/union/secretariat/offices/iucnmed/iucn_med_programme/species/species_assessments/freshwater_habitats/freshwater_northafrica/)

全球保护状况评估系统

- IUCN 受威胁物种红色名录(http://www.iucnredlist.org)

Sub-national and national conservation status assessment systems:

- State, provincial, and national Red Data books
- On-line national Red Lists: (http://www.regionalredlist.com)
- National conservation assessments
- Conservation Data Centres (for example, see www.natureserve-canada.ca/en/cdcs.htm)

Multi-country / regional conservation status assessment systems:

- Nature Serve Explorer (United States and Canada) (http://www.natureserve.org/explorer/)
- Red Data Book of the Russian Federation (http://2mn.org/engl/rdbrf_en.htm)
- North Africa Freshwater Biodiversity (regional application of IUCN Red List categories and criteria) (http://www.iucn.org/about/union/secretariat/offices/iucnmed/iucn_med_programme/species/species_assessments/freshwater_habitats/freshwater_northafrica/)

Global conservation status assessment systems:

- IUCN Red List of Threatened Species (http://www.iucnredlist.org)

需要考查的因子：保护问题
Factors to Consider: Conservation Concerns

下表中定义的因子和指标采用了现有保护状况评估的信息，将保护问题的严重度做了简单排序。这个排序采用了 IUCN 红色名录类别和国际级，亚全国级和其他相关保护状况评估标准。

利用**第四步工作表**评定相关采集区保护问题严重度。

因子	保护问题严重度	指标范例
相关采集区的保护问题严重度	低	物种、种群和亚种群经过评估后发现“未受威胁”。评估或划分依据确定的标准，如 IUCN 红色名录的无危 LC 类别，或其他系统的相应类别。需要注意的是，保护状况评估缺失不能被假定为该物种、种群或亚种群不受威胁。
	中	物种、种群和亚种群经过评估发现“刚刚满足受威胁标准”。评估或划分依据确定的标准，如 IUCN 红色名录的近危 NT，易危 VU 级别，或其他系统的相应类别。
	高	物种、种群和亚种群经过评估发现“满足受威胁标准”。评估或划分依据确定的标准，如 IUCN 红色名录的濒危 EN，极危 CR 级别，或其他系统的相应类别。
	未知	物种保护状态未知（如，数据缺失或未予评估）
	对因子的解释： 用于 NDF 的该因子，考查的是物种在国内种群或亚种群的现有的亚全国级、全国级、区域性或全球性保护状况评估结果。一些评估可能与采集区更为相关。如果缺乏评估，就需要认定其它威胁信息，以评定保护问题严重度。	

The factors and indicators defined in this table use information from existing conservation status assessments in simple rankings of severity of conservation concern. These rankings use IUCN Red List categories and criteria as a benchmark against which Scientific Authorities can compare any existing assessment categories and criteria applied in national, sub-national, and other relevant conservation status evaluations.

Use the **Worksheet for Step 4** to evaluate the severity of conservation concern relevant to the harvest area.

Factor	Severity of Conservation Concern	Example Indicators
Severity of conservation concern relevant to the harvest area	Low	The species, population, or sub-population has been assessed and is ***not considered to be threatened***. The assessment or listing is based on defined criteria (e.g., IUCN Red List category Least Concern/LC or equivalent categories used in other systems). Note that the absence of conservation status assessment cannot be assumed to indicate that the species, population, or sub-population is not threatened.
	Medium	The species, population, or sub-population has been assessed and is considered to ***nearly qualify as threatened***. The assessment or listing is based on defined criteria (e.g., IUCN Red List categories Near Threatened/NT, Vulnerable/VU, or equivalent categories used in other systems).
	High	The species, population, or sub-population has been assessed and ***qualifies as threatened.*** The assessment or listing is based on defined criteria (e.g., IUCN Red List Critically Endangered/CR, Endangered/EN, or equivalent categories used in other systems).
	Unknown	The conservation status of the species is unknown (e.g. data deficient/not evaluated)
	Explanation of this factor: This factor considers any existing sub-national, national, regional, or global conservation status assessments that include population or sub-population(s) of the species within the country undertaking the NDF. Certain assessments may be more relevant to the harvest area. In cases where an assessment does not exist, other threat information should be recognized to evaluate the severity of conservation concern.	

第五步 评定野生采集的潜在内禀生物学风险

STEP 5

EVALUATE POTENTIAL INTRINSIC BIOLOGICAL RISKS OF WILD HARVEST

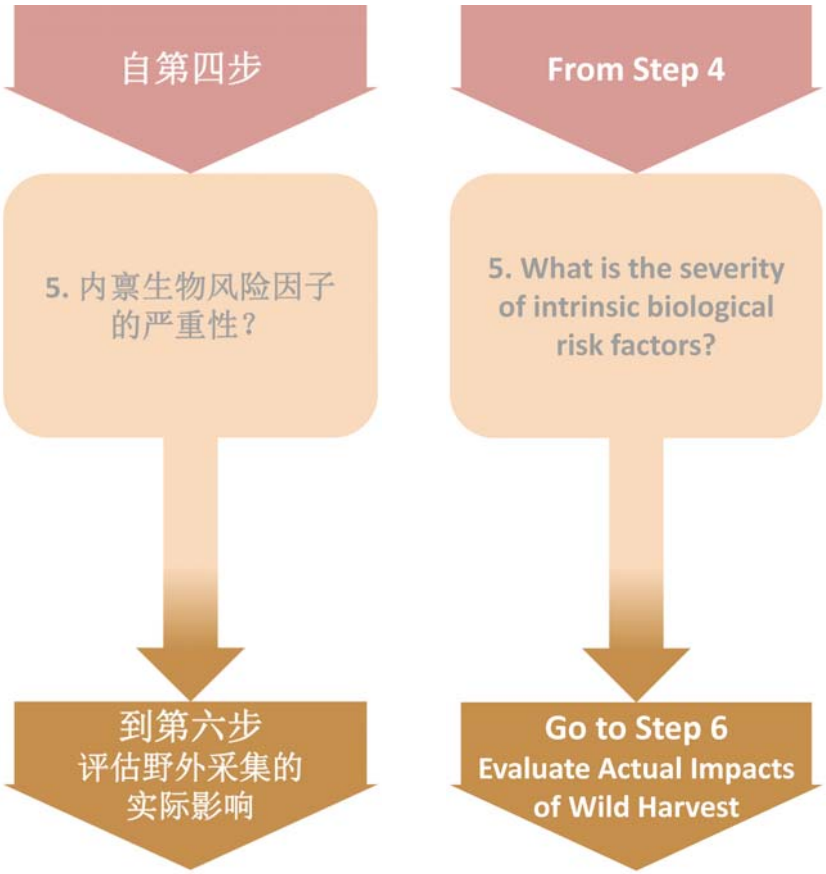
基本原理：该步骤的重要性

Rationale: why is this step important?

由于内禀生物学特征，一些植物物种天然就比其他的物种对野生采集和商业贸易的有害作用更为脆弱。在本指南中，“内禀生物学风险”被认为是会提高野生采集危害物种生存风险的一些特定生物学特征。科学机构可以利用内禀生物学特征，确认那些提高或降低野生采集危害物种生存风险程度的特定生物学因子。风险度越高，NDF 在第六到第九步对信息质量、有效管理和预防性措施的需求就越高。

Some plant species are naturally more susceptible to detrimental effects of wild harvest and commercial trade than other species, based on intrinsic biological characteristics. In this Guidance, “intrinsic biological risk” is understood to indicate that certain biological characteristics contribute to the risk that wild harvest will be detrimental to species survival. Using the intrinsic biological characteristics, Scientific Authorities can identify the particular biological factors that contribute to higher or lower severity of risk that wild harvest will be detrimental to species survival. The higher the severity of risk, the greater the requirements for information quality, effective management, and precaution that should be sought for the NDF in Steps 6-9.

第五步关键问题和决策路径：
评定野生采集的潜在内禀生物学风险
Key Question and Decision Path for Step 5: Evaluate Potential Intrinsic Biological Risk of Wild Harvest



第五步指南 Guidance for Step 5

关键问题 5 考查一些内禀生物学特征，可能影响野生采集危害物种生存的潜在风险。对每一个因子而言，内禀生物学风险程度指标是“低”、“中”、“高”还是“未知”？物种经过野外采集的存活风险整体指示程度如何？

指南说明：

从可能与影响野生采集对物种生存危害有关的众多内禀生物学特征中，我们选取了如下与 CITES 讨论和文件相一致的一些，来实施基于科学的 NDFs

1) 采集的植物部位和植物生命形式
2) 地理分布
3) 全国种群规模和丰度
4) 生境特殊性和脆弱性
5) 再生能力
6) 繁殖能力
7) 物种在其生态系统中的角色

风险度指标与每个影响野生采集危害物种生存的内禀生物学特征有关，详见表格**需要考查到因子：野生采集对物种生存的内禀风险**

推荐的信息质量：对于第四步中缺乏相关保护状态评估的物种，科学机构可能需要收集所有可用于第五步的内禀生物学特征信息。对于在第四步的保护状态评估中被评为“低问题关注”的物种，要完成第五步的内禀生物学特征内容，科学机构采用常规核实信息源（见表第一列“推荐的信息源和有用案例”），收集所需相关信息就足够了。

使用**第五步工作表**，记录每一因子、所标注风险度的相应所用信息、所用信源以及信源的可信性等。

为支持评定现有保护策略严格程度（第八步），可能需要将内禀生物学风险“低”、“中”、“高”或“未知”的总结列表转移到**第八步工作表**。

→到**第六步**

Key Question 5. Consider the intrinsic biological characteristics that affect the potential risk of wild harvest to species survival. Is the severity of intrinsic biological risk indicated for each of these factors “Low”, “Medium”, “High”, or “Unknown”?

Guidance notes:

From the many intrinsic biological characteristics that might be considered relevant to the impact of wild harvest on species survival, the following have been consistently identified in CITES discussions and documents related to making science-based NDFs:

8) Plant part harvested and plant life form

9) Geographic distribution
10) National population size and abundance
11) Habitat specificity and vulnerability
12) Regeneration
13) Reproduction
14) Role of the species in its ecosystem

Indicators of severity of risk associated with each of these intrinsic biological characteristics that affect the risk of wild harvest to species survival are elaborated below in the table of **Factors to Consider: Intrinsic Risk of Wild Harvest to Species Survival**.

Recommended information quality: For species lacking relevant conservation status assessments in Step 4, Scientific Authorities will need to gather any available information about intrinsic biological characteristics for Step 5. For species with conservation status identified in Step 4 as "Low concern", it is likely sufficient for Scientific Authorities to use routine verification sources (see first column of table "Useful Sources and Examples of Recommended Information Quality") to gather any additional information needed about the species' intrinsic biological characteristics to complete Step 5. For species identified in Step 4 as "Medium", "High" or "Unknown" conservation concern, the effort to locate available higher-quality information is recommended to fill any remaining information gaps for Step 5.

Use the **Worksheet for Step 5** to record available information corresponding to each of these factors, the severity of risk indicated, the sources used and the confidence in the sources.

To support the evaluation of appropriate rigour of existing management measures (Step 8), summary lists of "Low", "Medium", "High", and "Unknown" intrinsic biological risk factors will be transferred to the **Worksheet for Step 8**.

→**Go to Step 6**.

第五步终点：我们可以用内禀生物学风险排序指导科学机构，寻找采集和贸易影响（第六和第七步）中，与高风险和未知内禀生物学因子相应的更高质量信息，为更高水平的风险度要求更严格度管理措施（第八步），并在实施 NDFs 时，对具有整体较高内禀生物学风险度物种使用预防性措施（第九步）。

Endpoint of Step 5: Ranking of intrinsic biological risk is used to guide Scientific Authorities to seek higher quality information about harvest and trade impacts related to higher risk and unknown intrinsic biological characteristics (Steps 6 and 7), to require greater management rigour for higher levels of severity of risk (Step 8), and to use greater precaution in making NDFs for those species with overall higher intrinsic biological risk (Step 9).

建议质量的有用信息源和案例 Useful Sources and Examples of Recommended Information Quality

需要实施详尽 NDF 的所有物种/标本 All Species / Specimens Requiring a Detailed NDF	在第四步保护问题严重度中被认定为中、高和未知的物种 Species with Medium, High, and Unknown Severity of Conservation Concern Identified in Step 4
常规核实： • 许可申请表 • 详细的保护状况评估结果（记录在工作表第四步中的第四步产出） • 提供物种分类描述、植物区系、植被类型和区域图的科学论文和数据库 **Routine verifications:** • Permit application • Results of detailed conservation status assessments (outputs from Step 4 recorded in Worksheet for Step 4) • Scientific publications and databases providing taxonomic description of species, floras, vegetation type / zone maps	**现存可用信息：** • 标本记录 • 植被调研和库存 • 生态风险评估 • 科学家、采集者、当地社区和其他资源管理者掌握的知识和情报 • 管理计划 • 资源评估 **Existing information, where available:** • Herbarium records • Vegetation surveys and inventories • Ecological risk assessments • Relevant knowledge and expertise from scientists, harvesters, local communities, other resource managers • Management plans • Resource assessments

需要考查的因子：野生采集的内禀生物学风险
Factors to Consider: Intrinsic Biological Risk of Wild Harvest

本表所确定的因子和指标，采用了物种与风险度水平有关的内禀生物学特征信息，风险度水平的显示顺序为低、中、高和未知。科学机构可以利用这个表格结合工作表第五步，来确定特定风险因子，评定野生采集对物种生存影响的一般风险高低。

对于多数物种，因子 1 和 2 的信息通常都有，但是可能没有表格所包括的所有因子。在工作表第五步中记录可用信息和未知因子。

风险相关的内禀生物学因子	风险程度	指标范例
1. 采集到植物部分与物种生活形式	低	采集数量丰富的叶、花和果
	中	分泌液(树汁、树脂)；采集亲本植株的分蘖苗（如苏铁）
	高	采集整株植物；采集鳞茎、树皮或根；一次结实植物（在其生命中只开一次花结一次种子的植物）的顶端分生组织（生长点）
	未知	该因子信息不可用
	因子解释： 所涉物种的恢复力，依赖于采集植物的哪个部分及植物个体和被采集种群的复原能力。举例来说，人们认为，采集树木物种的叶子不太可能会杀死树木，或减少种群数量。但是采集草本植物的根，则被认为是有高风险的。因为每次采集都会直接损毁植物。要评定该因子采集，需要考察物种的生活形式，包括一年生、二年生、多年生、隐芽植物、灌木还是树木等。 有些时候，与获得贸易材料的必要性相比，采集活动的影响更具有破坏性（如砍倒整株树木，只为采集树叶）。**第六步因子 1**：“对植物个体的采集影响考查了这个问题”。	
2. 地理分布	低	分布广泛，在国内常见（有可能在几个全国都常见）
	中	分布限于国内相对小的范围（可能只在少数全国分布）
	高	分布局限于地方，如特有种，只在少数地区生长
	未知	该因子信息不可用
	因子解释： 该因子评估了已知全国的（主要的）/全球性的（次要的）区域和物种的分布。考查物种的分布是否广泛和联系，及其破碎化和分布受限的程度等。	
3. 全国种群规模和丰度	低	全国种群的各亚种群规模大，在景观中分布同等规模
	中	全国种群的各亚种群规模中等，有的规模大，分布不均衡
	高	全国种群的各亚种群都较小，在景观中分散而密度低
	未知	该因子信息不可用
	因子解释： 该因子评估了物种分布区的空间格局。评估种群是否大、丰富和均一，或者小，集群还是散布。该因子在不同的分布全国评估结果可能有差异，因为跨全国政治边界分布的物种，在其中央自然分布区会比边缘分布区更丰富，而其他一些因子也会对物种产生影响。	

风险相关的内禀生物学因子	风险程度	指标范例
4. 生境特异性和脆弱性	低	物种可以很好适应各种类型生境，生境稳定（在区域面积和质量上没有下降）。
	中	物种适应一些稳定的生境类型，或者所适应各个类型生境在面积或质量上有下降。
	高	物种只特异生活在一种生境类型中，或者只在少数面积或质量有所下降的受威胁生境中生存
	未知	该因子信息不可用
	因子解释： 该因子评估了所关注物种的生境偏好。其着眼于物种可用生境的丰富度，也关注生境面临的威胁。	
5. 再生	低	物种生长迅速，早期繁殖，或者在采集后容易重新萌发。
	中	生长速度中等，采集后可部分重新萌发。
	高	物种生长缓慢，延迟繁殖，或不萌发。
	未知	该因子信息不可用
	因子解释： 该因子评估了植物个体的复原能力，亦即被采集材料的再生能力。相关方面有一般生长速度，尤其是多年生植物的萌发（根状茎、匍匐植物、无性生长）能力。	
6. 繁殖	低	物种为无性生殖，或者风媒植物，种子存活率高不需生物协助传播，种子库存活时间长
	中	主要行有性生殖和其他传粉方式；种子由常见的生物协助传播
	高	物种为雌雄异株，或者一次结实；只适应特定的传粉或种子传播生物；生产活种子数量少；种子库寿命短
	未知	该因子信息不可用
	因子解释： 该因子评估了所关注物种的繁殖特化问题，包括无性生殖、非生物传粉和种子传播方式（如风媒，水流扩散等），有性生殖、常见的传粉和种子扩散生物，以及传粉和种子传播生物不常见，还包括用于重建种群的物种种子库存活时间长还是短等。植物个体或器官（花、种子）繁殖能力下降将对特化的物种有极大的影响。 该因子简单涉及了被采集种群的恢复能力，即剩余植物重建种群，或在已经清除植物的地区重新定植的能力。	

风险相关的内禀生物学因子	风险程度	指标范例
7. 物种在生态系统中的角色	低	根据研究，未发现依赖物种或其关键功能
	中	不相关：见下面的解释
	高	关键性物种，保姆植物？，其他物种的重要食物来源
	未知	该因子信息不可用
	因子解释： 该因子考查了物种在生态系统中的角色，生态系统过程是否会因物种被采集而中断或改变。该物种是否是关键种或指示性生物，是否有其他物种依赖其生存（如以其为食物来源）。 注意：该因子的信息并不常见，但是一些详细的保护状态评估可能提及。一个“中”的指标对因子来说意义不大，只是用于定义该物种是否有已知的关键性生态系统功能。	

The factors and indicators defined in this table use information about the intrinsic biological characteristics of the species concerned with a ranking of risk severity level: Low, Medium, High, and Unknown. Scientific Authorities can identify specific factors of risk and evaluate the general severity of risk of wild harvest to species survival by using this table in combination with the **Worksheet for Step 5.**

For most species, information will be available for Factors 1 and 2, but not for all of the factors included in the table. Record available information and unknown factors in the **Worksheet for Step 5.**

Intrinsic biological factors related to risk	Risk severity	Example Indicators
1. Plant part harvested versus life form of species	Low	Harvest of abundant leaves, flowers or fruits
	Medium	Exudates (sap, resin); harvest of offshoots from parent plant (e.g., cycads)
	High	Harvest of whole plants; harvest of bulbs, bark or roots; apical meristems (growing tip) of monocarpic species (= plants that flower and produce seeds only once in their lifetime)
	Unknown	Information about this factor is unavailable
	Explanation of this factor: The resilience of the species concerned is dependent on the plant part that is harvested in relation to the ability of the individual plant and the harvested population to recover. For example, harvest of leaves from a tree species is regarded as having a low risk of killing the tree or decreasing the population over time, while harvest of roots from an herbaceous species rates as high risk because each plant harvested may be destroyed by the harvest. For the evaluation of this factor, the life form of the species (annual, biennial, perennial, geophyte, shrub, and tree) has to be taken into account. The impacts of harvest practices that are more destructive than necessary to obtain the material used in trade (e.g., if entire tree branches are cut to harvest leaves), are considered in **Step 6, Factor 1:** “Impact of harvest on individual plants”.	

Intrinsic biological factors related to risk	Risk severity	Example Indicators
2. Geographic distribution	Low	Distribution is widespread, commonly occurring through the country (likely in several countries)
	Medium	Distribution is restricted to a relatively small part of the country (and likely to few countries)
	High	Distribution is locally restricted, i.e. endemic, found in only one or few localities
	Unknown	Information about this factor is unavailable
	Explanation of this factor: This factor assesses the known (primarily) national / (secondarily) global range and distribution of the species. Consider whether the distribution of the species is broad and continuous, or to what degree it is restricted and fragmented.	
3. National population size and abundance	Low	Sub-populations of the national population are large and spread homogeneously across the landscape
	Medium	Sub-populations of the national population mostly medium-sized, sometimes large, unevenly distributed
	High	Sub-populations of the national population are always small; scattered in low density across the landscape
	Unknown	Information about this factor is unavailable
	Explanation of this factor: This factor assesses the spatial distribution across the range of the species. It assesses whether populations are large, abundant and homogeneous or small, clumped and scattered. This factor may be assessed differently in different range countries because a species that is distributed across national political boundaries may be more abundant in the centre of its natural range and less abundant at the periphery, as well as other factors affecting the species.	
4. Habitat specificity and vulnerability	Low	Species is highly adaptable to various habitat types; the habitat is stable (not declining in area or quality)
	Medium	Species is adapted to a few stable habitat types or is adapted to a variety of habitat types that are declining in area or quality
	High	Species is narrowly specific to one habitat type or to only a few threatened habitat types that are declining in area or quality
	Unknown	Information about this factor is unavailable
	Explanation of this factor: This factor assesses habitat preference of the species concerned. It looks at the availability and abundance of habitats occupied and also at the threat to these habitats.	

Intrinsic biological factors related to risk	Risk severity	Example Indicators
5. Regeneration	Low	Species is fast growing, reproduces early and/or easily re-sprouting after harvest
	Medium	Growth rate medium and partly re-sprouting after harvest
	High	Species is slow growing, late to reproduce and/or not re-sprouting
	Unknown	Information about this factor is unavailable
	Explanation of this factor: This factor assesses the recovery capacity of the individual plant: i.e., the ability to regenerate the material harvested. Aspects of this are the general growth rate and especially the (re-)sprouting capability (rhizomes, creepers, clonal growth) of perennials.	
6. Reproduction	Low	Species reproduces asexually or is wind pollinated; many viable seeds with abiotic dispersal; long-lived seed bank
	Medium	Species reproduces mainly sexually and has common pollinators; seed dispersal biotic with common dispersers
	High	Species is dioecious (male and female flowers on separate plants) or monocarpic (flowers and sets seed only once); adapted to specialised pollinators and/or seed dispersers; produces few viable seeds; short-lived seed bank
	Unknown	Information about this factor is unavailable
	Explanation of this factor: This factor evaluates the relative reproductive specialization of the species concerned, where asexual reproduction, abiotic pollination and seed dispersal (e.g., by wind or water), and abundant pollinators and seed dispersers are less specialized than sexual reproduction, biotic pollination and seed dispersal, and infrequent pollinators and seed dispersers, as well as whether species have short or long-lived seed banks for regeneration. A reduction in availability of individual plants or reproductive parts (flowers, seeds) will have a greater impact on plant species with more specialized adaptations. This factor very generally addresses the recovery capacity of the harvested population: i.e., the ability of the remaining plants to rebuild the population or to repopulate areas where individuals or sub-populations have been removed.	
7. Role of the species in its ecosystem	Low	Based on research there are no dependent species or key functions
	Medium	Not relevant: see explanation below
	High	Keystone species, nurse plant, major food source for other species
	Unknown	Information about this factor is not available
	Explanation of this factor: This factor considers the role of the species in the ecosystem and whether ecosystem processes are interrupted or changed by the harvest of the species. Is the species a keystone or guild species, do other species depend on it for survival (e.g., food source)?	

Intrinsic biological factors related to risk	Risk severity	Example Indicators
	Note: Information about this factor is not commonly available, but may be included in some detailed conservation status assessments. A "medium" indicator is not meaningful for this factor. A species either does, or does not, have a known key ecosystem function as defined.	

第六步
评定野生采集影响
STEP 6
EVALUATE IMPACTS OF WILD HARVEST

基本原理：该步骤的重要性
Rationale: why is this step important?

野生采集影响可能危害植物个体、被采集到种群、整个物种的全国种群，以及物种的生态环境和其他依赖该物种生存的物种。通过考查当前能获得的所有采集方式和采集强度（如影响植物个体、采集种群和整个全国种群的比率）等信息，科学机构可以确定和评定这些影响。虽然种群下降可能是与野生采集无关的影响导致（在第四步的现有保护状况评估中已经确认），仍可以用种群趋势作为野生采集致危影响的指标。

在有些情况下，现有保护措施可以减轻采集影响（降低影响程度）。我们将在第八步时考查管理措施议题。因此本步只观察以出口为目的野生采集的实际影响，而非潜在影响。但是，为评估采集对物种的危害，考查其他采集（为国内利用和贸易，或合法或非法）对物种的影响也十分重要。

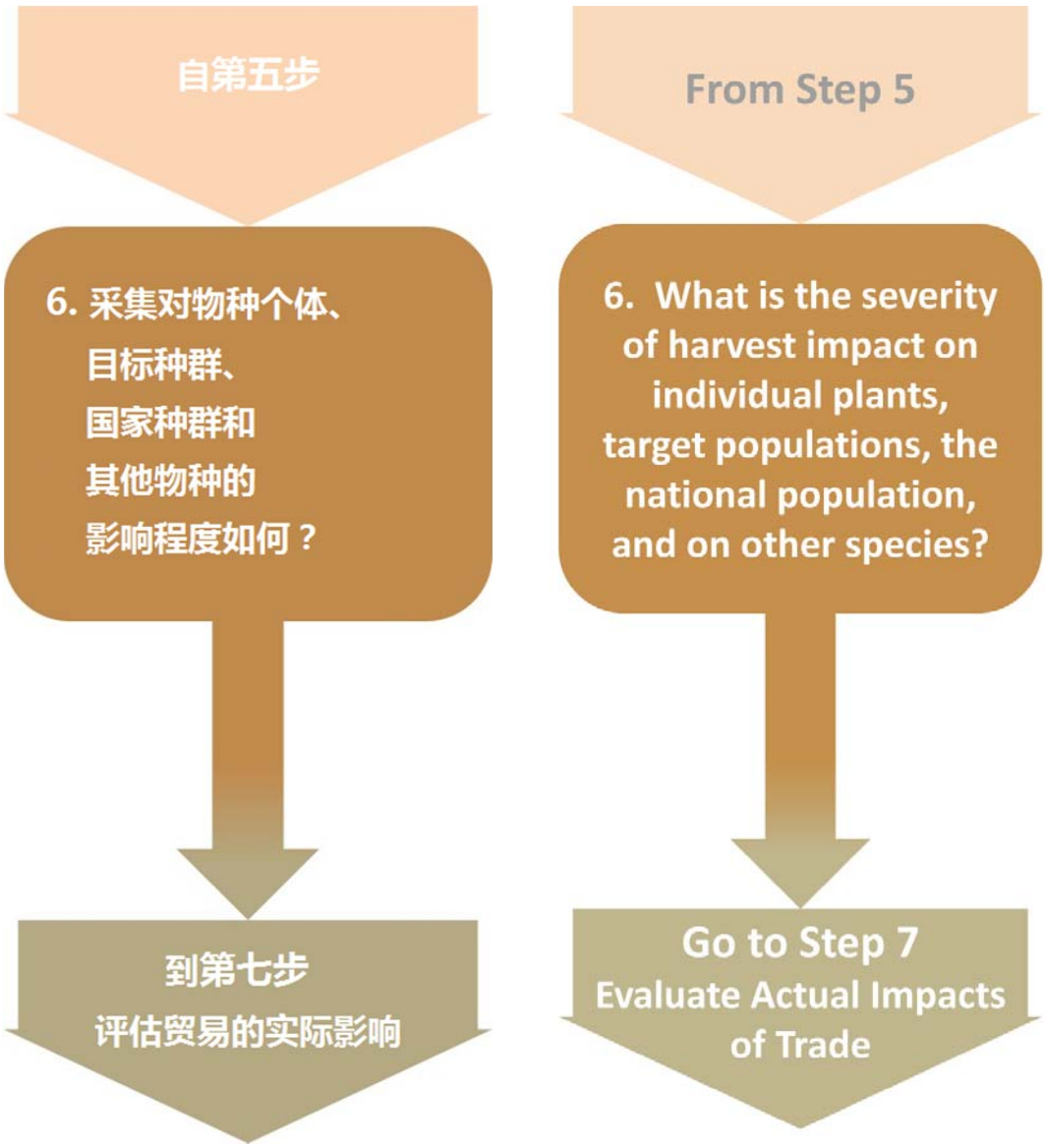
野生采集对物种的影响越高，越需要更高质量的信息和更严格的管理，科学机构在 NDF 时更应该运用预防性措施。

The impacts of wild harvest can be detrimental to the individual plants, to the harvested populations, and to the national population of the species concerned overall, as well as to the species' ecosystem and other species on which it depends. Scientific Authorities can identify and evaluate these impacts by considering the best currently available information about the harvest practice used and harvest intensity (e.g. proportion affected of the individual plant, harvested populations, and the national population overall). Although population decline may be caused by impacts unrelated to wild harvest (which may have been identified in existing conservation status assessments in Step 4), population trends can also be a useful indicator of detrimental impact of wild harvest.

In some cases, existing management measures may mitigate (= reduce the severity of) harvest impacts. Management measures are considered in Step 8. Therefore, this Step looks at actual impact of the harvest for the export in question rather than potential impact. However, it is important to consider this in relation to other harvest of the species (legal and illegal and for domestic use and trade) in order to assess the detriment of harvesting on the species.

The greater the severity of wild harvest impact on the species concerned, the greater are the requirements of information quality, management rigor, and precaution that Scientific Authorities should apply to the NDF.

第六步关键问题和决策路径：野生采集的影响
Key Question and Decision Path for Step 6: Evaluate Impacts of Wild Harvest



第六步指南 Guidance for Step 6

关键问题 6 考查采集对物种生存的影响，采集对植物个体、目标种群、全国种群和其他物种的影响程度为“低”、“中”、“高”还是“未知”？

指南说明：

下表**需要考查的因子：野生采集的影响**，详尽列举了野生采集对物种生存的影响。

在考虑采集影响时，应考虑全部真实的获取，可能包括很大比例的废弃材料、为国内使用采集或非法采集。

推荐的信息质量：对于在第四步和第五步中被标注为“中”、“高”或“未知”指标的物种，我们需要努力确定较高质量的信息，以关注第六步中任何的信息空缺。对那些在第四步中就缺失相应保护状况评估的物种，科学机构需要在第六步尽可能收集所有有关采集影响的信息。对于在第四步的保护状况中被认定为“低危”，在第五步的内禀生物风险被认定为“低”的物种，要完成第六步的实际野生采集影响，科学机构采用常规核实信息源（见表第一列“推荐的信息源和有用案例”），收集所需相关信息就足够了。

利用工作表第六步记录每一个野生采集因子相应的信息，和所指示的影响程度严重性（见下表**需要考查的因子：野生采集的影响**）。

为支持现有管理措施的严格性（第八步）的评定工作，需要将野生采集影响因子“低”、“中”、“高”或“未知”的总结列表转移至工作表第八步。

→到第七步

Key Question 6 Considering the impacts of harvest, is the severity of harvest impact on individual plants, target populations, the national population, and on other species “Low”, “Medium”, “High”, or “Unknown”?

Guidance notes:

Factors that affect the impact of wild harvest on species survival are elaborated below in the table **Factors to Consider: Impacts of Wild Harvest.**

When considering harvest impact the total actual off-take should be considered, which may include a large proportion of wasted material, harvest for domestic use and illegal harvest.

Recommended information quality: For species with “Medium”, “High” or “Unknown” ratings in Steps 4 and 5, the effort to locate higher-quality information should focus on any remaining information gaps for Step 6. For species lacking relevant conservation status assessments in Step 4, Scientific Authorities will need to gather any available information on harvest impacts for Step 6. For species with conservation status identified in Step 4 as “low concern” and “intrinsic biological risk” identified as “Low” in Step 5, it is likely sufficient for Scientific Authorities to use routine verification sources to gather any additional information needed about actual harvest impacts to complete Step 6.

Use the **Worksheet for Step 6** to record available information corresponding to each of the harvest impact factors and the severity of impact indicated (see table of Factors to Consider: Impacts of Wild Harvest, below).

To support the evaluation of appropriate rigour of existing management measures (Step 8), summary lists of “Low”, “Medium”, “High”, and “Unknown” harvest impact factors will be transferred to the **Worksheet for Step 8**.

第六步指南 Guidance for Step 6

→Go to Step 7.

Endpoint of Step 6: Based on the best available information of recommended quality, Scientific Authorities determine the severity of impact of wild harvest on individual plants, on the harvested populations, the national population, and on other species. The harvest impact is used to guide Scientific Authorities to expect greater management rigour for higher levels of severity of harvest impact (Step 8), and to use greater precaution in making NDFs for those species with higher or unknown severity of harvest impact (Step 9).

建议质量的有用信息源和案例
Useful Sources and Examples of Recommended Information Quality

需要实施详细 NDF 的所有物种/标本 All Species / Specimens Requiring a Detailed NDF	第四和第五步保护问题和风险所确定为中、高和未知的物种 Species with Medium, High and Unknown Severity of Conservation Concern or Risk Identified in Steps 4-5	
常规核实： • 许可申请（与当年该物种其他许可有关的标本数量） • 保护状况评估（第四步）-种群趋势和保护影响 • 描述了采集活动和种群趋势的科学论文和报道 **Routine verifications**: • Permit application (e.g., number or volume of specimens included in relation to other permits for the same species in the current year) • Conservation status assessments (Step 4) – population trends and harvest impacts • Scientific publications / reports describing harvesting practices, population trends	**现存定性信息：** • 采集方法（如采集者书面或口头的说明、货物实践指南、标准操作手册等） • 管理计划 • 植被调研和库存（例如对采集地点和非采集受保护地所做的调研） • 实际采集所使用的专家、采集者、当地社区和资源管理者报告 定性指标（如采集者对于资源可用性和质量变化的直观认识） **Existing qualitative information**: • Harvest method (e.g., written or verbal instructions for harvesters, Good Practice guidelines, Standard Operating Procedures) • Management plans	**现存定量信息：** • 采集生产（如量、区域、年份）和频次的记录 • 商业性普查 • 定量指标（如将采集物的每磅多少根作为种群规模和年龄层分布的一个指标） 监测数据、样本和种群模型参数（如丰富度、分布、年龄或规模结构、再生性等） **Existing quantitative information:** • Records of harvest yields (e.g., volume/area/year) and frequencies • Commercial census • Quantitative indices (e.g., roots per pound harvested as an indicator of population size and age-class distribution) • Monitoring data, sampled and modelled population

建议质量的有用信息源和案例
Useful Sources and Examples of Recommended Information Quality

	• Vegetation surveys and inventories (e.g. surveys conducted at harvest locations and at sites protected from harvest) • Expert, harvester, local community, resource manager reports of actual harvest practices used • Qualitative indices (e.g., harvesters' perceptions of change in resource availability and quality)	parameters (e.g., changes in abundance, distribution, age or size-class structure, regeneration)

需要考查的因子：野生采集的影响
Factors to Consider: Impacts of Wild Harvest

本表中定义的因子和指标，采用了有关采集活动和种群趋势的信息，以影响严重程度简单排序：低、中、高和未知。科学机构可以利用因子表，结合工作表第六步，来确认和评估采集对个体、目标种群和相关物种的致危性影响。

对于多数物种，因子 1 通常有可用信息，但是要确定因子 2 到 4 难度较大。在工作表第六步中记录可用信息和位置因子。

因子	采集影响程度	指标范例
1. 出口采集对植物个体的影响	低	• 非致死性采集（采集植物的部位或所采用的方式*) • 产品为每株植物的少部分（如树叶、种子或果实），且不会降低繁殖成功率。 • 采集频率低于被采集部分的再生率（如每季节一次）
	中	• 有时是致死性采集（采集植物的部位或所采用的方式*) • 生产的树汁、树脂、树皮和根占每株植物少部分，或者生产的树叶、种子和果实占每株植物的大部分，可能会降低繁殖成功率 • 相对于被采集部分的再生率（如一个季节几次），采集频率为中等
	高	• 致死性采集（采集植物的部位或所采用的方式*) • 采集植物的大部分（如整株、鳞茎、树皮、根、一次结实植物的顶端分生组织） • 采集频率高于被采集部分的再生率（如一个季节相当多次）
	未知	• 该因子信息不可用

因子	采集影响程度	指标范例
	解释： 该因子考查了影响植物个体生存和繁殖能力的野生采集的特征。 *注意，植物的采集部分不全是其被使用的部分，例如，一些采集活动会致死植物，而植物的目标部分本可以用非致死性途径采集（例如为了获取树叶和果实砍伐树木）。	
2. 出口采集对申请的目标种群的影响	低	• 采集范围广，涉及所有年龄/尺寸等级。 • 种群中有少量植物个体受到采集的影响（采集数量与可采集数量相比较小）
	中	• 有选择性采集一定年龄/尺寸。 • 种群中有中等数量植物个体受到采集的影响（采集数量与可采集数量相比较中等）
	高	• 采集对年龄/尺寸有高度选择性（除非选择已经不参与繁殖的年龄级） • 种群中大量植物个体受到采集的影响（采集数量占可采集数量绝大多数）
	未知	• 该因子信息不可用
	解释： 该因子考查了影响繁殖种群长期生存力的野生采集特征，例如补充个体（通过繁殖或者扩散向种群补充额外个体）。举例说明，如果目标种群十分小，采集多数的种子可能对物种生存和种群的生存力具有严重影响。还应考查实际消耗情况，有时采集后会浪费很大比例材料，但没有在贸易的材料中体现出来。	
3. 出口采集对目标物种全国种群的影响	低	• 全国种群中有少部分受到野生采集影响 • 采集频率远低于采集个体的自然替换率 • 种群数量和分布稳定或增加
	中	• 频繁采集，但是全国种群中只有少到中等比例受到影响 • 种群数量和分布稳定
	高	• 高比例全国种群受到影响 • 长期持续的采集 • 种群数量和分布因采集下降
	未知	• 该因子信息不可用
	解释： 该因子考查了采集作用的尺度（如对植物、目标种群还是国家种群）以及影响物种相关的国家种群尺度的野外采集特征。 注意：种群趋势（增加、稳定和减少）信息可以在现有保护状况评估（第四步）中获得。	
4. 出口采集对其他物种的影响	低	• 目标物种与其他易混淆物种不相像或易于区分 • 采集活动对非目标物种或环境（例如吃果、种子的动物；或清除外来入侵物种）的影响小（甚至是正面）， •
	中	• 目标物种偶尔与其他物种相混淆 • 采集活动偶尔破坏非目标物种或环境 • 采集对其他物种所用的资源有中度影响
	高	• 目标物种很容易与其他物种相混淆，对目标物种和其他相

因子	采集影响程度	指标范例
		似物种物差别采集，或者以其他相似物种作为替代物采集 • 采集活动对非目标物种或环境有实质上的负面影响
	未知	• 该因子信息不可用
	解释： 公约文本第四条第 3 款中申明：“物种标本的出口应受到限制，以便保持该物种在其分布区内的生态系中与它应有作用相一致的地位。” 该因子考查了可能影响其他物种的野生采集特征，无论影响是偶然的（如采集了相似物种的情况），或是采集活动作用的，还是影响了依赖所关注物种生存的物种（如为了食物、微生境，如存在一些附生植物的情况）。采集对目标物种生态系统或其他物种的破坏程度也可能降低目标种群的生存力。	

The factors and indicators defined in this table use information about the harvest practices, and population trends in a simple ranking of impact severity: Low, Medium, High, and Unknown. Scientific Authorities can identify and evaluate detrimental impacts of wild harvest on the individuals, target populations, and species concerned by using this table of factors in combination with the **Worksheet for Step 6.**

For most species, information will be available for Factor 1 but may be more difficult to locate for Factors 2-4. Record available information and unknown factors in the **Worksheet for Step 6.**

Factor	Harvest impact severity	Example Indicators
1. Impact of harvest on individual plants for the exports requested	Low	• Non-lethal harvest (plant part harvested and practice used*) • Small proportion of the yield (e.g. leaves, seeds, fruit) per plant is harvested and is unlikely to reduce reproductive success • Harvest frequency is low relative to the rate of regeneration of the part harvested (e.g., once per season)
	Medium	• Harvest (plant part harvested and practice used*) sometimes lethal • Small proportion of yield of sap, resin, bark, roots per plant is harvested OR large proportion of yield of leaves, seeds, fruit per plant is harvested, and is likely to reduce reproductive success • Harvest frequency is moderate relative to the rate of regeneration of the part harvested (e.g., several times per season)
	High	• Harvest (plant part harvested and practice used*) is lethal • Large proportion (whole plants, bulbs, bark, roots, apical meristems of monocarpic species) per plant is harvested • Harvest frequency is high relative to the rate of regeneration of the part harvested (e.g., numerous times per season)
	Unknown	• Information about this factor is unavailable

Factor	Harvest impact severity	Example Indicators
	Explanation: This factor considers the characteristics of wild harvest that affect the survival and reproductive capacity of individual plants. *Note that the part of a plant harvested is not always just the part used: e.g., it is possible that the common harvest practice may be lethal for individual plants whereas the targeted plant parts could be harvested in a non-lethal manner (e.g., cutting down a tree to harvest the fruit or leaves).	
2. Impact of harvest on target populations for the exports requested	Low	• Harvest spread over a broad range of age/size-classes • Small proportion of individual plants in the population is affected by harvest (quantity harvested is small in comparison with quantity available for harvest)
	Medium	• Moderately selective harvest of age/size class • Moderate proportion of individual plants in the population is affected by harvest (quantity harvested is moderate in comparison with quantity available for harvest)
	High	• Highly selective harvest of one age/size- class (except if age-class selected is no longer reproducing) • Large proportion of individual plants in the population is harvested (quantity harvested is large in comparison with quantity available for harvest)
	Unknown	• Information about this factor is unavailable
	Explanation: This factor considers the characteristics of wild harvest that affect the long-term viability of reproduceing populations, such as recruitment (the addition of individuals to a population through reproduction and/or dispersal from other populations). For example, if the target population is very small, collecting most of the seeds may have a large impact on population viability and species survival. The total actual off-take should be considered, which may include a large proportion of wasted material, harvest for domestic use, and illegal or unreported harvest that is not accounted for in documentation of material in trade.	
3. Impact of harvest on national population for the exports requested	Low	• A small proportion of national population affected by wild harvest • Harvest infrequent with respect to the rate of replacement of harvested individuals • Population numbers and distribution stable or increasing
	Medium	• Harvest frequent but low-to-moderate proportion of the national population affected • Population numbers and distribution stable
	High	• High proportion of national population affected • Long term, continuous harvest • Population numbers and distribution declining due to harvest
	Unknown	• Information about this factor is unavailable
	Explanation: This factor considers the characteristics of wild harvest in terms of scope of	

Factor	Harvest impact severity	Example Indicators
	harvest impact (e.g., the plant, the target population, the national population), and the effect on the national population of the species concerned. Note: Information about population trend (increasing, stable, or decreasing) may be available from existing conservation status assessments (Step 4).	
4. Impact of harvest on other species for the exports requested	Low	• Target species easy to identify, unlikely to be confused with other species • Harvest practices have a minimal (or even positive) effect on non-target species and the environment (e.g., animals that eat fruit, seeds; removal of an alien/invasive species)
	Medium	• Target species occasionally confused with other species • Harvest practices occasionally disruptive to non-target species or environment • Harvest has a moderate effect on resources available for other species
	High	• Target species is easily confused with other species; indiscriminate harvest of the target species in place of another look-alike species, or of another look-alike species in place of the target species • Harvest practices have a substantially negative effect on non-target species or the environment
	Unknown	• Information about this factor is unavailable
	Explanation: Article IV paragraph 3 of the Convention text states that "the export of specimens of any such species should be limited in order to maintain that species throughout its range and at a level consistent with its role in the ecosystems in which it occurs". This factor considers the characteristics of wild harvest that may impact other species either accidentally (as in the case of harvest of look-alike species) or as a result of harvest practices or species that depend on the species concerned (e.g., for food or micro-habitat, as in the case of some epiphytes). Harvest damage to the target species' ecosystem or to other species on which it depends can reduce the viability of the target population.	

第七步
评定贸易的影响
STEP 7
EVALUATE IMPACTS OF TRADE

基本原理：该步骤的重要性
Rationale: why is this step important?

该步骤关注了贸易对物种生存的有害影响。与 CITES 有关的贸易具有潜在威胁。科学机构可以通过考查合法和非法贸易的规模和趋势，来确定和评定贸易影响。虽然科学机构已经考查了以国内或国际贸易为目的的采集影响（第六步），仍然有必要考查与国内贸易相关的国际贸易（包括所有非法贸易）的影响。贸易对物种的影响程度越高，线索需要的信息质量、管理严格程度就越高，科学机构在实行 NDF 时要注意应用预防性措施。

在某些情况下，现有的管理措施可以缓和（减轻严重程度）贸易影响。因此该步骤考查直接影响而非潜在影响。管理措施将在第八步考查。

The impacts of trade can be detrimental to the survival of the species concerned. Trade is the potential threat relevant to CITES. Scientific Authorities can identify and evaluate trade impacts by considering the available information about the scale and trend of legal and illegal trade. Although the impact of all harvest is considered (in Step 6) whether for domestic or international trade, it is useful to consider the impact of international trade in relation to that of any domestic trade (including any illegal trade). The greater the severity of trade impact on the species concerned, the greater are the requirements of information quality, management rigor, and precaution that Scientific Authorities should apply to making an NDF.

In some cases, existing management measures may mitigate (= reduce the severity of) trade impacts. Therefore, this Step considers actual impact rather than potential impact. Management measures are considered in Step 8.

第七步关键问题和决策路径：
评定贸易的影响
Key Question and Decision Path for Step 7:
Evaluate Impacts of Trade

第七步指南 Guidance for Step 7

关键问题 7 考查本次出口贸易以及考虑所有贸易对物种生存的影响，合法和非法贸易的影响严重程度是"低"、"中"、"高"，还是"未知"？

指南说明：

需要考查的因子：贸易影响表格中详细列举了作用于贸易对物种生存影响的因子。

第七步指南 Guidance for Step 7

推荐的信息质量：对于被认定为第四步保护问题的“中”、“高”或“未知”的物种，和/或在第五步风险的“中”、“高”或“未知”的物种，和/或第六步采集影响的“中”、“高”或“未知”的物种，我们建议尽可能采用高质量信息，以填补第七步中的所有剩余信息缺失。对于第四步中缺失相关保护状况评估的物种，科学机构需要收集其他可用于评定贸易影响的信息。对于在第四步保护状况被认定为“低危”，第五步内禀生物学风险“低”，和第六步采集风险“低”的物种，要完成第七步的贸易影响，科学机构采用常规核实信息源，收集所需相关信息就足够了。

采用**工作表第七步**记录与所有因子和影响严重性相一致的所用信息。

为支持评定现有管理措施的严格程度（第八步），需要将野生采集影响因子“低”、“中”、“高”或“未知”的总结列表转移至**工作表第八步**。

→到第八步

Key Question 7. Considering the impacts of trade of this export as well as considering the impact of all trade on species survival, is the severity of legal and illegal trade impact “Low”, “Medium”, “High”, or “Unknown”?

Guidance notes:

Factors that affect the impact of trade on species survival are elaborated below in the table **Factors to Consider: Impacts of Trade.**

Recommended information quality: For species identified in Step 4 as “Medium”, “High” or “Unknown” conservation concern, and/or identified in Step 5 as “Medium”, “High”, or “Unknown” risk, and/or identified in Step 6 as “Medium, “High”, or “Unknown” harvest impact, the effort to locate available higher-quality information is recommended to fill any remaining information gaps for Step 7. For species lacking relevant conservation status assessments in Step 4, Scientific Authorities will need to gather any available information about trade impacts for Step 7. For species with conservation status identified in Step 4 as “Low concern”, “intrinsic biological risk” identified as “Low” in Step 5, and harvest impact identified as “Low” in Step 6, it is likely sufficient for Scientific Authorities to use routine verification sources to gather any additional information needed about actual trade impacts to complete Step 7.

Use the **Worksheet for Step 7** to record available information corresponding to each of these factors and the severity of impact indicated.

To support the evaluation of appropriate rigour of existing management measures (Step 8), summary lists of “Low”, “Medium”, “High”, and “Unknown” trade impact factors will be transferred to the **Worksheet for Step 8**.

→Go to Step 8.

第七步的终点：科学机构根据推荐质量的可用信息，确定合法和非法贸易对所关注物种影响的严重程度。贸易影响可以引导科学机构期待更严格的管理措施（第八步），并在决定 NDF 结论（第九步）时应更倾向采用预防性措施。

Endpoint of Step 7: Based on the best available information quality, Scientific Authorities determine the severity of impact of legal and illegal trade on the species concerned. Scientific Authorities are guided to expect greater management rigour for higher severity of trade impact (Step 8), and to use greater precaution in making NDFs for those species with higher or unknown severity of trade impact (Step 9).

推荐的信息源和有用案例
Useful Sources and Examples of Recommended Information Quality

需要详细 NDF 的所有物种/标本 All Species / Specimens Requiring a Detailed NDF	第四到第六步保护问题、风险和影响所确定为中、高和未知的物种 Species with Medium, High, and Unknown Severity of Conservation Concern, Risk, or Impact Identified in Steps 4-6	
常规核实： • 出口许可申请（计划的标本量） • 出口贸易历史记录 • 全国贸易数据：在 CITES 贸易数据库 (http://www.cites.org/eng/resources/trade.shtml) 中或国家 CITES 数据库中所记录的当前和过去年间贸易水平 • 用互联网检索科学名和常用名，了解需求的指向 **Routine verifications:** • Export permit application (proposed volume or number of specimens) • Export trade history • National trade data: records of current and past years' trade levels from national CITES databases or the CITES trade database (http://www.cites.org/eng/resources/trade.shtml) • Internet searches for both common and scientific names can give an indication of demand.	**现存定性信息：** • CITES 贸易数据库中的额外信息 (http://www.cites.org/eng/resources/trade.shtml 使用数据库指南 http://www.unep-wcmc-apps.org/citestrade/docs/CITESTradeDatabaseGuide_v7.pdf) • 市场报告 • 执法报告（包括罚没数据） • 进口和出口缔约国报告 • 野外和市场调研 • 贸易商、采集者和野生生物管理者提供的信息 **Existing qualitative information:** • Additional information from the CITES trade database (http://www.cites.org/eng/resources/trade.shtml also see guide to using the trade database http://www.unep-wcmc-apps.org/citestrade/docs/CITESTradeDatabaseGuide_v7.pdf) • Market reports • Enforcement reports (including seizure data) • Reports of exports and imports from other Parties • Field and market surveys • Information from traders, harvesters, wildlife managers	**现存定量信息：** • CITES 贸易数据库中有关标本出口数量的定量信息 • 全国出口量趋势 • 国内贸易量趋势（如果有） • USFWS LEMIS 和 EU-Twix 数据库（非法贸易） **Existing quantitative information:** • Quantitative information on numbers of specimens exported (CITES trade database) • Trends in volume of national exports • Trends in volume of domestic trade (if available) • USFWS LEMIS and EU-Twix databases (for illegal trade)

需要考查的因子：贸易的影响
Factors to Consider: Impacts of Trade

本表中定义的因子和指标，采用了有关物种贸易和合法非法贸易趋势的信息，以影响严重程度简单排序：低、中、高和未知。科学机构可以利用因子表，结合工作表第七步，来确认和评估贸易对所关注物种的致危性影响。

对于多数物种，因子 1 通常有可用信息，但是要确定因子 2 的难度较大。在工作表第七步中记录可用信息和位置因子。

因子	贸易影响严重程度	指标范例
1. 合法贸易量和趋势	低	• 贸易标本的量或规模小于物种丰富度（信息源自第四步和第五步） • 贸易量/市场需求随着时间减少 • 未发现贸易材料短缺
	中	• 贸易标本的量或规模和物种丰富度（第四和第五步）相比不大不小 • 贸易规模和市场需求随着时间保持稳定或少许增加
	高	• 在商业贸易中用途多样（如物种向不同类型的市场供应多种产品） • 贸易规模/市场需求多于物种或使用部分的丰富度（第四和第五步） • 贸易规模/市场需求快速增加，或因可用资源受限而减少 • 贸易材料短缺
	未知	• 该因子信息不可用
	解释： 该因子考查了与采集和贸易量趋势（减少、平稳或增加）有关的贸易幅度特征。 贸易的增加或减少，可能显示了需求或供给的变化。价格变化可能显示，贸易量的下降是源于资源下降，而提升了价格。	
2. 非法贸易量	低	• 国内国际贸易数据记录充分 • 贸易链透明 • 相似物种替代情况少 • 计算的采集量与国内和报告出口的合法贸易基本持平
	中	• 贸易（国内和国际）数据记录不全 • 很难追踪贸易链 • 需要关注相似物种的替代问题 • 需要关注估计采集量与国内和报告出口的合法贸易是否基本持平
	高	• 记录到非法贸易 • 合法国内和国际贸易记录很少 • 贸易链不透明 • 相似物种替代问题严重 • 合法出口量显著少于进口国报告的数量
	未知	• 该因子信息不可用

因子	贸易影响严重程度	指标范例
	解释： 该因子考查了合法贸易的量和规模是否占物种的主要部分，是否已知非法贸易存在，以及相似物种替代是否显著影响了物种的生存。	

The factors and indicators defined in this table use information about the characteristics of trade in the species concerned and trends in legal and illegal trade to rank trade impact severity: Low, Medium, High, and Unknown. Scientific Authorities can identify and evaluate detrimental impacts of trade to the species concerned by using this table of factors in combination with the **Worksheet for Step 7.**

For most species, information will be available for Factor 1 but may be more difficult to locate for Factor 2. Record available information and unknown factors in the **Worksheet for Step 7.**

Factor	Trade impact severity	Example Indicators
1. Magnitude and trend of legal trade	Low	• Number or volume of specimens in trade is small in relation to abundance of the species (information from Steps 4 and 5) • Trade volume / market demand decreasing over time • No shortage of material in trade observed
	Medium	• Number or volume of specimens in trade neither small nor large in relation to abundance of the species (Steps 4 and 5) • Trade volume / market demand stable or slowly increasing over time
	High	• Multiple uses in commercial trade (i.e. the species supplies several products to different types of markets) • Trade volume / market demand high in relation to information about abundance of species and part used (Steps 4 and 5) • Trade volume / market demand increasing quickly, or decreasing in response to limited resource availability • Shortages of material in trade
	Unknown	• Information about this factor is unavailable
	Explanation: This factor considers the characteristics of trade magnitude in relation to harvest and trade volume trend (decreasing, stable, or increasing). Trade might be increasing or decreasing which could indicate changes in supply or demand. Price changes might indicate that a decreasing trade volume is due to declining resource, driving up the price.	
2. Magnitude of illegal trade	Low	• Good documentation of domestic and international trade • Trade chain transparent • Little concern about substitution for a look-alike species • Estimated harvest and estimated volume in legal domestic and reported export trade are approximately equal
	Medium	• Poor documentation of trade (domestic and international) • Trade chain difficult to follow • Some concern about substitution for a look-alike species • Some concerns about whether estimated harvest and volume in legal domestic and reported export trade are approximately equal

Factor	Trade impact severity	Example Indicators
	High	• Documented illegal trade • Little documentation of legal domestic and international trade • Trade chain not transparent • Great concern about substitution for a look-alike species • Quantities legally exported are significantly smaller than quantities reported by importing countries
	Unknown	• Information about this factor is unavailable
	Explanation: This factor considers whether the magnitude and trend in legal trade is significant in proportion to the abundance of the species, whether known illegal trade exists, whether illegal trade is significant in proportion to the overall volume of trade, and whether the substitution for a look-alike species in trade has a significant influence on the species of concern's survival.	

第八步
评定管理措施的有效性

STEP 8
EVALUATE EFFECTIVENESS OF MANAGEMENT MEASURES

基本原理：该步骤的重要性
Rationale: why is this step important?

对于多数被列入 CITES 附录 II 的野生采集植物（甚至动物）物种而言，非致危性贸易需要有效执行管理措施。需要适当的管理严格度水平，来减轻（即降低严重性）已确定的特定采集和贸易对物种及其种群的影响。在很多案例中，如果全国专家清楚资源情况，认为物种生存面临的灭绝风险很低，则所需要的管理可能简单又非正式。

本指南的第四到第七步已经支持科学机构评估保护问题、内禀生物学风险、采集影响和贸易影响，确定了作用于问题严重性、风险和影响的特定因子。第八步支持采用可用信息，评定现有管理措施是否达到足够严格的水平，其有效执行可以减轻已确定的采集和贸易影响。

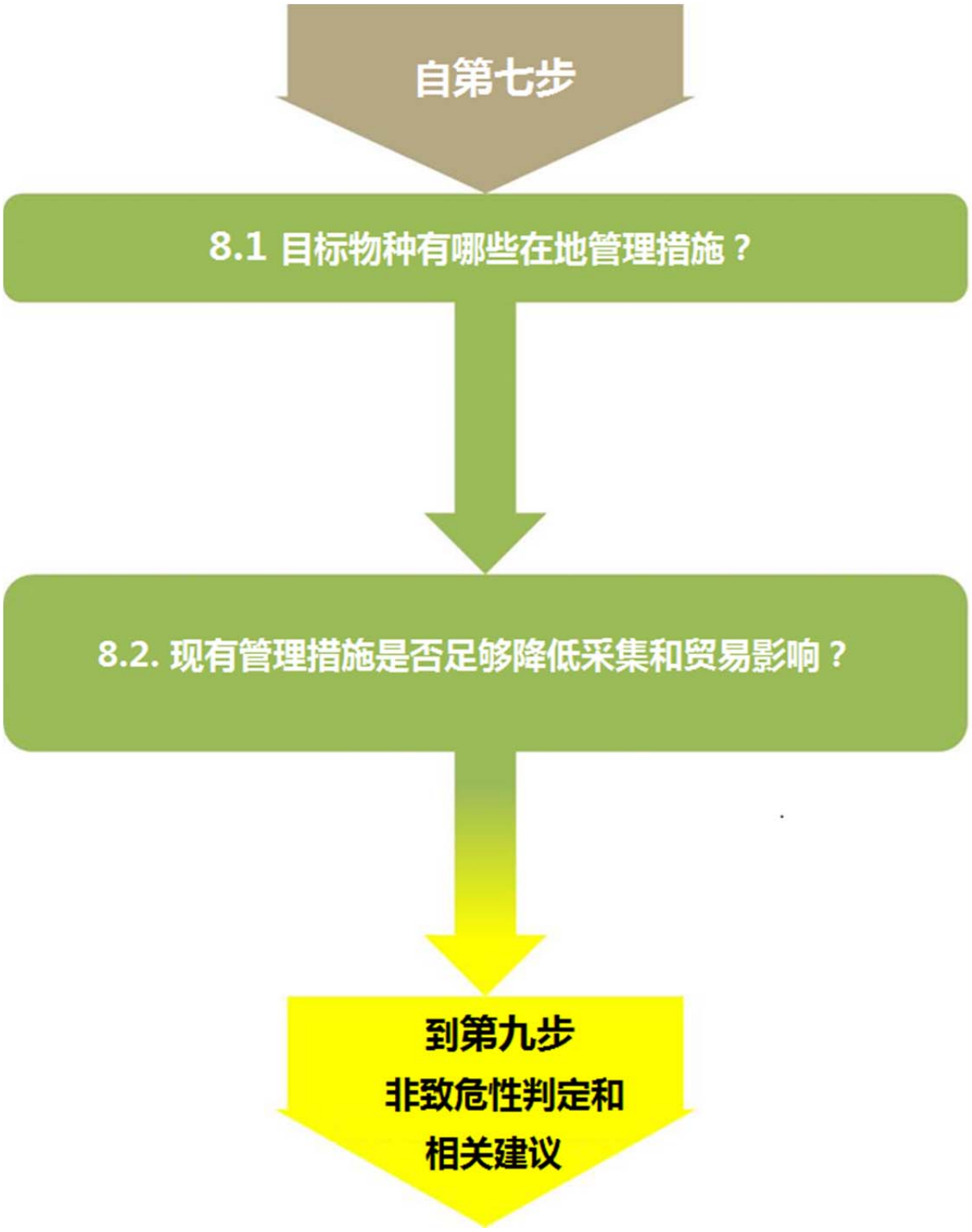
在某些案例中，现有的管理措施可以减轻采集和贸易影响；因此我们不太可能在非致危性判定过程中，将采集影响和贸易影响作为独立因子来考查（例如，如果现有的管理措施合适，采集影响和贸易影响就不是“高”）。

For most wild-harvested plant (and indeed animal) species included in CITES Appendix II, non-detrimental trade requires the effective implementation of appropriate and proportional management measures. The level of management rigour needs to be appropriate to mitigate (= reduce the severity of) the specific harvest and trade impacts identified for the species concerned and its populations. In many cases the management required may be simple and informal if the resource is well known to the national experts and there is little risk to the survival of the species.

Steps 4-7 of this Guidance have supported Scientific Authorities to assess conservation concern, intrinsic biological risk, harvest impact, and trade impact, and to identify the particular factors that contribute to the severity of concern, risk, and impact. Step 8 supports use of available information to evaluate whether the management measures in place have the appropriate level of rigour and are effectively implemented to mitigate the identified harvest and trade impacts.

In some cases, existing management measures may mitigate harvest and trade impacts; therefore, it is not possible to consider harvest impact and trade impact as independent factors in a non-detriment finding process (for example, if existing management measures are appropriate, harvest impacts and trade impacts will not be “High”).

第八步关键问题和决策路径：评定管理措施的有效性
Key Questions and Decision Path for Step 8: Evaluate Effectiveness of Management Measures



第八步指南 Guidance for Step 8

关键问题 8.1 现有目标物种的管理措施是什么

指南说明：

参考下面的第八步因子表，利用**工作表 8.1**，记录有关现有管理措施与第六到第七步采集

第八步指南 Guidance for Step 8

和贸易影响的总结信息。

建议的信息质量：对于第六-七步采集或贸易影响被确定为“低”的物种，指示科学机构采用常规核实信息源，收集有关现有管理措施所需的相关信息，完成第八步就足够了。对于在第六-七步采集或贸易影响被确定为“中”、“高”或“未知”的物种，指示尽可能查询推荐的高质量信息完成第八步。

→到关键问题 8.2

Key Question 8.1. Which management measures are in place for the target species?

Guidance Notes:

Referring to **the Factor Table for Step 8**below, and using the **Worksheet for Step 8.1,** record summary information about the existing management measures relevant to harvest and trade impacts identified in Steps 6-7.

Recommended information quality: For species identified in Steps 6-7 as having low harvest impacts or trade impacts, this Guidance considers it sufficient for Scientific Authorities to use routine verification sources to gather any additional information needed about management measures in place to complete Step 8. For species identified in Steps 6-7 as “Medium”, “High”, or “Unknown” harvest impacts or trade impacts, the guidance considers the effort to consult available higher-quality information recommended to complete Step 8.

→Go to Key Question 8.2

关键问题 8.2 现有管理措施能否足够缓和（即降低严重程度）采集和贸易影响？

指南说明：

工作表 8.2，使得我们可以对现有管理措施降低风险做出评估，和在指南最后一步之前为之前的步骤提供概要。在结尾处，将**工作表第四和第五步**的保护问题与内禀生物风险结果转移到**工作表** 8. 2 的上部。

然后，将**工作表第六和第七步**采集影响和贸易影响结果转移到**工作表 8.2** 的下部左侧。

第三步，是将**工作表第八步第 1 部分**目标物种的现有管理流程转移到**工作表 8.2** 的下部。填入与可能降低**第六和第七步**确定的贸易和采集影响有关的现有管理流程。

在最后一步，用**工作表 8.2**，根据恰当管理的以下条件，评定现有管理措施是否足够降低保护、采集和贸易影响的严重度：

a) 不存在管理措施，或不知道有管理措施的存在。

b) 现有管理措施解决贸易影响。

c) 为减少采集和贸易影响，管理措施所需的合适水平。

d) 有证据显示，现有管理措施的有效执行可以缓和采集和贸易影响。

根据预防性原则，该指南将“未知”级别的问题、风险和影响等同于高严重水平，需要严格的管理。

确定和记录所需管理措施和现有实际措施之间的差异。

第八步指南 Guidance for Step 8

考查指南，对现有管理措施的严格程度是否适于已确定的采集和贸易影响程度做一个整体判断。

→到第九步：决定 9.8

例子：有一个生长缓慢，产出少量可存活种子的物种（因而其第五步被确定为高内禀风险）。如果野生采集到目标为其成熟植株的果实，即为非致死性的，但是由于目标是对于补充种群十分重要的有限资源，因而对于目标种群具有潜在高风险。现有管理措施可能需要考查一个，不会降低被采集种群生存力的果实可采集最少数量或比例，并系统的监测采集强度和长期影响。

Key Question 8.2. Do existing management measures adequately mitigate (= reduce the severity of) the harvest impacts and trade impacts identified?

Guidance notes:

Worksheet for Step 8.2,allows for an evaluation of existing management measures in terms of mitigation of risk and a synopsis of the previous steps before arriving at the final step of the guidance. To this end, transfer the results of conservation concern (Step 4) and intrinsic biological risk (Step 5) from the **Worksheets for Steps 4 and 5** into the upper part of **Worksheet for Step 8.2**.

Then transfer results of harvest impacts (Step 6) and trade impacts (Step 7) from the **Worksheets for Steps 6 and 7** into the lower left part of **Worksheet for Step 8.2**.

In a third step, transfer the existing management procedures for the target species from **Worksheet for Step 8.1** to the lower part of **Worksheet for Step 8.2.** Place the existing management procedures against those trade and harvest impacts identified in Steps 6 and 7 which they can possibly mitigate.

In a last step, use the **Worksheet for Step 8.2**to evaluate whether management measures in place adequately mitigate the severity of harvest and trade impacts, based on the following conditions for appropriate management rigour:

e) Management measures do not exist or are unknown to exist.

f) Management measures in place address the harvest and trade impacts.

g) Management measures have the appropriate level of rigour required to mitigate harvest and trade impacts.

h) There is evidence that the existing management measures are effectively implemented to mitigate harvest and trade impacts.

According to the precautionary principle this Guidance treats “Unknown” concern, risk or impact as equal to a “High” level of severity, requiring intense management rigour.

Identify and record gaps between management measures required and those in place.

Taking the guidance into consideration, make an overall judgement of whether rigour of management measures in place are appropriate to the severity of harvest impacts, and trade impacts identified.

→**Go to Step 9**: Decision 9.8

Example: A species may be slow growing and produce few viable seeds (therefore identified as “high severity of intrinsic risk” for those factors in Step 5). If wild collection targets fruits of mature plants, this would be non-lethal, but potentially have a high impact on the targeted populations by

第八步指南 Guidance for Step 8

selectively targeting a limited resource important for population replacement. The management measures in place would need to consider the minimum number or proportion of fruits that can be harvested without reducing the viability of the harvested population(s), and have a system in place to monitor the intensity and longer-term impacts of harvest.

Endpoint of Step 8: Based on available information, Scientific Authorities identify the level of rigour of management measures in place for the target species and populations, and evaluate whether these are appropriate and effective to mitigate (= reduce the severity of) the harvest impacts, and trade impacts identified in Steps 6-7.

推荐的信息源和有用案例
Useful Sources and Examples of Recommended Information Quality

需要详细 NDF 的所有物种/标本 All Species / Specimens Requiring a Detailed NDF	第四到第七步保护问题、风险和影响所确定为中、高和未知的物种 Species with Medium, High, and Unknown Severity of Concern, Risk, or Impact Identified in Steps 4-7	
常规核实： • 出口许可申请 • 说明现有管理的保护状况评估 • 现有限额信息（即设定基础）、采集和贸易水平、影响和执法的监控信息 • 全国法律（所关注物种的保护、采集和贸易） **Routine verifications:** • Export permit application • Conservation status assessments specifying existing management • Information on existing quotas (and the basis for setting them), monitoring of harvest and trade levels and impacts, enforcement	**现存定性信息：** • 被认可的地方级//州省级/全国级管理计划 • 采集者、贸易上、资源管理者、执法官员和供应链上其他利益相关群体的访谈 • 采集说明，包括采集活动、减轻影响的措施、数量和质量控制 **Existing qualitative information:** • Approved local / national / state / provincial management plan(s) • Interviews with harvesters, traders, resource managers, enforcement officers, and other stakeholders along the supply chain	**现存定量信息：** • 保护区和采集区的定量监控 • 国内和出口贸易的定量监控 • 采集临界值（如计算最大可持续产量，最小可生存种群） **Existing quantitative information:** • Quantitative monitoring in protected and harvest areas • Quantitative monitoring of domestic and export trade • Quantitative off-take thresholds (e.g., estimates of maximum sustainable yield, minimum viable population)

推荐的信息源和有用案例
Useful Sources and Examples of Recommended Information Quality

• National legislation (conservation, harvest, trade of species concerned)	• Harvester instructions, including harvest practices, impact mitigation measures, volume and quality controls	

需要考查的因子：现有管理措施
Factors to Consider: Existing Management Measures

该表格根据管理严格度对有关采集和贸易的管理规程排序。这可以被作为管理措施类型的例子。实际上的现有管理措施无须包含表中所有显示的特性。

管理野生采集（第六步）影响范例
基本的 • 非正式（通常是口头的）采集指导和控制描述的可接受的方式 • 被一般性指导（经验法则）所界定的好方式 • 当地对采集区到达或使用的控制手段
温和的 • 当地对于采集控制的管理定义明确，如 o 最大/小年龄或尺寸等级限制 o 采集季节 o 最大采集量（通常表现为可用植物部分或个体的比例） o 采集频率 o 采集者人数（每季节） o 采集装备的类型和使用 • 监控采集控制
严格的 • 基于受监管和未监管（包括非法）的采集量的估计值，建立采集指导和控制 • 认可和协同全监管要求明确的国家和地方（特定地点）采集管理计划，如： o 坚持采集记录 o 记录采集活动 o 资源库存和生产力数据 o 再生数据 • 调整管理过程，如： o 规律性回顾采集记录 o 规律性监控采集影响 o 规律性调整采集指令 • 基于研究和监控结果得出的采集限制（包括配额），如： o 最小可生存种群估计 o 最大可持续采集量

管理野生采集（第六步）影响范例
○ 需保留的成年可繁殖个体比例 • 根据目标物种的繁殖周期，利用可靠和现实的指标（如季节性、降水周期开花和结实时间）确定的允许采集周期 • 利用可靠和现实数据（如植物直径/DBH，高度，果实数和花数，当地采集者知识）等开展种群动态评估（如尺寸和年龄级分布） • 由权威机构（如当地社区、私人领主、负责管理和监管采集的政府机构等）实施进入采集地的身份鉴别、监控和执法。

管理贸易采集影响（第七步）
基本的 • 定性（增加、稳定或下降）监控受监管和未受监管的贸易趋势
温和的 • 了解和监控了产销链中的一些点 • 供需变化的定性指标（包括国内和国际） • 贸易（国内和国际）规模和趋势的定性指标 • 受监管和未受监管贸易的定性指标 • 预防性（有限数据）的出口限额
严格的 • 基于地方和全国的生物学数据推断出口限额系统（相当于开展 NDF 的过程），年度回顾，指定产品类型 • 完整记录的产销链 • 供求变化（国内和国际贸易）的定量指标 • 贸易规模（国内和国际）和趋势的定量指标 • 受监管和未受监管贸易的估计量

This table ranks management procedures relevant for harvest and trade against the rigour of management. These should be considered as examples of the types of management measures. It is not expected or necessary that management measures in place will have all of the characteristics outlined in this table.

Examples of Management of wild harvest impacts (Step 6)
Basic • Informal (usually verbal) harvest guidelines and controls describing accepted practices • Good practices defined as general guidelines (“rules of thumb”) • Local control over access to and use of harvest area
Moderate • Local management with clearly defined harvest controls; e.g., ○ Maximum / minimum age or size classes restrictions ○ Harvest seasons ○ Maximum harvest quantity (often expressed as a proportion of available plant parts / individuals) ○ Harvest frequency ○ Number of harvesters (per season) ○ Type and methods of use of harvest equipment • Monitoring of harvest controls

Examples of Management of wild harvest impacts (Step 6)

Comprehensive
• Harvest guidelines and controls established based on estimated quantities of regulated (managed) versus unregulated (unmanaged including illegal) harvest
• Approved and coordinated national and local (site specific) harvest management plans with clear monitoring requirements; e.g.,
  o Maintaining harvest records
  o Documenting harvest practice
  o Resource inventory and yield data
  o Regeneration data
• Management approach is adaptive: e.g.,
  o Regular review of harvest records
  o Regular harvest impact monitoring
  o Regular adjustment of harvest instructions
• Harvest restrictions (including quotas) based on research and monitoring results: e.g.,
  o Estimated minimum viable population
  o Maximum sustainable harvest quantity
  o Proportion of mature, reproducing individuals to be retained
• Periods of allowed harvest determined using reliable and practical indicators (e.g., seasonality, precipitation cycles, flowering and fruiting times) and based on information about the reproductive cycles of target species.
• Demographic assessments (e.g. size or age-class distributions) use reliable and practical data (e.g.; plant diameter / DBH, height, fruiting and flowering, local harvesters' knowledge).
• Access to the harvest area defined, monitored and enforced by a recognized authority (e.g.; a local community, private landowner, government agency responsible for managing and regulating the harvest).

Examples of Management of trade impacts (Step 7)
Basic • Qualitative monitoring of trend of regulated and unregulated trade (increasing, stable, or decreasing)
Moderate • Points in the trade chain (chain of custody) known and monitored • Qualitative indicators of changes in supply and demand (both domestic and international) • Qualitative indicators of scale and trend of trade (domestic and international) • Qualitative indictors of regulated and unregulated trade • Precautionary (limited data) export quotas
Comprehensive • Export quota system based on biologically derived local and national data;annually reviewed; may specify product types • Trade chain (chain of custody) well documented • Quantitative indicators of changes in supply and demand (both domestic and international) • Quantitative indicators of scale and trend of trade (domestic and international) • Quantitative indicators / estimates of regulated / unregulated trade

第九步
非致危性判定和相关建议

STEP 9
NON-DETRIMENT FINDING AND RELATED ADVICE

基本原理：该步骤的重要性
Rationale: why is this step important?

本指南构架化的第一到第八步引导科学机构从一系列关键问题和决策路径，到形成一个“核实了目的出口是否会有害于物种生存的科学评估”[12]。

指南的这些步骤以及所支持的不同相关产出，依赖于：

- （第一步）标本鉴定是否有问题
- （第二步）标本是否明确符合 *Res. Conf. 11.11 (Rev. CoP15)*关于人工培植的所有要求
- （第三步）是否有法律禁止出口，或者 CITES 列入注释，或者与之前所做的科学 NDF 相一致，而无需实施详细的 NDF
- （第八步）现有的管理措施是否足够减轻第六和第七步确定的采集和贸易影响。

本指南还支持科学机构收集、评定和记录有关数据质量是否“适合所关注物种的脆弱性”[13]的相关信息。

留给科学机构的任务则是形成一个正面或负面的 NDF，或者相关决定，依据指南之前步骤的产出，向管理机构提出是否允许出口目标标本的建议。

Steps 1-8 of this Guidance have been structured to guide Scientific Authorities through a series of Key Questions and Decision Paths to make “a science-based assessment that verifies whether a proposed export is detrimental to the survival of that species”[14].

These Steps and the related guidance support various outcomes, depending on:

[12] Resolution Conf. 16.7, Non-detriment findings [http://www.cites.org/eng/res/16/16-07.php]

[13] Ibid.

[14] Resolution Conf. 16.7, Non-detriment findings [http://www.cites.org/eng/res/16/16-07.php]

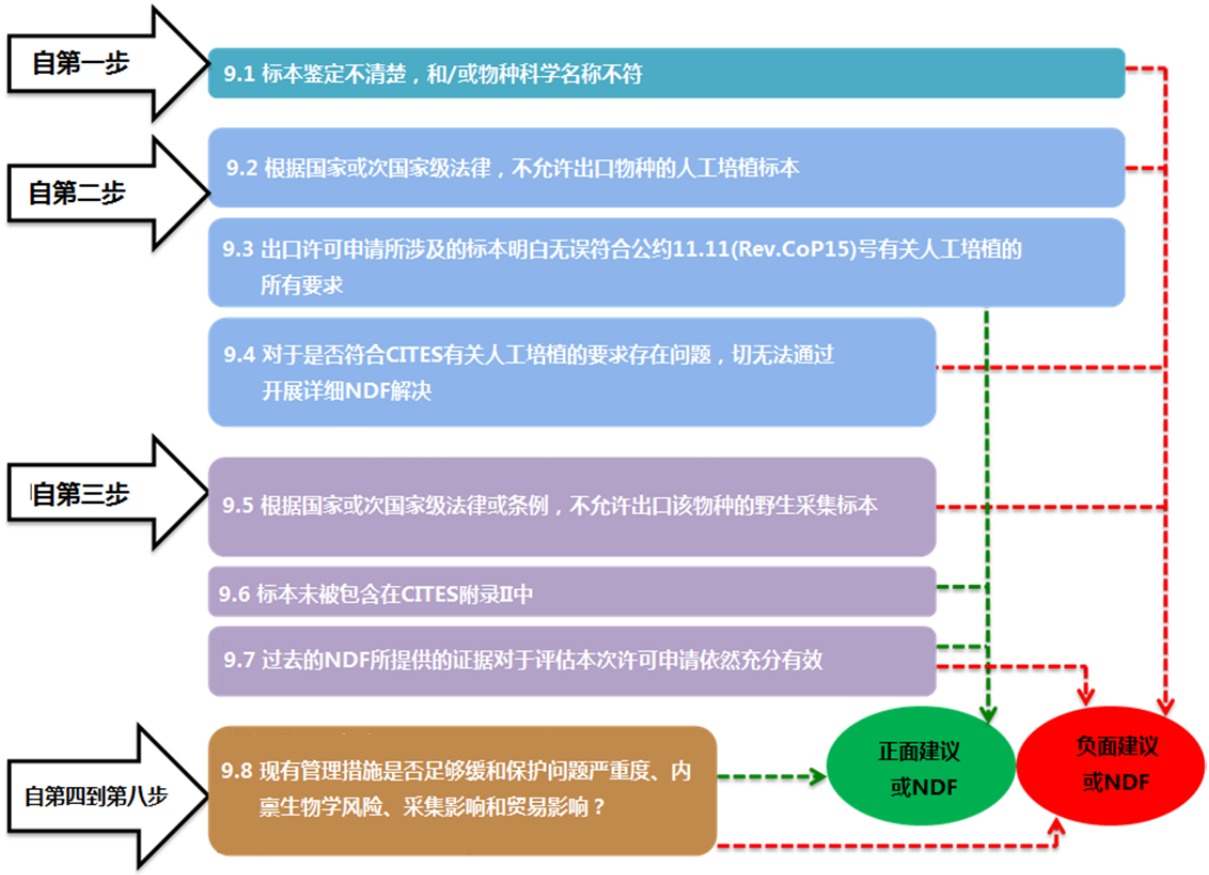
- (Step 1) whether there are concerns about specimen identification
- (Step 2) whether the specimen(s) clearly meet(s) all requirements for artificial propagation according to *Res. Conf. 11.11 (Rev. CoP15)*
- (Step 3) whether the specimens can be excluded from a detailed NDF by legislation banning export, CITES listing annotations, or compliance with a previously made, science-based NDF
- (Step 8) whether existing management measures adequately mitigate (= reduce the severity of) harvest and trade impacts identified in Steps 6-7.

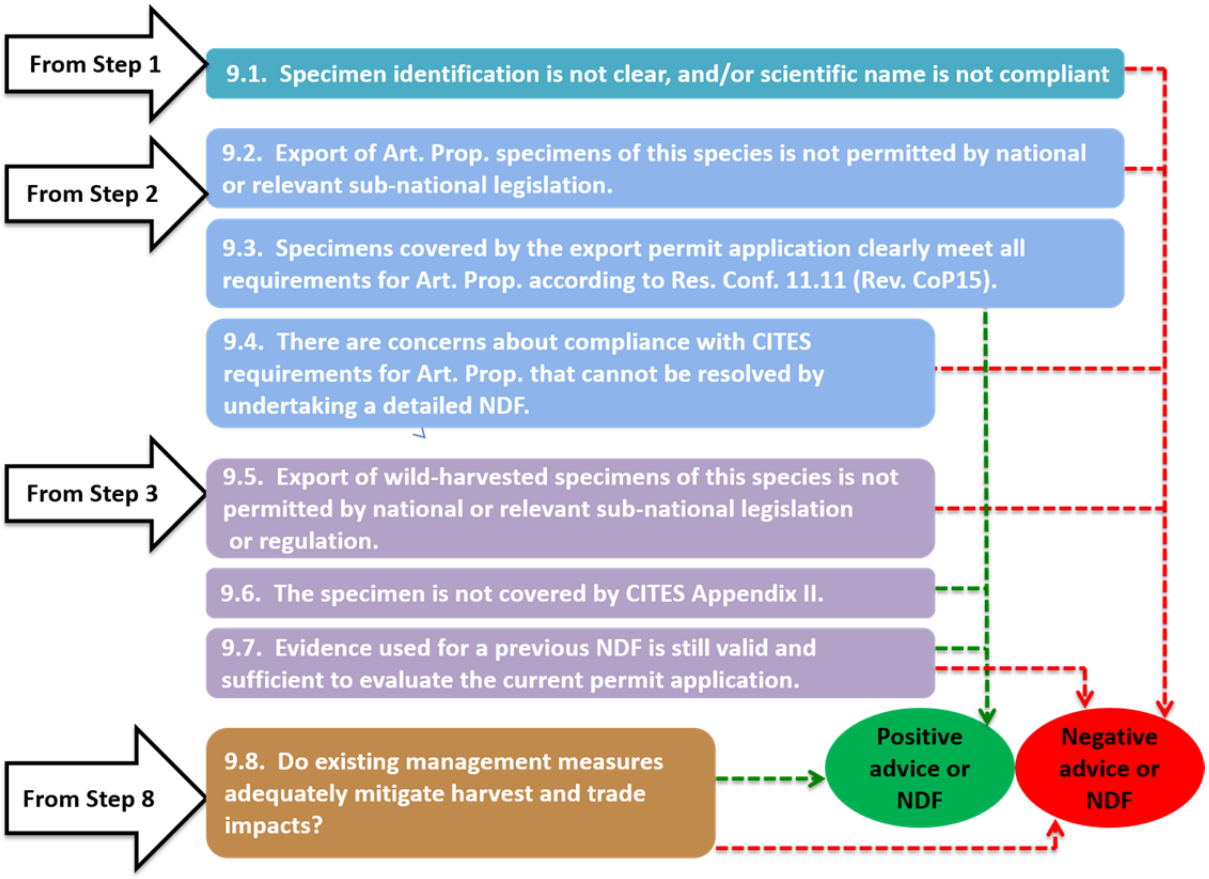
This Guidance additionally supports Scientific Authorities to gather, evaluate, and document relevant information for which the data quality is "proportionate to the vulnerability of the species concerned"[15].

The task remaining for the Scientific Authority is to make a positive or negative NDF or related decision, and to advise the Management Authority whether to allow the proposed export of specimens based on the outcome of the previous steps of this Guidance.

[15] Ibid.

第九步的决定
非致危性判定和相关建议
Decisions for Step 9
Non-Detriment Findings and Related Decisions





第九步指南 Guidance for Step 9

决定 9.1

第一步，关键问题 1.1 的产出为：科学机构没有信心准确鉴定植物标本，其科学名称的使用与 CITES 标准相一致。

指南说明：

如果所涉及的标本缺乏清晰的分类学鉴定（如物种的名称与所采纳的 CITES 文献相符），科学机构可能无法应用所需的物种相关信息，无法决定所提议的贸易是否有害于物种生存。

科学机构确定物种鉴定存在问题，且无法简单改正，或无法通过咨询植物委员会命名专家或管理机构解决。则在**第九步工作表**的**产出 9.1** 中记录这个判定的理由。

有科学机构根据本指南做出的建议为→**负面建议**

如果科学机构决定做一个正面的 NDF，则需要记录决定基础信息

Decision 9.1

The outcome of Step 1, Key Question 1.1 is: The Scientific Authority is not confident that the plant/specimen concerned has been correctly identified, and that the scientific name used is compliant with the appropriate CITES Standard.

Guidance notes:

Without a clear taxonomic identification (i.e. the naming of the species is in accordance with the adopted CITES references) of the specimens involved, the Scientific Authority may be

unable to confidently apply species-related information required to determine whether the proposed trade will not be detrimental to the survival of the species.

Concerns over the species' identity were identified by the Scientific Authority and were not easily corrected or resolved by consultation with the Nomenclature specialist of the Plants Committee or the Management Authority. Record the justification for this finding in the **Worksheet for Step 9, Outcome 9.1.**

The Scientific Authority's advice supported by this Guidance is →**Negative advice**

If the Scientific Authority decides to make a positive NDF, the basis for the finding should be documented**.**

决定 9.2

第二步，关键问题 2.2 的产出为，该物种人工培植标本的出口不受全国或相关亚全国级法律许可。

指南说明：

科学机构的建议必须与全国级或相关亚全国级法律相一致。

根据本指南，科学机构向管理机构提出建议→**建议 MA，不许可出口。**

在**第九步工作表**的**产出 9.2** 中记录决定的依据，或参考工作表第二步关键问题 2.2 的回答。

如果科学机构做出正面决定（同意出口许可），则需要记录建议的依据。

Decision 9.2

The outcome of Step 2, Key Question 2.2 is: Export of artificially propagated specimens of this species is not permitted by national or relevant sub-national legislation.

Guidance notes:

Advice of the Scientific Authority must comply with national or relevant sub-national legislation.

The Scientific Authority's advice to the Management Authority, supported by this Guidance, is → **Advise the MA that export is not permitted.**

Record the basis for the decision in the **Worksheet for Step 9, Outcome 9.2** or refer to the response in the Worksheet for Step 2, Key Question 2.2.

If the Scientific Authority advises a positive decision (approval of the export permit), the basis for this advice should be documented.

决定 9.3

第二步，关键问题 2.3 的产出是，申请出口许可的标本，明确符合 *Res. Conf. 11.11 (Rev. CoP15)*号决议中有关人工培植的所有要求

指南说明：

根据本指南，科学机构向管理机构提出建议，→**同意出口**

在**第九步工作表**的**产出 9.3** 中记录决定

第九步指南 Guidance for Step 9

Decision 9.3

The outcome of Step 2, Key Question 2.3 is: Specimens covered by the export permit application clearly meet all requirements for artificial propagation according to *Res. Conf. 11.11 (Rev. CoP15).*

Guidance notes:

The Scientific Authority's advice to the Management Authority, supported by this Guidance, is →**Approve export**

Record decision in the **Worksheet for Step 9, Outcome 9.3**.

决定 9.4

第二步，关键问题 2.4 的产出是：标本在符合 CITES 有关人工培植规定上存在问题，科学机构无法通过开展详细 NDF 来解决。

指南说明：

科学机构可能无法认定人工培植标本的出口符合 *Res. Conf. 11.11 (Rev. CoP15)*决议要求，对野生种群不存在有害影响。

科学机构根据本指南做出的决定→**负面建议**

在**第九步工作表**的**产出 9.4** 中记录决定

如果科学机构决定做出正面 NDF，需记录决定的依据

Decision 9.4

The outcome of Step 2, Key Question 2.4 is: There are concerns about compliance of the specimens with CITES requirements for artificial propagation that cannot be resolved by Scientific Authority by undertaking a detailed NDF.

Guidance notes:

The Scientific Authority may be unable to state with confidence that the export of artificially propagated specimens complies with *Res. Conf. 11.11 (Rev. CoP15)* and that it will not have a detrimental impact on the wild population.

The Scientific Authority's decision supported by this Guidance is →**Negative advice**

Record decision in the **Worksheet for Step 9, Outcome 9.4**.

If the Scientific Authority decides to make a positive NDF, the basis for the decision should be documented**.**

决定 9.5

第三步关键问题 3.1 的产出为：国际法律和相关亚全国级法律或条例禁止出口该物种野外采集标本。

指南说明：

科学机构的建议必须遵守国家级或次国家级法律。

科学机构根据本指南，向管理机构提出建议→**建议管理机构不许可出口**

科学机构可以转交管理机构开展调查，或者转交责权机构开展执法

在**第九步工作表，产出 9.5** 中记录决定

Decision 9.5

The outcome of Step 3, Key Question 3.1 is: Export of wild-harvested specimens of this species is not permitted by national or relevant sub-national legislation or regulation.

Guidance notes:

Advice of the Scientific Authority must comply with national or relevant sub-regional legislation.

The Scientific Authority's advice to the Management Authority, supported by this Guidance, is →**Advise the MA that export should not be permitted**

The Scientific Authority may refer to the Management Authority to investigate or to the responsible authority for enforcement.

Record decision in the **Worksheet for Step 9, Outcome 9.5**.

决定 9.6

第三步关键问题 3.2 的产出为：标本未被包括在 CITES 附录 II 中

指南说明：

不需要 NDF

科学机构根据本指南，向管理机构提出建议→**无需 CITES 出口许可**。

在**第九步工作表，产出 9.6** 中记录决定

Decision 9.6

The outcome of Step 3, Key Question 3.2 is: The specimen is not covered by CITES Appendix II.

Guidance notes:

An NDF is not required.

The Scientific Authority's advice to the Management Authority, supported by this Guidance, is →**CITES export permit is not required**

Record decision in the **Worksheet for Step 9, Outcome 9.6**.

决定 9.7

第三步，关键问题 3.3 的产出为，过去做过的 NDF 依然科学有效，足以评估当前出口许可申请。

指南说明：

如果存在常设 NDF，或者之前做过 NDF 评估，或者已经根据 NDF 建立了全国限额，则不需要再做一个新的 NDF。

科学机构根据本指南向管理机构提出建议：

→如果被提议的出口在之前的 NDF 额定限度内，则正面 NDF

→确定被提议的出口不在之前的 NDF 额定限度内，则负面 NDF

在**第九步工作表，产出 9.7** 中记录决定

Decision 9.7

The outcome of Step 3, Key Question 3.3 is: Science used for a previous NDF is still valid and sufficient to evaluate the current export permit application.

Guidance notes:

If there is a standing NDF, a previous NDF evaluation or a national quota that has been established based on an NDF, a new NDF may not be required.

The Scientific Authority's advice to the Management Authority, supported by this Guidance, is
→Positive NDF if the proposed export is within the parameters of the previous NDF

→Negative NDF if the proposed export is not within the parameters of the previous NDF

Record decision in the **Worksheet for Step 9, Outcome 9.7**.

决定 9.8

第八步关键问题 8.2 为，为缓和（降低严重程度）已确定对目标物种种群和亚种群采集和贸易影响，现有管理措施是否足够严格？

指南说明：

对于需要开展详细 NDF 的物种，第四到七步的关键问题和决策路径已经支持评估了保护问题、内禀生物学风险、采集影响、贸易影响及其严重程度。利用推荐的数据质量和信息，来考察问题、风险和影响的严重程度。第八步的关键问题和决策路径支持确定与已确定的问题、风险和影响相关的现有管理措施，评定现有管理措施是否足够严格，有效降低已确定的影响。

科学机构根据指南做出建议：

→如果评定的可用信息指示“是”，现有管理措施足够严格有效，或者工作表第八步关键问题 8.2 确定的关键管理差异建议为“是”，则正面 NDF，

→当评定的可用信息指示“否或不确定”，现有管理措施不够严格有效，负面 NDF，

在**第九步工作表，产出 9.8** 中记录决定

Decision 9.8

Step 8, Key Question 8.2 is: Do existing management measures adequately mitigate (= reduce the severity of) harvest and trade impacts identified?

Guidance notes:

For species requiring a detailed NDF, the Key Questions and Decision Paths in Steps 4-7 have supported evaluation of conservation concerns, intrinsic biological risks, harvest impacts, and trade impacts and their severity, using information with a data quality recommended for the severity of concerns, risks, and impacts. Key Questions and the Decision Path for Step 8 have supported identification of management measures in place that are relevant to the identified

concerns, risks, and impacts, and evaluation of whether existing management measures are sufficiently rigorous and effective to mitigate the impacts identified.

The Scientific Authority's decision supported by this Guidance is

→Positive NDF if the evaluation of available information indicates "Yes", management measures in place are sufficiently rigorous and effective, or "Yes" with conditions(e.g. upon verification of information or management measures, verification that exports remain within quota)

→Negative NDF if the evaluation of available information indicates "No or Uncertain", management measures in place are not sufficiently rigorous and effective

Record decision in the **Worksheet for Step 9, Outcome 9.8**.

第九步终点：跟随本指南第一到第八步产出的指导，科学机构做出科学的正面或负面 NDF，或者有关拟定出口标本的其他建议。NDF 的合理性来自评定，是否现有的管理保护适当且有效缓和已确定的采集和贸易影响，如果科学机构没有充分数据确定拟定贸易不危害种群或物种的生存，预防性措施是支持负面 NDF 的。

收集和评定的信息质量（即关联时间和科学机构的努力），支持 NDF 和相关建议适于保护问题、内禀生物风险、采集影响和贸易影响。

为符合与 *Res. Conf. 10.3*, 第 j 段的一致性，科学机构可能要确定哪些信息，如许可调整、资格和预防措施，以及信息缺失等需要与 CITES 管理机构相沟通。

Endpoint of Step 9: Scientific Authorities make science-based positive or negative NDFs, or other relevant decisions concerning the proposed export of specimens, guided by the outcome of Steps 1-8 of this Guidance. NDFs are justified by evaluating whether the existing management procedures are appropriate and effective to mitigate (reduce the severity of) the identified wild harvest impacts and trade impacts. If there is insufficient information to enable the Scientific Authority to determine with confidence that the proposed trade will not be detrimental to the survival of the population or species, the precautionary approach supports a negative NDF.

Quality of information gathered and evaluated (and the associated time and effort of the Scientific Authority) to support the NDF and related advice is appropriate to the severity of conservation concerns, intrinsic biological risks, harvest impacts, and trade impacts identified.

In accordance with *Res. Conf. 10.3*, paragraph j, Scientific Authorities may define any permit adjustments, qualification, precautions, or information gaps that should be communicated to the CITES Management Authority.

Annex

Consolidated Worksheets and Draft Report Format

A download of this Annex in MS Excel format is available at
http://www.bfn.de/0302_ndf+M52087573ab0.html.

如何使用本工作表

第一到九步工作表，可以帮助科学机构记录非致危性判定的基础和所使用的信息源。作为 CITES **非致危性判定多年生植物指南手册文件的九步法概述，每个工作表格都**为其中的每一步提供了关键问题答案。科学机构如**果没有合适的** DNF 报告模板可用，则可以使用合并工作表作为 NDF **和**为 CITES **管理机构提出相关建**议的报告草稿模板。

How to use these worksheets

The Worksheets for Steps 1-9 are intended to assist Scientific Authorities to document the basis for a non-detriment finding and the information sources used. Each Worksheet is designed to provide a record of responses to the Key Questions for each of the nine Steps outlined in the companion document CITES Non-detriment Findings: Guidance for Perennial Plants. In the absence of a preferred NDF report format, Scientific Authorities may find the consolidated worksheets helpful as a draft report format for the NDF and related advice to the CITES Management Authority.

NDF申请数据

物种名：（酌情填写属和种、亚种） *填入植物分类学信息*
贸易名和/或许可申请中的同物异名：
许可申请的参考编号：
NDF的完成日期：
NDF联系人/完成人：

使用者注意：在本表中所填写的物种名，将自动出现在所有工作表表头位置。

NDF Application Data

Species name: (Genus and species, sub-species, as appropriate) *species name filled on Info_Page*
Trade name(s) and/or synonyms found on permit application:
Permit application reference number:
Completion date of NDF:
Contact / Author(s) of NDF:

User note: When filling out the species name in this sheet, this name will be AUTOMATICALLY repeated in the header of all worksheets.

咨询的信息源

本表格用于记录NDF**所使用的**详细咨询信息源。该记录有利于NDF（1-9步）**的**编写和辩护。

信息源的可信度水平

- 高：所关注物种的最新的，直接相关，已发表并经同行评议的信息，及CITES认可的文献。
- 中：所关注物种的较近的，非直接相关，未发表或未经同行评议的信息
- 低：所关注物种的过时，不太相关的信息。

工作表第1-9步所用引文	**信息源（引文）**	**相关步**	**源可信度水平**
引用顺序、作者年代或其他引文模式		*[该信息被用在哪一步中]*	***[高、中、低]***

Information Sources Consulted

This table can be used to keep a detailed record of information sources consulted to make the NDF. This record will be helpful in compiling and justifying the NDF (Steps 1-9).

Level of confidence in information source

- High: up-to-date, directly relevant to the species concerned, published and peer-reviewed; reference recognized by CITES
- Medium: somewhat dated, indirectly relevant to the species concerned, unpublished or not peer-reviewed
- Low: out-of-date, less relevant to the species concerned

Citation used in Worksheets for Steps 1-9	Information source (Full reference)	Relevant Steps	Level of confidence in source
[Number, author & date, or alternative preferred format]		*[Steps to which this source contributed information]*	*[high, medium, low]*

非致危性判定(NDF)

填入植物分类学信息

第一步：审核标本鉴定

第一步的关键问题	回应和产出（涉及指南第一步）					所用信息源
1.1 科学机构是否有信心准确鉴定所关注的植物／标本，以及，其科学名称的使用是否符合相应的CITES标准？	·满足条件A和条件B，或者科学机构可以修正物种名中的一些简单错误或过时信息，解决了分类学问题。	是	X	描述已解决的问题或错误	到第二步	
	条件A和B都不满足 科学机构、管理机构以及CITES植物盲命名委员都无法解决问题	否	X	描述未解决的问题或错误	到第九步，决定9.1	
	物种鉴定的相关问题: *[文本]*					

Non-Detriment Finding (NDF)

species name filled on Info_Page

Step 1: Review specimen identification

Key questions for step 1	Responses and outcome (Refer to Guidance for Step 1)					Information sources used
1.1 Is the Scientific Authority confident that the plant/specimen concerned has been correctly identified, and, is the scientific name used compliant with the appropriate CITES Standard?	Conditions a and b are met OR the Scientific Authority has corrected a simple error or out-dated name and taxonomic concerns have been resolved	yes	X	Describe concerns or error(s) resolved below	Go to step 2	
	• Conditions a and b are not met • Concerns cannot be resolved by the Scientific Authority or referral to the MA or the Nomenclature Specialist of the CITES Plants Committee	no	X	Describe concerns or unresolved error(s) below	Go to Step 9: Decision 9.1	
	Concerns about clear identification :					
	[text]					

非致危性判定 (NDF)

填入植物分类学信息

第二步：审核是否符合人工培植要求

第二步关键问题	回应和产出（涉及指南第一步）					所用信息源
关键问题2.1 本申请是否关于人工培植标本？		是	X		到关键问题2.2	
		否	X		到第三步	
关键问题2.2 国家级或者次国家级的法律是否允许出口该物种的人工培植标本？		是	X	表述相关立法	到关键问题2.3	
		否	X	描述相关立法	到第九步，决定9.2	
	描述相关立法： [文本]					
关键问题2.3 出口许可申请所涉及的标本是否明白无误全部符合公约11.11（Rev.CoP15）号决议中有关人工培植的要求？	满足要求a和b	是	X	描述所满足的要求	到第九步，决定9.3	
	不满足要就a和b	否	X	描述所不满足的要求	到关键问题2.4	
	满足或不满足人工培植要求 [文本]					
关键问题2.4 如果科学机构开展详细的NDF，在标本满足CITES人工培植要求方面，是否仍然存在显而易见的问题不能解决？		是	X	描述相关问题	到第九步，决定9.4	
		否	X		到第三步	
	关于是否满足CITES对人工培植要求方面，该标本的问题（未被囊括在上面关键问题2.3中的：） [文本]					

species name filled on Info_Page

Step 2: Review compliance with requirements of artificial propagation

Key questions for step 2	Responses and outcome (Refer to Guidance for Step 2)					Information sources used
2.1 Is the permit application for artificially propagated specimens?		yes	X		Go to Key Question 2.2	
		no	X		Go to Step 3	
2.2 Is the export of artificially propagated specimens of this species permitted by national or relevant sub-national legislation?		yes	X	Describe relevant legislation below	Go to Key Question 2.3	
		no	X	Describe relevant legislation below	Go to Step 9: Decision 9.2	
	Describe relevant legislation:					
	[text]					
2.3 Do the specimens covered by the export permit application clearly meet all requirements for artificial propagation according to Res. Conf. 11.11 (Rev. CoP15)?	Requirements a and b are met	yes	X	Describe requirements met below	Go to Step 9: Decision 9.3	
	Requirements a and b are not met	no	X	Describe unmet requirements below	Go to Key Question 2.4	
	Requirements met or unmet for artificial propagation:					
	[text]					
2.4 Are there concerns about compliance of the specimens with CITES requirements for artificial propagation that cannot be resolved by the Scientific Authority by undertaking a detailed NDF?		yes	X	Describe concerns below	Go to Step 9: Decision 9.4	
		no	X		Go to Step 3	
	Concerns about compliance of specimens with CITES requirements for artificial propagation (if not already included above for Key Question 2.3:					
	[text]					

非致危性判定 (NDF)

填入植物分类学信息

第三步 审核相关豁免和之前所作的NDFs

第三步关键问题	回应和产出（涉及指南第一步）					所用信息源
关键问题3.1 国家级或次国家级法律或条例是否允许采集或出口该物种野生采集的标本？		是	X	描述相关法律和条例	到关键问题3.2	
		否	X	描述相关法律和条例	到第九步，决定9.5	
	相关国家级或次国家级法律或条例（包括需要告知管理机构或者执法机构的问题）： [文本]					
关键问题3.2 标本是否受CITES附录II管制？		是	X		到关键问题3.3	
		否	X	描述被CITES附录II豁免的原因（如相关注释）	到第九步，决定9.6	
	标本被CITES附录II豁免的原因（及要告诉给管理机构无需NDF和CITES出口许可证的信息） [文本]					
关键问题3.3 科学机构之前是否就该物种实施过科学的NDF，该NDF是否依然有效并仍可用于评定当前的出口许可申请？		是	X	描述之前做过的NDF结果	到第九步，决定9.7	
		否	X	记录为什么之前的NDF对于本次许可申请已经不适用或不充分的原因	到第四步	
	之前的NDF： [文本]					

species name filled on Info_Page

Step 3: Review relevant exclusions and previously-made NDFs

Key questions for Step 3	Responses and outcome (Refer to Guidance for Step 3)					Information sources used
3.1. Is the harvest or the export of wild-harvested specimens of this species permitted by national or relevant sub-national legislation or regulation?		yes	X	Describe legislation or regulation and its relevance below	Go to Key Question 3.2	
		no	X	Describe relevant legislation or regulation below	Go to Step 9: Decision 9.5	
	Relevant national or relevant sub-national legislation or regulation (including concerns to be referred to the Management Authority or to the responsible authority for enforcement): [text]					
3.2. Is the specimen covered by CITES Appendix II?		yes	X		Go to Key Question 3.3	
		no	X	Describe reason for exclusion of the specimen from CITES Appendix II (e.g. the relevant Annotation)	Go to Step 9: Decision 9.6	
	Reason for exclusion of the specimen from CITES Appendix II (and information for the Management Authority that an NDF and CITES export permit are not required) [text]					
3.3. Has the Scientific Authority previously made a science-based NDF for this species that is still valid and is sufficient to evaluate the current export permit application?		yes	X	Describe previously-made NDFs below	Go to Step 9: Decision 9.7	
		no	X	Record reasons that evidence used for a previous NDF is not valid and sufficient to evaluate the current permit application	Go to Step 4	
	Previously made NDF: [text]					

非致危性判定 (NDF)

填入植物分类学信息

第四步 评定保护问题

4.1 保护现状评估

Conservation status	International	Regional	National	Information sources used	Threats noted in assessment	Confidence level	可信度水平
							高

4.2 采集区的保护问题严重性

引用指南文件第四步的因子表

High	Med	Low	Unk	Information sources used

将灰色部分拷贝到第八步8.2表格概述中

Non-Detriment Finding (NDF)

species name filled on Info_Page

Step 4: Conservation Concern

4.1 Conservation status assesssments

Conservation status	International	Regional	National	Information sources used	Threats noted in assessment	Confidence level

4.2 Severity of conservation concern relevant to harvest area

Refer to the factcr table for step 4 in the Guidance document

High	Med	Low	Unk	Information sources used

非致危性判定 (NDF)

填入植物分类学信息

第五步：评定内禀生物学风险

引用指南文件第五步中的因子表

因子	风险	高	中	低	未知	**所用信息源**	**可信度水平**
植物部分与物种生活形式							
	根据需要插入更多行						
地理分布							
丰富度							
生境特异性							
再生							
繁殖							
生态系统角色			X				

概述内禀风险：

植物部分与物种生活形式					
地理分布					
丰富度					
生境特异性					
再生					
繁殖					
生态系统角色					

将灰色部分拷贝到第八步**8.2**表格概述中

Non-Detriment Finding (NDF)

species name filled on Info_Page

Step 5: Intrinsic Biological Risks

Refer to the factor table for step 5 in the Guidance document

Factor	Risks	High	Med	Low	Unk	Information sources used	Confidence level
plant part vs. lifeform							
	[insert extra lines if needed]						
geographic distribution							
abundance							
habitat specificity							
regeneration							
reproduction							
role in ecosystem			X				

Summary of intrinsic risk:

plant part vs lifeform					
geographic distribution					
abundance					
habitat specificity					
regeneration					
reproduction					
role in ecosystem					

Copy grey section into spreadsheet

非致危性判定(NDF)

填入植物分类学信息

第六步：采集影响

引用指南文件第六步中的因子表

因子	影响	高	中	低	未知	所用信息源	可信度水平
对植物个体							
	[根据需要插入更多行]						
对目标种群							
对国家种群							
对其它物种							

将灰色部分拷贝到第八步8.2表格概述中

Non-Detriment Finding (NDF)

species name filled on Info_Page

Step 6: Harvest Impacts

Refer to the factor table for step 6 in the Guidance document

Factor	Impacts	High	Med	Low	Unk	Information sources used	Confidence level
on individual plant							
	[insert extra lines if needed]						
on target population							
on national population							
on other species							

Copy grey section into spreadsheet Step8.2_Summary

非致危性判定(NDF)

填入植物分类学信息

第七步 贸易影响

引用指南文件第七步中的因子表

因子	影响	高	中	低	未知	所用信息源	可信度水平
合法贸易							
	[根据需要插入更多行]						
非法贸易							

将灰色部分拷贝到第八步8.2表格概述中

Non-Detriment Finding (NDF)

species name filled on Info_Page

Step 7: Trade Impacts

Refer to the factor table for step 7 in the Guidance document

Factor	Impacts	High	Med	Low	Unk	Information sources used	Confidence level
legal trade							
	[insert extra lines if needed]						
illegal trade							

Copy grey section into spreadsheet Step8.2_Summary

非致危性判定 (NDF)

填入植物分类学信息

第8.1步：现有管理措施

涉及指南文件第八步中的因子表

缓解采集影响的管理措施	所用信息源	可信度水平

缓解贸易影响的管理措施	所用信息源	可信度水平

将灰色部分拷贝到第八步8.2表格概述中

Non-Detriment Finding (NDF)

species name filled on Info_Page

Step 8.1: Managament measures in place

Refer to the factor table for step 8 in the Guidance document

HARVEST Management measures	Information sources used	Confidence level

TRADE Management measures	Information sources used	Confidence level

Copy grey sections into spreadsheet Step8.2_Summary

非致危性判定 (NDF)

*)

填入植物分类学信息

第8.2步：评定现有管理措施的严格程度是否合适

对于该物种确定了那些保护问题、风险和影响？								对该物种有哪些现有管理措施？						
步	关键	因子	保护问题和内禀风险	高	中	低	未知							
第四步 保护问题		严重性和尺度												
第五步 内禀生物学风险		植物部分和植物生活形式												
		地理分布												
		丰富度												
		生境特异性												
		再生												
		繁殖												
		生态系统角色												
步	关键	因子	采集影响和贸易影响	高	中	低	未知	管理措施	不适用	不存在或未知	针对该问题	恰当严格	有效实施	
第六步 采集影响		对植物个体												
		对目标种群												
		对国家种群												
		对其它物种哦和那个												
第七步 贸易影响		合法贸易												
		非法贸易												

*) 将红点拷贝入"关键因子"列，以指示影响物种的因子中是否有超出平均水平的一个或多个因子，并因此对其提起重视。

Non-Detriment Finding (NDF) [1)] *species name filled on Info_Page*

Step 8.2: Evaluate Effectiveness of Management Measures

Which concerns, risks and impacts have been identified for the species?								Which management measures are in place for the species?						
Step	Key[1)]	Factor	Conservation concerns & intrinsic risks	High	Med	Low	Unkn							
Step 4 Conservation concern		Severity												
Step 5 Intrinsic biological risk		plant part vs. lifeform												
		geographic distribution												
		abundance												
		habitat specificity												
		regeneration												
		reproduction												
		role in ecosystem												
Step	Key[1)]	Factor	Harvest impacts & trade impacts	High	Med	Low	Unkn	Management measures	not applicable	don't exist or unknown	address this issue	appropriate rigour	effectively implemented	
Step 6 Harvest impact		on individual plant												
		on target population												
		on national population												
		on other species												
Step 7 Trade impact		legal trade												
		illegal trade												

[1)] Copy the red dot into the column "Key" to indicate whether one or several of the factors contribute to the impact on the species above average (key factors) and thus have to be valued higher than other factors.

非致危性判定(NDF)

第九步：非致危性判定和相关建议

根据本指南所进行的NDF，**将可能**产出列在该表中。每项出口许可只能得到以下产出中的任意一项。使用前述步骤相关工作表中的细节信息与此工作表，可以生成简单报告，向CITES**管理机构提出相关建**议或NDF结果。

NDF过程的产出	NDF结果和相关建议
9.1 **第一步，关**键问题1.1**的**产出：标本鉴定不明确，SA**或**CITES**植物委**员会**命名**专家无法简单解决分类问题	x （指南导向）负面NDF x **正面**NDF x **其它：例如未决的**负面NDF，转交管理机构决定 **科学机构做出建**议的理由： *[概述，或引用工作表1，关键问题1.1]*
9.2. 第二步，关键问题2. 2的产出：国家或次国家级立法不允许出口该物种的人工培植标本	x （指南导向）负面决定（否定出口许可） **科学机构做出建**议的理由： *[概述，或引用工作表2，关键问题2.2]*
9.3. **第二步关**键问题2.3**的**产出是：申请**出口**许可证的标本清楚的符合Conf. 11.11（Rev.CoP15）**号决**议对人工培**植的所有要求**	x （指南导向）正面决定（同意出口许可） x **其它：** **科学机构做出建**议的理由： *[概述，或引用工作表2，关键问题2.3]*
9.4.**第二步，关**键问题2.4**的**产出：标**本在符合**CITES**有关人工培植**规定上存**在**问题，科学机构无法通过开展详细NDF**来解决**	x （指南导向）负面NDF x **正面**NDF **科学机构做出建**议的理由： *[概述，或引用工作表2，关键问题2.4]*

NDF过程的产出	NDF结果和相关建议
9.5.第三步，关键问题3.1的产出：国家级和相关次国家级法律或条例禁止出口该物种的野外采集标本	x （指南导向）负面决定（否定出口许可） x 正面决定（同意出口许可） x 其它：例如未决的负面NDF，转交管理机构调查 **科学机构做出建议的理由：** *[概述，或引用工作表3，关键问题3.1]*
9.6.第三步，关键问题2.3的产出：CITES附录II并不包含该标本	x （指南导向）无需CITES出口许可 x 其它： **科学机构做出建议的理由：** *[概述，或引用工作表3，关键问题3.2]*
9.7.第三步，关键问题3.3的产出：之前做过的NDF所使用的证据对于评定本次出口许可申请依然有效且充分	x 正面NDF，拟行出口在之前所作NDF所确定的限度之内 x 负面NDF，拟行出口不在之前所作NDF所确定的限度之内 x 其它： **科学机构做出建议的理由：** *[概述，或引用工作表3，关键问题3.4]*
9.8.第八步，关键问题8.2的产出：现有的管理措施是否足够缓解（降低严重程度）拟行出口对有关物种国家种群或次国家种群的保护问题、内禀生物学风险、采集影响和贸易影响？	x 如果证据显示为“是”或者“在特定情况下”则为正面NDF x 如果证据显示为“否或不确定”则为负面NDF x 其它：例如未决的负面NDF，转交管理机构评定保护问题、内禀生物学风险、采集影响、贸易影响或管理措施的严格度等 **科学机构做出建议的理由：** *[概述，或引用工作表8，关键问题8.2]* 为保证物种生存所应采取的特定管理程序，预防性措施或其它行动： *(在此列出行动建议)*

Non-Detriment Finding (NDF)

species name filled on Info_Page

Step 9: Non-Detriment Finding and Related Advice

Possible Outcomes of the NDF process based on this Guidance are listed in in this worksheet. Each export permit application should have just one of the following outcomes. The Worksheet, together with more detailed information in the relevant Worksheets for previous steps, may be useful as a summary report of the NDF results and related advice to the CITES Management Authority.

Outcome of NDF Process	NDF Results and Related Advice
9.1. The outcome of Step 1, Key Question 1.1 is: *Identification of the specimen(s) is not clear, and concerns about taxonomic identification are not easily resolved by the Scientific Authority or referral to the Management Authority or to the Nomenclature Specialist of the CITES Plants Committee*	x Negative NDF (supported by this Guidance) x Positive NDF x Other: e.g., Negative NDF pending referral to the Management Authority **Justification for the advice of Scientific Authority:** *[Summary, or refer to Worksheet 1, Key Question 1.1]*
9.2. The outcome of Step 2, Key Question 2.2 is: *Export of artificially propagated specimens of this species is not permitted by national or relevant sub-national legislation*	x Negative decision (deny export permit) (supported by this Guidance) **Justification for advice of Scientific Authority:** *[Summary, or refer to Worksheet 2, Key Question 2.2]*
9.3. The outcome of Step 2, Key Question 2.3 is: Specimens covered by the export permit application clearly meet all requirements for artificial propagation according to *Res. Conf. 11.11 (Rev. CoP15)*	x Positive decision (approve export permit) (supported by this Guidance) x Other: **Justification for advice of Scientific Authority:** *[Summary, or refer to Worksheet 2, Key Question 2.3]*
9.4. The outcome of Step 2, Key Question 2.4 is: *There are concerns about compliance of the specimens with CITES requirements for artificial propagation that cannot be resolved by Scientific Authority by undertaking a detailed NDF*	x Negative decision (supported by this Guidance) x Other: e.g., Negative NDF pending referral to the Management Authority to investigate **Justification for advice of Scientific Authority:** *[Summary, or refer to Worksheet 2, Key Question 2.4]*

Outcome of NDF Process	NDF Results and Related Advice
9.5. The outcome of Step 3, Key Question 3.1 is: *Export of wild-harvested specimens of this species is not permitted by national or relevant sub-national legislation or regulation*	x Negative decision (deny export permit) (supported by this Guidance) x Positive decision (approve export permit) x Other: e.g., Negative NDF pending referral to the Management Authority to investigate **Justification for advice of Scientific Authority:** *[Summary, or refer to Worksheet 3, Key Question 3.1]*
9.6. The outcome of Step 3, Key Question 3.2 is: *The specimen is not covered by CITES Appendix II*	x CITES Export permit not required (supported by this Guidance) x Other: **Justification for advice of Scientific Authority:** *[Summary, or refer to Worksheet 3, Key Question 3.2]*
9.7. The outcome of Step 3, Key Question 3.3 is: *Evidence used for a previous NDF is still valid and sufficient to evaluate the current export permit application*	x Positive NDF, proposed export is within the parameters of the previous NDF x Negative NDF, proposed export is not within the parameters of the previous NDF x Other: **Justification for advice of Scientific Authority:** *[Summary, or refer to Worksheet 3, Key Question 3.4]*
9.8. Step 8, Key Question 8.2 is: Do *existing management measures adequately mitigate (reduce the severity of) harvest and trade impacts identified?*	x Positive NDF if the evidence indicates "Yes" or "Yes, with specific conditions" x Negative NDF if the evidence indicates "No or Uncertain" x Other: e.g., Negative NDF pending additional information required to evaluate harvest impacts or trade impacts or management **Justification for advice of Scientific Authority:** *[Summary, or refer to Worksheet 8, Key Question 8.2]* **Specific management procedures, precautions, other actions that need to be undertaken to ensure the survival of the species:** *(Please list any such recommended actions below)*