

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

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Eighth Meeting of the Conference of the Parties

Kyoto (Japan), 2 to 13 March 1992

Interpretation and Implementation of the Convention

STANDARDIZATION OF CITES PERMITS AND CERTIFICATES

This document has been prepared and is presented by the Secretariat.

1. Article VI of the Convention requires an export permit to contain the information specified in the model set forth in Appendix IV of the Convention.
2. In Resolution Conf. 3.6, the Parties recommended that import permits for Appendix-I specimens, re-export certificates and other certificates should contain similar information to that required for export permits.
3. Resolution Conf. 3.6 also recommended a standardized model for export permit and re-export certificate forms (which, in effect, replaced Appendix IV of the Convention).
4. Resolution Conf. 7.3 recommends the inclusion of supplementary information on permits and certificates, in particular, the country of last re-export (as well as the number and date of the re-export certificate), the date on which the country of origin issued the export permit, and conditions for the validity of the permits and certificates for live specimens.
5. Due to improved border controls, the use of an increasing number of false or forged CITES documents has replaced trafficking of specimens without CITES documents over the last few years. The use of authentic documents for fraudulent purposes is on the rise as well. However, another problem has become particularly alarming: the issuance by some Parties of documents containing false information or information that has not been verified (or has not been sufficiently verified) or, even more frequently, failing to give some essential information.
6. For all these reasons, it is vital to define more accurately the information that must appear on a permit or certificate so as to limit, as much as possible, the risks of fraud connected with the use of CITES permits and certificates.
7. Moreover, during the last few years, the Parties have adopted several Resolutions directly or indirectly affecting the contents of permits and certificates, as well as the conditions governing their issuance, in particular:
  - Conf 2.12 on the definition of the terms "bred in captivity" and "artificially propagated";
  - Conf 3.15 on ranching (including the need to mark specimens from ranched populations);
  - Conf 4.15 on operations of breeding in captivity, for commercial purposes, of specimens of species listed in Appendix I (including the need to mark specimens from ranched populations)
  - Conf 5.11 on the definition of the term "pre-Convention".
8. Resolution Conf. 7.3 asks the Secretariat to prepare and present a new standard permit model, and stress the fact that this model should be changed as infrequently as possible.
9. In Notification to the Parties No. 562 of 31 January, 1990, the Secretariat asked the Parties to put forward proposals and suggestions regarding this new standard model. Only the United States of America sent a contribution.

10. The Secretariat, therefore, is submitting to the Conference of the Parties, the attached draft resolution comprising two annexes. The first gives a list of all the information that should appear on all CITES permits and certificates (failure to include this information would put the document's validity in question). The second is a draft of a new standard model.
11. The draft resolution contains three sections:
  - The first gives the list of basic information that must appear on the different types of permits and certificates covered by the Convention (refer to Annex 1 of the draft resolution) and the specific information for each type of document (export permits, import permits, re-export certificates, certificates for animals bred in captivity and for plants propagated artificially, pre-Convention certificates);
  - The second recommends the use of the standard model appearing in Annex 2 of the draft resolution, and the inclusion of supplementary information with the basic aim of preventing any use of CITES documents for fraudulent purposes;
  - The third mandates the Secretariat to assist those Parties requiring help in preparing their CITES document forms.
12. As the main points of the draft resolution already appear in Resolutions Conf. 3.6 and Conf. 7.3, it is proposed to cancel them. The modifications to the present procedure for issuing permits are as follows:
  - i) a recommendation to indicate the purpose of the operation on the permits and certificates by using a code;
  - ii) modification of the coding system to indicate the source of specimens;
  - iii) specification of any national quota for specimens of species included in Appendix II or III and of the number of specimens already exported under the quota;
  - iv) a recommendation that exported specimens and re-exported specimens should not appear on the same document;
  - v) for reasons often linked with the use of data processing, a recommendation that permit and certificate numbers should be limited to eight characters to prevent only some of the characters being copied onto re-export certificates - and not always the most relevant ones - due to an excessive number of characters.

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

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 certificates 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 at the second meeting of the Conference of the Parties (San José, 1979) in Resolution Conf. 2.12, 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 permit 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 conduct 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 certificates forms, to reprint existing documents or to introduce new documents, to first ask the Secretariat for advice, unless they adopt without modifications the standard model accompanying the present Resolution;

AGREES

- a) that, to fulfil the requirements of Article VI of the Convention, and thus be acceptable for exportation and importation, 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 Annex 1 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/ pre-Convention/ certificate of captive breeding or artificial propagation);
- d) that a re-export certificate should also specify:
  - i) the country of origin, the export permit number of the country of origin and its date of issue; and
  - ii) the country of last re-export, the re-export certificate number of that country and its date of issue; or
  - iii) if the case arises, justification for the omission of any of the aforementioned information;

- e) that an import permit (for specimens included in Appendix I) should 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;

#### RECOMMENDS

- a) that the Parties adapt the contents and, as far as possible, the format of their permit and certificate forms to the standard model in Annex 2 of the present Resolution;
- b) 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";
- c) 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;
- d) that the Parties which do not already do so, affix a security stamp to each export/re-export permit/certificate;
- e) that, when a security stamp is affixed to a document it should be cancelled by a signature and a stamp or seal, preferably embossed;
- f) that, when a security stamp is affixed to a document, the number of the stamp also be recorded on the document;
- g) 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 seal;
- h) that the Parties state, on each of their permits and certificates, the purpose of the transaction using the following codes:

<b>T</b>	Commercial
<b>Z</b>	Zoos
<b>G</b>	Botanical gardens
<b>Q</b>	Circuses and travelling exhibitions
<b>S</b>	Scientific
<b>H</b>	Hunting trophies
<b>P</b>	Personal
<b>M</b>	Bio-medical research
<b>E</b>	Educational
<b>N</b>	Reintroduction or introduction into the wild
<b>B</b>	Breeding in captivity or artificial propagation;

- i) The use of the following codes for the appendix no. and source:

<b>W</b>	Specimens taken from the wild
<b>R</b>	Specimens originating from a ranching operation
<b>D</b>	Appendix-I animals bred in captivity for commercial purposes, or 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
<b>A</b>	Plants that are artificially propagated 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 reproduced 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;

- j) that the number of the "bill of lading " or "air way-bill" be stated on the permits and certificates when the means of transport used requires such a document;
- k) that, when a country has fixed national export quotas for specimens of species included in Appendices II and III, it should 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;
- l) that the Parties which 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 one month of any change thereto within the same time limit, 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 date these 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 should 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 should be limited to eight characters (digits, letters and spaces);
- p) that the Parties take appropriate security measures, recommended in Resolution Conf. 3.7, 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 should refrain from issuing documents that run counter to these measures;

REQUESTS the Secretariat:

- a) to give to those Parties which 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 the following Resolutions:

- a) Resolution Conf. 3.6 (New Delhi, 1981) - Standardization of Permits and Certificates Issued by Parties; and
- b) Resolution Conf. 7.3 (Lausanne, 1989) - Export/Re-export Permits/Certificates.

Information that Should be Included in CITES  
Permits and Certificates

- \* a) The full name and logo of the Convention
  - \* b) The complete name and address of the Management Authority issuing the permit
  - c) The **complete** names and addresses of the exporter and importer
  - d) The scientific name of the species to which the specimen belongs and the subspecies when it is important to determine in which appendix the taxon concerned is included
  - e) The description of the specimens, in one of the Convention's three working languages, using the nomenclature of specimens distributed by the Secretariat
  - f) 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 breeding ranches, subject to quotas approved by the Conference of the Parties, or originating from operations practising the breeding in captivity for commercial purposes of animals included in Appendix I, etc.)
  - g) The appendix in which the species or subspecies or population is listed
  - h) The source of the specimen
  - i) The quantity of specimens and, if appropriate, the unit of measure used
  - j) The date of issue and the date of expiry
  - k) The name of the signatory and his handwritten signature
  - l) The embossed seal or ink stamp of the Management Authority
  - m) 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
  - n) 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 or artificial propagation for commercial purposes (Article VII, paragraph 4, of the Convention), and the name of the operation when it is not the exporter
  - o) The actual quantity of specimens exported, certified by the seal and signature of the authority which carried out the inspection during the exportation
- \* THIS INFORMATION SHOULD ALREADY BE PRINTED ON THE FORM



**CONVENTION ON  
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**CITES PERMIT N°**

Original

EXPORT  
 RE-EXPORT  
 IMPORT  
 OTHER

2. Valid until

3. Consignee (Name and address)

4. Permittee (name and address, country)

3a. Country of destination

5. Special conditions

6. Name, address, national seal/stamp and country of Management Authority

5a. Objective of the operation (See reverse)      5b. Security stamp N°

For live animals, this permit or certificate is only valid if the transport conditions conform to the Guidelines for Transport of Live Animals or, in the case of air transport, to the IATA Live Animals Regulations.

7./8. SCIENTIFIC NAME (GENUS AND SPECIES) AND COMMON NAME OF ANIMAL OR PLANT	9. Description of part or derivative, includ- ing identifying marks or numbers (age/sex if live)	10. Appendix No. and source (see reverse)	11. Quantity Number of Specimens and/or net weight (kg)	11a. Total exported/ Quota
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A.

12. Country of origin ★	Permit No.	Date	12a. Country of last re-export	Certificate no.	Date	12b. No. of the operation ★ ★ or date of acquisition ★ ★ ★
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B.

12. Country of origin ★	Permit No.	Date	12a. Country of last re-export	Certificate no.	Date	12b. No. of the operation ★ ★ or date of acquisition ★ ★ ★
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C.

12. Country of origin ★	Permit No.	Date	12a. Country of last re-export	Certificate no.	Date	12b. No. of the operation ★ ★ or date of acquisition ★ ★ ★
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D.

12. Country of origin ★	Permit No.	Date	12a. Country of last re-export	Certificate no.	Date	12b. No. of the operation ★ ★ or date of acquisition ★ ★ ★
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E.

12. Country of origin ★	Permit No.	Date	12a. Country of last re-export	Certificate no.	Date	12b. No. of the operation ★ ★ or date of acquisition ★ ★ ★
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★ Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export)

★ ★ Only for specimens of Appendix I species bred in captivity or artificially propagated for commercial purposes

★ ★ ★ For pre-Convention specimens

13. THE PERMIT IS ISSUED BY:

Place \_\_\_\_\_ Date \_\_\_\_\_ Signature \_\_\_\_\_ Official seal and title \_\_\_\_\_

14. EXPORT ENDORSEMENT:		15. Bill of Lading/Airway-Bill Number:	
See block 7	Quantity		
A			
B			
C			
D			
E			
		Port of Export _____	Date _____
		Signature _____	Official stamp and title _____

**CITES PERMIT N°**