# NEW Rules for Protected Species and Musical Instruments

December 7, 2016

#### Presented by:















## **Technical Tips**

- Please listen via computer audio for optimal performance, close other browser windows and programs for the duration of the webinar.
- All participants are in listen-only mode.
- Feel free to send questions via the Q&A
   box on your screen.















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## Hosted by

#### **American Federation of Musicians**

Alfonso Pollard, apollard@afm.org

#### **American Federation of Violin and Bow Makers**

John Bennett, <u>bennettandassoc@aol.com</u>

#### **Carnegie Hall**

David Freudenthal, dfreudenthal@carnegiehall.org

#### **Chamber Music America**

Margaret Lioi, mlioi@chamber-music.org

#### **League of American Orchestras**

Heather Noonan, hnoonan@americanorchestras.org

#### NAMM, the National Association of Music Merchants

Mary Luehrsen, MaryL@namm.org
Jim Goldberg, jimcounsel@aol.com

#### The Recording Academy

Todd Dupler, Todd.Dupler@grammy.com















# CITES Permits for Traveling Musicians



Division of Management Authority
International Affairs Program
U.S. Fish and Wildlife Service

December 2016

## **Topics**

- Introductions: International Affairs Program
- Wildlife Trade
- CITES and Permits 101
- Recent CITES timber listings
- Previously Submitted Questions and Answers
- Open Discussion



### Introductions

#### **Introductions: Expert Panel**

- Tim VanNorman, Chief, Branch of Permits
- Laura Noguchi, Chief, Wildlife Trade and Conservation Branch
- Amneris Siaca, Supervisory Wildlife Biologist, Branch of Permits
- Anne St. John, Biologist, Wildlife Trade and Conservation Branch
- Darcy Vargas, Biologist, Branch of Permits
- Emma Nelson, Biologist, Branch of Permits
- Keri Parker, Senior Biologist & Outreach Specialist, Office of Outreach and Communications



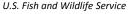
## **Topics**

- USFWS International Affairs Program
- Wildlife Trade
- CITES 101
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### What do alligator boots, a guitar with a rosewood fretboard, African elephants and giant pandas have in common?







### **International Wildlife Trade**

- Wildlife trade is any sale or exchange of wild animal and plant resources by people.
- This can involve live animals and plants or a diverse range of products needed or prized by humans—including skins, medicinal ingredients, tourist souvenirs, timber, fish and other food products.
   (TRAFFIC 2013)







### **International Wildlife Trade**

- The wildlife trade involves hundreds of millions of individual plants and animals from tens of thousands of species.
- Most wildlife trade is probably within national borders, but there is a large volume of wildlife in trade internationally.

(TRAFFIC 2013)





#### **How Can Musicians Be Part of Conservation?**

### Compliance

**Comply with** international, national, state, and local wildlife and plant laws to ensure your lawful, sustainable activities are separate and distinct from those that harm vulnerable populations.

- Become familiar with conservation activities to benefit trees and forests and wildlife in the wild.
- Ask questions when buying an instrument.
- Maintain careful records and documentation.



## **Topics**

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### **Legal Trade: CITES**

### Convention on the International Trade in Endangered Species of Wild Fauna and Flora (CITES)



The aim of CITES is to ensure that international trade in specimens of wild animals and plants does not threaten their survival.

(CITES.org)

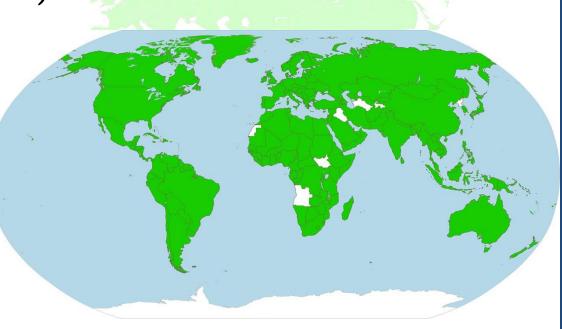


#### **CITES101: Member Countries**

There are 183 "Parties" to CITES (182 countries plus the EU)

 Note that the United Nations recognizes 195 sovereign states/countries in the world.

(CITES.org)





#### **CITES: Conference of the Parties**

## Every three years members or "Parties" gather to:

- review progress in the conservation of listed species included in the Appendices;
- consider proposals to amend the lists of species in Appendices I and II;
- consider discussion documents and reports from the Parties, the permanent committees, the Secretariat and working groups;
- recommend measures to improve the effectiveness of the Convention; and
- make budgetary provisions (CITES.org)





CITES.org



### **Our Work**

- The United States is one of the world's largest importers and exporters of CITES-listed animals, plants and their products
  - The U.S. Management Authority processes 6,000-7,000 CITES applications and issues 15,000-20,000 permits annually
  - ➤ The U.S. Scientific Authority completes annually ca. 300 findings for CITES-listed species (which often include 100-200 species) and numerous programmatic findings to ensure that trade is sustainable

















### CITES101: What about plants and animals?

- Roughly 5,000 species of animals and more than 35,000 species of plants are protected by CITES against over-exploitation through international trade.
- They are listed in the three "CITES Appendices."

https://cites.org/eng/app/appendices.php

(CITES.org)

	Appendix I	Appendix II	Appendix III
FAUNA			
Mammals	300 spp. (incl. 11 popns) + 23 sspp. (incl. 3 popns)	501 spp. (incl. 16 popns) + 7 sspp. (incl. 2 popns)	45 spp. + 10 sspp.
Birds	154 spp. (incl. 2 popns) + 10 sspp.	1278 spp. (incl. 1 popn) + 3 sspp.	25 spp.
Reptiles	80 spp. (incl. 8 popns) + 5 sspp.	673 spp. (incl. 6 popns)	40 spp.
Amphibians	17 spp.	126 spp.	3 spp.
Fish	16 spp.	87 spp.	-
Invertebrates	63 spp. + 5 sspp.	2162 spp. + 1 sspp.	22 spp. + 3 sspp.
FAUNA TOTAL	630 spp. + 43 sspp.	4827 spp. + 11 sspp.	135 spp. + 13 sspp.
FLORA	301 spp. + 4 sspp.	29592 spp. (incl. 162 popns)	12 spp. (incl. 2 popns) + 1 var.
GRAND TOTAL	931 spp. + 47 sspp.	34419 spp. + 11 sspp.	147 spp. + 13 sspp. + 1 var.

(updated on 2 October 2013)





### **CITES101: Appendices**



Appendix I (about 1,000 spp.):

- Species threatened with extinction
- Commercial trade is generally prohibited

#### Appendix II (about 35,000 spp.):

- Species vulnerable to overexploitation but not at risk of extinction
- Commercial and non-commercial trade allowed





Appendix III (about 150 spp.):

- Species protected by at least one country to address legal origin, not sustainability
- Most activities generally allowed
- Purpose is to address legal origin, not sustainability

(CITES.org)





#### **Domestic Wildlife and Plant Protection Laws**

- Lacey Act (1900)
- Migratory Bird Treaty Act (1918)
- Marine Mammal Protection Act (1972)
- Endangered Species Act (1973)
- CITES (1975)

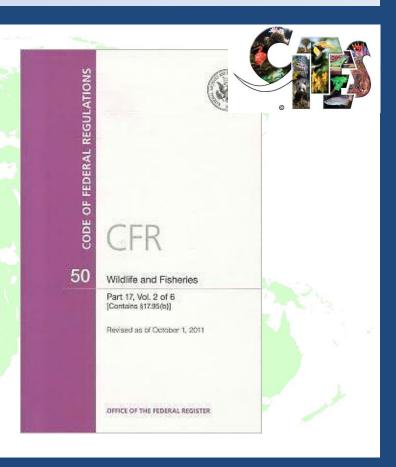
- African Elephant Conservation Act (1989)
- Wild Bird Conservation Act (1992)
- State game, fish, and non-game wildlife laws
- Local laws





### **Implementing Regulations**

- Regulations that implement U.S. wildlife laws are documented in the Code of Federal Regulations.
- Includes definitions and US-specific information
- Regulations are referred to by Title and Part
- CITES is **Title 50** (Wildlife and Fisheries), **Part 23**, which we refer to as "50 CFR 23..."
- See <u>www.ecfr.gov</u>





## How does this impact musicians?

- Be aware that certain interstate or international activities with wood or wildlife products such as wooden instruments or instruments with ivory inlays are prohibited or regulated under international and domestic law.
- BEFORE you make plans to acquire a new instrument or travel with an instrument made of a protected wood or wildlife species, make plans to ensure compliance.



#### CITES: It all comes down to PERMITS

The backbone of CITES is the permit system that facilitates international cooperation in conservation and trade monitoring of species listed in the three Appendices.



- ✓ Permits are issued only if a country's Management and Scientific Authorities determine that trade is legal and does not threaten the species' survival in the wild.
- Permits provide a means to balance use and conservation of protected species.



## What type of permit do I need?

- Appendix-I species generally require an import permit from the importing country and an export permit from the exporting country
- Appendix-II species require an export permit or certificate from the exporting country
- ❖ Appendix-III species require an export permit from the listing country and certificate of origin from all others
- "Pre-Convention" specimens require CITES certificates for export, but not import



(CITES.org)





## **Topics**

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- CITES and Permits 101
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### CoP17 Updates

Effective January 2, 2017, the following timber species, all commonly referred to as rosewood, will be listed in CITES Appendix II:



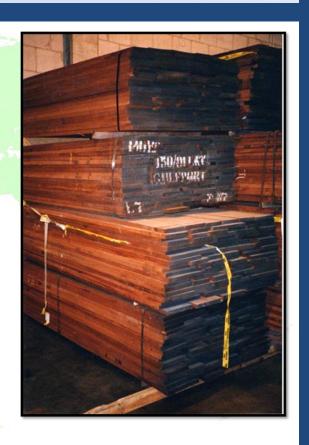
- Kosso (Pterocarpus erinaceus) aka African rosewood (no annotation, which means that it covers all parts and derivatives. )
- **Bubinga** (Guibourtia demeusei, Guibourtia pellegriniana, and Guibourtia tessmannii) (with an annotation)
- **Dalbergia spp.** (the entire genus except Brazilian rosewood (*Dalbergia nigra*)) (with an annotation)





### **CITES 101: What is an annotation?**

An annotation identifies what parts or items are covered or not covered by the CITES listing—those parts or items that are or are not regulated.





# Changes from CITES CoP17: Dalbergia and Bubinga

The listings of Dalbergia spp. (except for Brazilian rosewood (Dalbergia nigra), which is listed in Appendix I) and the three bubinga species (Guibourtia demeusei, Guibourtia pellegriniana, and Guibourtia tessmannii) carry the following new annotation:

All parts and derivatives are included, except:

- a) Leaves, flowers, pollen, fruit, and seeds;
- b) Non-commercial exports of a maximum total weight of 10 kg per shipment;
- c) Parts and derivatives of *Dalbergia cochinchinensis* which are covered by Annotation #4;
- d) Parts and derivatives of *Dalbergia spp.* originating and exported from Mexico which are covered by Annotation #6.



# Changes from CITES CoP17: Dalbergia and Bubinga

- In this new annotation, paragraph b) refers to both exports and re-exports and <u>exempts</u> from CITES controls "non-commercial" shipments weighing 10 kg or less.
- Under U.S. regulations (50 C.F.R. 23.5), "non-commercial" means related to an activity that is not commercial, and includes but is not limited to personal use.
- "Commercial" means related to an activity that is reasonably likely to result in economic use, gain, or benefit, including, but not limited to, profit (whether in cash or in kind).
- Examples of non-commercial shipments include gifts, items not intended for sale that are carried in personal baggage or as part of a household move, and items that are personally owned and shipped to oneself. We believe that many personally owned instruments, such as guitars and violins, will therefore be exempt from the Appendix II permit requirements. It depends on whether the instrument contains 10kg or more of these species of wood and other factors.
- Items from these species that do not meet the requirements of this exemption must be accompanied by CITES documents when traded internationally.
- Please see the letter available on our website for details on these annotations (https://www.fws.gov/international/pdf/letter-appendix-II-timber-listings-november-2016.pdf)





# Permits 101: Travel With Musical Instruments (Sometimes a permit is not required...)

- Appendix II Bubinga and Dalbergia (annotation)
- Many personally owned instruments, such as guitars and violins, will be exempt from the Appendix II permit requirements.
- It depends on whether the instrument contains less than 10kg of these species of wood.
- Clearance and inspection requirements may apply!



Courtesy P. Pieper



# Permits 101: Travel With Musical Instruments (Permit may not be required: Personal and Household Effects)

If an individual is traveling with an instrument, and the instrument only contains Appendix II or Appendix III species, that individual may qualify for the personal or household effects exemption.

- Under CITES, the term "personal and household effects" means specimens that are:
  - personally owned and possessed for non-commercial purposes;
  - · legally-acquired; and
  - at the time of import, export or re-export either:
    - worn, carried or included in personal baggage; or
    - part of a household move.
- Our regulations on personal effects can be found at <u>50 CFR 23.15</u>. (See <u>www.ecfr.gov</u>. Print a copy of this regulation out and keep it with the instrument for reference purposes).
- We recommend keeping documentation about the source and history of the item with the item.
- Not all CITES Parties implement a "personal effects exemption."
   Therefore, always consult with CITES Authorities prior to traveling with an instrument that contains CITES species (http://www.cites.org/cms/index.php/component/cp)
- Clearance and inspection requirements may still apply!



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# Permits 101: Travel With Musical Instruments—when a permit is required...

## Musical Instrument and Traveling Exhibition Certificates

- A **Musical Instrument Certificate** is a passport-like certificate for musical instruments that is issued to **individuals**.
- A **Traveling Exhibition Certificate** is a passport-like certificate for musical instruments that is issued to **orchestras** and **ensembles**.
- Your primary residence must be in the United States (i.e., you reside in the United States for the majority of the year) to be eligible for this certificate.
- Certificates issued may be valid for up to three years, and are intended for multiple border crossings for non-commercial purposes (e.g., the instrument is not being offered for sale or being sold while outside the United States).
- Traveling for performance purposes is not considered commercial in this context.

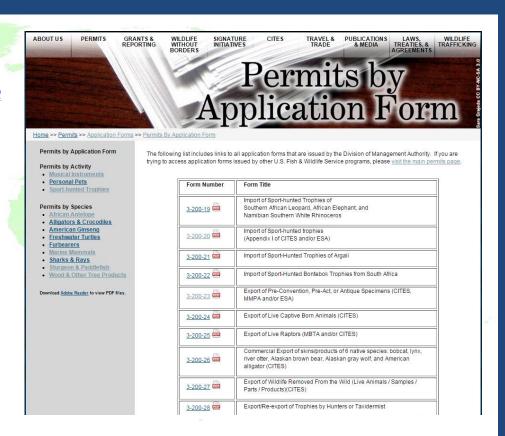


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## Permits 101: How do I apply?

Application forms are available from https://www.fws.gov/international/permits/.







# Permits 101: How do I apply? Musical Instrument/ Traveling Exhibition Certificates

Musical Instrument Certificate (individuals for music performance purposes, multiple use, not for sale purposes): use form 3-200-88

 Pre-Convention, Pre-Act, or Antique Musical Instruments Certificate (CITES, MMPA and/or ESA) https://www.fws.gov/forms/3-200-88.pdf

**Traveling Exhibition Certificate** (orchestras and ensembles for music performance purposes, multiple use, not for sale purposes): use form **3-200-88** 

 Pre-Convention, Pre-Act, or Antique Musical Instruments Certificate (CITES, MMPA and/or ESA) https://www.fws.gov/forms/3-200-88.pdf

**Single-use CITES Export/ Re-Export Permit** for commercial purposes (sale): use form **3-200-32** 

 EXPORT/RE-EXPORT OF PLANTS and PLANT PRODUCTS (CITES) https://www.fws.gov/forms/3-200-32.pdf



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# Permits 101: Documentation Requirements: Personally owned musical instruments

# For EACH musical instrument, provide as much of the following information, as possible:

- Scientific name (genus, and species) and common name
- Description of item (e.g. Rosewood guitar)
- Date of manufacture
- Evidence of lawful acquisition, including Date of acquisition and corresponding documentation or other information on how the instrument was acquired (e.g., bill of sale, notarized statement)
- Evidence of lawful import if relevant (CITES permit, U.S. Customs import declaration)
- Provide the current location of the musical instrument (s) including address and country.



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# Permits 101: Pre-Convention Brazilian rosewood: Documentation Requirements

- Brazilian rosewood (Dalbergia nigra)
- Listed June 11, 1992 under CITES Appendix I
- Proof that the instrument was made with Brazilian rosewood harvested before the species was listed under CITES (invoice, notarized statement, CITES Pre-Convention Certificate)
- Check with CITES authorities in countries to which you will be traveling to ensure that you are complying with their requirements http://www.cites.org/cms/index.php/comp onent/cp



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# U.S. Endangered Species Act (ESA): Documentation Requirements (Tortoiseshell)

### Tortoise shell (Eretmochelys imbricata)

- Hawksbill sea turtle is listed as endangered under the Endangered Species Act (ESA) as well as Appendix I of CITES, and additional prohibitions apply. If your instrument contains tortoiseshell, you may or may not be able to get a permit depending on whether your instrument meets certain criteria.
- You must be able to demonstrate that the tortoiseshell qualifies as an ESA antique or as pre-Act. This proof could be in the form of a qualified appraisal or documentation that shows the manufacturing date of the instrument.
- If your musical instrument containing tortoiseshell does not meet these criteria, you are unlikely to be issued a permit to travel internationally with it.
- Contact us for guidance.
- Check with CITES authorities in countries to which you will be traveling to ensure that you are complying with their requirements http://www.cites.org/cms/index.php/component/cp



USFWS



# U.S. Endangered Species Act (ESA): Documentation Requirements (Ivory)

On July 6, 2016, a near-total ban on commercial trade in African elephant ivory went into effect in the United States.

Commercial trade with African elephant ivory is generally prohibited, however individuals musicians may qualify for Musical Instrument Certificates and orchestras and ensembles may qualify for Traveling Exhibition Certificates.

The following criteria must be met:

- You must determine whether your items are made of African or Asian elephant ivory. Such proof can be in the form of a qualified appraisal or other documentation that demonstrates the identification of the species through a detailed provenance of the article.
- If you have African elephant ivory, you must be able to demonstrate that the ivory was legally acquired and removed from the wild prior to the listing of the African elephant under CITES, February 26, 1976. This proof could be in the form of a qualified appraisal, or documentation that shows the manufacturing date of the instrument.
- If you have Asian elephant ivory, you must be able to demonstrate that the ivory qualifies as an ESA antique or as pre-Act. This proof could be in the form of a qualified appraisal or documentation that shows the manufacturing date of the instrument.
- If your musical instrument containing ivory does not meet these criteria, you are unlikely to be issued a permit to travel internationally with it.
- Commercially exported African elephant ivory cannot be re-imported.
- Check with CITES authorities in countries to which you will be traveling to ensure that
  you are complying with their requirements
  <a href="http://www.cites.org/cms/index.php/component/cp">http://www.cites.org/cms/index.php/component/cp</a>
- For details, visit our website <a href="www.fws.gov/international">www.fws.gov/international</a> or google "What Can I Do With My Ivory?" to find our resources.



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# Unsure how to proceed?

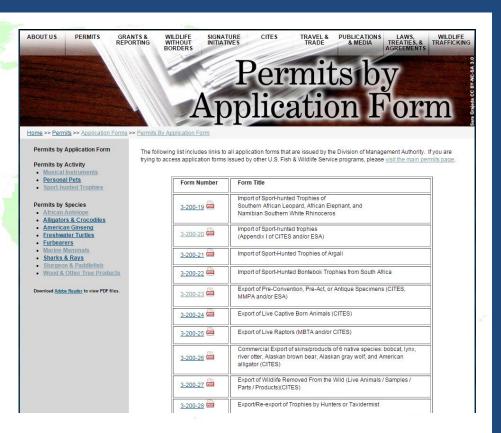
Unsure of the status under the species you wish to import or export, or if you need a permit?

- Search by scientific name or common name on the <u>CITES</u> <u>Species Database</u>. <a href="http://www.speciesplus.net/">http://www.speciesplus.net/</a>
- Endangered Species Act (ESA) Visit the U.S. Fish & Wildlife Service's (Service) Endangered Species program website.
- When in doubt, we're glad to help. Email us at managementauthority@fws.gov.



# Permits 101: What to Expect

- Plan ahead (processing requires between 45 and 90 days, depending on the complexity of the application).
- Submit a hard copy of your application to our office.
- Keep a copy for your records and reference.
- Include a processing fee or confirmation of fee exempt status.

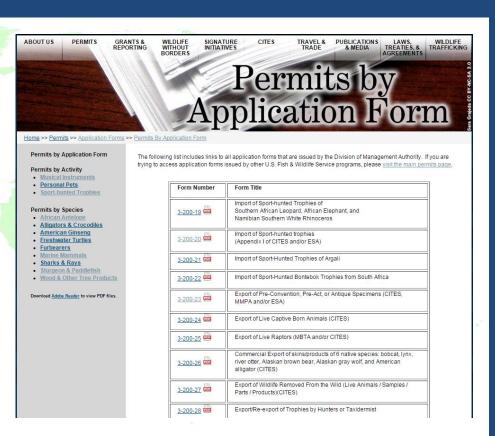






## **Permits 101: Application Forms**

- Instructions are on the application form.
- Complete every question.
- Write "N/A" if a question does not apply to your activity.
- If in doubt, include an explanation in your cover letter or an attachment.
- Applications that arrive without the processing fee or without complete information may be returned or may require additional processing time.







# Before You Act, Check with Other Offices and Agencies

- USFWS Office of Law Enforcement (designated ports, import/export license)
- USDA Animal and Plant Health Inspection Service
  - Courtesy P. Pieper

- State Governments
- Local Governments
- Foreign Governments



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# **Port Inspections and Clearances**

Shipments containing CITES-listed species must be declared, inspected and stamped by the following:

- Wildlife (USFWS)
- Products with wood and wildlife (USFWS)
   (this includes non-CITES wildlife such as mother-of-pearl)
- Wood and wood products (exports) United States Department of Agriculture,
   Animal and Plant Health Inspection
   Service (USDA/APHIS)
- Wood and wood products (imports) -Department of Homeland Security, Customs and Border Protection (DHS/CBP)

Contact USDA-APHIS to determine their requirements <a href="http://www.aphis.usda.gov/wps/port-al/aphis/ourfocus/importexport">http://www.aphis.usda.gov/wps/port-al/aphis/ourfocus/importexport</a> or call the USDA-APHIS Plant Protection and Quarantine office for guidance: (301)851-2046.



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Does my instrument need a permit when I travel with it? It does not have CITES listed wildlife components (ivory, snakeskin), however it does have Appendix II rosewood.

- Guitar
- Violin
- Double bass
- Marimba
- 10kg or greater, <10kg</li>



Will FWS accept permit applications in advance of the implementation date?



How will shipments in transit on the effective date of the new timber listings be treated on import to the US?



How long will permit application processing generally take?



Will imports and exports for repairs or warranty work for instruments only with Appendix II rosewoods require permits?



What about the instruments I already have? Are they pre-Convention? How do I document my instruments to make sure they will be considered pre-Convention?



- Where the U.S. is concerned, will the treatment of noncommercial transportation of musical instruments (as personal effects or as cargo) for an orchestra or ensemble change in any way from current practice?
- For cargo, will all species of Appendix II Dalbergia be required to be listed on a Traveling Exhibition Certificate that contains other CITES-protected plant and animal material?



What administrative and/or regulatory steps would be required for the U.S. to adjust its personal effects exemption to encompass Appendix I species in musical instruments?



Does USFWS have advice regarding harmonizing the interpretation of the non-commercial annotation across CITES parties?



Harmonization across CITES parties remains a serious concern. Will/may implementation of the musical instrument certificate be considered during any interim CITES committee meetings prior to CoP18?



### **Questions?**

## For more information:

### **Online at:**

- www.fws.gov/international
- www.CITES.org

### Email us at:

managementauthority@fws.gov



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# Questions?

Please submit any questions you have in the Q&A box.















# Thank you!

Check back after one week for the downloadable webinar.

FAQ in development

Stay tuned for further guidance















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### **American Federation of Musicians**

Alfonso Pollard, apollard@afm.org

### **American Federation of Violin and Bow Makers**

John Bennett, <u>bennettandassoc@aol.com</u>

### **Carnegie Hall**

David Freudenthal, dfreudenthal@carnegiehall.org

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