

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



Seventieth meeting of the Standing Committee
Rosa Khutor, Sochi (Russian Federation), 1-5 October 2018

PURPOSE CODES ON CITES PERMITS AND CERTIFICATES

Recommendations

It is recommended that the Standing Committee:

1. Consider the proposed amendments to the Resolution Conf. 12.4 (Rev CoP17) as shown in Annex 1 for submission to the 18th meeting of the Conference of the Parties for adoption. The proposed amendments include those that were presented in Annex 1 of SC70 Doc 35 and additional amendments agreed by the in-session working group.
2. Based on the conclusion of the working group that paragraph c) of Decision 14.54 (Rev CoP17) has been completed, consider the following revised draft decision for submission to CoP18:

14.54 (Rev.CoP18) directed to the Standing Committee

The Standing Committee shall re-establish an intersessional joint working group to review the use of purpose-of-transaction codes by Parties, with the following terms of reference:

- a) the working group shall be composed of Parties from as many of the six CITES regions as possible, and appropriate intergovernmental and non-governmental organizations, with expertise in the issuance of CITES documents and use of purpose-of-transaction codes for evaluation within the permit issuance process and trade data analysis;
- b) the working group shall, communicating through electronic media, focus on clearly defining purpose-of-transaction codes to encourage their consistent use, and consider the possible elimination of current codes or the inclusion of new ones;
- ~~c) in evaluating the use and definition of purpose-of-transaction codes, the working group shall take into account any difficulties of implementation by Parties and the potential resource implications of inclusion of any new codes or deletion of current purpose-of-transaction codes; and~~
- c) the working group shall also consider any Resolution related to or affected by purpose-of-transaction codes, to ensure coherent interpretation; and
- d) the working group shall submit a report and any recommendations for amendments to Resolution Conf. 12.3 (Rev. CoP17) on Permits and certificates, or to any revision thereof, and recommendations for amendments to any other Resolution identified under c) above to the 70th 74th meeting of the Standing Committee, which shall report, with its recommendations, at the 48th 19th meeting of the Conference of the Parties.

Conf. 12.3

(Rev. CoP187)*

Permits and certificates

3. RECOMMENDS that:

- a) Parties wishing to modify their permit and certificate forms, to reprint existing documents or to introduce new documents, first ask the Secretariat for advice;
- b) Parties adapt the contents and, to the extent practicable, the format of their permits and certificates to the standard form attached to the present Resolution as Annex 2;
- c) Parties using or developing electronic permits and certificates, adopt the standards recommended in the [CITES electronic permitting toolkit](#);
- d) the Secretariat, subject to availability of external funding, organize the printing of permit and certificate forms on security paper for Parties that request it;
- e) to avoid abusive or fraudulent use, the Parties not use forms for their internal-trade certificates that are identical to CITES forms;
- f) for tracking and annual reporting purposes, permit and certificate numbers be limited, if possible, to 14 characters in the format:

WWxxYYYYYY/zz

where WW represents the last two digits of the year of issuance; xx represents the two-letter ISO code of the country; YYYYYY represents a six-digit serial number; and zz represents two digits or letters, or a combination of a digit and a letter, that a Party may use for national informational purposes;

- g) Parties state, on each of their permits and certificates, the purpose of the transaction using the following codes:

T Commercial
Z Zoo
G Botanical garden
Q Circus or travelling exhibition
S Scientific
H Hunting trophy
P Personal
M Medical (including biomedical research)
E Educational
N Reintroduction or introduction into the wild
B Breeding in captivity or artificial propagation
L Law enforcement / judicial / forensic;

- h) The purpose of transaction code is determined as follows:

- i) The transaction between the sender/exporter and receiver/importer directly involved in the movement between 2 Parties is used to assess the purpose of transaction code for the export permit or re-export certificate. This indicates the reason there is an exchange or movement of the

* Amended at the 13th, 14th and 15th, 16th and 17th meetings of the Conference of the Parties.

specimen(s) from the sender/exporter and receiver/importer. The sender/exporter and receiver/importer can be the same entity (e.g. personal move).

ii) The intended use of the specimens by the importer is used to determine the purpose of transaction code for the import permit. This indicates the reason the importer has requested or is receiving the specimen(s).

iii) When both the export permit/re-export certificate and the import permit are issued, the purpose of transaction code used on the two CITES documents may be different.

iv) In the case of these certificates, the following purpose of transaction codes should be used:

Certificate of Ownership P

Travelling Exhibition Certificate Q

Musical Instrument Certificate P or Q

Scientific Certificate S

v) For the remaining certificates, the purpose of transaction code is determined as follows:

Pre-convention certificate – as outlined in i. above for export permits or re-export certificates.

Certificate of Origin – as outlined in i. above for export permits or re-export certificates.

Certificate of captive breeding and artificial propagation – as outlined in i. above for export permits or re-export certificates.

Introduction from the Sea certificate – as outlined in ii. above for import permits.

h) The term 'hunting trophy', as used in this Resolution, means a whole animal, or a readily recognizable part or derivative of an animal, specified on any accompanying CITES permit or certificate, that:

- i) is raw, processed or manufactured;
- ii) was legally obtained by the hunter through hunting for the hunter's personal use; and
- iii) is being imported, exported or re-exported by or on behalf of the hunter, as part of the transfer from its country of origin, ultimately to the hunter's State of usual residence.

[...]

VI. Regarding travelling-exhibition certificates

12. RECOMMENDS that:

- d) travelling-exhibition certificates should contain the purpose code 'Q' and include in block 5, or in another block if the model form is not used, the following language: "The specimen/s covered by this certificate may not be sold or otherwise transferred in any State other than the State in which the exhibition is based and registered. This certificate is non-transferable. If the specimen/s dies/die, is/are stolen, destroyed, lost, sold or otherwise transferred, this certificate must be immediately returned by the owner to the issuing Management Authority";