

FISH AND WILDLIFE SERVICE * U.S. DEPARTMENT OF THE INTERIOR

TEXT

OF THE

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

Signed March 3, 1973
Entered into force July 1, 1975



*U.S. MANAGEMENT AUTHORITY:
U.S. Fish and Wildlife Service
Office of Management Authority
4401 N. Fairfax Drive, Room 420(c)
Arlington, Virginia 22203
March 1995*

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

The Contracting States,

RECOGNIZING that wild fauna and flora in their many beautiful and varied forms are an irreplaceable part of the natural systems of the earth which must be protected for this and the generations to come;

CONSCIOUS of the ever-growing value of wild fauna and flora from aesthetic, scientific, cultural, recreational and economic points of view;

RECOGNIZING that peoples and States are and should be the best protectors of their own wild fauna and flora;

RECOGNIZING, in addition, that international co-operation is essential for the protection of certain species of wild fauna and flora against over-exploitation through international trade;

CONVINCED of the urgency of taking appropriate measures to this end;

HAVE AGREED as follows:

ARTICLE I

Definitions

For the purpose of the present Convention, unless the context otherwise requires:

(a) "Species" means any species, subspecies, or geographically separate population thereof;

(b) "Specimen" means:

(i) any animal or plant, whether alive or dead;

(ii) in the case of an animal: for species included in Appendices I and II, any readily recognizable part or derivative thereof; and for species included in Appendix III, any readily recognizable part or derivative thereof specified in Appendix III in relation to the species; and

(iii) in the case of a plant: for species included in Appendix I, any readily recognizable part or derivative thereof; and for species included in Appendices II and III, any readily recognizable part or derivative thereof specified in Appendices II and III in relation to the species;

(c) "Trade" means export, re-export, import and introduction from the sea;

(d) "Re-export" means export of any specimen that has previously been imported;

(e) "Introduction from the sea" means transportation into a State of specimens of any species which were taken in the marine environment not under the jurisdiction of any State;

(f) "Scientific Authority" means a national

scientific authority designated in accordance with Article IX;

(g) "Management Authority" means a national management authority designated in accordance with Article IX;

(h) "Party" means a State for which the present Convention has entered into force.

ARTICLE II

Fundamental Principles

1. Appendix I shall include all species threatened with extinction which are or may be affected by trade. Trade in specimens of these species must be subject to particularly strict regulation in order not to endanger further their survival and must only be authorized in exceptional circumstances.

2. Appendix II shall include:

(a) all species which although not necessarily now threatened with extinction may become so unless trade in specimens of such species is subject to strict regulation in order to avoid utilization incompatible with their survival; and

(b) other species which must be subject to regulation in order that trade in specimens of certain species referred to in sub-paragraph (a) of this paragraph may be brought under effective control.

3. Appendix III shall include all species which any Party identifies as being subject to regulation within its jurisdiction for the purpose of preventing or restricting exploitation, and as needing the cooperation of other parties in the control of trade.

4. The Parties shall not allow trade in specimens of species included in Appendices I, II and III except in accordance with the provisions of the present Convention.

ARTICLE III

*Regulation of Trade in Specimens
of Species included in Appendix I*

1. All trade in specimens of species included in Appendix I shall be in accordance with the provisions of this Article.

2. The export of any specimen of a species included in Appendix I shall require the prior grant and presentation of an export permit. An export permit shall only be granted when the following conditions have been met:

(a) a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species;

(b) a Management Authority of the State of export

is satisfied that the specimen was not obtained in contravention of the laws of that State for the protection of fauna and flora;

(c) a Management Authority of the State of export is satisfied that any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment; and

(d) a Management Authority of the State of export is satisfied that an import permit has been granted for the specimen.

3. The import of any specimen of a species included in Appendix I shall require the prior grant and presentation of an import permit and either an export permit or a re-export certificate. An import permit shall only be granted when the following conditions have been met:

(a) a Scientific Authority of the State of import has advised that the import will be for purposes which are not detrimental to the survival of the species involved;

(b) a Scientific Authority of the State of import is satisfied that the proposed recipient of a living specimen is suitably equipped to house and care for it; and

(c) a Management Authority of the State of import is satisfied that the specimen is not to be used for primarily commercial purposes.

4. The re-export of any specimen of a species included in Appendix I shall require the prior grant and presentation of a re-export certificate. A re-export certificate shall only be granted when the following conditions have been met:

(a) a Management Authority of the State of re-export is satisfied that the specimen was imported into that State in accordance with the provisions of the present Convention;

(b) a Management Authority of the State of re-export is satisfied that any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment; and

(c) a Management Authority of the State of re-export is satisfied that an import permit has been granted for any living specimen.

5. The introduction from the sea of any specimen of a species included in Appendix I shall require the prior grant of a certificate from a Management Authority of the State of introduction. A certificate shall only be granted when the following conditions have been met:

(a) a Scientific Authority of the State of introduction advises that the introduction will not be detrimental to the survival of the species involved;

(b) a Management Authority of the State of introduction is satisfied that the proposed recipient of

a living specimen is suitably equipped to house and care for it; and

(c) a Management Authority of the State of introduction is satisfied that the specimen is not to be used for primarily commercial purposes.

ARTICLE IV

Regulation of Trade in Specimens of Species included in Appendix II

1. All trade in specimens of species included in Appendix II shall be in accordance with the provisions of this Article.

2. The export of any specimen of a species included in Appendix II shall require the prior grant and presentation of an export permit. An export permit shall only be granted when the following conditions have been met:

(a) a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species;

(b) a Management Authority of the State of export is satisfied that the specimen was not obtained in contravention of the laws of that State for the protection of fauna and flora; and

(c) a Management Authority of the State of export is satisfied that any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment.

3. A Scientific Authority in each Party shall monitor both the export permits granted by that State for specimens of species included in Appendix II and the actual exports of such specimens. Whenever a Scientific Authority determines that the export of specimens of any such species should be limited in order to maintain that species throughout its range at a level consistent with its role in the ecosystems in which it occurs and well above the level at which that species might become eligible for inclusion in Appendix I, the Scientific Authority shall advise the appropriate Management Authority of suitable measures to be taken to limit the grant of export permits for specimens of that species.

4. The import of any specimen of species included in Appendix II shall require the prior presentation of either an export permit or a re-export certificate.

5. The re-export of any specimen of a species included in Appendix II shall require the prior grant and presentation of a re-export certificate. A re-export certificate shall only be granted when the following conditions have been met:

(a) a Management Authority of the State of re-export is satisfied that the specimen was imported

into that State in accordance with the provisions of the present Convention; and

(b) a Management Authority of the State of re-export is satisfied that any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment.

6. The introduction from the sea of any specimen of a species included in Appendix II shall require the prior grant of a certificate from a Management Authority of the State of introduction. A certificate shall only be granted when the following conditions have been met:

(a) a Scientific Authority of the State of introduction advises that the introduction will not be detrimental to the survival of the species involved; and

(b) a Management Authority of the State of introduction is satisfied that any living specimen will be so handled as to minimize the risk of injury, damage to health or cruel treatment.

7. Certificates referred to in paragraph 6 of this Article may be granted on the advice of a Scientific Authority, in consultation with other national scientific authorities or, when appropriate, international scientific authorities, in respect of periods not exceeding one year for total numbers of specimens to be introduced in such periods.

ARTICLE V

Regulation of Trade in Specimens of Species included in Appendix III

1. All trade in specimens of species included in Appendix III shall be in accordance with the provisions of this Article.

2. The export of any specimen of a species included in Appendix III from any State which has included that species in Appendix III shall require the prior grant and presentation of an export permit. An export permit shall only be granted when the following conditions have been met:

(a) a Management Authority of the State of export is satisfied that the specimen was not obtained in contravention of the laws of that State for the protection of fauna and flora; and

(b) a Management Authority of the State of export is satisfied that any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment.

3. The import of any specimen of a species included in Appendix III shall require, except in circumstances to which paragraph 4 of this Article applies, the prior presentation of a certificate of origin and, where the import is from a State which has

included that species in Appendix III, an export permit.

4. In the case of re-export, a certificate granted by the Management Authority of the State of re-export that the specimen was processed in that State or is being re-exported shall be accepted by the State of import as evidence that the provisions of the present Convention have been complied with in respect of the specimen concerned.

ARTICLE VI

Permits and Certificates

1. Permits and certificates granted under the provisions of Articles III, IV, and V shall be in accordance with the provisions of this Article.

2. An export permit shall contain the information specified in the model set forth in Appendix IV, and may only be used for export within a period of six months from the date on which it was granted.

3. Each permit or certificate shall contain the title of the present Convention, the name and any identifying stamp of the Management Authority granting it and a control number assigned by the Management Authority.

4. Any copies of a permit or certificate issued by a Management Authority shall be clearly marked as copies only and no such copy may be used in place of the original, except to the extent endorsed thereon.

5. A separate permit or certificate shall be required for each consignment of specimens.

6. A Management Authority of the State of import of any specimen shall cancel and retain the export permit or re-export certificate and any corresponding import permit presented in respect of the import of that specimen.

7. Where appropriate and feasible a Management Authority may affix a mark upon any specimen to assist in identifying the specimen. For these purposes "mark" means any indelible imprint, lead seal or other suitable means of identifying a specimen, designed in such a way as to render its imitation by unauthorized persons as difficult as possible.

ARTICLE VII

Exemptions and Other Special Provisions Relating to Trade

1. The provisions of Articles III, IV, and V shall not apply to the transit or trans-shipment of specimens through or in the territory of a Party while the specimens remain in Customs control.

2. Where a Management Authority of the State of export or re-export is satisfied that a specimen was

acquired before the provisions of the present Convention applied to that specimen, the provisions of Articles III, IV and V shall not apply to that specimen where the Management Authority issues a certificate to that effect.

3. The provisions of Articles III, IV and V shall not apply to specimens that are personal or household effects. This exemption shall not apply where:

(a) in the case of specimens of a species included in Appendix I, they were acquired by the owner outside his State of usual residence, and are being imported into that State; or

(b) in the case of specimens of species included in Appendix II:

(i) they were acquired by the owner outside his State of usual residence and in a State where removal from the wild occurred;

(ii) they are being imported into the owner's State of usual residence; and

(iii) the State where removal from the wild occurred requires the prior grant of export permits before any export of such specimens;

unless a Management Authority is satisfied that the specimens were acquired before the provisions of the present Convention applied to such specimens.

4. Specimens of an animal species included in Appendix I bred in captivity for commercial purposes, or of a plant species included in Appendix I artificially propagated for commercial purposes, shall be deemed to be specimens of species included in Appendix II.

5. Where a Management Authority of the State of export is satisfied that any specimen of an animal species was bred in captivity or any specimen of a plant species was artificially propagated, or is a part of such an animal or plant or was derived therefrom, a certificate by that Management Authority to that effect shall be accepted in lieu of any of the permits or certificates required under the provisions of Articles III, IV or V.

6. The provisions of Articles III, IV and V shall not apply to the 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 museum specimens, and live plant material which carry a label issued or approved by a Management Authority.

7. A Management Authority of any State may waive the requirements of Articles III, IV and V and allow the movement without permits or certificates of specimens which form part of a travelling zoo, circus, menagerie, plant exhibition or other travelling exhibition provided that:

(a) the exporter or importer registers full details of such specimens with that Management Authority;

(b) the specimens are in either of the categories specified in paragraphs 2 or 5 of this Article; and

(c) the Management Authority is satisfied that any living specimen will be so transported and cared for as to minimize the risk of injury, damage to health or cruel treatment.

ARTICLE VIII

Measures to be Taken by the Parties

1. The Parties shall take appropriate measures to enforce the provisions of the present Convention and to prohibit trade in specimens in violation thereof. These shall include measures:

(a) to penalize trade in, or possession of, such specimens, or both; and

(b) to provide for the confiscation or return to the State of export of such specimens.

2. In addition to the measures taken under paragraph 1 of this Article, a Party may, when it deems it necessary, provide for any method of internal reimbursement for expenses incurred as a result of the confiscation of a specimen traded in violation of the measures taken in the application of the provisions of the present Convention.

3. As far as possible, the Parties shall ensure that specimens shall pass through any formalities required for trade with a minimum of delay. To facilitate such passage, a Party may designate ports of exit and ports of entry at which specimens must be presented for clearance. The Parties shall ensure further that all living specimens, during any period of transit, holding or shipment, are properly cared for so as to minimize the risk of injury, damage to health or cruel treatment.

4. Where a living specimen is confiscated as a result of measures referred to in paragraph 1 of this Article:

(a) the specimen shall be entrusted to a Management Authority of the State of confiscation;

(b) the Management Authority shall, after consultation with the State of export, return the specimen to that State at the expense of that State, or to a rescue centre or such other place as the Management Authority deems appropriate and consistent with the purposes of the present Convention; and

(c) the Management Authority may obtain the advice of a Scientific Authority, or may, whenever it considers it desirable, consult the Secretariat in order to facilitate the decision under subparagraph (b) of this paragraph, including the choice of a rescue centre or other place.

5. A rescue centre as referred to in paragraph 4 of this Article means an institution designated by a Management Authority to look after the welfare of living specimens, particularly those that have been confiscated.

6. Each Party shall maintain records of trade in specimens of species included in Appendices I, II and III which shall cover:

(a) the names and addresses of exporters and importers; and

(b) the number and type of permits and certificates granted; the States with which such trade occurred; the numbers or quantities and types of specimens, names of species as included in Appendices I, II and III and, where applicable, the size and sex of the specimens in question.

7. Each Party shall prepare periodic reports on its implementation of the present Convention and shall transmit to the Secretariat:

(a) an annual report containing a summary of the information specified in sub-paragraph (b) of paragraph 6 of this Article; and

(b) a biennial report on legislative, regulatory and administrative measures taken to enforce the provisions of the present Convention.

8. The information referred to in paragraph 7 of this Article shall be available to the public where this is not inconsistent with the law of the Party concerned.

ARTICLE IX

Management and Scientific Authorities

1. Each Party shall designate for the purposes of the present Convention:

(a) one or more Management Authorities competent to grant permits or certificates on behalf of that Party; and

(b) one or more Scientific Authorities.

2. A State depositing an instrument of ratification, acceptance, approval or accession shall at that time inform the Depositary Government of the name and address of the Management Authority authorized to communicate with other Parties and with the Secretariat.

3. Any changes in the designations or authorizations under the provisions of this Article shall be communicated by the Party concerned to the Secretariat for transmission to all other Parties.

4. Any Management Authority referred to in paragraph 2 of this Article shall if so requested by the Secretariat or the Management Authority of another Party, communicate to it impression of stamps, seals or other devices used to authenticate permits or

certificates.

ARTICLE X

Trade with States not Party to the Convention

Where export or re-export is to, or import is from, a State not a party to the present Convention, comparable documentation issued by the competent authorities in that State which substantially conforms with the requirements of the present Convention for permits and certificates may be accepted in lieu thereof by any Party.

ARTICLE XI

Conference of the Parties

1. The Secretariat shall call a meeting of the Conference of the Parties not later than two years after the entry into force of the present Convention.

2. Thereafter the Secretariat shall convene regular meetings at least once every two years, unless the Conference decides otherwise, and extraordinary meetings at any time on the written request of at least one-third of the Parties.

3. At meetings, whether regular or extraordinary, the Parties shall review the implementation of the present Convention and may:

(a) make such provisions as may be necessary to enable the Secretariat to carry out its duties and adopt financial provisions;

(b) consider and adopt amendments to Appendices I and II in accordance with Article XV;

(c) review the progress made towards the restoration and conservation of the species included in Appendices I, II and III;

(d) receive and consider any reports presented by the Secretariat or by any Party; and

(e) where appropriate, make recommendations for improving the effectiveness of the present Convention.

4. At each regular meeting, the Parties may determine the time and venue of the next regular meeting to be held in accordance with the provisions of paragraph 2 of this Article.

5. At any meeting, the Parties may determine and adopt rules of procedure for the meeting.

6. The United Nations, its Specialized Agencies and the International Atomic Energy Agency, as well as any State not a Party to the present Convention, may be represented at meetings of the Conference by

observers, who shall have the right to participate but not to vote.

7. Any body or agency technically qualified in

protection, conservation or management of wild fauna and flora, in the following categories, which has informed the Secretariat of its desire to be represented at meetings of the Conference by observers, shall be admitted unless at least one-third of the Parties present object:

(a) international agencies or bodies, either governmental or non-governmental, and national governmental agencies and bodies; and

(b) national non-governmental agencies or bodies which have been approved for this purpose by the State in which they are located.

Once admitted, these observers shall have the right to participate but not to vote.

ARTICLE XII *The Secretariat*

1. Upon entry into force of the present Convention, a Secretariat shall be provided by the Executive Director of the United Nations Environment Programme. To the extent and in the manner he considers appropriate, he may be assisted by suitable inter-governmental or non-governmental international or national agencies and bodies technically qualified in protection, conservation and management of wild fauna and flora.

2. The functions of the Secretariat shall be:

(a) to arrange for and service meetings of the Parties;

(b) to perform the functions entrusted to it under the provisions of Articles XV and XVI of the present Convention;

(c) to undertake scientific and technical studies in accordance with programmes authorized by the Conference of the Parties as will contribute to the implementation of the present Convention, including studies concerning standards for appropriate preparation and shipment of living specimens and the means of identifying specimens;

(d) to study the reports of Parties and to request from Parties such further information with respect thereto as it deems necessary to ensure implementation of the present Convention;

(e) to invite the attention of the Parties to any matter pertaining to the aims of the present Convention;

(f) to publish periodically and distribute to the Parties current editions of Appendices I, II and III together with any information which will facilitate identification of specimens of species included in those Appendices.

(g) to prepare annual reports to the Parties on its work and on the implementation of the present

Convention and such other reports as meetings of the Parties may request;

(h) to make recommendations for the implementation of the aims and provisions of the present Convention, including the exchange of information of a scientific or technical nature;

(i) to perform any other function as may be entrusted to it by the Parties.

ARTICLE XIII *International Measures*

1. When the Secretariat in the light of information received is satisfied that any species included in Appendices I or II is being affected adversely by trade in specimens of that species or that the provisions of the present Convention are not being effectively implemented, it shall communicate such information to the authorized Management Authority of the Party or Parties concerned.

2. When any Party receives a communication as indicated in paragraph 1 of this Article, it shall, as soon as possible, inform the Secretariat of any relevant facts insofar as its laws permit and, where appropriate, propose remedial action. Where the Party considers that an inquiry is desirable, such inquiry may be carried out by one or more persons expressly authorized by the Party.

3. The information provided by the Party or resulting from any inquiry as specified in paragraph 2 of this Article shall be reviewed by the next Conference of the Parties which may make whatever recommendations it deems appropriate.

ARTICLE XIV *Effect on Domestic Legislation and International Conventions*

1. The provisions of the present Convention shall in no way affect the right of Parties to adopt:

(a) stricter domestic measures regarding the conditions for trade, taking, possession or transport of specimens of species included in Appendices I, II and III, or the complete prohibition thereof; or

(b) domestic measures restricting or prohibiting trade, taking, possession, or transport of species not included in Appendices I, II or III.

2. The provisions of the present Convention shall in no way affect the provisions of any domestic measures or the obligations of Parties deriving from any treaty, convention, or international agreement relating to other aspects of trade, taking, possession, or transport of specimens which is in force or

subsequently may enter into force for any Party including any measure pertaining to the Customs, public health, veterinary or plant quarantine fields.

3. The provisions of the present Convention shall in no way affect the provisions of, or the obligations deriving from, any treaty, convention or international agreement concluded or which may be concluded between States creating a union or regional trade agreement establishing or maintaining a common external customs control and removing customs control between the parties thereto insofar as they relate to trade among the States members of that union agreement.

4. A State party to the present Convention, which is also a party to any other treaty, convention or international agreement which is in force at the time of the coming into force of the present Convention and under the provisions of which protection is afforded to marine species included in Appendix II, shall be relieved of the obligations imposed on it under the provisions of the present Convention with respect to trade in specimens of species included in Appendix II that are taken by ships registered in that State and in accordance with the provisions of such other treaty, convention or international agreement.

5. Notwithstanding the provisions of Articles III, IV and V, any export of a specimen taken in accordance with paragraph 4 of this Article shall only require a certificate from a Management Authority of the State of introduction to the effect that the specimen was taken in accordance with the provisions of the other treaty, convention or international agreement in question.

6. Nothing in the present Convention shall prejudice the codification and development of the law of the sea by the United Nations Conference on the Law of the Sea convened pursuant to Resolution 2750 C (XXV) of the General Assembly of the United Nations nor the present or future claims and legal views of any State concerning the law of the sea and the nature and extent of coastal and flag State jurisdiction.

ARTICLE XV

Amendments to Appendices I and II

1. The following provisions shall apply in relation to amendments to Appendices I and II at meetings of the Conference of the Parties:

(a) Any Party may propose an amendment to Appendix I or II for consideration at the next meeting. The text of the proposed amendment shall be communicated to the Secretariat at least 150 days before the meeting. The Secretariat shall consult the

other Parties and interested bodies on the amendment in accordance with the provisions of sub-paragraphs (b) and (c) of paragraph 2 of this Article and shall communicate the response to all Parties not later than 30 days before the meeting.

(b) Amendments shall be adopted by a two-thirds majority of Parties present and voting. For these purposes "Parties present and voting" means Parties present and casting an affirmative or negative vote. Parties abstaining from voting shall not be counted among the two-thirds required for adopting an amendment.

(c) Amendments adopted at a meeting shall enter into force 90 days after that meeting for all Parties except those which make a reservation in accordance with paragraph 3 of this Article.

2. The following provisions shall apply in relation to amendments to Appendices I and II between meetings of the Conference of the Parties:

(a) Any Party may propose an amendment to Appendix I or II for consideration between meetings by the postal procedures set forth in this paragraph.

(b) For marine species, the Secretariat shall, upon receiving the text of the proposed amendment, immediately communicate it to the Parties. It shall also consult inter-governmental bodies having a function in relation to those species especially with a view to obtaining scientific data these bodies may be able to provide and to ensuring coordination with any conservation measures enforced by such bodies. The Secretariat shall communicate the views expressed and data provided by these bodies and its own findings and recommendations to the Parties as soon as possible.

(c) For species other than marine species, the Secretariat shall, upon receiving the text of the proposed amendment, immediately communicate it to the Parties, and, as soon as possible thereafter, its own recommendations.

(d) Any Party may, within 60 days of the date on which the Secretariat communicated its recommendations to the Parties under sub-paragraphs (b) or (c) of this paragraph, transmit to the Secretariat any comments on the proposed amendment together with any relevant scientific data and information.

(e) The Secretariat shall communicate the replies received together with its own recommendations to the Parties as soon as possible.

(f) If no objection to the proposed amendment is received by the Secretariat within 30 days of the date the replies and recommendations were communicated under the provisions of sub-paragraph (e) of this paragraph, the amendment shall enter into force 90 days later for all Parties except those which make a

reservation in accordance with paragraph 3 of this Article.

(g) If an objection by any Party is received by the Secretariat, the proposed amendment shall be submitted to a postal vote in accordance with the provisions of sub-paragraphs (h), (i) and (j) of this paragraph.

(h) The Secretariat shall notify the Parties that notification of objection has been received.

(i) Unless the Secretariat receives the votes for, against or in abstention from at least one-half of the Parties within 60 days of the date of notification under sub-paragraph (h) of this paragraph, the proposed amendment shall be referred to the next meeting of the Conference for further consideration.

(j) Provided that votes are received from one-half of the Parties, the amendment shall be adopted by a two-thirds majority of Parties casting an affirmative or negative vote.

(k) The Secretariat shall notify all Parties of the result of the vote.

(l) If the proposed amendment is adopted it shall enter into force 90 days after the date of the notification by the Secretariat of its acceptance for all Parties except those which make a reservation in accordance with paragraph 3 of this Article.

3. During the period of 90 days provided for by sub-paragraph (c) of paragraph 1 or sub-paragraph (l) of paragraph 2 of this Article any Party may by notification in writing to the Depositary Government make a reservation with respect to the amendment. Until such reservation is withdrawn the Party shall be treated as a State not a party to the present Convention with respect to trade in the species concerned.

ARTICLE XVI

Appendix III and Amendments thereto

1. Any party may at any time submit to the Secretariat a list of species which it identifies as being subject to regulation within its jurisdiction for the purpose mentioned in paragraph 3 of Article II. Appendix III shall include the names of the Parties submitting the species for inclusion therein, the scientific names of the species so submitted, and any parts or derivatives of the animals or plants concerned that are specified in relation to the species for the purposes of sub-paragraph (b) of Article I.

2. Each list submitted under the provisions of paragraph 1 of this Article shall be communicated to the Parties by the Secretariat as soon as possible after receiving it. The list shall take effect as part of Appendix III 90 days after the date of such communication. At any time after the communication

of such list, any Party may by notification in writing to the Depositary Government enter a reservation with respect to any species or any parts or derivatives, and until such reservation is withdrawn, the State shall be treated as a State not a Party to the present Convention with respect to trade in the species or part or derivative concerned.

3. A Party which has submitted a species for inclusion in Appendix III may withdraw it at any time by notification to the Secretariat which shall communicate the withdrawal to all Parties. The withdrawal shall take effect 30 days after the date of such communication.

4. Any party submitting a list under the provisions of paragraph 1 of this Article shall submit to the Secretariat a copy of all domestic laws and regulations applicable to the protection of such species, together with any interpretations which the Party may deem appropriate or the Secretariat may request. The Party shall, for as long as the species in question is included in Appendix III, submit any amendments of such laws and regulations or any new interpretations as they are adopted.

ARTICLE XVII

Amendment of the Convention

1. An extraordinary meeting of the Conference of the Parties shall be convened by the Secretariat on the written request of at least one-third of the Parties to consider and adopt amendments to the present Convention. Such amendments shall be adopted by a two-thirds majority of Parties present and voting. For these purposes "Parties present and voting" means Parties present and casting an affirmative or negative vote. Parties abstaining from voting shall not be counted among the two-thirds required for adopting an amendment.

2. The text of any proposed amendment shall be communicated by the Secretariat to all Parties at least 90 days before the meeting.

3. An amendment shall enter into force for the Parties which have accepted it 60 days after two-thirds of the Parties have deposited an instrument of acceptance of the amendment with the Depositary Government. Thereafter, the amendment shall enter into force for any other Party 60 days after that Party deposits its instrument of acceptance of the amendment.

ARTICLE XVIII

Resolution of Disputes

1. Any dispute which may arise between two or more Parties with respect to the interpretation or application of the provisions of the present Convention shall be subject to negotiation between the Parties involved in the dispute.

2. If the dispute cannot be resolved in accordance with paragraph 1 of this Article, the Parties may, by mutual consent, submit the dispute to arbitration, in particular that of the Permanent Court of Arbitration at The Hague, and the Parties submitting the dispute shall be bound by the arbitral decision.

ARTICLE XIX
Signature

The present Convention shall be open for signature at Washington until 30th April 1973 and thereafter at Berne until 31st December 1974.

ARTICLE XX
Ratification, Acceptance, Approval

The present Convention shall be subject to ratification, acceptance or approval. Instruments of ratification, acceptance or approval shall be deposited with the Government of the Swiss Confederation which shall be the Depository Government.

ARTICLE XXI
Accession

The present Convention shall be open indefinitely for accession. Instruments of accession shall be deposited with the Depository Government.

ARTICLE XXII
Entry into Force

1. The present Convention shall enter into force 90 days after the date of deposit of the tenth instrument of ratification, acceptance, approval or accession, with the Depository Government.

2. For each State which ratifies, accepts or approves the present Convention or accedes thereto after the deposit of the tenth instrument of ratification, acceptance, approval or accession, the present Convention shall enter into force 90 days after the deposit by such State of its instrument of ratification, acceptance, approval or accession.

ARTICLE XXIII
Reservations

1. The provisions of the present Convention shall not be subject to general reservations. Specific reservations may be entered in accordance with the provisions of this Article and Articles XV and XVI.

2. Any State may, on depositing its instrument of ratification, acceptance, approval or accession, enter a specific reservation with regard to:

(a) any species included in Appendix I, II or III; or

(b) any parts or derivatives specified in relation to a species included in Appendix III.

3. Until a Party withdraws its reservation entered under the provisions of this Article, it shall be treated as a State not a party to the present Convention with respect to trade in the particular species or parts or derivatives specified in such reservation.

ARTICLE XXIV
Denunciation

Any Party may denounce the present Convention by written notification to the Depository Government at any time. The denunciation shall take effect twelve months after the Depository Government has received the notification.

ARTICLE XXV
Depository

1. The original of the present Convention, in the Chinese, English, French, Russian and Spanish languages, each version being equally authentic, shall be deposited with the Depository Government, which shall transmit certified copies thereof to all States that have signed it or deposited instruments of accession to it.

2. The Depository Government shall inform all signatory and acceding States and the Secretariat of signatures, deposit of instruments of ratification, acceptance, approval or accession, entry into force of the present Convention, amendments thereto, entry and withdrawal of reservations and notifications of denunciation.

3. As soon as the present Convention enters into force, a certified copy thereof shall be transmitted by the Depository Government to the Secretariat of the United Nations for registration and publication in accordance with Article 102 of the Charter of the United Nations.

IN WITNESS WHEREOF the undersigned Plenipotentiaries, being duly authorized to that effect, have signed the present Convention.

DONE at Washington this third day of March, One

Thousand Nine Hundred and Seventy-three.



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Conf. 12.3 (Rev. CoP13)*

Permits and certificates

RECALLING Resolution Conf. 8.16, adopted by the Conference of the Parties at its eighth meeting (Kyoto, 1992);

RECALLING Resolution Conf. 10.2 (Rev.), adopted by the Conference of the Parties at its 10th meeting (Harare, 1997) and amended at its 11th meeting (Gigiri, 2000);

RECALLING the provisions of Article VI of the Convention regarding permits and certificates;

OBSERVING that false and invalid permits and certificates are used more-and-more often for fraudulent purposes and that appropriate measures are needed to prevent such documents from being accepted;

RECOGNIZING the need for Parties to be particularly vigilant regarding the issuance of permits and certificates for very valuable specimens and specimens of species included in Appendix I;

CONSIDERING the need to improve the standardization of permits and certificates;

RECOGNIZING that the issuance of CITES permits and certificates serves as a certification scheme for assuring that trade is not detrimental to the survival of species included in the Appendices;

CONSCIOUS that the data carried on permits and certificates must supply maximum information, as much for export as for import, to allow verification of the conformity between the specimens and the document;

RECOGNIZING that the Convention provides no guidance about the acceptability of an export permit whose period of validity expires after the specimens have been exported but before the permit has been presented for import purposes;

CONSIDERING that no provision exists to establish the maximum time validity of import permits, and that it is necessary to establish a time validity appropriate to guarantee compliance with the provisions of Article III, paragraph 3, of the Convention;

RECALLING that Articles III, IV and V of the Convention provide that trade in any specimen of a species included in its Appendices requires the prior grant and presentation of the relevant document;

RECALLING that Parties are obliged, under Article VIII, paragraph 1 (b), of the Convention, to provide for the confiscation or return to the State of export of specimens traded in violation of the Convention;

NOTING that the efforts of importing countries to fulfil their obligations under Article VIII, paragraph 1 (b), may be seriously obstructed by the retrospective issuance of permits or certificates for specimens having left the exporting or re-exporting country without such documents, and that declarations about the validity of documents that do not meet the requirements of the Convention are likely to have a similar effect;

CONSIDERING that the retrospective issuance of permits and certificates has an increasingly negative

impact on the possibilities for properly enforcing the Convention and leads to the creation of loopholes for illegal trade;

CONSIDERING that Article VII, paragraph 7, of the Convention provides that under certain circumstances "a Management Authority of any State may waive the requirements of Articles III, IV and V and allow the movement without permits or certificates of specimens which form part of a travelling zoo, circus, menagerie, plant exhibition or other travelling exhibition provided that ... the specimens are in either of the categories specified in paragraph 2 or 5 of this Article";

DESIRING, however, that this exemption not be used to avoid the necessary measures for the control of international trade in specimens listed in the Appendices to the Convention;

RECOGNIZING that the trade in many biological samples, because of their special nature or because of the special purpose of such trade, requires expedited processing of permits and certificates to allow for the timely movement of shipments;

RECALLING that, in accordance with Article VIII, paragraph 3, Parties are required to ensure that specimens shall pass through any formalities required for trade with a minimum of delay;

RECOGNIZING that Article VII includes special provisions reducing the level of control on trade in specimens that were acquired before the provisions of the Convention applied to them and specimens that were bred in captivity or artificially propagated;

NOTING the need to develop simplified procedures that are compatible with the obligations of Parties to the Convention on Biological Diversity;

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
- VI. Regarding travelling-exhibition certificates
- VII. Regarding phytosanitary certificates
- VIII. Regarding permits and certificates for species subject to quotas
- IX. Regarding permits and certificates for crocodylian 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 Zoos

G Botanical gardens

Q Circuses and travelling exhibitions

S Scientific

H Hunting trophies

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 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 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. CoP13), 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 specimens;

h) in cases where codes are used on permits and certificates to indicate the type of specimen, these conform to the codes 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;

i) all Parties consider issuing permits and certificates printed on security paper;

j) Parties that do not already do so affix a security stamp to each permit and certificate;

k) 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;

l) 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. CoP13)];

m) 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;

n) 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;

o) 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;

p) 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

q) 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) 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;
- b) 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;
- c) 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;
- d) 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;
- e) 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;
- f) 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; and
- g) 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;

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 permits: 'Legally imported under an exemption from the provisions of CITES' and additionally it may be stated to which exemption this refers;

III. Regarding import permits

AGREES that an import permit for specimens of species included in Appendix I may carry, among other things, certification that the specimens will not be used for primarily commercial purposes and, in the case of live specimens, that the recipient has suitable facilities to house and care for them; and

RECOMMENDS that:

a) the provisions of Article III, paragraphs 2 and 4, be understood to mean that an import permit shall be valid for a period of not more than 12 months from the date on which it was granted and that it may not be accepted to authorize import except during the period of validity; and

b) after the expiry of the said 12-month period of validity, an import permit be considered as void and of no legal value whatsoever;

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); and

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;

V. Regarding certificates of origin

RECOMMENDS that:

a) certificates of origin for export of specimens of species listed in Appendix III only be issued by a designated Management Authority or by the competent authority if trade is from a State not a Party to the Convention, and that Parties not accept certificates of origin unless they are issued by such authorities;

b) the provisions of Article V, paragraph 3, be understood to mean that a certificate of origin shall be valid for a period of not more than 12 months from the date on which it was granted, and that it may not be accepted to authorize export or import except during the period of validity; and

c) after the expiry of the said 12-month period of validity, a certificate of origin be considered as void and of no legal value whatsoever;

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. CoP13);

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;

VII. Regarding phytosanitary certificates

RECOMMENDS that:

a) any Party having considered the practices governing the issue of its phytosanitary certificates for export of artificially propagated Appendix-II specimens, and having determined that such practices provide adequate assurance that the specimens are artificially propagated [as defined in Resolution Conf. 11.11 (Rev. CoP13)], may consider

these documents as certificates of artificial propagation in accordance with Article VII, paragraph 5. Such certificates must include the scientific name of the species and the type and quantity of the specimens and bear a stamp, seal or other specific indication stating that the specimens are artificially propagated as defined by CITES;

b) any Party using phytosanitary certificates as certificates of artificial propagation inform the Secretariat and provide copies of the certificates, stamps, seals, etc. that are used; and

c) phytosanitary certificates be used exclusively for the purpose of export from the country of artificial propagation of the specimens concerned; and

INSTRUCTS the Secretariat to notify the Parties when any Party confirms that it issues phytosanitary certificates for export of artificially propagated plants of Appendix-II species;

VIII. Regarding permits and certificates for species subject to quotas

RECOMMENDS that:

a) when a Party has voluntarily fixed national export quotas for specimens of species included in Appendix I, for non-commercial purposes, and/or in Appendices II and III, it inform the Secretariat of the quotas before issuing export permits and of any changes thereto as soon as they are made and it state on each export permit the total number of specimens already exported in the current year (including those covered by the permit in question) and the quota for the species concerned;

b) when a Party has export quotas allocated by the Conference of the Parties for specimens of species included in Appendices I and II, it state on each export permit the total number of specimens already exported in the current year (including those covered by the permit in question) and the quota for the species concerned; and

c) Parties send to the Secretariat copies of permits issued for species subject to quotas if so requested by the Conference of the Parties, the Standing Committee or the Secretariat;

IX. Regarding permits and certificates for crocodilian specimens

RECOMMENDS that:

a) when trade in tagged crocodilian skins is authorized, the same information as is on the tags be given on the permit or certificate;

b) in the case of crocodilian species subject to quotas approved by the Conference of the Parties, no permit or certificate for skins be issued before the skins are tagged in accordance with the requirements of the issuing Management Authority and their sizes are recorded; and

c) in the event of mismatches of information within a permit or certificate for crocodilian skins, the Management Authority of the importing Party immediately contact its counterpart in the exporting/re-exporting Party to establish whether this was a genuine error arising from the volume of information required by the present Resolution and Resolution Conf. 11.12, and that, if this is the case, every effort be made to avoid penalizing those involved in the transaction;

X. Regarding permits and certificates for coral specimens

RECOMMENDS that:

a) on permits and certificates for trade in specimens that are readily recognizable as coral rock [as defined in Resolution Conf. 11.10 (Rev. CoP12) Annex], where the genus cannot be readily determined, the scientific name for the specimens should be 'Scleractinia';

b) 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

c) 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;

XI. Regarding permits and certificates for timber species included in Appendices II and III with the annotation 'Designates logs, sawn wood and veneer sheets'

RECOMMENDS that the validity of the export permit or re-export certificate may be extended beyond the normal maximum of six months after the date of issue, on the condition that:

a) the shipment has arrived in the port of final destination before the date of expiration indicated on the permit or certificate and is being held in Customs bond (i.e. is not considered as imported);

b) the time extension does not exceed six months from the date of expiration of the permit or certificate and no previous extension has been granted;

c) the appropriate enforcement personnel has included the date of arrival and the new date of expiration in the box relating to special conditions, or an equivalent place, on the export permit or re-export certificate, certifying the modification with an official stamp or seal and signature;

d) the shipment is imported for consumption from the port where it was located when the extension was approved and before the new date of expiration; and

e) a copy of the export permit or re-export certificate as amended in accordance with subparagraph c) above is sent to the country of export or re-export, allowing it to amend its annual report, and to the CITES Secretariat; and

FURTHER RECOMMENDS that any permit or certificate that indicates the complete names and addresses of the (re-)exporter and importer, in conformity with Annex 1, paragraph d), to the present Resolution, not be accepted for import into a country other than the one for which it was issued, except under the following conditions:

a) the actual quantity of specimens exported or re-exported is included in the designated box on the permit or certificate, certified by the stamp or seal and signature of the authority that carried out the inspection at the time of export or re-export;

b) the exact quantity referred to under paragraph a) above is imported;

c) the number of the bill of lading of the shipment is included on the permit or certificate;

d) the bill of lading of the shipment is presented to the Management Authority together with the original of the permit or certificate at the time of import;

- e) the import takes place within six months after the issue of the export permit or re-export certificate or within 12 months after the issue of a certificate of origin;
- f) the period of validity of the permit or certificate has not already been extended;
- g) the Management Authority of the importing country includes on the permit or certificate, in the box relating to special conditions, or an equivalent place, the following text, certified by its stamp or seal and signature:

"import into [name of country] permitted in accordance with Resolution Conf. 12.3 (Rev. CoP13) (section XI) on [date]"; and
- h) a copy of the permit or certificate as amended in accordance with paragraph g) above is sent to the country of export or re-export, allowing it to amend its annual report, and to the CITES Secretariat;

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

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 they may trade under the simplified procedures;

ii) provide to registered persons and bodies partially completed permits and certificates that remain valid for a period of up to six months for export permits, 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 the registered persons or bodies to enter specific information on the face of 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 the registered 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 on the face of the permit or certificate or in an attached annex;

B. any special conditions; and

C. a place for the signature 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; and

d) 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;

XIII. Regarding retrospective issue of permits and certificates

RECOMMENDS that:

a) a Management Authority of an exporting or re-exporting country:

i) not issue CITES permits and certificates retrospectively;

ii) not provide exporters, re-exporters and/or consignees in importing countries with declarations about the legality of exports or re-exports of specimens having left its country without the required CITES documents; and

iii) not provide exporters, re-exporters and/or consignees in importing countries with declarations about the legality of permits or certificates which at the time of export, re-export or import did not meet the requirements of the Convention;

b) a Management Authority of an importing country, or of a country of transit or transshipment, not accept permits or certificates that were issued retrospectively;

c) exceptions from the recommendations under a) and b) above not be made with regard to Appendix-I specimens, and be made with regard to Appendix-II and -III specimens only where the Management Authorities of both the exporting (or re-exporting) and the importing countries are, after a prompt and thorough investigation in both countries and in close consultation with each other, satisfied:

i) that the irregularities that have occurred are not attributable to the (re-)exporter or the importer or, in the case of specimens imported or (re-)exported as personal or household effects (for the purposes of the present Resolution this includes live pets travelling with their owner), the Management Authority, in consultation with the relevant enforcement authority, is satisfied that there is evidence that a genuine error has been made, and that there was no attempt to deceive; and

ii) that the export (or re-export) and import of the specimens concerned are otherwise in compliance with the Convention and with the relevant legislation of the countries of export (or re-export) and import;

d) whenever exceptions are made:

i) the permit or certificate clearly indicate that it is issued retrospectively; and

ii) the reasons for the relaxation, which should come within the purview of paragraph c) above, are specified in the conditions on the permit or certificate and a copy sent to the Secretariat and also these be listed in the biennial report to the Secretariat;

e) in cases where retrospective permits are issued for personal or household effects as referred to in subparagraph c) i) above, Parties make provision for penalties and restrictions on subsequent sales within the following six months to be imposed where appropriate to ensure that the power to grant exemptions from the general prohibition on the issue of retrospective permits is not abused; and

f) the above discretion to issue permits and certificates retrospectively not be afforded to benefit repeat offenders;

XIV. Regarding acceptance and clearance of documents and security measures

RECOMMENDS that:

a) the 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, the 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, the Parties refuse the document if the security stamp is not cancelled by a signature and a stamp or seal;

d) the 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) the 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; 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, which are treated as 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 entitled to 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' or 're-export', as appropriate, and/or 'other' 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. This duplicate 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" or 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; and

b) Resolution Conf. 10.2 (Rev.) (Harare, 1997, as amended at Gigiri, 2000) – Permits and certificates.

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.)
- h) The Appendix in which the species or subspecies or population is listed
- 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 *CITES Guidelines for transport and preparation for shipment of live wild animals and plants (CITES Guidelines for transport)* or, in case of air transport, with the *IATA Live Animals 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
- 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

To be included in certificates of origin only

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

Annex 2: [Standard permit/certificate form](#) 

Annex 3: [Model travelling-exhibition certificate](#) 

Annex 4

Type of sample	Typical size of sample	Use of sample
blood, liquid	drops or 5 ml of whole blood in a tube with anticoagulant; may deteriorate in 36 hours	haematology and standard biochemical tests to diagnose disease; taxonomic research; biomedical research
blood, dry (smear)	a drop of blood spread on a microscope slide, usually fixed with chemical fixative	blood counts and screening for disease parasites
blood, clotted (serum)	5 ml of blood in tube with or without a blood clot	serology and detection of antibodies for evidence of disease; biomedical research
tissues, fixed	5 mm ³ pieces of tissues in a fixative	histology and electron microscopy to detect signs of disease; taxonomic research; biomedical research
tissues, fresh (excluding ova, sperm and embryos)	5 mm ³ pieces of tissues, sometimes frozen	microbiology and toxicology to detect organisms and poisons; taxonomic research; biomedical research
swabs	tiny pieces of tissue in a tube on a swab	growing bacteria, fungi, etc. to diagnose disease
hair, skin, feathers, scales	small, sometimes tiny pieces of skin surface in a tube (up to 10 ml in volume) with or without fixative	genetic and forensic tests and detection of parasites and pathogens and other tests
cell lines and tissue cultures	no limitation of sample size	cell lines are artificial products cultured either as primary or continuous cell lines that are used extensively in testing the production of vaccines or other medical products and taxonomic research (e.g. chromosome studies and extraction of DNA)
DNA	small amounts of blood (up to 5 ml), hair, feather follicle, muscle and organ tissue (e.g. liver, heart, etc.), purified DNA, etc.	sex determination; identification; forensic investigations; taxonomic research; biomedical research
secretions, (saliva, venom, milk)	1-5 ml in vials	phylogenetic research, production of anti-venom, biomedical research

* Amended at the 13th meeting of the Conference of the Parties.

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