

E. CERTIFICATE OF SCIENTIFIC EXCHANGE (CITES)

Note 1. A Certificate of Scientific Exchange (COSE) only authorizes the non-commercial loan, donation or exchange between scientists or scientific institutions registered by a Management Authority of their country, of preserved, dried or embedded specimens, herbarium specimens and live plant material which includes a label issued or approved by a Management Authority. [All registered scientific institutions are listed on the CITES web site](#). If the specimens of a species are protected by other U.S. laws and/or treaties, such as the Endangered Species Act, Marine Mammal Protection Act, Migratory Bird Treaty Act, or Bald and Golden Eagle Protection Act, you are required to obtain additional authorizations prior to any export or re-import of those specimens.

Note 2. A COSE cannot be used with specimens collected by researchers unless such specimens are accessioned into the collection of a registered facility. For the import or export of specimens that are not part of a scientific institution collection, have not yet been collected, or accessioned into a collection, you will need to submit [Form 3-200-37](#). If you have questions, please contact the Division of Management Authority at managementauthority@fws.gov.

Note 3. A COSE cannot be used to transport specimens, or any material derived from specimens, for commercial purposes.

For re-issuance, include the original certificate and the annual report (see [Form 3-200-39a](#)). The report is a summary of all imports and exports conducted under the COSE for the past year; including information that appears on the COSE container label such as scientific name and common name, date sent, description of specimen, acquisition number, receiving institution, country, and COSE number.

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1. Name and address where you wish the permit to be mailed, if different from page 1. If you would like expedited shipping, please enclose a self-addressed, pre-paid, computer-generated, courier service airway bill. If unspecified, all documents will be mailed via regular mail through the U.S. Postal Service.
 2. Who should we contact if we have questions about the application (name, phone number, and e-mail)?
 3. Have you or any one at your institution, been assessed a civil penalty or convicted of any criminal provision of any statute or regulation relating to the activity for which the application is filed; been convicted, or entered a plea of guilty or nolo contendere, for a felony violation of the Lacey Act, the Migratory Bird Treaty Act, or the Bald and Golden Eagle Protection Act; forfeited collateral; OR are currently under charges for any violation of the laws mentioned above?

No Yes

If you answered "Yes" to Question 3, provide: a) the individual's name; b) date of charge; c) charge(s); d) location of incident; e) court, and f) action taken for each violation. Please be aware that a "Yes" response does not automatically disqualify you from getting a permit.

4. If relevant information about the requesting institution or collection is available online, please provide the URL:

5. Is the requesting institution (either in whole or in part) or the scientific collection an accredited scientific institution/collection, such as the Index Herbariorum or American Alliance of Museums or other accrediting entity:

Yes. Indicate the organization(s) below and **attach supporting documentation**, such as a website, copy of accreditation, or other such evidence.

No. Provide copies or other evidence of written policies related to the institution's standards for scientific integrity, record-keeping, accessibility to, and management of the collection.

6. Are the collections and associated data permanently housed and professionally curated? If yes, how long have the collections been permanently housed and professionally curated. Provide the physical address for the collection and the name and contact information for the curator.

YES NO

7. Are all accessions in the scientific collection(s) to be exchanged via this COSE properly recorded in a permanent catalogue?

YES (If catalogue or collection is available online, please provide the applicable URL(s) (web addresses)

_____.

NO

8. As appropriate, ENTER approximate number of accessioned specimens:

Mammals

Birds

Insects/Arachnids

Other Invertebrates

Reptiles/Amphibians

Vascular Plants

Fish

Non-vascular Plants

Other (provide description: _____)

9. Do you maintain any specimens of species protected under the Marine Mammal Protection Act?

YES NO

a. If "yes," do you intend to import or export these specimens? _____

b. If "yes", provide a copy of your MMPA authorization for this activity.

10. Do you maintain or intend to obtain any specimens of species protected under the Endangered Species Act?

YES NO

a. If "yes", do you intend to import or export these specimens? _____

b. If "yes", provide a copy of your ESA authorization for this activity.

11. Do you maintain or intend to obtain any specimens of species protected under the Migratory Bird Treaty Act?

YES NO

a. If "yes", do you intend to import or export these specimens? _____

b. If "yes", provide a copy of your MBTA authorization for this activity.

12. Do you maintain any specimens of species protected under the Bald and Golden Eagle Protection Act?

YES NO

- a. If "yes", do you intend to import or export these specimens? _____
- b. If "yes", provide a copy of your BGEPA authorization for this activity.

13. Are specimens accessible to qualified users from outside your institution?

YES NO

ENTER approximate number	In the United States	Outside the United States
Loans last year		
Exchanges last year		
Donations last year		

14. Are permanent records maintained on specimens that are loaned or transferred?

YES NO

15. Are specimens acquired primarily for the purpose of research, the results of which are to be reported in scientific publications?

YES NO

16. Are specimens prepared and the collections arranged in a manner that ensures their accessibility?

YES NO

17. Are data on specimen labels, permanent catalogues, and other records as accurate as possible?

YES NO

18. To the best of your knowledge, were the specimens in the collection acquired legally under the relevant laws of the country where they were obtained and the United States (e.g., import permits, collection permits, take permits, landowner permission)?

YES NO

19. Are all specimens of species included in Appendix-I of CITES permanently and centrally housed under direct control of the scientific institution as indicated in CITES [Resolution Conference 11.15](#) (Rev. CoP18) on *Non-commercial loan, donation or exchange of museum and herbarium specimens*?

YES NO

20. Are Appendix-I specimens intended for exchange managed in such a manner to preclude their use solely as decorations or trophies, or for other purposes incompatible with CITES [Resolution Conference 11.15](#) (Rev. CoP18)?

YES NO

All international shipment(s) must be through a designated port. A [list of designated ports](#) (where an inspector is posted) is available. If you wish to use a port not listed, please contact the Office of Law Enforcement for a Designated Port Exemption Permit ([Form 3-200-2](#)).

NOTICES

PRIVACY ACT STATEMENT

Authority: The information requested is authorized by the following: the Bald and Golden Eagle Protection Act (16 U.S.C. 668), 50 CFR 22; the Endangered Species Act (16 U.S.C. 1531-1544), 50 CFR 17; the Migratory Bird Treaty Act (16 U.S.C. 703-712), 50 CFR 21; the Marine Mammal Protection Act (16 U.S.C. 1361, et seq.), 50 CFR 18; the Wild Bird Conservation Act (16 U.S.C. 4901-4916), 50 CFR 15; the Lacey Act: Injurious Wildlife (18 U.S.C. 42), 50 CFR 16; Convention on International Trade in Endangered Species of Wild Fauna and Flora (TIAS 8249), 50 CFR 23; General Provisions, 50 CFR 10; General Permit Procedures, 50 CFR 13; and Wildlife Provisions (Import/export/transport), 50 CFR 14.

Purpose: The collection of contact information is to verify the individual has an eligible permit to conduct activities which affect protected species. This helps FWS monitor and report on protected species and assess the impact of permitted activities on the conservation and management of species and their habitats.

Routine Uses: The collected information may be used to verify an applicant's eligibility for a permit to conduct activities with protected wildlife; to provide the public and the permittees with permit related information; to monitor activities under a permit; to analyze data and produce reports to monitor the use of protected wildlife; to assess the impact of permitted activities on the conservation and management of protected species and their habitats; and to evaluate the effectiveness of the permit programs. More information about routine uses can be found in the System of Records Notice, Permits System, FWS-21.

Disclosure: The information requested in this form is voluntary. However, submission of requested information is required to process applications for permits authorized under the listed authorities. Failure to provide the requested information may be sufficient cause for the U.S. Fish & Wildlife Service to deny the request.

PAPERWORK REDUCTION ACT STATEMENT

We are collecting this information subject to the Paperwork Reduction Act (44 U.S.C. 3501) in order provide the U.S. Fish and Wildlife Service the information necessary, under the applicable laws governing the requested activity, for which a permit is requested. Information requested in this form is purely voluntary. However, submission of requested information is required in order to process applications for permits authorized under the applicable laws. Failure to provide all requested information may be sufficient cause for the U.S. Fish and Wildlife Service to deny the request. According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. OMB has approved this collection of information and assigned Control No. 1018-0093.

ESTIMATED BURDEN STATEMENT

We estimate public reporting for this collection of information averages:

Original submission - paper-based: 30 minutes
Amended submission - paper-based: 20 minutes
Original submission - electronic: 20 minutes
Amended submission - electronic: 15 minutes

These estimates include time for reviewing instructions, gathering and maintaining data and completing and reviewing the form. Direct comments regarding the burden estimate or any other aspect of the form to the Service Information Clearance Officer, Fish and Wildlife Service, U.S. Department of the Interior, 5275 Leesburg Pike, MS: PRB/PERMA (JAO), Falls Church, VA 22041-3803, or via email at Info_Coll@fws.gov. Please do not send your completed form to this address.