

Conf. 8.5

Standardization of CITES Permits and Certificates

RECALLING the provisions of Article VI of the Convention regarding permits and certificates;

CONSCIOUS of the need to meet the requirements of the Convention regarding the contents of permits and certificates;

CONSIDERING that the effectiveness of the Convention depends upon the presentation of permits and certificates whose validity can be easily verified;

OBSERVING that false documents and invalid documents are used more-and-more often for fraudulent purposes and that appropriate measures are needed to prevent such documents from being accepted;

CONSIDERING the need to improve the standardization of export permits and re-export certificates;

CONSIDERING that Resolution Conf. 3.6, adopted at the third meeting of the Conference of the Parties (New Delhi, 1981), recommended that a standard model for permits and certificates be used by the Parties;

CONSCIOUS that the data carried on permits and certificates must supply maximum information, as much for export as for import, to allow a verification of the conformity between the merchandise and the document;

RECALLING also the definitions of "bred in captivity" and "artificially propagated" adopted respectively in Resolution Conf. 2.12 at the second meeting of the Conference of the Parties (San José, 1979) and in Resolution Conf. 8.17 at the eighth meeting of the Conference of the Parties (Kyoto, 1992), and the requirements of Article VII, paragraphs 4 and 5, of the Convention pertaining to the issuance of permits and certificates for specimens bred in captivity or artificially propagated;

CONSCIOUS that the standard model form should only be modified in exceptional cases, and after a thorough study, and that Resolution Conf. 7.3, adopted at the seventh meeting of the Conference of the Parties (Lausanne, 1989), directed the Secretariat to undertake such a study and to make recommendations for consideration at the eighth meeting;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that Parties wishing to modify their permit and certificate forms, to reprint existing documents or to introduce new documents, first ask the Secretariat for advice;

AGREES

- a) that, to fulfil the requirements of Article VI of the Convention and relevant Resolutions, export and import permits, re-export and pre-Convention certificates, and certificates of captive breeding and artificial propagation should include all the information mentioned in the Annex of the present Resolution;
- b) that every form should be printed in one or more of the working languages of the Convention (English, Spanish, French) and in the national language if it is not one of the working languages;
- c) that every form should indicate which type of document it is (import or export permit, re-export or pre-Convention certificate, certificate of captive breeding or artificial propagation);
- d) that a re-export certificate should also specify:
 - i) the country of origin, the number of the export permit of the country of origin and its date of issue; and

- ii) the country of last re-export, the number of the re-export certificate of that country and its date of issue;

or if the case arises:

- iii) justification for the omission of any of the afore-mentioned information;
- e) that an import permit for specimens of species included in Appendix I may carry, among other things, certification that the specimens will not be used for primarily commercial purposes and, in the case of live specimens, that the recipient has suitable facilities to house and care for them; and
- f) that a pre-Convention certificate should also specify:
 - i) that the specimen covered by the certificate is pre-Convention; and
 - ii) the date of acquisition of the specimen as defined in Resolution Conf. 5.11 adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985);

RECOMMENDS

- a) that the Parties indicate on their permits and certificates the number of specimens concerned and/or the unit of measurement used, in particular the weight (in kilograms), and avoid general descriptions such as "one case" or "one batch";
- b) that the Parties refuse permits and certificates if they have been altered (by rubbing out, scratching out, etc.), modified or crossed out, unless the alteration, modification or crossing-out has been authenticated by the stamp and signature of the authority issuing the document;
- c) that the Parties that do not already do so, affix a security stamp to each export permit and re-export certificate;
- d) that, when a security stamp is affixed to a document it be cancelled by a signature and a stamp or seal, preferably embossed;
- e) that, when a security stamp is affixed to a document, the number of the stamp also be recorded on the document;
- f) that, when a security stamp is affixed to a document, the Parties refuse the document if the security stamp is not cancelled by a signature and a stamp or seal;
- g) that the Parties state, on each of their permits and certificates, the purpose of the transaction using the following codes:
 - T Commercial
 - Z Zoos
 - G Botanical gardens
 - Q Circuses and travelling exhibitions
 - S Scientific
 - H Hunting trophies
 - P Personal
 - M Bio-medical research
 - E Educational
 - N Reintroduction or introduction into the wild
 - B Breeding in captivity or artificial propagation;
- h) the use of the following codes to indicate the source of the specimens:
 - W Specimens taken from the wild
 - R Specimens originating from a ranching operation
 - D Appendix-I animals bred in captivity for commercial purposes and Appendix-I plants artificially propagated for commercial purposes, as well as parts and products thereof, exported under the provisions of Article VII, paragraph 4, of the Convention

- A Plants that are artificially propagated in accordance with Resolution Conf. 8.17, as well as parts and products thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I if they are not propagated artificially for commercial purposes and specimens of species included in Appendices II and III)
- C Animals bred in captivity in accordance with Resolution Conf. 2.12, as well as parts and products thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I if they are not bred in captivity for commercial purposes and specimens of species included in Appendices II and III)
- F F1 – generation animals born in captivity, but which do not fulfil the definition of "bred in captivity" in Resolution Conf. 2.12, as well as parts and products thereof
- U Source unknown (must be justified)**
- I Confiscated or seized specimens;
 - i) that, when the means of transport used requires a "bill of lading" or an "air way-bill", the number of such document be stated on the permit or certificate;
 - j) that, when a country has voluntarily fixed national export quotas for specimens of species included in Appendix I, for non-commercial purposes, and/or in Appendices II and III, it state on each export permit the total number of specimens already exported (including those covered by the permit in question) and the quota for the species concerned;
 - k) that, when a country has export quotas allocated by the Conference of the Parties for specimens of species included in Appendices I and II, it state on each export permit the total number of specimens already exported (including those covered by the permit in question) and the quota for the species concerned; the exporting and importing countries involved in trade in specimens of species for which there are such quotas should send copies of the original export permits, issued or received as appropriate, to the Secretariat to ensure that the quotas are not exceeded;
 - l) that the Parties that have not yet done so communicate to the Secretariat, within one month of the eighth meeting of the Conference of the Parties, the names of the persons empowered to sign permits and certificates, as well as three specimens of each signature, and that all the Parties communicate, within one month of any change thereto, the names of persons who have been added to the list of those already empowered to sign, the names of persons whose signature is no longer valid and the dates the changes took effect;
 - m) that, when a Party refuses to accept a permit or certificate, it keep the original or, if this is against its national laws, it cancel the document indelibly, preferably by perforation, particularly the security stamp;
 - n) that exported specimens and re-exported specimens not appear on the same document;
 - o) that, for data-processing reasons, the permit and certificate numbers be limited to eight characters (digits, letters and spaces);
 - p) that the Parties take appropriate security measures, recommended in Resolution Conf. 3.7 adopted at the third meeting of the Conference of the Parties (New Delhi, 1981), to reduce the risk of the fraudulent use or misuse of permits and certificates; and
 - q) that each Party inform the other Parties, directly or through the Secretariat, of any stricter internal measures it has taken under Article XIV, paragraph 1(a), of the Convention, and that, when a Party is informed of this, it refrain from issuing documents that run counter to these measures;

REQUESTS the Secretariat

- a) to give to those Parties that request it, practical support in the printing of permits and certificates with adequate security guarantees; and

- b) when external funding is available, to have permit and certificate forms printed on security paper for those Parties requesting it; and

REPEALS Resolution Conf. 7.3 (Lausanne, 1989) – Export/Re-export Permits/Certificates.

Annex

Information that Should Be Included in CITES Permits and Certificates

- * a) The full name and the logo of the Convention
- * b) The complete name and address of the Management Authority issuing the permit
- c) A control number
- d) The complete names and addresses of the exporter and importer
- e) The scientific name of the species to which the specimen belongs (or the subspecies when it is relevant in order to determine in which appendix the taxon concerned is included)
- f) The description of the specimens, in one of the Convention's three working languages, using the nomenclature of specimens distributed by the Secretariat
- g) The numbers of the marks appearing on the specimens if they are marked or if a Resolution of the Conference of the Parties prescribes marking (specimens from ranches, subject to quotas approved by the Conference of the Parties, originating from operations which breed animals included in Appendix I in captivity for commercial purposes, etc.)
- h) The appendix in which the species or subspecies or population is listed
- i) The source of the specimen
- j) The quantity of specimens and, if appropriate, the unit of measure used
- k) The date of issue and the date of expiry
- l) The name of the signatory and his handwritten signature
- m) The embossed seal or ink stamp of the Management Authority
- n) A statement that the permit, if it covers live animals, is only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in case of air transport, with the IATA Live Animals Regulations
- o) The registration number of the operation, attributed by the Secretariat, when the permit involves specimens of a species included in Appendix I that originate from an operation practising breeding in captivity for commercial purposes (Article VII, paragraph 4, of the Convention), and the name of the operation when it is not the exporter
- p) The actual quantity of specimens exported, certified by the stamp or seal and signature of the authority that carried out the inspection at the time of the exportation

* THIS INFORMATION SHOULD ALREADY BE PRINTED ON THE FORM.