ENDANGERED SPECIES DESKBOOK

by

Lawrence R. Liebesman

and

Rafe Petersen

ENVIRONMENTAL LAW INSTITUTE

Washington, D.C.

Copyright © 2010 Environmental Law Institute 2000 L Street NW, Washington DC 20036

Published April 2010.

Printed in the United States of America ISBN 978-158576-139-5

ENDANGERED SPECIES DESKBOOK

Table of Contents

Foreword		xiii
About the	Authors	xv
Acknowled	gments	. xvii
Contents		
Introduction	on	1
Chapter I.	Historical Background of the ESA	3
A.	Historical Antecedents of Wildlife Regulation	3
В.	Emerging Awareness of the Importance of Biodiversity and Early Legislative Attempts at Species Protection and Conservation	4
C.	Environmental Sensitivity of the 1960s and 1970s	
	Overview and Structure of the ESA	
A.	Basic Purposes of the ESA	9
В.	Structure of the ESA	
Chapter II	I. Criteria and Procedures for Species Listings	13
A.	What Is a "Species"?	14
В.	"Subspecies" and "Distinct Population Segments"	16
C.		
	1. The Meaning of "In Danger of Extinction Throughout All or a Significant Portion of Its Range"	20
	2. Required Use of "Best Scientific and Commercial Data Available"	21
	3. Listing Priority Guidelines	24

		4. The Listing Petition Process	24
		a. The 90-Day Finding	25
		b. The 12-Month Finding	25
		5. Rulemaking Procedures Required to List a Species	26
		a. Publication of Proposed Listing	26
		b. Further Notice and Public Comment	26
		c. The Final Rule	27
	D.	Emergency Listings	27
Chapte	r IV.	Critical Habitat Designation	29
	A.	Critical Habitat Criteria	29
	В.	Meaning of "Prudent and Determinable"	30
	C.	Procedures for Critical Habitat Designation and Revision	30
	D.	Economic Impact and FWS "Incremental Baseline" Theory	31
	E.	Special Management Plan Exclusions	33
Chapter	r V.	Recovery Plans for Listed Species	35
	A.	Background	35
	В.	Recovery Plan Preparation and Content	35
	C.	Implementation of Recovery Plans	
	D.	The Enforceability of Recovery Plans	37
		Federal Agency Conservation Obligations and Consultation r §7 of the ESA	20
		Section 7(a)(1) Conservation Obligations	
	В.	Section 7 Consultation Process	
		1. Agency "Action" Triggering Consultation	
		a. The Scope of Agency Action	
		b. Agency Discretion and Agency Action	
		c. "Incremental Step" Consultation	
		d. Section 7(a)(3)—Private Applicants	
		2. Section 7 Consultation Policies of Particular Agencies	44
		a. Consultation Under Corps CWA \$404 Permit Program	44
		b. EPA-FWS-NMFS MOA on Consultations	

Table of Contents Page v

		3.	Analysis of the "Effects" of Agency Action	46
			a. The Environmental Baseline	46
			b. Direct, Indirect, and Cumulative Effects	46
			c. Effects of Interrelated and Interdependent Actions	48
		4.	The Consultation Process	48
			a. Conferencing	49
			b. Informal Consultation	49
			c. Biological Assessment	49
			d. Formal Consultation—When Is It Triggered?	51
			e. Formal Consultation—How Is It Conducted?	52
			f. Biological Opinions	53
			g. Use of Best Available Science	54
			h. Reasonable and Prudent Alternatives and Conservation	
			Measures	
			i. Jeopardy Opinions	
			j. Incidental Take Statements	
		_	k. Irreversible/Irretrievable Commitments of Resources	
		5.	Exemptions From \$7	
			a. The Exemption Process	
			b. Exemption Cases	
		_	c. Exceptions From §7 Exemption Procedures	
		6.	Completion of Consultation and Reinitiation	
Chapter	· VI		ohibited Acts and the "Take" Definition	
	A.	Ove	erview	63
	В.	Ger	neral Scope of §9 Prohibited Conduct	63
		1.	Prohibitions for Fish and Wildlife	63
		2.	Prohibition for Plants	63
		3.	Threatened Species and Rules Under §4(d)	64
	C.	The	e Prohibited "Take" and "Harm" Debate	64
		1.	Key Definitions	64
		2.	Palila I and II: Habitat Modifications May Result in Prohibited Harm	64
		3.	Sweet Home Chapter Litigation	65

	D.	Takings and Consideration of Future Harm	67
	E.	Causation Litigation Under the ESA	68
	F.	Vicarious State and Local Government "Take" Liability	70
	G.	Interface Between \$7 Incidental Take Statements and \$9 "Take" Liability	71
Chapter	r VI I	II. Incidental Take Permits and Habitat Conservation Plans	73
	A.	Overview	73
	В.	Incidental Take Permits	73
	C.	HCPs	74
		1. Scope of HCPs	74
		2. Mitigation Requirements	76
		3. No Surprises Policy	77
		4. The Five-Point Policy	79
		5. Section 7 Consultation Requirement	79
	D.	Enhancement of Survival and "Safe Harbor" Permits	79
	E.	Other Taking Exceptions	79
	F.	Candidate Conservation Agreements With Assurances	80
Chapter	r IX.	. Enforcement and Citizen Suits	83
	A.	Tiered System of Penalties	83
	B.	Intent and ESA Liability	83
	C.	Bodily Harm Defense	84
	D.	ESA Citizen Suits Under \$11(g)	84
		1. 60-Day Notice Provision	85
		2. Preliminary Injunctions Under the ESA	85
		3. Standing	86
		a. Injury-in-Fact, or What Is "Harm"	86
		b. Causation	87
		c. Redressability	87
		d. Prudential Standing Requirements	88
		e. The APA Alternative	88
		4. Attorneys Fees Under the ESA	89
Chapter	x .	Federal and State Interaction Under the ESA	91

Table of Contents Page vii

	A.	The Federal Role Enhanced	.91
	B.	Role of the States	.92
		1. Section 4—Listing and Critical Habitat Designation	.93
		2. Section 6—Cooperation With the States	.93
		a. Agreements With the States	94
		b. Funding the States	94
		3. Section 7—Interagency Cooperation	94
	C.	Conflicts Between the ESA and State Laws	.95
_		The Interface Between the ESA, the National Environmental and the Freedom of Information Act	
	A.	NEPA and the ESA	.97
	B.	The ESA and the Freedom of Information Act	.98
Chapter	XII	1. The ESA and Climate Change	01
	A.	Introduction1	01
	B.	The Impact of Climate Change on Species and Their Habitat 1	02
		1. Forced Relocation Due to Rising Temperatures	02
		2. Reduced Habitat Due to Rising Sea Levels, Melting Sea Ice and Snowpack, and Increased Frequency and Intensity of Hurricanes and Typhoons	.03
		3. Invasive Species Adapting to Ecosystems Altered by Climate Change	04
	C.	Potential Implications for ESA Application1	04
		1. Section 4: Listing Decisions, Critical Habitat Designation, and Recovery Plans	
		a. Listing of Endangered and Threatened Species1	04
		b. Protective Regulations Under §4(d)1	05
		c. Critical Habitat Designation1	06
		d. Recovery Plans	06
		2. Section 9: The Take Prohibition1	06
		3. Section 7: Jeopardy Consultations	07
		4. Section 10: Incidental Take Permits and Experimental Populations	.09
		a. Incidental Take Permits1	09

		b. Experimental Populations10)9
		5. The "Best Science" Standard10)9
	D.	Conclusion on ESA and Climate Change13	10
Chapter	· XI	II. International Applicability of the ESA1	11
	A.	Introduction	11
	B.	The ESA and International Issues	11
	C.	The Convention on International Trade in Endangered Species of Wild Fauna and Flora	12
	D.	The Lacey Act1	15
Chapter	· XI	V. Application of the ESA to Indian Tribes and Their Lands1	19
	A.	Introduction	19
	В.	What Role Does the Federal Government's Fiduciary Trust Obligation to an Indian Tribe and Its Resources Play in the Administration of the ESA?	19
	C.	The Scope and Significance of Tribal Reserved Rights12	20
	D.	The Conflict Between Tribal Reserved Rights and the ESA12	21
	Е.	Can Religious Freedom Rights Be Asserted as a Defense to a Take Violation of the ESA?	24
	F.	Does Tribal Sovereign Immunity Against Lawsuits Bar Non- Consensual Citizen Actions Under the ESA Against Indian Tribes?	25
		1. Tribal Sovereignty and Sovereign Immunity From Lawsuit 12	25
		2. Has Congress Waived Tribal Sovereign Immunity From Citizen Suits?	26
	G.	Does the Doctrine of Primary Jurisdiction Require the Staying or Dismissal of Citizen Actions Brought Pursuant to the ESA?12	27
	Н.	Secretarial Order No. 3206's Attempt to Harmonize the Conflicting Rights and Duties of Indian Tribes and the Federal Government in Applying the ESA	27
Chapter	· XV	Experimental Populations	31
	A.	Establishment of the Experimental Population	31
	В.	Legal Protections Afforded to Experimental Populations13	32
	C.	Litigation Under §10(j)	32
Chapter	· XV	7. Fifth Amendment Takings and the ESA13	35

Table of Contents Page ix

A	. What Is the Property Interest?	135
В	. Has a Taking of the Property Right Occurred?	136
C	The Development of Regulatory Takings Law	136
D	D. Fifth Amendment Takings Cases and the ESA	138
Е	. Application to the ESA and Wildlife Protection Regulations	140
Chapter X	XVII. Conclusion	141
Appendi	ices	
Photograp	hs of ESA-Listed Species	147
Frequently	Used Acronyms	157
Glossary		159
Appendix	A. Statutes and Treaties	167
Endangere	d Species Act Table of Contents	169
Endangere	d Species Act	171
	n on International Trade in Endangered Species of Wild Fauna	191
Appendix	B. Regulations and Policies	201
(U.S. FWS	pts. 401-453 (excerpts): Chapter IV—Joint Regulations S, DOI and NMFS, NOAA, Commerce); Endangered Species e Regulations	203
	d Species Consultation Handbook (excerpts)	
Appendix	C. Federal Register (excerpts)	233
_	d and Threatened Wildlife and Plants: Notice of Interagency ve Policy for Peer Review in Endangered Species Act Activities	235
Cooperativ	d and Threatened Wildlife and Plants: Notice of Interagency ve Policy on Information Standards Under the Endangered	237
•	d and Threatened Wildlife and Plants: Notice of Interagency ve Policy for Endangered Species Act §9 Prohibitions	239
Cooperativ	d and Threatened Wildlife and Plants: Notice of Interagency ve Policy for the Ecosystem Approach to the Endangered	2/1
species Ac	t	241

Cooperative Policy Regarding the Role of State Agencies in Endangered Species Act Activities
Policy Regarding the Recognition of District Vertebrate Population; Notice245
Notice of Policy for Conserving Species Listed or Proposed for Listing Under the Endangered Species Act While Providing and Enhancing Recreational Fisheries Opportunities; Notice
Notice of Availability of Petition Management Guidance for Petitions Received Under the Endangered Species Act
Habitat Conservation Plan Assurances ("No Surprises") Rule
Safe Harbor Agreements and Candidate Conservation Agreements With Assurances; Revisions to the Regulations
Announcement of Final Safe Harbor Policy287
Announcement of Final Policy for Candidate Conservation Agreements With Assurances
Endangered and Threatened Wildlife and Plants; Final Listing Priority Guidance for Fiscal Year 2000
Availability of a Final Addendum to the Handbook for Habitat Conservation Planning and Incidental Take Permitting Process; Notice
Announcement of Draft Policy for Evaluation of Conservation Efforts When Making Listing Decisions
Policy Regarding Controlled Propagation of Species Listed Under the Endangered Species Act
Memorandum of Agreement Between the Environmental Protection Agency, Fish and Wildlife Service and National Marine Fisheries Service Regarding Enhanced Coordination Under the Clean Water Act and Endangered Species Act; Notice
Endangered and Threatened Wildlife and Plants; Review of Species That Are Candidates or Proposed for Listing as Endangered or Threatened; Annual Notice of Findings on Recycled Petitions; Annual Description of Progress on Listing Actions
Determination of Threatened Status for the Polar Bear (Ursus maritimus) Throughout Its Range

Table of Contents Page xi

Appendix D. Guidance and Memoranda
Guidance for the Establishment, Use, and Operation of Conservation Banks
Application of the "Destruction or Adverse Modifications" Standard Under \$7(a)(2) of the ESA
Appendix E. Solicitors Opinions
The Meaning of "In Danger of Extinction Throughout All or a Significant Portion of Its Range," Mar. 16, 2007
The Secretary's Authority to Exclude Areas From a Critical Habitat Designation Under §4(b)(2) of the Endangered Species Act, Oct. 3, 2008
U.S. Fish and Wildlife Service Authority Under \$4(c)(1) of the Endangered Species Act to Revise Lists of Endangered and Threatened Species to "Reflect Recent Determinations," Dec. 12, 2008
The Meaning of "Foreseeable Future" in \$3(20) of the Endangered Species Act, Jan. 16, 2009
Appendix F. Regional and Field Contact Information
U.S. Fish and Wildlife Service
National Oceanic and Atmospheric Administration-Fisheries

Foreword

Understanding endangered species protection is vital for environmental practitioners in all sectors and professions. These highly complex laws to safeguard rare species often impacts on land use, natural resource, energy and real estate development, interstate commerce, international trade, and many other areas of the environment and the economy. While the Endangered Species Act (ESA) is one of the most important of the federal environmental statutes, it is difficult to survey and even more difficult to comprehend. In addition, other statutes, such as the Lacey Act, and international treaties, such as the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), apply and must be understood in order to navigate the shoals of endangered species protection.

The Endangered Species Deskbook makes accessible and understandable this complex area of the law. It begins with a guide to endangered species law, offering the considerable insight and expertise of Larry Liebesman, Rafe Petersen, and many others at Holland & Knight. These individuals have extensive experience in endangered species law, and as private practitioners understand the ESA and its operation. The authors lay out for you in plain English what the Act's different sections mean and how they fit into the larger context of environmental regulation. They also describe the applicability of the Lacey Act and CITES and include a chapter on the emerging issue of climate change and the ESA. The Deskbook contains the full text of the ESA as well as key agency rules, guidance documents, and policies.

The Endangered Species Deskbook is part of Environmental Law Institute's Deskbook series, which combines the invaluable experience of the top practitioners in the field with the encyclopedic cover-

age and keen insight provided by the staff of the *Environmental Law Reporter*. Deskbooks provide practicing attorneys, students, environmental professionals, and government officials an "at-the-fingertips" resource for accessing and understanding environmental law. The series covers climate change, wetlands, NEPA, TSCA, FIFRA, and many other topics by combining in-depth analysis of the topic with necessary reference materials, such as regulations, guidance documents, and forms.

The Deskbooks are natural partners to ELI's flagship resource, the *Environmental Law Reporter*. *ELR* is an attorney-edited gateway to researching and understanding environmental law and policy, with coverage since 1971 available on-line in an easily searchable format. *ELR* couples thousands of insightful articles on environmental law and policy with the most important updates, decisions, statutes, regulations, and agency documents and a cumulative index and bibliography to help you navigate this highly complex area of law. More information about the Deskbooks, *ELR*, and ELI's many other programs is available at www.eli.org.

The Environmental Law Institute makes law work for people, places, and the planet. With its non-partisan, independent approach, ELI promotes solutions to tough environmental problems. The Institute's unparalleled research, highly respected publications, and valued policy and education seminars inform the public debate and build the institutions needed to advance sustainable development. We hope the *Endangered Species Deskbook* proves useful in increasing understanding this important area of environmental law and regulation.

Leslie Carothers President, Environmental Law Institute

About the Authors



Lawrence R. Liebesman is a partner in Holland & Knight's Government Section. He is a nationally recognized environmental lawyer and litigator with more than 30 years of experience. His practice emphasizes wetlands, water pollution, coastal, environmental impact assessment, and endangered species law.

Mr. Liebesman counsels clients on environmental risks and strategies. He has negotiated permits for large-scale commercial, residential, public works, and mining projects and has successfully defended challenges to those permits in federal court. He has authored several amicus briefs in landmark Endangered Species Act and Clean Water Act cases before the U.S. Supreme Court and is a planning co chair for the ALI-ABA's Course of Study on Species Protection and the Law. He has also testified as an expert witness before the U.S. House of Representatives Natural Resources Committee on legislation to reform the

ESA. Prior to entering private practice, Mr. Liebesman was a Senior Trial Attorney at the Justice Department's Environment and Natural Resources Division and served a special detail at the White House Council on Environmental Quality.

Rafe Petersen is a Partner in the Government Section and primarily practices in the area of environmental compliance and litigation, with an emphasis on the Clean Water Act, the Endangered Species Act, the National Environmental Policy Act, and resource issues. Mr. Petersen is experienced in environmental litigation at both trial and appellate levels and has filed several amicus briefs before the U.S. Supreme Court. In addition, he assists clients in complex permitting and regulatory issues for large-scale commercial, residential, and mining projects.



Acknowledgments

This second edition of the *Endangered Species Deskbook* builds on the hard work and dedication of attorneys and professional staff from Holland & Knight offices that helped make the first edition, published in 2003, a reality. These individuals spent many hours researching and writing to ensure both the completeness and the accuracy of the final product.

Kim Walker, a Holland & Knight legal intern, provided the initial research and writing on a number of sections while finishing her studies at George Mason University Law School. Clay Henderson, from Holland & Knight's Orlando, Florida, office, was instrumental in the preparation of the section on the consultation process under \$7 of the Endangered Species Act (ESA), drawing on his many years of experience as an environmental professional. Michelle Hickey of Holland & Knight's Los Angeles, California, office drew upon her extensive experience in representing Native Americans on environmental issues in drafting the section on ESA and Indian lands. Don Clary, formerly of Holland & Knight's Los Angeles, California, office, contributed to the section on the takings of property under the Fifth Amendment. Dennis Hughes of Holland & Knight's Washington, D.C., office relied upon his vast knowledge of land use law in drafting the section on federal and state relationships under the ESA. Stuart Turner, formerly of the firm's Washington, D.C., office, provided invaluable research and writing assistance for several sections, and specifically the section on international aspects of the ESA. Ethan Arenson, formerly of the firm's Washington, D.C., office, contributed to the sections on ESA enforcement and on experimental populations and provided excellent editorial assistance. Stacy Silber of Holland & Knight's Bethesda, Maryland, office was the primary author of the section dealing with incidental take permitting and habitat conservation plans. In addition, during the summer of 2002, Holland & Knight

interns Ezekial Kaufman and Brien Perm provided excellent research assistance regarding the sections on \$7 consultation and the international aspects of the ESA. Consuelo Hernandez, a Vermont Law School student intern, helped with research and writing, especially in the "takings" section. Profs. J.B. Ruhl of Florida State University Law School and Jonathan Deason of the George Washington University's School of Engineering and Applied Science provided important peer review comments.

The second edition of the ESA Deskbook expands and updates a number of significant developments since the first edition. Special thanks go to Steve Kelton, formerly of Holland & Knight's Washington, D.C., office, who provided overall research and editing help and to partner Elizabeth Lake and former associate Peter Landreth of Holland & Knight's San Francisco office, who authored the chapter on Climate Change and the ESA. Holland & Knight Partner David Verhey, formerly U.S. Department of the Interior (DOI) Associate Solicitor and Deputy Assistant DOI Secretary, provided excellent guidance on background material for the Deskbook. We also wish to thank former Holland Knight intern Joanna B. Wymyslo and Vermont Law School intern Jason Kaplan for their invaluable help in researching and updating the new developments in ESA law since 2003. Our special thanks go to Scott Schang, Editor-in-Chief of the Environmental Law Reporter, and the publications team at the Environmental Law Institute for their great guidance and hard work in making this second edition a reality.

We hope and trust that this *ESA Deskbook* will be a useful tool for all who are involved with this very important and ever-changing law that will continue to have a profound impact on man's responsibilities to protect the world's natural heritage.

Lawrence R. Liebesman and Rafe Petersen