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

Eighteenth meeting of the Conference of the Parties
Geneva (Switzerland), 17–28 August 2019

Committee II

Simplified procedures for permits and certificates

DRAFT AMENDMENTS TO RESOLUTION CONF. 11.15 (REV. COP 12) ON *NON-COMMERCIAL LOAN, DONATION OR EXCHANGE OF MUSEUM, HERBARIUM SPECIMENTS* AND DRAFT AMENDMENTS TO RESOLUTION CONF. 12.3 (REV. COP17) ON *PERMITS AND CERTIFICATES* AND DRAFT DECISIONS OF THE CONFERENCE OF THE PARTIES

This document has been prepared by the Secretariat on the basis of document CoP18 Doc. 56 with amendments proposed by Australia, Canada, the European Union, New Zealand and the United States of America during the discussion in the eleventh session of Committee II (see document CoP18 Com. II Rec. 11).

AMENDMENTS TO RESOLUTION CONF. 11.15 (REV. COP12) ON *NON-COMMERCIAL LOAN, DONATION OR EXCHANGE OF MUSEUM, HERBARIUM, DIAGNOSTIC AND FORENSIC RESEARCH SPECIMENS*

RECALLING Resolutions Conf. 1.4 and Conf. 2.14, adopted by the Conference of the Parties at its first and second meetings (Bern, 1976; San José, 1979);

CONSIDERING that Article VII, paragraph 6, of the Convention provides an exemption from the provisions relating to regulation of trade in specimens of species included in Appendices I, II and III for "non-commercial loan, donation or exchange between scientists or scientific institutions registered by a Management Authority of their State, of herbarium specimens, other preserved, dried or embedded museums specimens, and live plant material which carry a label issued or approved by a Management Authority";

RECOGNIZING that this exemption should apply to animal (non-live) and plant specimens, including forensic research specimens, that are legally acquired by a registered scientific institution and (re-)exported or imported under the authority of this institution;

CONSIDERING that museum needs for research specimens can have adverse impact on small populations of rare animals and plants;

RECALLING the recommendations of the first meeting of the Conference of the Parties (Bern, 1976);

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. ENCOURAGES Parties to register their scientific institutions to facilitate scientific exchange of specimens needed to conduct taxonomic and species-conservation research, and to conduct wildlife forensic research;

2. URGES Parties to contact scientists and scientific institutions in the territory under their jurisdiction to facilitate greater understanding of the scientific exchange provisions of Article VII, paragraph 6, on the non-commercial loan, donation or exchange of scientific specimens;

3. RECOMMENDS that:

a) Parties take every opportunity within the scope of the Convention to encourage scientific and forensic research on wild fauna and flora, where this may be of use in conserving species that are threatened with extinction or that may become so;

b) in order to reduce the potential impact of research, the Parties encourage their natural history museums, herbaria and ~~wildlife~~ forensic research laboratories to inventory their holdings of rare and endangered species and make that information widely available to the Parties and the research community, as appropriate. These inventories will allow researchers to efficiently borrow specimens for study or use forensic information contained in reference databases;

c) addenda should be added to the inventories as specimens become available. Scientific and Management Authorities of the Parties can use the information in determining whether further collecting of some rare species may be justifiable, or whether the need already can be met by borrowing specimens from other museums or using forensic information provided by forensic research laboratories;

d) Parties urge their museums, herbaria and ~~wildlife~~ forensic research laboratories to undertake such inventories and make such information publicly available;

e) Registered institutions should be subject to renewal at the discretion of the registering management authority to ensure that only current, valid institutions are eligible for scientific exchange; and

f) The Secretariat shall issue a Notification every five years requesting that Parties review and update their register of scientific institutions and communicate any changes to the Secretariat

~~f~~g) Parties implement the exemption for scientific exchange in Article VII, paragraph 6, as follows:

i) registration of scientific and forensic research institutions should be done in a manner that extends the exemption to all such institutions meeting certain standards in each Party as determined to be bona fide upon the advice of a Scientific Authority;

ii) each Management Authority should communicate to the Secretariat as soon as practicable the names and addresses and the type of research they can provide, of those scientific institutions ~~so~~ registered, and the Secretariat without delay then communicate this information to all other Parties;

iii) the requirement that the container used to transport the specimens or samples carry a label issued or approved by a Management Authority should be met by authorizing the use of Customs Declaration labels, provided they bear the acronym CITES, identification of contents as herbarium specimens, preserved, dried or embedded museum specimens (including non-live animal specimens) or live plant material for scientific study, for forensic analysis or for diagnostic purposes, the name and address of the sending institution and the codes of the exporting and importing institutions over the signature of a responsible officer of that registered scientific institution; or a label issued by a Management Authority containing the same information and the users of which would be responsible to that body;

iv) to prevent abuse of this exemption, it should be limited to shipments of legally obtained specimens, including specimens that are used for wildlife forensic research, as outlined in Annex 1, between registered scientific institutions and, if trade is to or from a non-Party, the Secretariat shall ensure that the institution in this State meets the same standards for registration, as indicated by competent authorities of the non-party governments;

v) the exemption should be applied to include frozen museum specimens, duplicate herbarium specimens, wildlife forensic research specimens (as outlined in Annex 1), diagnostic samples of the type listed in Annex 4 of Resolution Conf. 12.3 (Rev. CoP18) and all other types of scientific specimens named in Article VII, paragraph 6, including those that are legally collected in one State for shipment to another State as non-commercial loans, donations, or exchanges;

vi) the standards for registration of scientific institutions should be as follows:

A. collections of animal or plant specimens, and records ancillary to them, permanently housed and professionally curated;

B. specimens accessible to all qualified users, including those from other institutions;

C. all accessions properly recorded in a permanent catalogue;

D. permanent records maintained for loans and transfers to other institutions;

E. specimens acquired primarily for purposes of research that is to be reported in scientific publications;

F. specimens prepared and collections arranged in a manner that ensures their utility;

G. accurate data maintained on specimen labels, permanent catalogues and other records;

H. acquisition and possession of specimens accord with the laws of the State in which the scientific institution is located; and

I. all specimens of species included in Appendix I permanently and centrally housed under the direct control of the scientific institution, and managed in a manner to preclude the use of such specimens for decoration, trophies or other purposes incompatible with the principles of the Convention;

vii) the standards for registration of forensic research institutions should be as follows:

A. forensic research institutions should be determined by the Management Authority as suitable to provide wildlife forensic analysis;

B. animal or plant specimens acquired primarily for purposes of research, to expand forensic research capabilities through development of wildlife reference databases, should be properly recorded in a permanent catalogue;

C. permanent records should contain information about loans and transfers to other institutions and the purpose of the transaction;

D. institutions should make reference to their quality management system used for research conducted;

E. accurate data, for example scientific name, weight, geographical origin, source code, purpose and result of research, should be recorded in the permanent catalogue, and specimens should be accurately and adequately labelled;

F. acquisition and possession of specimens accord with the laws of the State in which the scientific institution is located; and

G. all specimens of species included in Appendix I permanently and centrally housed under the direct control of the forensic institution, and managed in a manner to preclude the use of such specimens for decoration, trophies or other purposes incompatible with the principles of the Convention;

viii) Diagnostic testing laboratories recognised as an official reference laboratory or collaborating centre by the World Organization for Animal Health (OIE), or laboratories included in the electronic directory of laboratories that conduct wildlife forensic testing maintained by the Secretariat would qualify for registration;

ix) When registering scientific institutions, Parties should provide to the Secretariat the name, address, contact details (including, where practicable, an email and telephone number) as well as the ~~qualifications~~ types of services (taxonomic, species conservation research or wildlife forensic research) ~~of~~ provided by the institutions for inclusion on the CITES Scientific Institutions register;

x) scientists who keep private collections should be encouraged to affiliate with registered scientific institutions in order that they may take advantage of the exemption provided in Article VII, paragraph 6;

xi) all States should take precautions to avoid damage or loss to science of museum, herbarium, forensic and diagnostic specimens or of any accompanying data;

xii) this exemption should be implemented to ensure that non-commercial exchange of scientific specimens is not interrupted and that it occurs in a way consistent with the terms of the Convention;

xiii) if specimens are exchanged, scientific institutions should notify the Party through which they are registered on a ~~quarterly~~ annual basis what types and volumes of specimens were exchanged; and

xiv) a five-character coding system for identifying registered institutions should be adopted; the first two characters should be the two-letter country code established by the International Organization for Standardization, as provided in the CITES Directory; the last three characters should be a unique number assigned to each institution by a Management Authority, in the case of a Party, or by the Secretariat, in the case of a non-Party; and

4. REPEALS the Resolutions listed hereunder:

a) Resolution Conf. 1.4 (Bern, 1976) Museum and herbarium inventories; and

b) Resolution Conf. 2.14 (San José, 1979) Guidelines for non-commercial loan, donation or exchange of museum and herbarium specimens.

Annex Examples of the types ~~Types~~ of forensic reference samples that may qualify for provisions under non-commercial loan, donation or exchange of museum and herbarium specimens and their use (**Note**: Depending on the specific circumstances, the type of sample and typical sample size eligible for exchange under this Resolution may differ.)

Type of sample	Typical size of sample	Use of sample
blood and its derivative components	5ml maximum for liquid samples or dry blood sample on a microscope slide, filter paper or swab	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis
internal tissues (botanical or zoological), fixed	pieces of tissues (5mm^3 -25 mm^3) in a fixative or histological glass slide containing a +/-5um section of fixed tissue	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis
internal tissues (botanical or zoological), frozen	pieces of tissues (5 mm^3 -25 mm3),	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis
internal tissues, fresh (botanical or zoological, excluding ova, sperm and embryos)	pieces of tissues (5 mm^3 -25 mm^3)	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis
external tissues including hair, skin, feathers, scales, bone, egg shell, teeth, ivory, horn, leaves, bark, seeds, fruit or flowers	individual samples with or without fixative for ivory: pieces of ivory approximately 3 cm x 3 cm and 1 cm thick or less depending on analysis method, in accordance with *ICCWC Guidelines on methods and*	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; age analysis;

	procedures for ivory and laboratory analysis[1] for rhino horn: small amounts of powder/shavings sealed in a tamper proof sample bottle, in accordance with the *Procedure for Rhino horn DNA Sampling*[2]	
buccal/cloacal/ mucus/nasal/urinary tract/rectal swabs	Small amounts of tissue or cells on a swab in a tube	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis
cell lines and tissue cultures	no limitation of sample size	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; age analysis
DNA or RNA (purified)	Up to 0.5 ml volumes per individual specimen of purified DNA or RNA	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; age analysis
secretions, (saliva, venom, milk, plant secretions)	1-5 ml in vials	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; age analysis

1 https://www.unodc.org/documents/Wildlife/Guidelines_Ivory.pdf

2 Republic of South Africa, Department of Environmental Affairs, Procedures for Rhino horn DNA Sampling

XII. Regarding the use of simplified procedures to issue permits and certificates

20. RECOMMENDS that:

a) Parties use simplified procedures to issue permits and certificates to facilitate and expedite trade that will have a negligible impact, or none, on the conservation of the species concerned, e.g.:

i) where biological samples of the type and size specified in Annex 4 of the present Resolution are urgently required:

A. in the interest of an individual animal;

B. in the interest of the conservation of the species concerned or other species listed in the Appendices;

C. for judicial or law enforcement purposes;

D. for the control of diseases transferable between species listed in the Appendices; or

E. for diagnostic or identification purposes;

ii) for the issuance of pre-Convention certificates in accordance with Article VII, paragraph 2;

iii) for the issuance of certificates of captive breeding or artificial propagation in accordance with Article VII, paragraph 5, or for the issuance of export permits or re-export certificates in accordance with Article IV for specimens referred to in Article VII, paragraph 4; and

iv) in other cases judged by a Management Authority to merit the use of simplified procedures;

b) Parties, in order to simplify procedures concerning the issuance of permits and certificates under the circumstances outlined above:

i) maintain a register of persons and bodies that ~~may~~ benefit from simplified procedures, as well as the species that are ~~they may~~ traded under the simplified procedures;

ii) provide persons and bodies determined to be bona fide with partially completed permits and certificates that remain valid for a period of up to six months for export permits and re-export certificates, 12 months for import permits ~~or re-export certificates~~, and three years for pre-Convention certificates and certificates of captive breeding or artificial propagation; and

iii) authorize holders of partially completed permits to enter specific information on the CITES document when the Management Authority has included in box 5, or an equivalent place, the following:

A. a list of the boxes that these persons or bodies are authorized to complete for each shipment; if the list includes scientific names, the Management Authority must have included an inventory of approved species (including up to the family level) on the face of the permit or certificate or in an attached annex and provide details of the approvals process required to extend the inventory of approved species to encompass species not previously included in an emergency disease event;

B. any special conditions; and

C. a place for the whole name and signature, or in the case where electronic permitting processes are used its agreed electronic equivalent, of the person who completed the document;

c) concerning trade in biological samples of the type and size specified in Annex 4 of the present Resolution, where the purpose is among those specified in paragraph a) of this section, permits and certificates

be accepted that were validated at the time the documents were granted, rather than at the time a shipment was exported or re-exported provided that the container bears a label, such as a Customs label, that specifies 'CITES Biological Samples' and the CITES document number;

d) when processing applications for the trade in biological specimens of the type and size and for the use specified in Annex 4 of the present Resolution where the species is unknown, Management Authorities should issue permits to the genus or family level;

e) when processing applications for the export of biological samples of the type and size and for the use specified in Annex 4 to the present Resolution, Scientific Authorities develop generic non-detriment advice that would cover multiple shipments of such biological samples, taking into account the impacts of the collection of the specimens of species included in Appendix I or II to determine whether the export or import of biological samples would be detrimental to the survival of the species;

f) when processing applications for the trade in biological samples of the type and size and for the use specified in Annex 4 to the present Resolution, Management Authorities that have introduced stricter permitting procedures for CITES listed species are encouraged to waive or customize these measures to ensure standard processes for issuance of CITES documents are applied; and

g) to the extent possible Parties expedite the processing of applications for the trade of biological samples of the type and size and for the use specified in Annex 4.

XIV. Regarding acceptance and clearance of documents and security measures

22. RECOMMENDS that:

a) the Parties refuse to accept permits and certificates if they have been altered (by rubbing out, deleting, scratching out, etc.), modified or crossed out, unless the alteration, modification or crossing-out has been authenticated by the stamp and signature, or its electronic equivalent, 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 paper 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.; or

v) the permit or certificate is for a biological sample of the type and size and for the use specified in Annex 4 to the present Resolution where the species is unknown, in which case it is sufficient to use the scientific name of the genus or family;

Annex 4 Types of biological samples and their use

Type of sample	Typical size of sample	Use of sample
blood and its derivative components	5 ml maximum for liquid samples or dry blood sample on a microscope slide, filter paper or swab	biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis, including serology
internal tissues (botanical or zoological), fixed	tissues (5 mm^3 -25 mm^3) in a fixative or histological glass slide containing a +/-5um section of fixed tissue	Histology and electon microscopy to detect organisms and poisons; taxonomic research; biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis
internal tissues (botanical or zoological), frozen	pieces of tissues (5 mm3 -25 mm3)	biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis
internal tissues (botanical or zoological), fresh (excluding ova, sperm and embryos)	pieces of tissues (5 mm^3 - 25 mm^3)	biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis
external tissues including hair, skin, feathers, scales, bone, egg shell, teeth, ivory, horn, leaves, bark, seeds, fruit or flowers	Individual samples with or without fixative for ivory: pieces of ivory approximately 3 cm x 3 cm and 1 cm thick or less depending on analysis method, in accordance with *ICCWC Guidelines on methods and procedures for ivory and laboratory analysis*[3] for rhino horn: small amounts of powder/shavings sealed in a tamper proof sample bottle, in accordance with the *Procedure for Rhino horn DNA Sampling*[4]	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis; age analysis; biomedical research
buccal/cloacal/ mucus/nasal/urinary tract/rectal swabs	small amounts of tissue or cells on a swab in a tube	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis, including serology; biomedical research
cell lines and tissue cultures	no limitation of sample size	biomedical research; species identification; determination of geographic origin; sex determination; individual

[3] *https://www.unodc.org/documents/Wildlife/Guidelines_Ivory.pdf*

[4] *Republic of South Africa, Department of Environmental Affairs, Procedures for Rhino horn DNA Sampling*

		identification; parentage testing; toxicology analysis; disease testing/diagnosis; age analysis
DNA or RNA (purified)	up to 0.5 ml volumes per individual specimen of purified DNA or RNA	biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis; age analysis
secretions, (saliva, venom, milk, plant secretions)	1-5 ml in vials	production of anti-venom; biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis, including serology; age analysis

Directed to the Secretariat

18.AA The Secretariat shall, in consultation with Parties and stakeholders, prepare draft guidance on the use of the simplified procedures and on the use of the exemption for scientific exchange, for review, any appropriate amendment, and endorsement by the Standing Committee. The guidance should focus on the international movement of CITES specimens where the trade will have a negligible impact on the conservation of the species concerned and include consideration of other types of specimens in addition to those identified in document CoP18 Doc. 56, paragraph 13. The Secretariat shall also develop a dedicated page on the CITES website on simplified procedures. If so requested and subject to external funding, the Secretariat shall organize specific training workshops on simplified procedures.