

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



Sixty-sixth meeting of the Standing Committee
Geneva (Switzerland), 11-15 January 2016

Interpretation and implementation of the Convention

Trade control and traceability

Traceability

OVERVIEW BY THE SECRETARIAT

1. This document has been prepared by the Secretariat.¹

Background

2. At its 16th meeting (CoP16, Bangkok, 2013), the Conference of the Parties revised Resolutions and adopted different Decisions related to the development and implementation of traceability systems, including marking, labelling and tagging systems, for specimens of CITES-listed species. These Resolutions and Decisions, and their relevant paragraphs, are listed in Annex 1 to this document.
3. Reference to marking and labelling systems are also found in Article VI, paragraph 7² of the Convention and in annotations to *Hoodia* spp³. and to *Vicugna vicugna*⁴ in the Appendices to the Convention.
4. The Decisions and Resolutions with reference to traceability usually contain the reasons behind the interest in developing such systems. These reasons generally include: confirmation of the legal origin; enhancement of the ability to track and trace; improved data to confirm sustainability of the trade; easier identification of specimens; better control of export quotas, and; reduction in fraud and smuggling.
5. Given the above, the advent of traceability systems to strengthen the supply chain of specimens of CITES-listed species in international trade may provide many benefits to Parties, including, but not limited to:
 - Improved compliance with the Convention on legal acquisition and non-detrimental trade;
 - Ability to confirm the legal origin of the specimen in trade;
 - Generation of data for use in non-detriment findings, review of significant trade and development of indicators;
 - Prevention of laundering of illegally harvested species into the legal supply chain;

¹ The CITES Secretariat acknowledges the contributions to and review of this document by the Domain Coordinator of the Programme Development Area on Agriculture of the United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT).

² Many of the Resolutions and Decisions on marking and tagging support Article VI, paragraph 7 of the Convention, which states: "Where appropriate and feasible a Management Authority may affix a mark upon any specimen to assist in identifying the specimen. For these purposes "mark" means any indelible imprint, lead seal or other suitable means of identifying a specimen, designed in such a way as to render its imitation by unauthorized persons as difficult as possible."

³ #9 All parts and derivatives except those bearing a label: "Produced from *Hoodia* spp. material obtained through controlled harvesting and production under the terms of an agreement with the relevant CITES Management Authority of [Botswana under agreement No. BW/xxxxxx] [Namibia under agreement No. NA/xxxxxx] [South Africa under agreement No. ZA/xxxxxx]".

⁴ 1,2,3,4 and 5 The reverse side of the cloth must bear the logotype adopted by the range States of the species, which are signatories to the Convenio para la Conservación y Manejo de la Vicuña, and the selvages the words 'VICUÑA-ARGENTINA'. Other products must bear a label including the logotype and the designation 'VICUÑA-ARGENTINA-ARTESANÍA'.

- Ability to track and trace⁵ a specimen throughout the entire CITES supply chain;
 - Increased confidence in the supply chain by the CITES community; and
 - Improvements to CITES processes and procedures.
6. These Resolutions and Decisions on traceability systems (i.e. track and trace systems), however, lack a statement on an agreed definition on traceability as found in some of the Resolutions on marking systems, Resolution Conf. 11.16 (Rev. CoP15) being a case in point⁶. They also do not reflect the concern for uniformity of information as expressed in the Resolutions on marking systems.
 7. The lack of an agreed CITES definition for traceability may create a situation where Parties have differing expectations on the functionality of a traceability system and different understanding on the extent to which the system should track and trace a specimen or a shipment in trade.
 8. This lack of uniformity and coherence may create a situation where multiple traceability systems are developed which use different standards, particularly different information exchange standards, making it difficult to aggregate data generated by the system and use it efficiently. Multiple systems lacking uniformity, or agreed conformance to open standards, may also be more costly to administer and sustain. This situation may be exacerbated should further decisions be adopted on the development of traceability systems for other CITES-listed species.
 9. Equally important, the provision of different recommendations on the use of technologies may be premature, given that the CITES value chain covered by the Convention has not been adequately described, the extent to which it will be traced not agreed to and the uniform information exchange protocols not identified.
 10. In light of the above, the Secretariat sought the advice of global international organizations, including United Nations agencies, involved in the development of track and trace systems. The advice received explicitly recognized that, in order to establish coherent and mutually supportive traceability systems, the governance structure, definition and mapping of the business chain should be understood and described prior to deciding on the use of particular track and trace technologies. These discussions are described in greater detail below.
 11. The Secretariat was also advised that track and trace initiatives for particular CITES-listed taxa should, to every extent possible, be designed to provide insights and lessons learned for parallel track and trace activities for other CITES-listed species. Therefore, the development of traceability systems for individual species must first take into account the general and specific requirements of the CITES supply chain, determine the appropriate track and trace standards for CITES-listed species in trade, and then decide on the use of the technology.
 12. The Secretariat raised these concerns at the 28th meeting of the Animals Committee (Tel Aviv, August 2015) and invited the Animals Committee to consider proposing to the Standing Committee the drafting of a resolution to provide guidance on the development of CITES traceability systems (see document [AC28 Doc. 14.2.1](#)). Such a resolution would include the development of business requirement specifications and the use of standards for traceability systems.
 13. The Animals Committee adopted the recommendations in document [AC28 Com. 6](#) but replaced the draft resolution with a draft decision on traceability. The draft decision is included in Annex 2 to this document.

What is traceability

14. While there are many different definitions of traceability, often they make reference to the definition established by the International Organization for Standardization (ISO) whereby the history, application or location of an object constitute the primary elements in a traceability system.

⁵ *To track refers to the forward the movement of a specimen in trade through specified stage(s) of the extended supply chain and to trace refers to the backward tracing of the history, application or location of the specimen in trade.*

⁶ *The term 'uniform marking system' means a system of marking each product approved by the Conference of the Parties for a species, which, as a minimum, includes the International Organization for Standardization two-letter code for the country of origin, a unique identification number and the year of production or, for products in stock or manufactured from products of the operation in stock at the time of the proposal, the year of approval of the proposal;*

15. The Table below provides a summary of traceability definitions from a selection of standard-setting organizations and organizations involved in the development of traceability systems.

Summary of traceability definitions from a selection of organizations establishing or using traceability systems		
Organization	Standard or title of definition used	Definition
International Organization for Standardization	ISO 9000:2015 Quality management systems, Terms and definitions, Terms related to requirement, 3.6.13: traceability	Ability to trace the history, application or location of an object
United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) ⁸	CEFACT/2014 (Animal traceability data exchange)	Traceability is retrieving information about the origin and history of an animal, a group of animals or animal products. Traceability information should give an answer on the Why, What, Where and When questions about a (group of) animal(s) or an animal related event.
United Nations Global Compact ⁹	Expanded on ISO definition of traceability	The ability to identify and trace the history, distribution, location and application of products, parts and materials, to ensure the reliability of sustainability claims, in the areas of human rights, labour (including health and safety), the environment and anti-corruption
Codex Alimentarius Commission ¹⁰	Traceability/Product tracing definition	The ability to follow the movement of a food through specified stage(s) of production, processing and distribution.
GS1 ¹¹	GS1 Global Traceability Standard	Traceability is the ability to track forward the movement through specified stage(s) of the extended supply chain and trace backward the history, application or location of that which is under consideration

16. Moreover, beyond the need for a clear definition of traceability, traceability systems should refer to a set of key elements: a unique identifier so that any traced specimen can be uniquely identified; information exchange standards, preferably open standards, to capture and manage information related to any transformation to the specimen at a specific locale; and the levels of communication among the various stakeholders throughout the CITES supply chain. Ideally, these agreed elements should be captured within the established definition of traceability.

A CITES definition of traceability

⁷ ISO 9000:2015, Quality management systems — Fundamentals and vocabulary (<https://www.iso.org/obp/ui/#iso:std:iso:9000:ed-4:v1:en>)

⁸ United Nations Centre for Trade Facilitation and Electronic Business. (2014). Business requirements specification, Agriculture, Animal traceability data exchange. Version 0.93 (http://www1.unece.org/cefact/platform/download/attachments/53608584/P1015_Animal+Traceability_BRS_v093.pdf?version=1)

⁹ United Nations Global Compact. (2014). A guide to traceability: A practical approach to advance sustainability in global supply chains. New York: United Nations Global Compact Office, p. 6. (https://www.unglobalcompact.org/docs/issues_doc/supply_chain/Traceability/Guide_to_Traceability.pdf)

¹⁰ Joint FAO/WHO Food Standards Programme, Codex Alimentarius Commission. (2004). Report of the Twenty-seventh Session, Centre International de Conférences de Genève, Geneva, Switzerland, 28 June – 3 July 2004 (http://www.codexalimentarius.org/input/download/report/621/al04_41e.pdf) (See also: http://www.fao.org/aq/aqainfo/themes/en/meat/quality_trace.html)

¹¹ GS1. (2012). GS1 standards document, business process and system requirements for full supply chain traceability: GS1 global traceability standard. Issue 1.3.0., p.13 (http://www.gs1.org/docs/traceability/Global_Traceability_Standard.pdf)

17. A CITES definition of traceability should be based on the principles which underpin international trade of specimens in CITES-listed species, namely: legality, sustainability and traceability. In this context, the methodology adopted by the United Nations Global Compact, which extended an existing definition of a global open standard to meet that initiative's unique needs, could provide CITES Parties with lessons learned and with guidance for the development of a CITES-specific definition of traceability.
18. A CITES definition would assist in describing a) the needed governance structure, including the definition and mapping of the traceability process required to operationalize the system; b) the need for all participants in the supply chain to adhere to minimum traceability requirements, and; c) the need to reach agreement on global and open traceability standards in the development of a track and trace system for any specimens of CITES-listed species in trade.
19. Similar to the approach taken by the United Nations Global Compact, a CITES definition of traceability could build on an existing global definition and include the ability to track and trace the history, application or location of a specimen in international trade in order to ascertain its legality and sustainability.

A CITES standard on traceability of specimens of CITES-listed species in international trade

20. The possibility of developing a standard related to the traceability of CITES-listed species was informally discussed with the Food and Agriculture Organization of the United Nations, the United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT), the Domain Coordinator of UN/CEFACT's Programme Development Area on Agriculture, GS1, and the Chair of the CITES e-permitting working group. Informal discussions were also held with the International Trade Centre, the United Nations Global Compact, the United Nations Conference on Trade and Development and the World Bank.
21. The advice received from these meetings supported the view that it would be possible to develop a business requirement specification (BRS) or standard for the traceability of international trade in specimens of CITES-listed species. Such a BRS or standard would provide guidance on the use of a potential 'umbrella model' for developing traceability systems for CITES-listed species. The BRS or standard could provide a core set of general standards for the traceability of all species, harmonized with international standards and norms, including standards for unique identifiers, and data capture, management and communication.
22. A CITES traceability system should also first describe its governance structure, including the definition and mapping of the traceability process; define the minimum traceability requirements for all partners throughout the supply chain; and promote adherence to global and open traceability standards in the development of a track and trace system for any specimens of CITES-listed species in trade.
23. In combination with an agreed definition of CITES traceability, these general 'umbrella' standards could be customized as required as new species-specific traceability systems are developed. In this manner, a CITES traceability system would meet the needs of any CITES-listed species in trade and also ensure harmonization among any developed systems through a common set of core standards.
24. Finally, the development of an umbrella standard for the traceability of CITES-listed species could also assist in the choice of appropriate technologies (e.g. labels, radio frequency identification, biometric image recognition, microchips, bar coding, etc.) to use in CITES traceability systems. Approaches that start by recommending one or more technologies without consideration of traceability standards may fail to meet needs linked to specific elements in the supply chain, direct Parties and users towards the adoption of inappropriate track and trace technologies, or result in fragmented traceability systems.
25. UN/CEFACT's Programme Development Area for Agriculture (PDA) is developing a business specification for animal traceability data exchange¹² and, in light of the above, will advise the Secretariat on its relevancy to the development of a similar specification for wildlife in trade. The relevance of this work to CITES Parties is that the UN/CEFACT PDA has modelled its work on the supposition that:
 - all species can be tracked and traced using a common model;
 - the track and trace process for individual animals and for batches of animals is based on the same model; and,

¹² <http://www1.unece.org/cefact/platform/display/CNP/Animal+traceability+data+exchange>

- for identifying the involved parties for the specified animals a generic standard supporting tracking and tracing of commodities of all kinds can be used.¹³

26. These general guidelines could be adapted for wildlife and provide the framework for the development of a CITES traceability standard. Such a standard, if extensible, could include recommendations in the CITES e-permitting Toolkit, when appropriate. In this manner, CITES e-permitting systems can make use of elements (e.g. specimen identifiers) found in CITES traceability systems.
27. UN/CEFACT is also working on a parallel project on electronic data exchange for fisheries control and management called FLUX (Fisheries Language for Universal eXchange) to develop a single standard for all data and information exchanges on fisheries management and control. The lessons learned from FLUX may contribute to the development of a framework for work on traceability of CITES-listed marine species, particularly sharks and shark products.¹⁴

CITES projects on traceability

28. There are two projects currently underway related to traceability of specimens of CITES-listed species. The design of these projects took into account the advice the Secretariat and the Chair of the Standing Committee and Animals Committee working groups on snake trade and conservation management received from standard setting organizations to ensure that work on the development of different traceability systems is mutually supportive whenever possible.
29. Switzerland, in collaboration with the Secretariat, has developed a project on traceability of python skins to better understand: a) the existing electronic track and trace systems in use for wildlife that may have applicability to reptile skins; b) current technologies that provide the ability to cost-effectively track and trace reptile skins from harvest to consumer; and, c) the capacity of such systems to confirm the legal origin of the species in trade.¹⁵
30. The second project¹⁶ is in support of the request by the Animals Committee to the CITES Standing Committee at its 65th meeting (Geneva, 2014) to consider relevant matters relating to the identification and traceability of shark products, legal acquisition, introduction from the sea, and the role of Regional Fisheries Management Organizations. In response, the Standing Committee established an intersessional working group to consider:
 - i. New legislative issues that might arise in exporting, transit and consumer countries;
 - ii. Issues pertaining to chain of custody, including where in the trade chain it is considered essential to be able to identify the products in trade;
 - iii. Issues pertaining to legality of acquisition and introduction from the sea;
 - iv. Existing catch documentation and product certification schemes that could assist in the implementation of Appendix II shark listings; and
 - v. The role of Regional Fisheries Management Organisations.

Both the Standing Committee and the Animals Committee should review the requirements that have been developed for the trade in processed product types of Appendix II species such as crocodile skins, caviar etc. and consider their applicability to shark products containing Appendix II species.

31. The project was split into two components: the first focusing on issues pertaining to chain of custody, including where in the chain it is considered most essential to identify the products in trade, and the second

¹³ United Nations Centre for Trade Facilitation and Electronic Business. (2014). *Business requirements specification, Agriculture, Animal traceability data exchange. Version 0.93.*
(http://www1.unece.org/cefact/platform/download/attachments/53608584/P1015_Animal+Traceability_BRS_v093.pdf?version=1)

¹⁴ For more information, see: <http://www1.unece.org/cefact/platform/display/CNP/Electronic+Interchange+of+fisheries+catch+data>

¹⁵ More detailed information on the project to track and trace python skins in trade is available in document [AC28 Inf. 33](#) and document [AC28 Doc. 14.2.1](#).

¹⁶ The EU-CITES project "Strengthening capacity in developing countries for sustainable wildlife management and enhanced implementation of CITES wildlife trade regulations, with particular focus on commercially-exploited aquatic species" is funded by the European Union under the European Union capacity building project on marine species.

on the requirements that have been developed for the trade in processed products of Appendix-II species.¹⁷ Both components of the project took into account the advice the Secretariat received from global standard-setting organizations and were developed to support further work on traceability of specimens of CITES-listed species.

32. AC28 Doc. 14.2.2, *Identification carrier for a global traceability information system for reptile skins* submitted by Italy and Mexico and prepared by the Responsible Ecosystems Sourcing Platform (RESP) focuses on an identification technology project that may be supportive of, but is distinct from the CITES projects on traceability. The Secretariat and the Standing Committee and Animals Committee working groups on snake trade and conservation management were not invited to comment or collaborate in the drafting of that document. In a meeting held in Rome, Italy, on 14 August 2015, gathering the Management Authority of Italy, the Chair of the working groups on snake trade and conservation management, the CITES Secretariat and RESP, it was agreed that RESP would coordinate its work on identification technologies with the working groups and with the Secretariat with a view to ensure that its work would better complement CITES projects to develop traceability systems.

ITTO-CITES Programme for CITES listings for tropical tree species

33. The CITES Secretariat and the International Tropical Timber Organization (ITTO) launched in 2012 a report entitled [Tracking sustainability: review of electronic and semi-electronic timber tracking technologies](#). This report has been produced within the framework of the joint ITTO-CITES *Programme for Implementing CITES Listings of Tropical Tree Species* and is part of the ITTO Technical Series (TS-40). Timber tracking technologies are relatively new and are gaining increasing importance as a result of changing consumer behavior and market demands. The report is a practical guide to using these rapidly evolving technologies.
34. Strengthened national regulatory regimes for the use of and trade in timber species have been developed and implemented as a consequence of the CITES listings. This action has resulted in improved forest management and monitoring systems for species such as the bigleaf mahogany (*Swietenia macrophylla*). It has also generated more revenue from forest fees and taxes. These reforms have been driven in part by a desire by many importing countries to ensure that products entering their markets are legally and sustainably produced. The resulting tracking systems are highly varied and complex, and include physical (tags and bar coding) and chemical (isotope and DNA analysis) tracking technologies. The CITES and ITTO report provides a compendium of existing timber tracking technologies with detailed information on the features of different systems that are becoming widely available in the forest sector.¹⁸

Conclusions

35. The advent of new traceability systems to strengthen the supply chain of specimens of CITES-listed species in international trade offers many benefits to Parties. However, a fragmented, non-complementary approach to the development of traceability systems could lessen potential benefits, increase costs, complicate administration by requiring the ongoing maintenance of different systems, and create challenges in aggregating and using data generated from traceability systems.
36. A uniform approach to the development of traceability systems that provides guidance in the use of global and open standards, encourages the harmonization of systems among different species (when possible and appropriate), and provides common data management standards would better contribute to the development and implementation of traceability systems for CITES-listed species. In this manner, the pursuance of an 'umbrella model' based upon a clearly articulated business specification requirement for CITES species in trade is recommended.

Recommendations

37. The Secretariat invites the Standing Committee to note this report, and the Secretariat's oral report at the present meeting.

¹⁷ For more information, see the SC66 information document on Traceability study in shark products and the SC66 information document on Traceability systems in the CITES context: A review of experiences, best practices and lessons learned for the traceability of commodities of CITES-listed shark species.

¹⁸ For more information on activities of the ITTO-CITES programme, please consult the programme's website: http://www.ito.int/country_activities/

38. The Secretariat further invites the Standing Committee to endorse the draft decision on traceability recommended by the Animals Committee at its 28th meeting (Tel Aviv, August 2015) contained in Annex 2 to this document. The Secretariat has revised the text in the chapeau of the first part of the Decision to indicate to whom the Decision is addressed to and also where external resources may be needed. The proposed revision is shown as underlined.

Decisions on track and tracing of specimens of CITES-listed species

Decision	Relevant paragraph
<p>16.56 & 16.57 <i>Use of taxonomic serial numbers</i></p>	<p>Directed to Parties</p> <p>16.56 Parties, particularly those engaged in the development of Single Window environments, are encouraged to consider the usefulness of incorporating taxonomic serial numbers in their domestic systems for management of data on authorization of trade under CITES, and alternatives to such numbers that they might use or be using, and to provide comments to the Secretariat.</p> <p>Directed to the Secretariat</p> <p>16.57 The Secretariat shall, subject to the availability of external funding, compile information voluntarily provided by the Parties in accordance with Decision 16.56, make recommendations, as appropriate, for consideration by the Standing Committee at its 66th meeting and make this information available to Parties at the 17th meeting of the Conference of the Parties.</p>
<p>16.76 <i>Reporting on the implementation of Resolution Conf. 10.14 (Rev. CoP16) on Quotas for leopard hunting trophies and skins for personal use</i></p>	<p>Parties shall, by the 66th meeting of the Standing Committee, submit a report to the Secretariat on the implementation of the system as set out in paragraphs c) to j) of Resolution Conf. 10.14 (Rev. CoP16), including details of any problems with the processing of CITES documents, the management and tracking system in general, and the system in place to replace lost or damaged tags.</p>
<p>16.77 <i>Reporting on the implementation of Resolution Conf. 10.14 (Rev. CoP16) on Quotas for leopard hunting trophies and skins for personal use</i></p>	<p>The Secretariat shall, at the 66th meeting of the Standing Committee, and subject to the availability of funds:</p> <p>a) provide a summary report to the Standing Committee based on the reports supplied by the Parties concerned in the implementation of Resolution Conf. 10.14 (Rev. CoP16); and</p> <p>b) on the basis of experience gained with the operation of the tagging system set out in paragraphs c) to j) of Resolution Conf. 10.14 (Rev. CoP16), make recommendations, as appropriate, to the Standing Committee regarding the feasibility and appropriateness of extending the system for use with other CITES-listed species.</p>
<p>16.78 <i>Monitoring of illegal trade in ivory and other elephant specimens (Elephantidae spp.)</i></p>	<p>The Secretariat shall, subject to external funding:</p> <p>a) convene a CITES Ivory Enforcement Task Force, consisting of representatives from China (including Hong Kong SAR), Kenya, Malaysia, the Philippines, South Africa, Thailand, Uganda, the United Republic of Tanzania and Viet Nam, in cooperation with partner organizations in the International Consortium on Combating Wildlife Crime (ICWC) and, as appropriate, other Parties and experts, to:</p> <p>i) evaluate the concerns identified in the examples in document SC62 Doc. 26, Annex, regarding trade in specimens claimed to be derived from captive breeding or ranching;</p>

Decision	Relevant paragraph
<p>16.103 <i>Snake trade and conservation management (Serpentes spp.)</i></p>	<p>16.103 The Animals Committee shall:</p> <p>The Animals Committee shall:</p> <p>a) review the results of the activities indicated in Decision 16.102, paragraphs a) to c), as well as the results of the ITC study and other relevant studies on trade in python snakes in Asia and UNCTAD Biotrade Initiative's Working Group on reptile skin sourcing, when available; and, based on these studies and reports, develop guidance and recommendations for consideration by the Standing Committee;</p> <p>b) examine the study undertaken by the UNCTAD Biotrade initiative's Working Group on reptile skin sourcing mentioned in Decision 16.102, paragraph c), and any other relevant available information concerning:</p> <ul style="list-style-type: none"> i) existing marking and tracing systems and, where relevant, accompanying certification schemes of all kinds (and not necessarily limited to those currently in use for trade in wild species), which could provide best practices that might be applicable to snakes; ii) a traceability system to confirm the legal origin of snake skins; and iii) the economic feasibility of current technologies to implement such a traceability and marking system; <p>c) advise the Standing Committee on the feasibility of implementing such a traceability system for snakes; and</p> <p>d) report on the status of this work at the 65th and 66th meetings of the Standing Committee.</p>
<p>16.105 <i>Snake trade and conservation management (Serpentes spp.)</i></p>	<p>16.105 The Standing Committee shall:</p> <p>a) consider the reports and recommendations from the Animals Committee and the Secretariat provided in accordance with Decisions 16.102 and 16.103 and, as appropriate, the results of the ITC study on trade in python snakes in Asia, the UNCTAD Biotrade Initiative's Working Group on reptile skin sourcing, and any other relevant available information;</p> <p>b) examine the study undertaken by the UNCTAD Biotrade Initiative's Working Group on reptile skin sourcing, and any other relevant available information concerning:</p> <ul style="list-style-type: none"> i) the socio-economic implications of such a traceability system; and ii) the potential costs of the system at all levels along the supply chain, from producers to consumers; <p>c) make recommendations to the Parties, the Animals Committee and the Secretariat as appropriate; and</p> <p>d) report on the implementation of Decisions 16.102, 16.104 and 16.105 at CoP17, with recommendations for consideration by the Parties, if deemed necessary.</p>

Decision	Relevant paragraph
16.144 <i>Regional cooperation on the management of and trade in the queen conch (Strombus gigas)</i>	16.144 Range States of <i>S. gigas</i> should collaborate in exploring ways to enhance the traceability of specimens in international trade, including, but not limited to, catch certificates, labelling systems and the application of genetic techniques..
16.150 <i>Hoodia spp.</i>	Directed to the Standing Committee 16.150 The Working Group on Annotations should review the annotation to the listing of <i>Hoodia</i> species with a view to its standardization and amendment, as appropriate.
16.152 <i>Malagasy ebonies (Diospyros spp.) and Malagasy palissanders and rosewoods (Dalbergia spp.)</i> <i>Action plan for Diospyros spp. and Dalbergia spp. Annex 3</i>	Madagascar shall: 5. Collaborate, as appropriate, and with key partners, as indicated in paragraph 2 above, to establish enforcement mechanisms to assist in implementation of any export quota, stockpile control and opening of any legal and sustainable trade utilizing timber tracking systems and other technology as appropriate;

Resolutions on track and tracing of specimens of CITES-listed species

Resolution	Relevant paragraph
Resolution Conf. 7.12 (Rev. CoP15) <i>Marking requirements for trade in specimens of taxa with populations in both Appendix I and Appendix II</i>	(Entire Resolution is relevant)
Resolution Conf. 8.13 (Rev.) <i>Use of coded-microchip implants for marking live animals in trade</i>	(Entire Resolution is relevant)
Resolution Conf. 9.19 (Rev. CoP15) <i>Registration of nurseries that artificially propagate specimens of Appendix-I plant species for export purposes</i>	<p>The Conference of the Parties to the Convention</p> <p>RESOLVES that:</p> <p>c) artificially propagated specimens of Appendix-I species produced in registered nurseries may only be exported when:</p> <p style="padding-left: 40px;">i) they are packed and labelled in such a way that they are clearly separated from artificially propagated or wild-collected Appendix-II and/or Appendix-III plants in the same consignment;</p>
Resolution Conf. 9.20 <i>Guidelines for evaluating marine turtle ranching proposals submitted pursuant to Resolution Conf. 11.16 (Rev. CoP15)</i> <i>Annex</i>	<p>2. Trade controls</p> <p>Describe marking and tracking procedures for all parts and derivatives from approved ranches that will allow the unambiguous identification of ranch products, including methods for marking products and packages, packaging types, transport methods, shipping routes, product documentation, secure storage of products, inventory control up to the point of export and specification of the maximum quantities of products (quotas) to be exported annually.</p>

Resolution	Relevant paragraph
<p>Resolution Conf. 10.10 (Rev. CoP16) <i>Trade in elephant specimens</i></p>	<p>The Conference of the Parties to the Convention</p> <p>Regarding definitions</p> <p>Agrees that:</p> <p>Regarding marking</p> <p>RECOMMENDS that whole tusks of any size, and cut pieces of ivory that are both 20 cm or more in length and one kilogram or more in weight, be marked by means of punch-dies, indelible ink, or other form of permanent marking, using the following formula: country-of-origin two-letter ISO code, the last two digits of the year / the serial number for the year / and the weight in kilograms (e.g. KE 00/127/14). It is recognized that different Parties have different systems for marking and may apply different practices for specifying the serial number and the year (which may be the year of registration or recovery, for example), but that all systems must result in a unique number for each piece of marked ivory. This number should be placed at the 'lip mark', in the case of whole tusks, and highlighted with a flash of colour;</p> <p>Regarding trade in elephant specimens</p> <p>URGES those Parties in whose jurisdiction there is an ivory carving industry, a legal domestic trade in ivory, an unregulated market for or illegal trade in ivory, or where ivory stockpiles exist, and Parties that may be designated as ivory importing countries, to ensure that they have put in place comprehensive internal legislative, regulatory, enforcement and other measures to:</p> <p>e) maintain an inventory of government-held stockpiles of ivory and, where possible, of significant privately held stockpiles of ivory within their territory, and inform the Secretariat of the level of this stock each year before 28 February, indicating: the number of pieces and their weight per type of ivory (raw or worked); for relevant pieces, and if marked, their markings in accordance with the provisions of this Resolution; the source of the ivory; and the reasons for any significant changes in the stockpile compared to the preceding year;</p> <p>Regarding quotas for trade in raw ivory as part of elephant hunting trophies</p> <p>RECOMMENDS that:</p> <p>e) Parties authorize import of raw ivory as part of a hunting trophy if:</p> <p>i) the ivory is marked in accordance with the marking requirements as contained in this Resolution;</p>

Resolution	Relevant paragraph
<p>Resolution Conf. 10.14 (Rev. CoP16) <i>Quotas for leopard hunting trophies and skins for personal use</i></p>	<p>The Conference of the Parties to the Convention</p> <p>RECOMMENDS that:</p> <p>c) the Management Authority of the State of import permit the import of leopard skins in accordance with this Resolution only if:</p> <ul style="list-style-type: none"> i) each skin has a self-locking, non-reusable tag attached which indicates, at a minimum, the State of origin, the number of the specimen in relation to the annual quota and the calendar year in which the animal was taken in the wild – for example ZW 6/500 2010 indicating that Zimbabwe is the State of origin and that the specimen was taken in the wild in Zimbabwe in 2010 and received tag number 6 out of Zimbabwe’s quota of 500 for 2010; ii) if the same information as is on the tag is recorded on the export document in block 9 or block 5 of the standard CITES permit form (and no information is required in block 11a); and iii) the tag has, as a minimum, the following characteristics: a tamper-resistant, self-locking mechanism, heat resistance, inertia to chemical and mechanical processing, and alphanumeric information, which may include bar-coding, applied by permanent stamping; <p>d) Parties make every effort to ensure that skins are re-exported with the original tags intact;</p> <p>e) if the original tags are lost, damaged, or removed from skins during processing, the country of reexport should tag such skins prior to re-export, with a 're-export tag' meeting all the requirements of paragraph c) above, except that the country of origin and year of harvest will not be required; and further, that the same information as is on both the original tag and the replacement tag should be given on the re-export certificate, together with details of the original permit under which the skin was imported;</p> <p>f) Parties accept CITES documents for trade in leopard skins only if they contain the information referred to in paragraph c) or e), as appropriate, and if the skins are tagged in accordance with the provisions of the present Resolution;</p> <p>g) Parties, with the advice of the Secretariat if appropriate, implement a management and tracking system for tags used in trade; and</p> <p>h) Management Authorities ensure that tags not affixed to skins in the year specified on the tag are destroyed;</p>
<p>Conf. 10.15 (Rev. CoP14) <i>Establishment of quotas for markhor hunting trophies</i></p>	<p>The Conference of the Parties to the Convention</p> <p>Recommends that:</p> <p>c) the Management Authority of the State of import permit the import of markhor hunting trophies in accordance with this Resolution only if each trophy has a self-locking tag attached which indicates the State of export, the number of the specimen in relation to the annual quota and the calendar year to which the quota applies, and if the same information as is on the tag is given on the export document;</p>

Resolution	Relevant paragraph
<p>Resolution Conf. 10.16 (Rev.) <i>Specimens of animal species bred in captivity</i></p>	<p>The Conference of the Parties to the Convention</p> <p>Regarding the trade in specimens of Appendix-I species bred in captivity</p> <p>RECOMMENDS that the trade in a specimen bred in captivity be permitted only if it is marked in accordance with the provisions on marking in the Resolutions adopted by the Conference of the Parties and if the type and number of the mark are indicated on the document authorizing the trade;</p>
<p>Resolution Conf. 10.20 <i>Frequent cross-border movements of personally owned live animals</i></p>	<p>NOTING that Resolution Conf. 8.13 (Rev.), adopted at the eighth meeting of the Conference of the Parties (Kyoto, 1992) and revised at the 11th meeting (Gigiri, 2000), recognizes the use of coded microchip implants for marking live animals of Appendix-I species in trade, without excluding the use of other appropriate methods;</p>
<p>Resolution Conf. 11.7 <i>Conservation of and trade in musk deer</i></p>	<p>The Conference of the Parties to the Convention</p> <p>URGES all Parties, particularly musk deer range and consuming countries and those through which musk deer specimens pass in transit, to take immediate action in order to reduce demonstrably the illegal trade in musk deriving from wild musk deer by:</p> <p>b) pursuing the development of a clear labelling system for products containing musk, and the development and dissemination of forensic methods to detect natural musk in medicinal and other products;</p>
<p>Resolution Conf. 11.12 (Rev. CoP15) <i>Universal tagging system for the identification of crocodilian skins</i></p>	<p>(Entire Resolution is relevant)</p>
<p>Resolution Conf. 11.15 (Rev. CoP12) <i>Non-commercial loan, donation or exchange of museum and herbarium specimens</i></p>	<p>The Conference of the Parties to the Convention</p> <p>RECOMMENDS that:</p> <p>e) Parties implement the exemption for scientific exchange in Article VII, paragraph 6, as follows:</p> <p>iii) the requirement that the container used to transport the specimens carry a label issued or approved by a Management Authority should be met by authorizing the use of Customs Declaration labels, provided they bear the acronym CITES, identification of contents as herbarium specimens, preserved, dried or embedded museum specimens or live plant material for scientific study, the name and address of the sending institution and the codes of the exporting and importing institutions over the signature of a responsible officer of that registered scientific institution; or a label issued by a Management Authority containing the same information and the users of which would be responsible to that body;</p>

Resolution	Relevant paragraph
<p>Resolution Conf. 11.16 (Rev. CoP15) <i>Ranching and trade in ranched specimens of species transferred from Appendix I to Appendix II</i></p>	<p>Ranching and trade in ranched specimens of species transferred from Appendix I to Appendix II</p> <p>RECOGNIZING that marking of parts and derivatives in trade from ranched animals is necessary to achieve adequate control;</p> <p>RECOGNIZING that, if each Party establishes a different marking system for parts and derivatives of ranched animals of the same species, confusion will result and enforcement will be difficult;</p> <p>The Conference of the Parties to the Convention</p> <p>Regarding definitions</p> <p>Decides that:</p> <p>b) the term 'uniform marking system' means a system of marking each product approved by the Conference of the Parties for a species, which, as a minimum, includes the International Organization for Standardization two-letter code for the country of origin, a unique identification number and the year of production or, for products in stock or manufactured from products of the operation in stock at the time of the proposal, the year of approval of the proposal;</p> <p>Recommends that:</p> <p>c) any Party submitting a ranching proposal for a population of a species, whether or not a ranching proposal has been approved for the species previously, include in the proposal the following, in addition to the usual biological data requested for proposals to amend the Appendices:</p> <p>i) details of its marking system that should meet the minimum requirements of the uniform marking system defined in this Resolution;</p>
<p>Resolution Conf. 12.3 (Rev. CoP16) <i>Permits and certificates</i></p>	<p>The Conference of the Parties to the Convention</p> <p>VI. Regarding travelling-exhibition certificates</p> <p>k) Parties require that specimens be marked or identified in such a way that the authorities of each State into which an exhibition enters can verify that the travelling-exhibition certificates correspond to the specimens being imported;</p>
<p>Resolution Conf. 12.10 (Rev. CoP15) <i>Registration of operations that breed Appendix-I animal species in captivity for commercial purposes</i></p>	<p>The Conference of the Parties to the Convention</p> <p>RESOLVES that:</p> <p>f) registered captive-breeding operations shall ensure that an appropriate and secure marking system is used to clearly identify all breeding stock and specimens in trade, and shall undertake to adopt superior marking and identification methods as these become available;</p>

Resolution	Relevant paragraph
<p>Resolution Conf. 12.7 (Rev. CoP16) <i>Conservation of and trade in sturgeons and paddlefish</i></p>	<p>NOTING that, in order to assist the Parties in identifying legal caviar in trade, marking should be standardized and that particular specifications for the design of labels are fundamental, should be generally applied and should also take into account marking systems currently in place and anticipated technological advances in marking systems;</p> <p>The Conference of the Parties to the Convention</p> <p>Resolves that:</p> <p>f) registered captive-breeding operations shall ensure that an appropriate and secure marking system is used to clearly identify all breeding stock and specimens in trade, and shall undertake to adopt superior marking and identification methods as these become available;</p>
<p>Resolution Conf. 12.7 (Rev. CoP16) <i>Conservation of and trade in sturgeons and paddlefish</i></p> <p>Annex 1</p>	<p>Information to be provided to the Secretariat by the Management Authority on operations to be registered</p> <p>12. Detailed description of the marking methods (e.g. bands, tags, transponders, branding, etc.) used for the breeding stock and offspring and for the types of specimens (e.g. skins, meat, live animals, etc.) that will be exported.</p>
<p>Resolution Conf. 16.8 <i>Frequent cross-border non-commercial movements of musical instruments</i></p>	<p>The Conference of the Parties to the Convention</p> <p>RECOMMENDS that for non-commercial cross-border movement of musical instruments derived from CITES species, other than Appendix-I specimens acquired after the species was included in the Appendices:</p> <p>h) the Parties concerned require that the musical instrument be appropriately identified and that the identification mark or a detailed description of the instrument be included on the musical instrument certificate so that the authorities of the State into which the musical instrument enters can verify that the certificate corresponds to the musical instrument in question;</p>
<p>Resolution Conf. 16.10 <i>Implementation of the Convention for agarwood-producing taxa</i></p>	<p>The Conference of the Parties to the Convention</p> <p>RECOMMENDS exporting States to establish a registration system of exporters who export pure or mixed oil of agarwood. Samples of the labels used and lists of relevant exporters should be communicated to the Secretariat by exporting States, and then be provided to all Parties through a Notification;</p>

Draft elements for a Decision on traceability:

Invites the Standing Committee to consider the following elements on a decision on traceability for submission to the 17th Conference of the Parties:

XX.XX DIRECTS the Standing Committee to:

1. Establish a working group on traceability systems in collaboration with the CITES Secretariat to:
 - a) Recommend a working definition of traceability systems to assist Parties in work related to the implementation of such systems;
 - b) Encourage that the development by Parties of traceability systems be mutually complementary, supportive and standardized, as appropriate, and that they also meet the unique needs of any CITES-listed species;
 - c) Provide general guidance on a governance structure to administer and oversee the development of traceability systems using lessons learned from the development of the global CITES permits and certificates system;
 - d) Develop, subject to the availability of external resources, and use umbrella guidelines, and recommend standards, as appropriate, to develop traceability systems for different species that are mutually supportive and that generate standardized data;
 - e) Describe the CITES value chain, subject to the availability of external resources, using Unified Modelling Language and identify points throughout the value chain where species must be located, identified and its application defined;
 - f) Collaborate with the working group on e-permitting to ensure links between CITES permits and certificates and traceability identifiers;
 - g) Collaborate with United Nations and other relevant organizations involved and that have experience in the development and use of traceability standards and systems; and,
 - h) Draft a Resolution on traceability for consideration at the 18th meeting of the Conference of the Parties;

INVITES Parties to:

1. Support the working group in its work on traceability;
2. Advise the working group on the development of projects and new information related to traceability;
3. Adhere, whenever possible, to international standards and norms related to traceability systems in the development of these systems;
4. Use data, as appropriate, generated from traceability systems in activities related to non-detriment findings and monitoring programmes; and,
5. Collaborate in the provision of capacity-building programmes that promote South-South and North-South cooperation in the development of traceability systems.

DIRECTS the Secretariat, subject to the availability of external funding, to:

1. Develop a portal on the CITES website on traceability to make available:
 - a) Recommendations by the working group on a definition on traceability, general traceability guidelines, and other relevant information;

- b) Information on new projects on traceability;
 - c) Information on global organizations working on traceability standards and systems; and,
 - d) Relevant documents, research papers and guidelines on traceability;
2. In collaboration with the Standing Committee working group established under Decision 17.XX and UN/CEFACT, commission a report by a global organization or expert with experience in the development of standards related to traceability, to:
- a) Describe a possible governance model for use in CITES traceability systems;
 - b) Map and describe using Unified Modelling Language or a similar tool, the CITES supply and value chain;
 - c) Identify and recommend appropriate information exchange protocols and standards for use in CITES traceability systems;
 - d) Describe a generic CITES traceability standard for use as a common model; and
 - e) Report on the conclusions of the report at the 69th meeting or the Standing Committee.