

RESOLUTION CONF. 12.3 (REV. COP14)

*PERMITS AND CERTIFICATES*

1. The table in Annex 11 b) below contains a number of proposals for substantive and non-substantive amendments to Resolution Conf. 12.3 (Rev. CoP14), with an explanation for each proposal. It should be noted that the table does not include the preamble, where no change is proposed, and includes only the sections of the operative part with regard to which the Secretariat is proposing an amendment.
2. One of the proposed changes deserves particular mention. This is the addition of a definition of the term 'hunting trophy' in section I, new paragraph g). There are clearly differing interpretations of what this term means. During the consultation in the preparation of the present document, it appeared that the main point of contention was whether the definition should include worked products made from the parts of hunted animals. This may need discussion before an agreement can be reached.
3. A further issue should be mentioned for which the Secretariat has not proposed any amendment. A number of Parties have expressed concern to the Secretariat that permits they have issued have been rejected if they have not been endorsed by an official at the time of export. The Secretariat has expressed the view to several Parties that export endorsement or clearance is a legally-binding obligation under the Convention [noting the reference to endorsement in Appendix IV of the Convention, as well as in Annex 1, paragraph n) of Resolution Conf. 12.3 (Rev. CoP14)]. However, if there are Parties that believe that the absence of an endorsement on a CITES permit or certificate, should not by itself be a reason for refusal to accept a CITES permit or certificate, this view should be discussed in the context of the substantive revision of Resolution Conf. 12.3 (Rev. CoP14), in order to determine the view of the Conference of the Parties.
4. Annex 11 c) of the present document contains the clean version of Annex 11 b) as it will look if the amendments presented in that Annex are adopted, but excluding the face of the model permits, which will be amended after the meeting if the proposed amendment to Annex 1, paragraph n), is adopted.

Recommendation

5. The Secretariat recommends that the Conference of the Parties:
  - a) adopt the amendments to Resolution Conf. 12.3 (Rev. CoP14) in Annex 11 b) below; and
  - b) determine whether any further amendment is necessary on the basis of the information in paragraph 3 above.

PROPOSED AMENDMENTS TO RESOLUTION CONF. 12.3 (REV. COP14)

*PERMITS AND CERTIFICATES*

This table includes only the sections of the Resolution with regard to which the Secretariat is proposing one or more amendments. In the Annexes to the Resolution, the model permits / certificates are not presented, only the instructions and explanations that are found on the back.

NB: Words proposed to be inserted are underlined. Words proposed to be deleted are ~~crossed-out~~.

Suggested amendments	Explanation
<p>THE CONFERENCE OF THE PARTIES TO THE CONVENTION ESTABLISHES the following sections in the present Resolution:</p> <p>I. Regarding standardization of CITES permits and certificates</p> <p>II. Regarding export permits and re-export certificates</p> <p>III. Regarding import permits</p> <p>IV. Regarding pre-Convention certificates</p> <p>V. Regarding certificates of origin</p> <p>VI. Regarding travelling-exhibition certificates</p> <p>VII. Regarding phytosanitary certificates</p> <p>VIII. Regarding permits and certificates for species subject to quotas</p> <p>IX. Regarding permits and certificates for crocodylian specimens</p> <p>X. Regarding permits and certificates for coral specimens</p> <p>XI. Regarding permits and certificates for timber species included in Appendices II and III with the annotation 'Designates logs, sawn wood and veneer sheets'</p> <p>XII. Regarding the use of simplified procedures to issue permits and certificates</p> <p>XIII. Regarding retrospective issue of permits and certificates</p> <p>XIV. Regarding acceptance and clearance of documents and security measures</p> <p>XV. Regarding documents for sample collections covered by ATA carnets</p> <p>Annex 1 Information that should be included in CITES permits and certificates</p> <p>Annex 2 Standard CITES form; instructions and explanations</p> <p>Annex 3 Model travelling-exhibition certificate; instructions and explanations; continuation sheet</p> <p>Annex 4 Types of biological samples and their use</p>	

Suggested amendments	Explanation
<b>I. Regarding standardization of CITES permits and certificates</b>	
AGREES that:	
a) to fulfil the requirements of Article VI and relevant Resolutions, export and import permits, re-export and pre-Convention certificates, certificates of origin and certificates of captive breeding and artificial propagation (except where phytosanitary certificates are used for this purpose) should include all the information specified in Annex 1 of the present Resolution;	
b) every form should be printed in one or more of the working languages of the Convention (English, Spanish or French) and in the national language if it is not one of the working languages;	
c) every form should indicate which type of document it is (e.g. import or export permit, re-export or pre-Convention certificate, etc.);	
d) if a permit or certificate form includes a place for the signature of the applicant, the absence of the signature should render the permit or certificate invalid; and	
e) if an annex is attached to a permit or certificate as an integral part of it, this and the number of pages should be clearly indicated on the permit or certificate, and each page of the annex should include the following:	
i) the number of the permit or certificate and its date of issue; and	
ii) the signature and the stamp or seal, preferably embossed, of the authority issuing the document; and	
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) the Secretariat, subject to availability of external funding, organize the printing of permit and certificate forms on security paper for Parties that request it;	
d) to avoid abusive or fraudulent use, the Parties not use forms for their internal-trade certificates that are identical to CITES forms;	
e) for tracking and annual reporting purposes, permit and certificate numbers be limited, if possible, to 14 characters in the format:  <b>WWxxYYYYYY/zz</b>  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;	

Suggested amendments	Explanation
f) 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	corrected to singular
<b>G</b> Botanical gardens	corrected to singular
<b>Q</b> Circuses <del>or</del> and travelling exhibitions	corrected to singular
<b>S</b> Scientific	
<b>H</b> Hunting trophy <del>ies</del>	corrected to singular
<b>P</b> Personal	
<b>M</b> Medical (including biomedical research)	
<b>E</b> Educational	
<b>N</b> Reintroduction or introduction into the wild	
<b>B</b> Breeding in captivity or artificial propagation	
<b>L</b> Law enforcement / judicial / forensic;	
<p><b>g)</b> <u>the term 'hunting trophy', as used in this Resolution, means a part or derivative of an animal that:</u></p> <p>i) <u>is durable or has been processed for the purpose of preserving it (this may include parts such as antlers, bones, claws, hair, heads, horns, hooves, skin, skull, teeth, tusks);</u></p> <p>ii) <u>was legally obtained by the owner through sport hunting for his or her personal use; and</u></p> <p>iii) <u>is being imported and exported or re-exported by or on behalf of the owner.</u></p>	<p>There are varying interpretations of the term 'hunting trophy' and so a definition is proposed here following the use of the term in the preceding paragraph.</p> <p>The Secretariat notes that this may require further discussion since there are differing views about whether the term should be used to cover worked items that are made from parts of hunted animals, such as clothing, jewelry or bags.</p> <p>This addition necessitates the re-lettering of the subsequent paragraphs.</p>
<b>h)</b> the following codes be used to indicate the source of the specimens:	
<b>W</b> Specimens taken from the wild.	
<b>R</b> Specimens originating from a ranching operation	
<p><b>D</b> Appendix-I animals bred in captivity for commercial purposes in operations included in the Secretariat's Register, in accordance with Resolution Conf. 12.10 (Rev. CoP14), and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4</p>	<p>As this code is to be used only for specimens being exported under the provisions of Article VII, paragraph 4, it should not be used for animal specimens that are not from registered operations [as agreed in Resolution Conf. 12.10 (Rev. CoP14)].</p> <p>If this amendment is accepted, it will need to be made also in the instructions on the model permit/certificate forms.</p>
<p><b>A</b> Plants that are artificially propagated in accordance with Resolution Conf. 11.11 (Rev. CoP14), <del>paragraph a</del>, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of</p>	<p>The definition of 'artificially propagated' is no longer confined to paragraph a) of Resolution Conf. 11.11 (Rev. CoP14).</p>

Suggested amendments	Explanation
species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)	
<b>C</b> Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been bred in captivity for non-commercial purposes and specimens of species included in Appendices II and III)	
<b>F</b> Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof. <u>This code is also to be used for specimens of Appendix-I animal species bred in captivity for commercial purposes at operations not included in the Secretariat's Register.</u>	The specimens referred to in the amendment were previously covered by source code 'D', but that is inconsistent with Resolution Conf. 12.10 (Rev. CoP14). It is therefore proposed that they be included here.
<b>U</b> Source unknown ( <b>must be justified</b> )	
<b>I</b> Confiscated or seized specimens	
<b>O</b> Pre-Convention specimens;	
i) the terms and codes used on permits and certificates to indicate the type of specimen being traded conform to those provided in the Secretariat's most recent <i>Guidelines for the preparation and submission of CITES annual reports</i> and that the units of measurement used also conform to these Guidelines;	
ii) all Parties consider issuing permits and certificates printed on security paper;	
kj) Parties that do not already do so affix a security stamp to each permit and certificate;	
lk) when a security stamp is affixed to a permit or certificate, it be cancelled by a signature and a stamp or seal, preferably embossed and the number of the stamp also be recorded on the document;	
ml) when issuing permits and certificates, the Parties follow the standard nomenclatures adopted by the Conference of the Parties to indicate the names of species [see Resolution Conf. 12.11 (Rev. CoP14)];	
nm) Parties that have not yet done so communicate to the Secretariat the names of the persons empowered to sign permits and certificates, as well as three specimens of their signatures, 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 signatures are no longer valid and the dates the changes took effect;	
oa) 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;	
pe) each Party inform the other Parties, direct 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 permits and certificates that run counter to these measures;	

Suggested amendments	Explanation
<p>gp) when a permit or certificate has been cancelled, lost, stolen or destroyed, the issuing Management Authority immediately inform the Management Authority of the country of destination, as well as the Secretariat regarding commercial shipments; and</p>	
<p>rq) when a permit or certificate is issued to replace a document that has been cancelled, lost, stolen or destroyed, or that has expired, it indicate the number of the replaced document and the reason for the replacement;</p>	
<p><b>II. Regarding export permits and re-export certificates</b></p>	
<p>AGREES that a re-export certificate should also specify:</p>	
<p>a) the country of origin, the number of the export permit of the country of origin and its date of issue; and</p>	
<p>b) the country of last re-export, the number of the re-export certificate of that country and its date of issue;</p>	
<p>or if the case arises:</p>	
<p>c) justification for the omission of any of the aforementioned information;</p>	
<p>RECOMMENDS that:</p>	
<p>a) exporters be encouraged to apply for permits shortly before the time of intended export;</p>	
<p>b) Management Authorities require accurate information about the number or quantity of specimens to be exported under each permit and, as far as possible, avoid the issuance of permits where the numbers or quantities do not accurately reflect what will actually be exported;</p>	
<p>c) in cases where a replacement is requested for a permit that has not been used, the replacement be issued only if the original has been returned to the issuing authority, unless the original is reported as lost. In the latter case, the issuing Management Authority should notify the Management Authority of the country of destination that the original permit has been cancelled and replaced;</p>	
<p>d) if an exporter claims to have used a permit to export a smaller number or quantity of specimens than the amount authorized on the export permit, and requests another permit to export the remainder, the Management Authority obtain proof of the number or quantity already exported before issuing any new permit (such as a copy of the validated export permit or confirmation from the Management Authority of the country of destination of the number or quantity of specimens that were imported using the original permit);</p>	
<p>e) exported specimens and re-exported specimens not appear on the same document, unless it is clearly indicated which specimens are being exported and which re-exported;</p>	
<p>f) when re-export certificates are issued for specimens whose form has not changed since being imported, the unit of measure used be the same as that used on the permit or certificate accepted when they were imported;</p>	
<p>g) the provisions of Article III, paragraph 3, Article IV, paragraph 4, Article V, paragraph 3, and Article VI, paragraph 2, be understood to mean that an export permit or re-export certificate shall be valid for a period of no more than</p>	

Suggested amendments	Explanation
six months from the date on which it was granted and that it may not be accepted to authorize export, re-export or import except during the period of validity;	
h) after the expiry of the said six-month period of validity, an export permit or re-export certificate be considered as void and of no legal value whatsoever, except in the case referred to in section XI relating to timber species;	
i) no export permit or re-export certificate be issued for a specimen known to have been acquired illegally, even if it has been imported in accordance with the national legislation, unless the specimen has previously been confiscated;	
j) Parties not authorize the import of any specimen if they have reason to believe that it was not legally acquired in the country of origin;	
k) Parties verify the origin of Appendix-I specimens to avoid issuing export permits when the use is for primarily commercial purposes and the specimens did not originate in a CITES-registered breeding operation; and	
l) as far as possible, inspections of documents and shipments be conducted at the time of export. This should be regarded as essential for shipments of live animals;	
AGREES that, in the case of plant specimens that cease to qualify for an exemption from the provisions of CITES under which they were exported from their country of origin, the country of origin is deemed to be the first country in which the specimens cease to qualify for the exemption; and	
AGREES further that Parties may in such instances, and if considered useful, add the following text in block 5 of <u>re-export certificates</u> : <del>permits</del> : 'Legally imported under an exemption from the provisions of CITES' and additionally it may be stated to which exemption this refers;	Since this paragraph relates to re-exports, the document concerned is the re-export certificate.
<b>IV. Regarding pre-Convention certificates</b>	
AGREES that a pre-Convention certificate should also specify:	
a) that the specimen covered by the certificate is pre-Convention; and	
b) the date of acquisition of the specimen as defined in Resolution Conf. 13.6 adopted at the 13th meeting of the Conference of the Parties (Bangkok, 2004); and	
<del>RECOMMENDS that Parties not issue pre-Convention certificates except for export to States that became Parties to the Convention after the date of entry into force of the Convention in the issuing country or for export to States not party to the Convention;</del>	This text was transferred to this Resolution at CoP13 from Decision 9.6 from CoP9, having originated at CoP7 from a recommendation of the Secretariat in response to a particular problem. It is now incongruous with Resolution Conf. 13.6 on trade in pre-Convention specimens and with Resolution Conf. 9.5 (Rev. CoP13) on trade with non-Parties.

Suggested amendments	Explanation
<b>X. Regarding permits and certificates for coral specimens</b>	
RECOMMENDS that:	
a) <u>on permits and certificates issued to authorize trade in specimens of hard corals of the genera included in the most recent CITES list of <i>Coral taxa where identification to genus level is acceptable</i><sup>1</sup>, where the species cannot be readily determined, the specimens may be recorded at the genus level. This list is maintained by the Secretariat and may be amended with the concurrence of the Animals Committee;</u>	At the suggestion of the United States of America, this addition is proposed to help clarify what information is required on CITES documents.
ba) on permits and certificates for trade in specimens that are readily recognizable as coral rock [as defined in Resolution Conf. 11.10 (Rev. CoP14) Annex], where the genus cannot be readily determined, the scientific name for the specimens should be 'Scleractinia';	
cb) any Party wishing to authorize export of coral rock identified to ordinate level only should, in view of the inability to make a non-detriment finding for coral rock pursuant to Article IV, paragraph 2 (a), apply the provisions of Article IV, paragraph 3; and	
de) Parties that authorize export of coral rock should: <ul style="list-style-type: none"> <li>i) establish an annual quota for exports and communicate this quota to the Secretariat for distribution to the Parties; and</li> <li>ii) through their Scientific Authorities, make an assessment (which would be available to the Secretariat on request), based on a monitoring programme, that such export will not affect the role that coral rock has in ecosystems affected by the extraction of such specimens;</li> </ul>	
<b>XIV. Regarding acceptance and clearance of documents and security measures</b>	
RECOMMENDS that: <ul style="list-style-type: none"> <li>a) <del>the</del> Parties refuse to accept 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;</li> </ul>	Definite article deleted for consistency.
b) whenever irregularities are suspected, <del>the</del> Parties exchange issued and/or accepted permits or certificates to verify their authenticity;	Definite article deleted for consistency.
c) when a security stamp is affixed to a permit or certificate, <del>the</del> Parties refuse the document if the security stamp is not cancelled by a signature and a stamp or seal;	Definite article deleted for consistency.
d) <del>the</del> Parties refuse to accept any permit or certificate that is invalid, including authentic documents that do not contain all the required information as specified in the present Resolution or that contain information that brings into question the validity of the permit or certificate;	Definite article deleted for consistency.
e) <del>the</del> Parties refuse to accept permits and certificates that do not indicate the scientific name of the species concerned (including subspecies when appropriate), except in the case	Definite article deleted for consistency.

<sup>1</sup> The most recent edition was published in Notification to the Parties No. 2203/020 of 4 April 2003, entitled Trade in hard corals: List of coral taxa that can be recognized at species and at genus levels.



Suggested amendments	Explanation
<p>where:</p> <ul style="list-style-type: none"> <li>i) the Conference of the Parties has agreed that the use of higher-taxon names is acceptable;</li> <li>ii) the issuing Party can show it is well justified and has communicated the justification to the Secretariat;</li> <li>iii) certain manufactured products contain pre-Convention specimens that can not be identified to the species level; or</li> <li>iv) worked skins or pieces thereof of <i>Tupinambis</i> species that were imported before 1 August 2000 are being re-exported, in which case it is sufficient to use the indication <i>Tupinambis</i> spp.;</li> </ul>	
<ul style="list-style-type: none"> <li>f) 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;</li> </ul>	
<ul style="list-style-type: none"> <li>g) when a Party refuses to accept a permit or certificate issued for export or re-export, it immediately inform the exporting or re-exporting country;</li> </ul>	
<ul style="list-style-type: none"> <li>h) when a Party is informed that a permit or certificate it has issued for export or re-export has been refused, it take measures to ensure that the specimens in question do not enter into illegal trade;</li> </ul>	
<ul style="list-style-type: none"> <li>i) Parties ensure that, when the original of a permit or certificate is not used by the permittee for the trade authorized, it is returned by the permittee to the issuing Management Authority in order to prevent the illegal use of the document; and</li> </ul>	
<ul style="list-style-type: none"> <li>j) Parties carefully check the e-mails and telefaxes they receive confirming the validity of permits, in order to ensure that the information that appears on them, including the numbers, corresponds to that in the CITES Directory;</li> </ul>	
<p>RECOMMENDS further that Management Authorities authorize the import of vicuña cloth only if the reverse bears the logotype corresponding to the country of origin and the trade mark VICUÑA – COUNTRY OF ORIGIN or if it is cloth containing pre-Convention wool of vicuña; and</p>	
<p>URGES the Parties to check with the Secretariat:</p> <ul style="list-style-type: none"> <li>a) when they have serious doubts about the validity of permits accompanying suspect shipments; and</li> </ul>	
<ul style="list-style-type: none"> <li>b) before they accept imports of live specimens of Appendix-I species declared as bred in captivity or artificially propagated; and</li> </ul>	
<p><b>XV. Regarding documents for sample collections covered by ATA carnets</b></p>	
<p>RECOMMENDS that:</p> <ul style="list-style-type: none"> <li>a) for the purpose of the procedure described below, the term 'sample collection' refer to collections of legally acquired dead specimens, parts and derivatives of species included in Appendix II or III and of Appendix-I species bred in captivity or artificially propagated for commercial purposes, which are deemed to be treated as Appendix-II specimens, which are</li> </ul>	<p>An amendment is proposed to follow the text of the Convention (Article VII, paragraph 4).</p>

Suggested amendments	Explanation
<p>not entitled to be sold or otherwise transferred, and that will cross borders for presentation purposes before returning to the country from which such movement was first authorized; and</p>	
<p>b) such sample collections be considered as 'in transit' and <u>may be traded under</u> <del>entitled to</del> the special provisions stipulated in Article VII, paragraph 1, as explained in Resolution Conf. 9.7 (Rev. CoP13), on the following conditions:</p> <p>i) sample collections shall be covered by ATA carnets and be accompanied by a standard CITES permit, on which it shall be indicated that the document is a permit or certificate either for 'export', <del>or</del> 're-export' <u>or 'other'</u>, as appropriate, <del>and/or 'other'</del> and, in addition, it shall be clearly specified that the document is issued for a 'sample collection';</p> <p>ii) it shall be specified in block 5, or an equivalent place, that "This document covers a sample collection and is invalid unless accompanied by a valid ATA carnet. The specimen(s) covered by this certificate may not be sold or otherwise transferred whilst outside the territory of the State that issued this document." The number of the accompanying ATA carnet should be recorded and, if necessary, this may be entered by the Customs or other CITES enforcement official responsible for the endorsement of the CITES document;</p> <p>iii) the name and address (including the country) of the importer and the exporter or re-exporter shall be identical, and in block 5, or an equivalent place, the names of the countries to be visited shall be indicated;</p> <p>iv) the date of expiry of such a document shall not be later than that of the ATA carnet accompanying it and the period of validity shall not be more than six months from the date on which it was granted;</p> <p>v) at each border crossing, Parties shall verify the presence of the CITES permit or certificate but allow it to remain with the collection, and ensure that the ATA carnet is properly endorsed with an authorized stamp and signature by a Customs official; and</p> <p>vi) Parties shall check the CITES permit or certificate and sample collection closely at the time of first export or re-export and on its return, to ensure that the collection was not subject to any change;</p>	<p>A minor editorial amendment, since specimens can not be entitled to legal provisions.</p> <p>In subparagraph i), this amendment is required because only one of the four boxes ('export permit', 're-export certificate', 'import permit', 'other') should be ticked to indicate the type of document, as stated on the reverse of the model permit form.</p>
<p>AGREES that:</p> <p>a) such a permit or certificate shall not be transferable and when, during a stay in a State, it is lost, stolen or accidentally destroyed, only the Management Authority that issued it may issue a duplicate <u>or a new document to replace the original.</u> <u>In the case of a This duplicate, it will bear the same number, if possible, and the same date of validity as the original document, and contain the statement "This document is a true copy of the original". In the case of a new document, it will</u> <del>or</del> state that it replaces the original bearing the number xx;</p>	<p>The last part of the paragraph reflects a discussion at CoP13 that, when a permit is lost or stolen, it can be replaced by a certified copy or a new document. This was not reflected in the final text agreed and so is proposed here.</p>
<p>b) if specimens in the collection are stolen, destroyed or lost, the issuing Management Authority of the document shall be immediately informed as well as the Management Authority of</p>	

Suggested amendments	Explanation
the country in which that occurred; and	
c) the usual CITES procedures for export, re-export and import of sample collections shall be followed by those Parties that do not recognize or allow the use of ATA carnets; and	
REPEALS the Resolutions listed hereunder:	
a) Resolution Conf. 8.16 (Kyoto, 1992) – <i>Travelling live-animal exhibitions</i> ;	
b) Resolution Conf. 10.2 (Rev.) (Harare, 1997, as amended at Gigiri, 2000) – <i>Permits and certificates</i> ; and	
c) Resolution Conf. 11.6 (Rev. CoP13) (Gigiri, 2000, as amended at Bangkok, 2004) – <i>Trade in vicuña cloth</i> .	
<b>Annex 1: Information that should be included in CITES permits and certificates</b>	
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 unique control number	
d) The complete names and addresses of the exporter and importer	
e) The scientific name of the species to which the specimens belong (or the subspecies when it is relevant in order to determine in which Appendix the taxon concerned is included) in accordance with the adopted standard nomenclature	
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.) <u>or, in the case of marking with microchip transponders, the microchip codes, the name of the transponder manufacturer, and, where possible, the location of the microchip in the specimen</u>	The text from paragraph q) below is merged here to have just one paragraph regarding marking. However, the reference to "the trade mark" of the transponder manufacturer has been changed to "the name", which is the key information.
h) The Appendix in which the species or subspecies or population is listed. <u>NB. This does not change even if the specimen concerned is deemed to be included in a different Appendix. For example, although specimens of Appendix-I species bred in captivity for commercial purposes are deemed to be specimens of species included in Appendix II, the species remains listed in Appendix I, and this should be specified on the permit or certificate.</u>	The Secretariat has often been asked which Appendix number should be specified on the permit in the cases indicated.
i) The source of the specimens	
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/her 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 <u>IATA Live Animals Regulations</u> <del>CITES Guidelines for transport and preparation for</del>	At CoP14, references to the <i>CITES Guidelines for transport and preparation for shipment of live wild</i>

Suggested amendments	Explanation
<del>shipment of live wild animals and plants (CITES Guidelines for transport) or, if it covers plants in case of air transport, with the IATA Perishable Cargo Regulations-Live Animals Regulations</del>	animals and plants (CITES Guidelines for transport) in Resolution Conf. 10.21 (Rev. CoP14) were replaced by references to the <i>IATA Live Animals Regulations</i> for live animals and the <i>IATA Perishable Cargo Regulations</i> for plants. For consistency, the same amendment should have been made in Resolution Conf. 12.3 (Rev. CoP14), in this paragraph and also in Block 5 of the "Standard CITES form" in Annex 2, and in Block 5 of the "Model travelling-exhibition certificate" in Annex 3. If it is agreed that the text of paragraph n) should be corrected, the model permit forms will also be corrected.
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 or artificial propagation for commercial purposes (Article VII, paragraph 4), 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	
<del>q) When specimens are marked with microchip transponders, all microchip codes, together with the trade mark of the transponder manufacturer, and, where possible, the location of the microchip in the specimen</del>	The text is merged with paragraph g) above to have a single paragraph regarding marking.
<b>To be included in certificates of origin only</b>	
qf) A statement that the specimens originate in the country that issued the certificate	
<b>Annex 2: Instructions and explanations</b>	
<b>(These correspond to block numbers on the form)</b>	
1. Tick the square which corresponds to the type of document issued (export permit, re-export certificate, import permit or other). If the box "other" has been ticked, the type of document must be indicated. The original number is a unique number allocated to each document by the Management Authority.	
2. For export permits and re-export certificates, the date of expiry of the document may not be more than six months after the date of issuance (one year for import permits).	
3. <b>Complete</b> name and address of the importer.	
3a. The name of the country must be written in full.	
4. <b>Complete</b> name and address of the exporter/re-exporter. The name of the country must be stated. The absence of the signature of the applicant renders the permit or certificate invalid.	
5. Special conditions may refer to national legislation or special conditions placed on the shipment by the issuing Management Authority. This block can also be used to justify the omission of certain information.	

Suggested amendments	Explanation
<p>5a. The following codes should be used: <b>T</b> for commercial, <b>Z</b> for zoos, <b>G</b> for botanical gardens, <b>Q</b> for circuses and travelling exhibitions, <b>S</b> for scientific purposes, <b>H</b> for hunting trophies, <b>P</b> for personal, <b>M</b> for medical, <b>E</b> for education, <b>N</b> for reintroduction or introduction into the wild, <b>and B</b> for breeding in captivity or artificial propagation, <b>L</b> for law enforcement / judicial / forensic.</p>	<p>If "purposes" does not appear after "commercial" and "medical" it should be deleted after "scientific".</p>
<p>5b. Indicate the number of the security stamp affixed in block 13.</p>	
<p>6. The name, address and country of the issuing Management Authority should already be printed on the form.</p>	
<p>7-8. Indicate the scientific name (genus and species, where appropriate subspecies) of the animal or plant as it appears in the Convention Appendices or the reference lists approved by the Conference of the Parties, and the common name of the animal or plant as known in the country issuing the permit.</p>	
<p>9. Describe, as precisely as possible, the specimens entering trade (live animals, skins, flanks, wallets, shoes, etc.). If a specimen is marked (tags, identifying marks, rings, etc.), whether or not this is required by a Resolution of the Conference of the Parties (specimens originating in a ranching operation, specimens subject to quotas approved by the Conference of the Parties, specimens of Appendix-I species bred in captivity for commercial purposes, etc.), indicate the number and type of mark. The sex and age of the live animals should be recorded, if possible.</p>	
<p>10. Enter the number of the Appendix of the Convention (I, II or III) in which the species is listed.</p> <p>Use the following codes to indicate the source:</p> <p><b>W</b> Specimens taken from the wild</p> <p><b>R</b> Specimens originating from a ranching operation</p> <p><b>D</b> Appendix-I animals bred in captivity for commercial purposes and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention</p> <p><b>A</b> Plants that are artificially propagated in accordance with Resolution Conf. 11.11 (Rev. CoP14), paragraph a), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)</p> <p><b>C</b> Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been bred in captivity for non-commercial purposes and specimens of species included in Appendices II and III)</p> <p><b>F</b> Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof</p> <p><b>U</b> Source unknown (<b>must be justified</b>)</p> <p><b>I</b> Confiscated or seized specimens</p> <p><b>O</b> Pre-Convention (may be used with other source codes).</p>	

Suggested amendments	Explanation
11. The quantity and units indicated should conform to the most recent version of the <i>Guidelines for the preparation and submission of CITES annual reports</i> .	
11a. Indicate the total number of specimens exported in the current calendar year (1 January to 31 December) (including those covered by the present permit) and the current annual quota for the species concerned (for example 500/1000). This should be done for the national quotas as well as for those determined by the Conference of the Parties.	
12. The country of origin is the country in which the specimens were taken from the wild, bred in captivity or artificially propagated, except in the case of plant specimens that cease to qualify for an exemption from the provisions of CITES. In such instances, the country of origin is deemed to be the country in which the specimens ceased to qualify for the exemption. Indicate the number of the permit or certificate of the exporting country and the date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-exports;	
12a. The country of last re-export is the country from which the specimens were re-exported before entering the country in which the present document is issued. Enter the number of the re-export certificate of the country of last re-export and its date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-export of specimens previously re-exported.	
12b. The “No. of the operation” is the number of the registered captive-breeding or artificial propagation operation. The “date of acquisition” is defined in Resolution Conf. 13.6 and is required only for pre-Convention specimens.	
13. To be completed by the official who issues the permit. The name of the official must be written in full. The security stamp must be affixed in this block and must be cancelled by the signature of the issuing official and a stamp or seal. The seal, signature and security-stamp number should be clearly legible.	
14. To be completed by the official who inspects the shipment at the time of export or re-export. Enter the quantities of specimens actually exported or re-exported. Strike out the unused blocks.	
15. Enter the number of the bill of lading or air way-bill if the method of transport used requires the use of such a document.	
<p><b>The document must be written in one of the three working languages of the Convention (English, Spanish or French) or must include a full translation into one of these three languages. Exported and re-exported specimens should not appear on the same document unless it is clearly indicated which specimens are being exported and which re-exported.</b></p> <p><b>AFTER USE THIS DOCUMENT MUST BE RETURNED TO A MANAGEMENT AUTHORITY OF THE IMPORTING COUNTRY.</b></p>	
<p><b>Annex 3: Instructions and explanations</b></p>	
<p>(<del>These</del> The following correspond to the block numbers on the reverse of the form)</p>	<p>A change for consistency with Annex 2.</p>
<p>1. A unique number should be generated by the issuing Management Authority for the certificate.</p>	

Suggested amendments	Explanation
2. The date of expiry of the document may not be more than three years after the date of issuance.	
3. Complete the full name, permanent address and country of the owner of the specimen/s covered by the certificate. Absence of the signature of the owner renders the certificate invalid.	There may be more than one specimen covered.
4. The name, address and country of the issuing Management Authority should already be pre-printed on the form.	
5. This block has been pre-printed to indicate the validity of the certificate for multiple cross-border movements of the specimen/s with its/their exhibition for exhibition purposes only and to clarify that the certificate is not to be collected but is to remain with the specimen/owner. This block also can be used to justify the omission of certain information.	There may be more than one specimen covered.
6. This block has been pre-printed to indicate that cross-border movement is permitted to any country accepting this certificate as a matter of national law.	
7. This block has been pre-printed with the code Q for circuses and travelling exhibitions.	
8. Indicate the number of the security stamp affixed in block 17.	
9. Indicate the scientific name (genus and species, where appropriate subspecies) of the species as it appears in the Convention Appendices or the reference lists approved by the Conference of the Parties, and the common name as known in the country issuing the certificate.	
10. Describe, as precisely as possible, the specimen/s covered by the certificate, including identifying marks (tags, rings, unique markings, etc.) sufficient to permit the authorities of the Party into which the exhibition enters to verify that the certificate corresponds to the specimen/s covered. The sex and age, at the time of the issuance of the certificate, should be recorded, where possible.	There may be more than one specimen covered.
11. Indicate the total number of specimens. In the case of live animals it should normally be one. If more than one specimen, state "see attached inventory".	
<p>12. Enter the number of the Appendix of the Convention (I, II, or III) in which the species is listed. Use the codes below to indicate the source. This certificate may not be used for specimens with source code <b>W</b>, <b>R</b>, <b>F</b> or <b>U</b> unless they are pre-Convention specimens and the code <b>O</b> is also used.</p> <p><b>W</b> Specimens taken from the wild</p> <p><b>R</b> Specimens originating from a ranching operation</p> <p><b>A</b> Plants that are artificially propagated in accordance with Resolution Conf. 11.11 (Rev. CoP14), paragraph a), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)</p> <p><b>C</b> Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.) and exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been bred in captivity for non-commercial purposes and specimens of species included in</p>	Under code F, a reference has been added to parts and derivatives, consistent with Annex 2.

Suggested amendments	Explanation
<p>Appendices II and III)</p> <p><b>F</b> Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of “bred in captivity” in Resolution Conf. 10.16 (Rev.) <u>as well as parts and derivatives thereof</u></p> <p><b>U</b> Source unknown (must be justified)</p> <p><b>O</b> Pre-Convention (may be used in conjunction with any other code).</p>	
<p>13. The country of origin is the country in which the specimens were taken from the wild or bred in captivity.</p>	
<p>14. Indicate the number of the export permit of the country of origin and the date of issuance. If all or part of that information is not known, this should be justified in block 18.</p>	
<p>15. This block must contain the exhibition registration number.</p>	
<p>16. Enter the date of acquisition only for pre-Convention specimens.</p>	
<p>17. To be completed by the official who issues the certificate. A certificate may only be issued by the Management Authority of the country where an exhibition is based and only when the owner of the exhibition has registered full details of the specimen/s with that Management Authority. The name of the issuing official must be written in full. The security stamp must be affixed in this block and must be cancelled by the signature of the issuing official and a stamp or seal. The seal, signature and security stamp number should be clearly legible.</p>	<p>There may be more than one specimen covered.</p>
<p>18. This block may be used to refer to national legislation or additional special conditions placed on the cross-border movement by the issuing Management Authority.</p>	
<p>19. This block has been pre-printed to refer to the attached Continuation Sheet, which should indicate all cross-border movements.</p>	
<p><b>SUBJECT TO 5 ABOVE, UPON EXPIRATION, THIS DOCUMENT MUST BE RETURNED TO THE ISSUING MANAGEMENT AUTHORITY.</b></p>	



PROPOSED AMENDMENTS TO RESOLUTION CONF. 12.3 (REV. COP14)

*PERMITS AND CERTIFICATES*

[Clean version including amendments indicated in Annex 11 b)]

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

ESTABLISHES the following sections in the present Resolution:

- I. Regarding standardization of CITES permits and certificates
  - II. Regarding export permits and re-export certificates
  - III. Regarding import permits
  - IV. Regarding pre-Convention certificates
  - V. Regarding certificates of origin
  - VII. Regarding phytosanitary certificates
  - VIII. Regarding permits and certificates for species subject to quotas
  - IX. Regarding permits and certificates for crocodilian specimens
  - X. Regarding permits and certificates for coral specimens
  - XI. Regarding permits and certificates for timber species included in Appendices II and III with the annotation 'Designates logs, sawn wood and veneer sheets'
  - XII. Regarding the use of simplified procedures to issue permits and certificates
  - XIII. Regarding retrospective issue of permits and certificates
  - XIV. Regarding acceptance and clearance of documents and security measures
  - XV. Regarding documents for sample collections covered by ATA carnets
- Annex 1 Information that should be included in CITES permits and certificates
- Annex 2 Standard CITES form; instructions and explanations
- Annex 3 Model travelling-exhibition certificate; instructions and explanations; continuation sheet
- Annex 4 Types of biological samples and their use

***I. Regarding standardization of CITES permits and certificates***

AGREES that:

- a) to fulfil the requirements of Article VI and relevant Resolutions, export and import permits, re-export and pre-Convention certificates, certificates of origin and certificates of captive breeding and artificial propagation (except where phytosanitary certificates are used for this purpose) should include all the information specified in Annex 1 of the present Resolution;
- b) every form should be printed in one or more of the working languages of the Convention (English, Spanish or French) and in the national language if it is not one of the working languages;

- c) every form should indicate which type of document it is (e.g. import or export permit, re-export or pre-Convention certificate, etc.);
- d) if a permit or certificate form includes a place for the signature of the applicant, the absence of the signature should render the permit or certificate invalid; and
- e) if an annex is attached to a permit or certificate as an integral part of it, this and the number of pages should be clearly indicated on the permit or certificate, and each page of the annex should include the following:
  - i) the number of the permit or certificate and its date of issue; and
  - ii) the signature and the stamp or seal, preferably embossed, of the authority issuing the document; and

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) the Secretariat, subject to availability of external funding, organize the printing of permit and certificate forms on security paper for Parties that request it;
- d) to avoid abusive or fraudulent use, the Parties not use forms for their internal-trade certificates that are identical to CITES forms;
- e) 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;

- f) 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;
- g) the term 'hunting trophy', as used in this Resolution, means a part or derivative of an animal that:
  - i) is durable or has been processed for the purpose of preserving it (this may include parts such as antlers, bones, claws, hair, heads, horns, hooves, skin, skull, teeth, tusks);
  - ii) was legally obtained by the owner through sport hunting for his or her personal use; and
  - iii) is being imported and exported or re-exported by or on behalf of the owner.

- h) the following codes be used 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 in operations included in the Secretariat's Register, in accordance with Resolution Conf. 12.10 (Rev. CoP14), and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4
  - A** Plants that are artificially propagated in accordance with Resolution Conf. 11.11 (Rev. CoP14), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)
  - C** Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been bred in captivity for non-commercial purposes and specimens of species included in Appendices II and III)
  - F** Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof. This code is also to be used for specimens of Appendix-I animal species bred in captivity for commercial purposes at operations not included in the Secretariat's Register.
  - U** Source unknown (**must be justified**)
  - I** Confiscated or seized specimens
  - O** Pre-Convention specimens;
- i) the terms and codes used on permits and certificates to indicate the type of specimen being traded conform to those provided in the Secretariat's most recent *Guidelines for the preparation and submission of CITES annual reports* and that the units of measurement used also conform to these Guidelines;
- j) all Parties consider issuing permits and certificates printed on security paper;
- k) Parties that do not already do so affix a security stamp to each permit and certificate;
- l) when a security stamp is affixed to a permit or certificate, it be cancelled by a signature and a stamp or seal, preferably embossed and the number of the stamp also be recorded on the document;
- m) when issuing permits and certificates, the Parties follow the standard nomenclatures adopted by the Conference of the Parties to indicate the names of species [see Resolution Conf. 12.11 (Rev. CoP14)];
- n) Parties that have not yet done so communicate to the Secretariat the names of the persons empowered to sign permits and certificates, as well as three specimens of their signatures, 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 signatures are no longer valid and the dates the changes took effect;
- o) 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;
- p) each Party inform the other Parties, direct 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 permits and certificates that run counter to these measures;

- q) when a permit or certificate has been cancelled, lost, stolen or destroyed, the issuing Management Authority immediately inform the Management Authority of the country of destination, as well as the Secretariat regarding commercial shipments; and
- r) when a permit or certificate is issued to replace a document that has been cancelled, lost, stolen or destroyed, or that has expired, it indicate the number of the replaced document and the reason for the replacement;

## **II. Regarding export permits and re-export certificates**

AGREES that a re-export certificate should also specify:

- a) the country of origin, the number of the export permit of the country of origin and its date of issue; and
- b) 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:

- c) justification for the omission of any of the aforementioned information;

RECOMMENDS that:

- a) exporters be encouraged to apply for permits shortly before the time of intended export;
- b) Management Authorities require accurate information about the number or quantity of specimens to be exported under each permit and, as far as possible, avoid the issuance of permits where the numbers or quantities do not accurately reflect what will actually be exported;
- c) in cases where a replacement is requested for a permit that has not been used, the replacement be issued only if the original has been returned to the issuing authority, unless the original is reported as lost. In the latter case, the issuing Management Authority should notify the Management Authority of the country of destination that the original permit has been cancelled and replaced;
- d) if an exporter claims to have used a permit to export a smaller number or quantity of specimens than the amount authorized on the export permit, and requests another permit to export the remainder, the Management Authority obtain proof of the number or quantity already exported before issuing any new permit (such as a copy of the validated export permit or confirmation from the Management Authority of the country of destination of the number or quantity of specimens that were imported using the original permit);
- e) exported specimens and re-exported specimens not appear on the same document, unless it is clearly indicated which specimens are being exported and which re-exported;
- f) when re-export certificates are issued for specimens whose form has not changed since being imported, the unit of measure used be the same as that used on the permit or certificate accepted when they were imported;
- g) the provisions of Article III, paragraph 3, Article IV, paragraph 4, Article V, paragraph 3, and Article VI, paragraph 2, be understood to mean that an export permit or re-export certificate shall be valid for a period of no more than six months from the date on which it was granted and that it may not be accepted to authorize export, re-export or import except during the period of validity;
- h) after the expiry of the said six-month period of validity, an export permit or re-export certificate be considered as void and of no legal value whatsoever, except in the case referred to in section XI relating to timber species;
- i) no export permit or re-export certificate be issued for a specimen known to have been acquired illegally, even if it has been imported in accordance with the national legislation, unless the specimen has previously been confiscated;

- j) Parties not authorize the import of any specimen if they have reason to believe that it was not legally acquired in the country of origin;
- k) Parties verify the origin of Appendix-I specimens to avoid issuing export permits when the use is for primarily commercial purposes and the specimens did not originate in a CITES-registered breeding operation; and
- l) as far as possible, inspections of documents and shipments be conducted at the time of export. This should be regarded as essential for shipments of live animals;

AGREES that, in the case of plant specimens that cease to qualify for an exemption from the provisions of CITES under which they were exported from their country of origin, the country of origin is deemed to be the first country in which the specimens cease to qualify for the exemption; and

AGREES further that Parties may in such instances, and if considered useful, add the following text in block 5 of re-export certificates: 'Legally imported under an exemption from the provisions of CITES' and additionally it may be stated to which exemption this refers;

#### **IV. Regarding pre-Convention certificates**

AGREES that a pre-Convention certificate should also specify:

- a) that the specimen covered by the certificate is pre-Convention; and
- b) the date of acquisition of the specimen as defined in Resolution Conf. 13.6 adopted at the 13th meeting of the Conference of the Parties (Bangkok, 2004);

#### **VI. Regarding travelling-exhibition certificates**

RECOMMENDS that:

- a) each Party issue a travelling-exhibition certificate for CITES specimens belonging to a travelling exhibition based in its State, registered with the Management Authority and wishing to transport specimens of CITES species to other States for exhibition purposes only, on the condition that they were legally acquired and will be returned to the State in which the exhibition is based and that they were:
  - i) acquired before 1 July 1975 or before the date of inclusion of the species in any of the Appendices of the Convention;
  - ii) bred in captivity as defined in Resolution Conf. 10.16 (Rev.); or
  - iii) artificially propagated as defined in Resolution Conf. 11.11 (Rev. CoP14);
- b) travelling-exhibition certificates should be based on the model included in Annex 3 of the present Resolution. They should be printed in one or more of the working languages of the Convention (English, Spanish or French) and in the national language if it is not one of these;
- c) 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, is/are stolen, destroyed, lost, sold or otherwise transferred, this certificate must be immediately returned by the owner to the issuing Management Authority";
- d) a separate travelling exhibition certificate must be issued for each live animal;
- e) for travelling exhibitions of specimens other than live animals, the Management Authority should attach an inventory sheet that contains all of the information in blocks 9 to 16 of the model form for each specimen;

- f) travelling-exhibition certificates should be valid for not more than three years from the date on which they were granted to allow multiple imports, exports and re-exports of the individual specimens that they cover;
- g) Parties consider such travelling-exhibition certificates as proof that the specimens concerned have been registered with the issuing Management Authority and allow the movement of such specimens across their borders;
- h) at each border crossing, Parties endorse travelling-exhibition certificates with an authorized stamp and signature by the inspecting official and allow the certificates to remain with the specimens;
- i) Parties check travelling exhibitions closely, at the time of export/re-export and import, and note especially whether live specimens are transported and cared for in a manner that minimizes the risk of injury, damage to health or cruel treatment;
- j) 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;
- k) when, during a stay in a State, an animal in possession of an exhibition gives birth, the Management Authority of that State be notified and issue a Convention permit or certificate as appropriate;
- l) when, during a stay in a State, a travelling-exhibition certificate for a specimen is lost, stolen or accidentally destroyed, only the Management Authority which has issued the document may issue a duplicate. This duplicate will bear the same number, if possible, and the same date of validity as the original document, and contain the following statement: "This certificate is a true copy of the original"; and
- m) Parties include in their annual reports a list of all travelling-exhibition certificates issued in the year concerned;

**X. Regarding permits and certificates for coral specimens**

RECOMMENDS that:

- a) on permits and certificates issued to authorize trade in specimens of hard corals of the genera included in the most recent CITES list of *Coral taxa where identification to genus level is acceptable*<sup>2</sup>, where the species cannot be readily determined, the specimens may be recorded at the genus level. This list is maintained by the Secretariat and may be amended with the concurrence of the Animals Committee;
- b) on permits and certificates for trade in specimens that are readily recognizable as coral rock [as defined in Resolution Conf. 11.10 (Rev. CoP14) Annex], where the genus cannot be readily determined, the scientific name for the specimens should be 'Scleractinia';
- c) any Party wishing to authorize export of coral rock identified to ordinate level only should, in view of the inability to make a non-detriment finding for coral rock pursuant to Article IV, paragraph 2 (a), apply the provisions of Article IV, paragraph 3; and
- d) Parties that authorize export of coral rock should:
  - i) establish an annual quota for exports and communicate this quota to the Secretariat for distribution to the Parties; and
  - ii) through their Scientific Authorities, make an assessment (which would be available to the Secretariat on request), based on a monitoring programme, that such export will not affect the role that coral rock has in ecosystems affected by the extraction of such specimens;

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<sup>2</sup> The most recent edition was published in Notification to the Parties No. 2203/020 of 4 April 2003, entitled Trade in hard corals: List of coral taxa that can be recognized at species and at genus levels.

#### **XIV. Regarding acceptance and clearance of documents and security measures**

RECOMMENDS that:

- a) Parties refuse to accept 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;
- b) whenever irregularities are suspected, Parties exchange issued and/or accepted permits or certificates to verify their authenticity;
- c) when a security stamp is affixed to a permit or certificate, Parties refuse the document if the security stamp is not cancelled by a signature and a stamp or seal;
- d) Parties refuse to accept any permit or certificate that is invalid, including authentic documents that do not contain all the required information as specified in the present Resolution or that contain information that brings into question the validity of the permit or certificate;
- e) Parties refuse to accept permits and certificates that do not indicate the scientific name of the species concerned (including subspecies when appropriate), except in the case where:
  - i) the Conference of the Parties has agreed that the use of higher-taxon names is acceptable;
  - ii) the issuing Party can show it is well justified and has communicated the justification to the Secretariat;
  - iii) certain manufactured products contain pre-Convention specimens that can not be identified to the species level; or
  - iv) worked skins or pieces thereof of *Tupinambis* species that were imported before 1 August 2000 are being re-exported, in which case it is sufficient to use the indication *Tupinambis* spp.;
- f) 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;
- g) when a Party refuses to accept a permit or certificate issued for export or re-export, it immediately inform the exporting or re-exporting country;
- h) when a Party is informed that a permit or certificate it has issued for export or re-export has been refused, it take measures to ensure that the specimens in question do not enter into illegal trade;
- i) Parties ensure that, when the original of a permit or certificate is not used by the permittee for the trade authorized, it is returned by the permittee to the issuing Management Authority in order to prevent the illegal use of the document; and
- j) Parties carefully check the e-mails and telefaxes they receive confirming the validity of permits, in order to ensure that the information that appears on them, including the numbers, corresponds to that in the CITES Directory;

RECOMMENDS further that Management Authorities authorize the import of vicuña cloth only if the reverse bears the logotype corresponding to the country of origin and the trade mark VICUÑA – COUNTRY OF ORIGIN or if it is cloth containing pre-Convention wool of vicuña; and

URGES the Parties to check with the Secretariat:

- a) when they have serious doubts about the validity of permits accompanying suspect shipments; and
- b) before they accept imports of live specimens of Appendix-I species declared as bred in captivity or artificially propagated; and

## **XV. Regarding documents for sample collections covered by ATA carnets**

RECOMMENDS that:

- a) for the purpose of the procedure described below, the term 'sample collection' refer to collections of legally acquired dead specimens, parts and derivatives of species included in Appendix II or III and of Appendix-I species bred in captivity or artificially propagated for commercial purposes, which are deemed to be Appendix-II specimens, which are not entitled to be sold or otherwise transferred, and that will cross borders for presentation purposes before returning to the country from which such movement was first authorized; and
- b) such sample collections be considered as 'in transit' and may be traded under the special provisions stipulated in Article VII, paragraph 1, as explained in Resolution Conf. 9.7 (Rev. CoP13), on the following conditions:
  - i) sample collections shall be covered by ATA carnets and be accompanied by a standard CITES permit, on which it shall be indicated that the document is a permit or certificate either for 'export', 're-export' or 'other', as appropriate, and, in addition, it shall be clearly specified that the document is issued for a 'sample collection';
  - ii) it shall be specified in block 5, or an equivalent place, that "This document covers a sample collection and is invalid unless accompanied by a valid ATA carnet. The specimen(s) covered by this certificate may not be sold or otherwise transferred whilst outside the territory of the State that issued this document." The number of the accompanying ATA carnet should be recorded and, if necessary, this may be entered by the Customs or other CITES enforcement official responsible for the endorsement of the CITES document;
  - iii) the name and address (including the country) of the importer and the exporter or re-exporter shall be identical, and in block 5, or an equivalent place, the names of the countries to be visited shall be indicated;
  - iv) the date of expiry of such a document shall not be later than that of the ATA carnet accompanying it and the period of validity shall not be more than six months from the date on which it was granted;
  - v) at each border crossing, Parties shall verify the presence of the CITES permit or certificate but allow it to remain with the collection, and ensure that the ATA carnet is properly endorsed with an authorized stamp and signature by a Customs official; and
  - vi) Parties shall check the CITES permit or certificate and sample collection closely at the time of first export or re-export and on its return, to ensure that the collection was not subject to any change;

AGREES that:

- a) such a permit or certificate shall not be transferable and when, during a stay in a State, it is lost, stolen or accidentally destroyed, only the Management Authority that issued it may issue a duplicate or a new document to replace the original. In the case of a duplicate, it will bear the same number, if possible, and the same date of validity as the original document, and contain the statement "This document is a true copy of the original". In the case of a new document, it will state that it replaces the original bearing the number xx;
- b) if specimens in the collection are stolen, destroyed or lost, the issuing Management Authority of the document shall be immediately informed as well as the Management Authority of the country in which that occurred; and
- c) the usual CITES procedures for export, re-export and import of sample collections shall be followed by those Parties that do not recognize or allow the use of ATA carnets; and



REPEALS the Resolutions listed hereunder:

- a) Resolution Conf. 8.16 (Kyoto, 1992) – *Travelling live-animal exhibitions*;
- b) Resolution Conf. 10.2 (Rev.) (Harare, 1997, as amended at Gigiri, 2000) – *Permits and certificates*; and
- c) Resolution Conf. 11.6 (Rev. CoP13) (Gigiri, 2000, as amended at Bangkok, 2004) – *Trade in vicuña cloth*.

#### **Annex 1: 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 unique control number
- d) The complete names and addresses of the exporter and importer
- e) The scientific name of the species to which the specimens belong (or the subspecies when it is relevant in order to determine in which Appendix the taxon concerned is included) in accordance with the adopted standard nomenclature
- 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.) or, in the case of marking with microchip transponders, the microchip codes, the name of the transponder manufacturer, and, where possible, the location of the microchip in the specimen
- h) The Appendix in which the species or subspecies or population is listed. NB. This does not change even if the specimen concerned is deemed to be included in a different Appendix. For example, although specimens of Appendix-I species bred in captivity for commercial purposes are deemed to be specimens of species included in Appendix II, the species remains listed in Appendix I, and this should be specified on the permit or certificate.
- i) The source of the specimens
- 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/her 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 *IATA Live Animals Regulations* or, if it covers plants, with the *IATA Perishable Cargo 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 or artificial propagation for commercial purposes (Article VII, paragraph 4), 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

#### ***To be included in certificates of origin only***

- q) A statement that the specimens originate in the country that issued the certificate

## Annex 2: Instructions and explanations

### (These correspond to block numbers on the form)

1. Tick the square which corresponds to the type of document issued (export permit, re-export certificate, import permit or other). If the box "other" has been ticked, the type of document must be indicated. The original number is a unique number allocated to each document by the Management Authority.
2. For export permits and re-export certificates, the date of expiry of the document may not be more than six months after the date of issuance (one year for import permits).
3. **Complete** name and address of the importer.
  - 3a. The name of the country must be written in full.
4. **Complete** name and address of the exporter/re-exporter. The name of the country must be stated. The absence of the signature of the applicant renders the permit or certificate invalid.
5. Special conditions may refer to national legislation or special conditions placed on the shipment by the issuing Management Authority. This block can also be used to justify the omission of certain information.
  - 5a. The following codes should be used: **T** for commercial, **Z** for zoos, **G** for botanical gardens, **Q** for circuses and travelling exhibitions, **S** for scientific, **H** for hunting trophies, **P** for personal, **M** for medical, **E** for education, **N** for reintroduction or introduction into the wild, **B** for breeding in captivity or artificial propagation, **L** for law enforcement / judicial / forensic.
  - 5b. Indicate the number of the security stamp affixed in block 13.
6. The name, address and country of the issuing Management Authority should already be printed on the form.
- 7-8. Indicate the scientific name (genus and species, where appropriate subspecies) of the animal or plant as it appears in the Convention Appendices or the reference lists approved by the Conference of the Parties, and the common name of the animal or plant as known in the country issuing the permit.
9. Describe, as precisely as possible, the specimens entering trade (live animals, skins, flanks, wallets, shoes, etc.). If a specimen is marked (tags, identifying marks, rings, etc.), whether or not this is required by a Resolution of the Conference of the Parties (specimens originating in a ranching operation, specimens subject to quotas approved by the Conference of the Parties, specimens of Appendix-I species bred in captivity for commercial purposes, etc.), indicate the number and type of mark. The sex and age of the live animals should be recorded, if possible.
10. Enter the number of the Appendix of the Convention (I, II or III) in which the species is listed.

Use the following codes to indicate the source:

**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 derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention

**A** Plants that are artificially propagated in accordance with Resolution Conf. 11.11 (Rev. CoP14), paragraph a), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)

**C** Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species

included in Appendix I that have been bred in captivity for non-commercial purposes and specimens of species included in Appendices II and III)

**F** Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof

**U** Source unknown (**must be justified**)

**I** Confiscated or seized specimens

**O** Pre-Convention (may be used with other source codes).

11. The quantity and units indicated should conform to the most recent version of the *Guidelines for the preparation and submission of CITES annual reports*.

11a. Indicate the total number of specimens exported in the current calendar year (1 January to 31 December) (including those covered by the present permit) and the current annual quota for the species concerned (for example 500/1000). This should be done for the national quotas as well as for those determined by the Conference of the Parties.

12. The country of origin is the country in which the specimens were taken from the wild, bred in captivity or artificially propagated, except in the case of plant specimens that cease to qualify for an exemption from the provisions of CITES. In such instances, the country of origin is deemed to be the country in which the specimens ceased to qualify for the exemption. Indicate the number of the permit or certificate of the exporting country and the date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-exports;

12a. The country of last re-export is the country from which the specimens were re-exported before entering the country in which the present document is issued. Enter the number of the re-export certificate of the country of last re-export and its date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-export of specimens previously re-exported.

12b. The "No. of the operation" is the number of the registered captive-breeding or artificial propagation operation. The "date of acquisition" is defined in Resolution Conf. 13.6 and is required only for pre-Convention specimens.

13. To be completed by the official who issues the permit. The name of the official must be written in full. The security stamp must be affixed in this block and must be cancelled by the signature of the issuing official and a stamp or seal. The seal, signature and security-stamp number should be clearly legible.

14. To be completed by the official who inspects the shipment at the time of export or re-export. Enter the quantities of specimens actually exported or re-exported. Strike out the unused blocks.

15. Enter the number of the bill of lading or air way-bill if the method of transport used requires the use of such a document.

**The document must be written in one of the three working languages of the Convention (English, Spanish or French) or must include a full translation into one of these three languages. Exported and re-exported specimens should not appear on the same document unless it is clearly indicated which specimens are being exported and which re-exported.**

**AFTER USE THIS DOCUMENT MUST BE RETURNED TO A MANAGEMENT AUTHORITY OF THE IMPORTING COUNTRY.**

### **Annex 3: Instructions and explanations**

(These correspond to the block numbers on the reverse of the form)

1. A unique number should be generated by the issuing Management Authority for the certificate.
2. The date of expiry of the document may not be more than three years after the date of issuance.

3. Complete the full name, permanent address and country of the owner of the specimen/s covered by the certificate. Absence of the signature of the owner renders the certificate invalid.
4. The name, address and country of the issuing Management Authority should already be pre-printed on the form.
5. This block has been pre-printed to indicate the validity of the certificate for multiple cross-border movements of the specimen/s with its/their exhibition for exhibition purposes only and to clarify that the certificate is not to be collected but is to remain with the specimen/owner. This block also can be used to justify the omission of certain information.
6. This block has been pre-printed to indicate that cross-border movement is permitted to any country accepting this certificate as a matter of national law.
7. This block has been pre-printed with the code Q for circuses and travelling exhibitions.
8. Indicate the number of the security stamp affixed in block 17.
9. Indicate the scientific name (genus and species, where appropriate subspecies) of the species as it appears in the Convention Appendices or the reference lists approved by the Conference of the Parties, and the common name as known in the country issuing the certificate.
10. Describe, as precisely as possible, the specimen/s covered by the certificate, including identifying marks (tags, rings, unique markings, etc.) sufficient to permit the authorities of the Party into which the exhibition enters to verify that the certificate corresponds to the specimen/s covered. The sex and age, at the time of the issuance of the certificate, should be recorded, where possible.
11. Indicate the total number of specimens. In the case of live animals it should normally be one. If more than one specimen, state "see attached inventory".
12. Enter the number of the Appendix of the Convention (I, II, or III) in which the species is listed. Use the codes below to indicate the source. This certificate may not be used for specimens with source code **W**, **R**, **F** or **U** unless they are pre-Convention specimens and the code **O** is also used.
  - W** Specimens taken from the wild
  - R** Specimens originating from a ranching operation
  - A** Plants that are artificially propagated in accordance with Resolution Conf. 11.11 (Rev. CoP14), paragraph a), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)
  - C** Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.) and exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been bred in captivity for non-commercial purposes and specimens of species included in Appendices II and III)
  - F** Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of "bred in captivity" in Resolution Conf. 10.16 (Rev.) as well as parts and derivatives thereof
  - U** Source unknown (must be justified)
  - O** Pre-Convention (may be used in conjunction with any other code).
13. The country of origin is the country in which the specimens were taken from the wild or bred in captivity.
14. Indicate the number of the export permit of the country of origin and the date of issuance. If all or part of that information is not known, this should be justified in block 18.
15. This block must contain the exhibition registration number.

16. Enter the date of acquisition only for pre-Convention specimens.
17. To be completed by the official who issues the certificate. A certificate may only be issued by the Management Authority of the country where an exhibition is based and only when the owner of the exhibition has registered full details of the specimen/s with that Management Authority. The name of the issuing official must be written in full. The security stamp must be affixed in this block and must be cancelled by the signature of the issuing official and a stamp or seal. The seal, signature and security stamp number should be clearly legible.
18. This block may be used to refer to national legislation or additional special conditions placed on the cross-border movement by the issuing Management Authority.
19. This block has been pre-printed to refer to the attached Continuation Sheet, which should indicate all cross-border movements.

**SUBJECT TO 5 ABOVE, UPON EXPIRATION, THIS DOCUMENT MUST BE RETURNED TO THE ISSUING MANAGEMENT AUTHORITY.**