

# **Resolutions of the 12th meeting of the Conference of the Parties to CITES**

**Santiago (Chile), 3-15 November 2002**

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# Conf. 12.1

## Financing and budgeting of the Secretariat and of meetings of the Conference of the Parties

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RECALLING that the financial amendment to the Convention, adopted in Bonn in 1979, entered into force on 13 April 1987;

RECALLING Resolution Conf. 11.2 (Rev. CoP12) adopted at the 11th meeting of the Conference of the Parties (Gigiri, 2000) and revised at its 12th meeting (Santiago, 2002);

HAVING NOTED the report on actual expenditures for 2000 and 2001 presented by the Secretariat (CoP12 Inf. 2, Annexes 1 and 2);

HAVING NOTED the estimated expenditures for 2002 presented by the Secretariat (CoP12 Inf. 3);

HAVING REVIEWED the 2003–2005 budget estimates submitted by the Secretariat [document Doc. 9.1 (Rev. 1), Annex 1] and the report of the Budget Working Group (document CoP12 Com.II 5);

RECOGNIZING the continuing need for administrative and financial arrangements between the Parties and the Executive Director of UNEP;

NOTING the considerable increase in the number of Parties to the Convention; the need for greater assistance to the Parties to achieve more effective implementation; the necessity to implement the various Decisions and Resolutions of the Conference of the Parties; and the resulting increasing expenditure incurred by the Secretariat;

NOTING also the serious economic difficulties being experienced by certain Parties and stressing the need to allow for flexibility in application of the UN scale of assessment to the countries concerned;

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

ACCEPTS the expenditures for 2000–2001 and TAKES NOTE of the estimates of expenditure for 2002;

APPROVES the budget for the triennium 2003–2005 (Annex 2);

DECIDES that the budget for the triennium 2003–2005 shall be covered by average annual contributions from Parties that shall be increased by six per cent as compared to annual average contributions for the previous biennium;

REQUESTS the Secretariat to maintain an operating cash reserve of USD 700,000 to ensure financial liquidity and AUTHORIZES the Secretariat to draw additional funds from the CITES Trust Fund balance at the end of each year, provided that it is not reduced below USD 700,000 at the commencement of each year;

REQUESTS the Secretariat to identify, for review by the Standing Committee, items directed by the Conference of the Parties and the technical committees that are either insufficiently funded or will require external budgetary resources;

APPROVES the Terms of Reference for the Administration of the Trust Fund, attached to this Resolution, for the financial period beginning on 1 January 2003 and ending on 31 December 2005;

AGREES:

- a) that contributions to the Trust Fund shall be based on the United Nations scale of assessment, as amended from time to time, adjusted to take account of the fact that not all members of the United Nations are Parties to the Convention;
- b) that any other basis of assessment of contributions shall not be used without the consent of all Parties present and voting at a meeting of the Conference of the Parties;
- c) that any change in the basic scale of contributions which would increase the liability of a Party to contribute, or would impose a new such liability, shall not apply to that Party without its consent, and that any proposal to change the basic scale of contributions from that currently in use shall only be considered by the Conference of the Parties if notice of such proposal has been communicated by the Secretariat to all Parties at least 90 days before the meeting; and
- d) that Parties should pay their contributions to the Trust Fund in accordance with the agreed scale as in the Table attached to this Resolution and, whenever possible, should make special contributions to the Trust Fund above their assessed contributions;

REQUESTS all Parties to pay their contributions as far as possible during the year prior to the one to which they relate or, in any case, promptly by the beginning of the calendar year to which the contributions apply;

APPEALS strongly to those Parties which, for legal or other reasons, have so far been unable to contribute to the Trust Fund to do so;

URGES all Parties that have not yet done so to deposit as soon as possible an instrument of acceptance of the amendments to the Convention adopted on 22 June 1979 and 30 April 1983;

INVITES States not Parties to the Convention, other governmental, inter-governmental and non-governmental organizations, and other sources to consider contributing to the Trust Fund;

INVITES all Parties to support, through their representatives in UNEP, UNDP and the World Bank, the requests of the Secretariat for additional funding of CITES projects by the Global Environment Facility;

DECIDES that the standard participation charge for all observer organizations other than the United Nations and its specialized agencies shall be set at a minimum of USD 600 (except as otherwise decided by the Secretariat as required) and URGES such organizations to make a greater contribution if possible at least to meet their effective costs of participation;

REFERS the issue of a three-year budget cycle to the Standing Committee for its review and endorsement;

REQUESTS the Standing Committee to develop future budget containment strategies as follows:

- a) facilitate the collection of arrears through innovative payment strategies and develop an approach for dealing with non-payment of contributions;
- b) consider inviting bids for the relocation of the Secretariat to a lower cost location;
- c) negotiate a reduction in the programme support costs from 13 per cent with the Executive Director of UNEP;
- d) review overall travel costs and identify means to reduce expenditures;



submitted for approval to the regular meeting of the Conference of the Parties to the Convention.

6. The estimates for each of the calendar years covered by a financial period shall be specified according to objects of expenditure and shall be accompanied by such information as may be required by, or on behalf of, the contributors and such further information as the Executive Director of UNEP may deem useful and advisable.
7. The proposed budget, including all the necessary information, shall be dispatched by the Secretariat to all Parties at least 90 days before the date fixed for the opening of the regular meeting of the Conference of the Parties.
8. The budget shall be adopted by a 3/4 majority of the Parties present and voting at the regular meeting.
9. In the event that the Executive Director of UNEP expects that there might be a shortfall in resources, over the year as a whole, he shall consult with the Secretary-General of the Convention, who shall seek the advice of the Standing Committee as to its priorities for expenditure.
10. The Secretary-General of the Convention is authorized, to the extent consistent with the Financial Regulations and Rules of the United Nations, to make transfers from one budget line to another up to a maximum of 20 per cent over and above the annual amount foreseen in the budget under any budget sub-component (e.g. 11, 12, 13, etc.) provided that such action does not negatively affect any high-priority items. When any such transfers are made, these shall be reported to the Standing Committee at its following meeting. Any budget adjustments on a specific budget sub-component over and above the 20 per cent flexibility mentioned above may be made only after they have been agreed by the Standing Committee. However, the total budget approved by the Parties for that financial period shall not be exceeded unless this is specifically sanctioned in writing by the Standing Committee.
11. Commitments against the resources of the Trust Fund may be made only if they are covered by the necessary income of the Convention.
12. All contributions shall be paid in any convertible currency. The amount of any payment, however, shall be at least equal to the amount payable in US dollars on the day the contribution is made. Contributions from States that become Parties after the beginning of the financial period should be made on a prorata basis for the balance of the financial period.
13. At the end of each calendar year of a financial period, the Executive Director of UNEP shall submit to the Parties the accounts for the year. He shall also submit, as soon as practicable, the audited accounts for the financial period.
14. The Secretary-General of the Convention shall provide the Standing Committee with an estimate of proposed expenditure over the coming calendar year simultaneously with, or as soon as possible after, distribution of the accounts and reports referred to in the preceding paragraphs.
15. The general procedures governing the operations of the Fund of UNEP and the Financial Regulations and Rules of the United Nations shall govern the financial operations of the Trust Fund for the Convention.
16. These Terms of Reference shall be effective for the financial period of 1 January 2003 to 31 December 2005 subject to amendments at the 13th meeting of the Conference of the Parties.



**Table**

**Trust Fund for the Convention  
on International Trade in Endangered  
Species of Wild Fauna and Flora**

SCALE OF CONTRIBUTIONS FOR THE TRIENNIUM 2003-2005  
in United States Dollars (USD)

Party	UN scale for 2003	CITES adjusted scale	2003-2005 contributions	Annual contribution
	%	%	USD	USD
Afghanistan	0.00900	0.00892	1,265	422
Algeria	0.07000	0.06941	9,843	3,281
Antigua and Barbuda	0.00200	0.00198	281	94
Argentina	1.14900	1.13927	161,560	53,853
Australia	1.62700	1.61322	228,771	76,257
Austria	0.94700	0.93898	133,157	44,386
Azerbaijan	0.00400	0.00397	562	187
Bahamas	0.01200	0.01190	1,687	562
Bangladesh	0.01000	0.00992	1,406	469
Barbados	0.00900	0.00892	1,265	422
Belarus	0.01900	0.01884	2,672	891
Belgium	1.12900	1.11944	158,748	52,916
Belize	0.00100	0.00099	141	47
Benin	0.00200	0.00198	281	94
Bhutan	0.00100	0.00099	141	47
Bolivia	0.00800	0.00793	1,125	375
Botswana	0.01000	0.00992	1,406	469
Brazil	2.39000	2.36976	336,056	112,019
Brunei Darussalam	0.03300	0.03272	4,640	1,547
Bulgaria	0.01300	0.01289	1,828	609
Burkina Faso	0.00200	0.00198	281	94
Burundi	0.00100	0.00099	141	47
Cambodia	0.00200	0.00198	281	94
Cameroon	0.00900	0.00892	1,265	422
Canada	2.55800	2.53634	359,678	119,893
Central African Republic	0.00100	0.00099	141	47
Chad	0.00100	0.00099	141	47
Chile	0.21200	0.21020	29,809	9,936
China	1.53200	1.51903	215,413	71,804
Colombia	0.20100	0.19930	28,262	9,421
Comoros	0.00100	0.00099	141	47
Congo	0.00100	0.00099	141	47

Party	UN scale for 2003	CITES adjusted scale	2003-2005 contributions	Annual contribution
	%	%	USD	USD
Costa Rica	0.02000	0.01983	2,812	937
Côte d'Ivoire	0.00900	0.00892	1,265	422
Croatia	0.03900	0.03867	5,484	1,828
Cuba	0.03000	0.02975	4,218	1,406
Cyprus	0.03800	0.03768	5,343	1,781
Czech Republic	0.20300	0.20128	28,544	9,515
Democratic Republic of the Congo	0.00400	0.00397	562	187
Denmark	0.74900	0.74266	105,316	35,105
Djibouti	0.00100	0.00099	141	47
Dominica	0.00100	0.00099	141	47
Dominican Republic	0.02300	0.02281	3,234	1,078
Ecuador	0.02500	0.02479	3,515	1,172
Egypt	0.08100	0.08031	11,389	3,796
El Salvador	0.01800	0.01785	2,531	844
Equatorial Guinea	0.00100	0.00099	141	47
Eritrea	0.00100	0.00099	141	47
Estonia	0.01000	0.00992	1,406	469
Ethiopia	0.00400	0.00397	562	187
Fiji	0.00400	0.00397	562	187
Finland	0.52200	0.51758	73,398	24,466
France	6.46600	6.41125	909,179	303,060
Gabon	0.01400	0.01388	1,969	656
Gambia	0.00100	0.00099	141	47
Georgia	0.00500	0.00496	703	234
Germany	9.76900	9.68628	1,373,611	457,870
Ghana	0.00500	0.00496	703	234
Greece	0.53900	0.53444	75,788	25,263
Grenada	0.00100	0.00099	141	47
Guatemala	0.02700	0.02677	3,796	1,265
Guinea	0.00300	0.00297	422	141
Guinea-Bissau	0.00100	0.00099	141	47
Guyana	0.00100	0.00099	141	47
Honduras	0.00500	0.00496	703	234
Hungary	0.12000	0.11898	16,873	5,624
Iceland	0.03300	0.03272	4,640	1,547
India	0.34100	0.33811	47,948	15,983
Indonesia	0.20000	0.19831	28,122	9,374
Iran (Islamic Republic of)	0.27200	0.26970	38,246	12,749



Party	UN scale for 2003	CITES adjusted scale	2003-2005 contributions	Annual contribution
	%	%	USD	USD
Ireland	0.29400	0.29151	41,339	13,780
Israel	0.41500	0.41149	58,353	19,451
Italy	5.06475	5.02186	712,150	237,383
Jamaica	0.00400	0.00397	562	187
Japan	19.51575	19.35050	2,744,094	914,698
Jordan	0.00800	0.00793	1,125	375
Kazakhstan	0.02800	0.02776	3,937	1,312
Kenya	0.00800	0.00793	1,125	375
Kuwait	0.14700	0.14576	20,670	6,890
Latvia	0.01000	0.00992	1,406	469
Liberia	0.00100	0.00099	141	47
Liechtenstein	0.00600	0.00595	844	281
Lithuania	0.01700	0.01686	2,390	797
Luxembourg	0.08000	0.07932	11,249	3,750
Madagascar	0.00300	0.00297	422	141
Malawi	0.00200	0.00198	281	94
Malaysia	0.23500	0.23301	33,043	11,014
Mali	0.00200	0.00198	281	94
Malta	0.01500	0.01487	2,109	703
Mauritania	0.00100	0.00099	141	47
Mauritius	0.01100	0.01091	1,547	516
Mexico	1.08600	1.07680	152,702	50,901
Monaco	0.00400	0.00397	562	187
Mongolia	0.00100	0.00099	141	47
Morocco	0.04400	0.04363	6,187	2,062
Mozambique	0.00100	0.00099	141	47
Myanmar	0.01000	0.00992	1,406	469
Namibia	0.00700	0.00694	984	328
Nepal	0.00400	0.00397	562	187
Netherlands	1.73800	1.72328	244,379	81,460
New Zealand	0.24100	0.23896	33,887	11,296
Nicaragua	0.00100	0.00099	141	47
Niger	0.00100	0.00099	141	47
Nigeria	0.06800	0.06742	9,561	3,187
Norway	0.64600	0.64053	90,834	30,278
Pakistan	0.06100	0.06048	8,577	2,859
Panama	0.01800	0.01785	2,531	844
Papua New Guinea	0.00600	0.00595	844	281

Party	UN scale for 2003	CITES adjusted scale	2003-2005 contributions	Annual contribution
	%	%	USD	USD
Paraguay	0.01600	0.01586	2,250	750
Peru	0.11800	0.11700	16,592	5,531
Philippines	0.10000	0.09915	14,061	4,687
Poland	0.37800	0.37480	53,150	17,717
Portugal	0.46200	0.45809	64,961	21,654
Qatar	0.03400	0.03371	4,781	1,594
Republic of Korea	1.85100	1.83533	260,268	86,756
Republic of Moldova	0.00200	0.00198	281	94
Romania	0.05800	0.05751	8,155	2,718
Russian Federation	1.20000	1.18984	168,731	56,244
Rwanda	0.00100	0.00099	141	47
Saint Kitts and Nevis	0.00100	0.00099	141	47
Saint Lucia	0.00200	0.00198	281	94
Saint Vincent and the Grenadines	0.00100	0.00099	141	47
Sao Tome and Principe	0.00100	0.00099	141	47
Saudi Arabia	0.55400	0.54931	77,897	25,966
Senegal	0.00500	0.00496	703	234
Serbia and Montenegro	0.02000	0.01983	2,812	937
Seychelles	0.00200	0.00198	281	94
Sierra Leone	0.00100	0.00099	141	47
Singapore	0.39300	0.38967	55,259	18,420
Slovakia	0.04300	0.04264	6,046	2,015
Slovenia	0.08100	0.08031	11,389	3,796
Somalia	0.00100	0.00099	141	47
South Africa	0.40800	0.40455	57,369	19,123
Spain	2.51875	2.49742	354,159	118,053
Sri Lanka	0.01600	0.01586	2,250	750
Sudan	0.00600	0.00595	844	281
Suriname	0.00200	0.00198	281	94
Swaziland	0.00200	0.00198	281	94
Sweden	1.02675	1.01806	144,370	48,123
Switzerland	1.27400	1.26321	179,136	59,712
Thailand	0.29400	0.29151	41,339	13,780
The former Yugoslav Republic of Macedonia	0.00600	0.00595	844	281
Togo	0.00100	0.00099	141	47
Trinidad and Tobago	0.01600	0.01586	2,250	750
Tunisia	0.03000	0.02975	4,218	1,406
Turkey	0.44000	0.43627	61,868	20,623

Party	UN scale for 2003	CITES adjusted scale	2003-2005 contributions	Annual contribution
	%	%	USD	USD
Uganda	0.00500	0.00496	703	234
Ukraine	0.05300	0.05255	7,452	2,484
United Arab Emirates	0.20200	0.20029	28,403	9,468
United Kingdom	5.53600	5.48912	778,413	259,471
United Republic of Tanzania	0.00400	0.00397	562	187
United States of America	22.00000	21.81371	3,093,402	1,031,134
Uruguay	0.08000	0.07932	11,249	3,750
Uzbekistan	0.01100	0.01091	1,547	516
Vanuatu	0.00100	0.00099	141	47
Venezuela	0.20800	0.20624	29,247	9,749
Viet Nam	0.01600	0.01586	2,250	750
Yemen	0.00600	0.00595	844	281
Zambia	0.00200	0.00198	281	94
Zimbabwe	0.00800	0.00793	1,125	375
<b>Total</b>	<b>100.85400</b>	<b>100.00000</b>	<b>14,181,000</b>	<b>4,727,000</b>

## Annex 2

## Trust Fund for the Convention on International Trade in Endangered Species of Wild Fauna and Flora

BUDGET FOR THE TRIENNIUM 2003-2005  
(expressed in USD)

Description	2003	2004*	2005
	USD	USD	USD
<b>Personnel costs</b>			
Professional staff	2,000,000	2,020,000	2,040,000
Support staff	692,000	699,000	706,000
Temporary assistance/overtime	15,000	16,000	16,000
Staff travel	140,000	142,000	144,000
<b>Total</b>	<b>2,847,000</b>	<b>2,877,000</b>	<b>2,906,000</b>
<b>Office maintenance costs</b>			
Office supplies	30,000	31,000	31,000
Non-expendable equipment	51,000	51,000	52,000
Maintenance of the office**	0	0	0
Maintenance of office equipment	40,000	41,000	41,000

Description	2003	2004*	2005
	USD	USD	USD
Communications (telephone, fax, mail)**	85,000	85,000	87,000
Bank charges	7,000	7,000	7,000
Hospitality	5,000	5,000	5,000
<b>Total</b>	<b>218,000</b>	<b>220,000</b>	<b>223,000</b>
<b>CoP meeting</b>			
External translation of CoP documents	0	51,000	0
Salary/travel of Conference staff to CoP	0	286,000	0
Travel of Secretariat's staff to CoP	0	204,000	0
CoP-related documents	0	90,000	0
Logistics for CoP	0	102,000	0
African Elephant Panel of Experts	0	26,000	0
<b>Total</b>	<b>0</b>	<b>759,000</b>	<b>0</b>
<b>SC meeting</b>			
External translation of documents	5,000	5,000	5,000
Salary/travel of Conference staff to SC mtg	25,000	26,000	26,000
Travel of SC members	25,000	26,000	26,000
Logistics for SC mtg	10,000	10,000	10,000
<b>Total</b>	<b>65,000</b>	<b>67,000</b>	<b>67,000</b>
<b>AC meeting</b>			
External translation of documents	10,000	11,000	11,000
Salary/travel of Conference staff to AC mtg	18,000	20,000	18,000
Travel of AC members	26,000	28,000	26,000
Logistics for AC mtg	10,000	11,000	10,000
Travel of Secretariat's staff	0	12,000	0
<b>Total</b>	<b>64,000</b>	<b>82,000</b>	<b>65,000</b>
<b>PC meeting</b>			
External translation of documents	10,000	11,000	11,000
Salary/travel of Conference staff to PC mtg	18,000	20,000	18,000
Travel of PC members	26,000	28,000	26,000
Logistics for PC mtg	10,000	11,000	10,000
Travel of Secretariat's staff		12,000	0
<b>Total</b>	<b>64,000</b>	<b>82,000</b>	<b>65,000</b>
<b>Publications</b>			
Identification manual	30,000	31,000	31,000

Description	2003	2004*	2005
	USD	USD	USD
CITES, Checklist w/annot. Append. and reserv.	44,000	0	45,000
Newsletter	15,000	15,000	15,000
In-house printing	20,000	20,000	21,000
Other publications/documents	30,000	31,000	31,000
<b>Total</b>	<b>139,000</b>	<b>97,000</b>	<b>143,000</b>
<b>Other activities</b>			
Significant trade	73,000	73,000	74,000
Assistance to Scientific Authorities	143,000	145,000	146,000
CITES website	61,000	61,000	62,000
Training courses/seminars	59,000	59,000	60,000
Trade monitoring and support	106,000	133,000	108,000
Legislation, compliance and enforcement	10,000	10,000	10,000
Consultants	35,000	36,000	36,000
<b>Total</b>	<b>487,000</b>	<b>517,000</b>	<b>496,000</b>
<b>TOTAL DIRECT COSTS</b>	<b>3,884,000</b>	<b>4,701,000</b>	<b>3,965,000</b>
<b>Programme support costs (13%)</b>	505,000	611,000	515,000
<b>GRAND TOTAL</b>	<b>4,389,000</b>	<b>5,312,000</b>	<b>4,480,000</b>

\* CoP year

\*\* No provision was made by the Conference of the Parties for office maintenance costs, including Internet connection, of USD 100,000 annually.

# Conf. 12.2

## Procedure for approval of externally funded projects

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RECALLING that the Conference of the Parties, in Resolution Conf. 7.2 adopted at its seventh meeting (Lausanne, 1989), agrees that external funds from non-governmental sources for special projects shall not be accepted without review by the Standing Committee and directs the Secretariat to submit to the Standing Committee and other appropriate committees a list of priorities for funding;

RECALLING that Resolutions Conf. 8.1, Conf. 9.2 and Conf. 10.1 adopted at the eighth, ninth and tenth meetings of the Conference of the Parties (Kyoto, 1992, Fort Lauderdale, 1994 and Harare, 1997), direct the Secretariat to implement the procedure for approval of externally funded projects as developed and approved by the Standing Committee at its 23rd meeting, before accepting any funds from non-governmental sources;

RECALLING further that Resolution Conf. 11.2, adopted at the 11th meeting of the Conference of the Parties (Gigiri, 2000), directs the Secretariat to continue to implement the procedure for approval of externally funded projects before accepting any funding from non-governmental sources; and further decides that any approved externally funded project that has not received funding after the end of three years will be deleted from the list of approved projects and any conditionally approved externally funded project will be deleted from the list after one year if the conditional issues have not been resolved;

NOTING that the procedure for approval of externally funded projects has proven cumbersome for both the Standing Committee and the Secretariat and that submission of project proposals and funding applications to donors have been delayed until donors were approved;

NOTING further that the Standing Committee at its 45th meeting (Paris, June 2001) requested the Secretariat to propose a mechanism for approval of donors by the Secretariat rather than the Standing Committee;

NOTING that Objective 1.11 of the *Strategic Vision through 2005* is to review and simplify, where possible, existing measures, procedures, mechanisms and recommendations for the implementation of the Convention;

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

ADOPTS the procedure for approval of externally funded projects contained in Annex 1, providing guidelines and procedures to be followed by the Parties in developing proposals for projects and to be followed by the Secretariat in prioritizing project implementation and in seeking external funds; and

REPEALS the Resolutions or parts thereof listed hereunder:

- a) Resolution Conf. 7.2 (Lausanne, 1989) – Financing and budgeting of the Secretariat and of meetings of the Conference of the Parties – paragraph under second AGREES and paragraph under DIRECTS;
- b) Resolution Conf. 8.1 (Kyoto, 1992) – Financing and budgeting of the Secretariat and of meetings of the Conference of the Parties – paragraph a) under DIRECTS;
- c) Resolution Conf. 9.2 (Fort Lauderdale, 1994) – Financing and budgeting of the Secretariat and of meetings of the Conference of the Parties – paragraph under DIRECTS;

- d) Resolution Conf. 10.1 (Harare, 1997) – Financing and budgeting of the Secretariat and of meetings of the Conference of the Parties – paragraph under the second DIRECTS; and
  - e) Resolution Conf. 11.2 (Gigiri, 2000) – Financing and budgeting of the Secretariat and of meetings of the Conference of the Parties – paragraph under the third DIRECTS.
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## **Annex 1**

## **Procedure for approval of externally funded projects**

### **1. CRITERIA FOR PROJECT DEVELOPMENT**

- a) The following shall be considered priority areas for the development of projects by the Parties and the Secretariat:
  - i) the compilation of relevant scientific information on species that are or may be threatened by trade;
  - ii) the development of protection, conservation or management schemes for species currently threatened by, or actually suffering from over-exploitation, so that they can be restored to a level consistent with their role in the ecosystems in which they occur;
  - iii) the provision of scientific and legal advice to the Parties for better implementation of the Convention;
  - iv) the provision of assistance in the development of legal, trade and economic policies to the Parties for better implementation of the Convention;
  - v) the development and delivery of training packages for implementation and enforcement of the Convention; and
  - vi) the provision of assistance to developing countries for their full participation in the Convention.
- b) The Secretariat shall ensure that proposals for projects are directed towards the areas of greatest need, either because of the degree of threat to species from trade, or because projects can generate the greatest improvement to the implementation of the Convention.
- c) The Secretariat shall not consider as a priority projects that are technical studies for species in abundance that are not perceptibly threatened by actual or potential trade.
- d) The following types of projects, although requiring external funding, shall be considered by the Secretariat as part of its routine work programme and, as such, are not covered by this procedure. The Secretariat shall prioritize these projects based on their importance and the availability of funds:
  - i) activities or projects derived from Resolutions and Decisions adopted at meetings of the Conference of the Parties;
  - ii) organization of and participation in meetings for training, legislation, enforcement or specialist consultations;
  - iii) provision of assistance to developing countries in improving their administration of the Convention; and

- iv) production of CITES capacity building materials such as implementation manuals.

## 2. SUBMISSION AND APPROVAL OF PROJECT PROPOSALS

- a) Project proposals shall be submitted to the Secretariat for solicitation of funds, or finalization of agreements where funds have been freely offered. Project proposals submitted for consideration shall conform to the priority criteria in 1 a) above and the format in Annex 2.
- b) The Secretariat shall review species-related projects that are proposed by Parties seeking funding and those developed as a result of recommendations made by the Animals and Plants Committees in the review of significant trade.
- c) The Secretariat shall, in consultation with the Animals and Plants Committees where necessary, approve and prioritize projects to be implemented.
- d) The Secretariat shall solicit funding or obtain funding freely offered, provided that the source of funding has been approved in accordance with the procedure below.
- e) Any project that has not been funded after three years shall be deleted from the list of approved projects and any conditionally approved project shall be deleted from the list after one year if the conditional issues have not been met.

## 3. FUNDING SOURCES AND APPROVAL

- a) Any Party or organization may propose an organization as a prospective donor.
- b) If the proposal is received from the Management Authority of the Party in whose territory the organization is based, the Secretariat shall consider the organization's objectives and legal status. If the Secretariat has no reason to object, the organization shall be included in the list of approved donors.
- c) If the organization is based in the territory of another Party, or the organization is proposed by any entity other than the Management Authority, the Secretariat shall contact the Management Authority of the Party in whose territory the organization is based and enquire whether it has any objection to the organization being included in the list of approved donors. If the Management Authority does not object, the Secretariat shall consider the organization's objectives and legal status. If the Secretariat has no reason to object, the organization shall be included in the list of approved donors.
- d) If the organization being proposed for inclusion in the list is an international organization with offices in different countries, the Secretariat shall contact the Management Authority of the Party in whose territory the organization's headquarters is officially based, and if feasible the Management Authorities of States where the organization has offices, and enquire whether they have any objection to the organization being included in the list of approved donors. If the Management Authorities do not object, the Secretariat shall consider the organization's objectives and legal status. If the Secretariat has no reason to object, the organization shall be included in the list of approved donors.
- e) If the Management Authority of the Party where an organization is based does not endorse the inclusion of the organization in the list of approved donors, the Secretariat shall discuss with it the reasons for this. Based on the information provided by the Management Authority, the Secretariat shall inform the Party or organization that submitted the organization for inclusion that it has been rejected and the reasons for the rejection.



- f) The list of approved donors shall not contain any of the following:
    - i) organizations that are known through reliable evidence available to the Secretariat to have been involved in illegal trade in CITES-listed species or other relevant wildlife conservation infractions, whether convicted or not;
    - ii) individual companies directly involved in legal commercial trade in CITES species; and
    - iii) any organization that has deliberately brought the Convention into public disrepute.
  - g) When the source of funds for a project has been approved as a donor, the Secretariat shall proceed to solicit funding, finalize grant agreements and commence implementation.
4. The Secretariat shall maintain the list of approved projects and the list of approved donors and shall publish it through Notifications to the Parties and on its website.
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## **Annex 2**

## **Format for project review**

### CITES PROJECT PROPOSAL

1. Title
2. Date of submission
3. Originators of project proposal
4. Project period
5. Funds required and potential sources
6. Objectives
7. Justification
8. Execution
  - a) Activities
  - b) Work plan
  - c) Outputs
  - d) Personnel (including use of local expertise)
9. Budget

## Conf. 12.3

## Permits and certificates

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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;

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 this 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 crocodilian specimens
  - X. Regarding permits and certificates for coral specimens
  - XI. Regarding permits and certificates for timber species included in Appendices II and III with the annotation ‘Designates logs, sawn wood and veneer sheets’
  - XII. Regarding the use of simplified procedures to issue permits and certificates
  - XIII. Regarding retrospective issue of permits and certificates
  - XIV. Regarding acceptance and clearance of documents and security measures
- |         |  |
|---------|--|
| 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) 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;

- d) 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;
- e) 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, 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;
- f) 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 annual reports* and that the units of measurement used also conform to these Guidelines;
- g) all Parties consider issuing permits and certificates printed on security paper;
- h) Parties that do not already do so affix a security stamp to each permit and certificate;
- i) 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;
- j) 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);

- k) 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;
- l) 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;
- m) 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;
- n) 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
- o) 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; and

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; and

- 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;

### **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. 5.11 adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985);

### **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;
- 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 through 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), 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;

## ***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 this Resolution and Resolution Conf. 11.12, and that, if this is the case, every effort be made to avoid penalizing those involved in such transactions;

**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, 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 [as defined in Resolution Conf. 11.10 (Rev. CoP12) Annex] 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 sub-paragraph 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 this 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 a) 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 (section XI) on [date]"; and
- h) a copy of the permit or certificate as amended in accordance with sub-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 this 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 this 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 this 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 exporter (or re-exporter) or the importer; 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; and
- 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), sub-paragraphs i) and ii) above, are specified on the permit or certificate and a copy sent to the Secretariat; and

#### ***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 this 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; and
- 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

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.

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## **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 of Live Animals 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**

**Annex 2 Standard CITES form** n) A statement that the specimens originate in the country that issued the certificate

**CITES**

<b>CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA</b>			<b>PERMIT/CERTIFICATE No.</b> <input type="checkbox"/> EXPORT <input type="checkbox"/> RE-EXPORT <input type="checkbox"/> IMPORT <input type="checkbox"/> OTHER:		<b>Original</b>
					2. Valid until
3. Importer (name and address)			4. Exporter/re-exporter (name, address and country)		
3a. Country of import			Signature of the applicant		
5. Special conditions  <i>For live animals, this permit or certificate is only valid if the transport conditions conform to the Guidelines for Transport of Live Animals or, in the case of air transport, to the IATA Live Animals Regulations</i>			6. Name, address, national seal/stamp and country of Management Authority		
5a. Purpose of the transaction (see reverse)		5b. Security stamp no.			
7./8. Scientific name (genus and species) and common name of animal or plant		9. Description of specimens, including identifying marks or numbers (age/sex if live)	10. Appendix no. and source (see reverse)	11. Quantity (including unit)	11a. Total exported/Quota
<b>A</b>	7./8.	9.	10.	11.	11a.
	12. Country of origin    Permit no.    Date *		12a. Country of last re-export    Certificate no.    Date		12b. No. of the operation ** or date of acquisition ***
<b>B</b>	7./8.	9.	10.	11.	11a.
	12. Country of origin    Permit no.    Date *		12a. Country of last re-export    Certificate no.    Date		12b. No. of the operation ** or date of acquisition ***
<b>C</b>	7./8.	9.	10.	11.	11a.
	12. Country of origin    Permit no.    Date *		12a. Country of last re-export    Certificate no.    Date		12b. No. of the operation ** or date of acquisition ***

<b>D</b>	7./8.	9.	10.	11.	11a.												
	12. Country of origin *	Permit no. Date	12a. Country of last re-export	Certificate no. Date	12b. No. of the operation ** or date of acquisition ***												
<p>* Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export)</p> <p>** Only for specimens of Appendix-I species bred in captivity or artificially propagated for commercial purposes</p> <p>*** For pre-Convention specimens</p>																	
<p>13. This permit/certificate is issued by:</p>   <p>_____</p> <p>Place    Date    Security stamp, signature and official seal</p>																	
<p>14. Export endorsement:    15. Bill of Lading/Air waybill number:</p>																	
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 10%;">Block</th> <th style="width: 10%;">Quantity</th> <th style="width: 80%;"></th> </tr> </thead> <tbody> <tr> <td>A</td> <td></td> <td rowspan="4"> <div style="display: flex; justify-content: space-between;"> <span>Port of export</span> <span>Date</span> <span>Signature</span> <span>Official stamp and title</span> </div> </td> </tr> <tr> <td>B</td> <td></td> </tr> <tr> <td>C</td> <td></td> </tr> <tr> <td>D</td> <td></td> </tr> </tbody> </table>						Block	Quantity		A		<div style="display: flex; justify-content: space-between;"> <span>Port of export</span> <span>Date</span> <span>Signature</span> <span>Official stamp and title</span> </div>	B		C		D	
Block	Quantity																
A		<div style="display: flex; justify-content: space-between;"> <span>Port of export</span> <span>Date</span> <span>Signature</span> <span>Official stamp and title</span> </div>															
B																	
C																	
D																	

### CITES PERMIT/CERTIFICATE No.

## Instructions and explanations

(These correspond to block numbers on the form)

1. Tick the square which corresponds to the type of document issued (export permit, re-export certificate, import permit or other). If the box "other" has been ticked, the type of document must be indicated. The original number is a unique number allocated to each document by the Management Authority.
2. For export permits and re-export certificates, the date of expiry of the document may not be more than six months after the date of issuance (one year for import permits).
3. **Complete** name and address of the importer.
- 3a. The name of the country must be written in full.
4. **Complete** name and address of the exporter/re-exporter. The name of the country must be stated. The absence of the signature of the applicant renders the permit or certificate invalid.
5. Special conditions may refer to national legislation or special conditions placed on the shipment by the issuing Management Authority. This block can also be used to justify the omission of certain information.
- 5a. The following codes should be used: **T** for commercial, **Z** for zoos, **G** for botanical gardens, **Q** for circuses and travelling exhibitions, **S** for scientific purposes, **H** for hunting trophies, **P** for personal, **M** for medical, **E** for education, **N** for reintroduction or introduction into the wild, and **B** for breeding in captivity or artificial propagation, **L** for law enforcement / judicial / forensic.
- 5b. Indicate the number of the security stamp affixed in block 13.
6. The name, address and country of the issuing Management Authority should already be printed on the form.
- 7-8. Indicate the scientific name (genus and species, where appropriate subspecies) of the animal or plant as it appears in the Convention Appendices or the reference lists approved by the Conference of the Parties, and the common name of the animal or plant as known in the country issuing the permit.
9. Describe, as precisely as possible, the specimens entering trade (live animals, skins, flanks, wallets, shoes, etc.). If a specimen is marked (tags, identifying marks, rings, etc.), whether or not this is required by a Resolution of the Conference of the Parties (specimens originating in a ranching operation, specimens subject to quotas approved by the Conference of the Parties, specimens of Appendix-I species bred in captivity for commercial purposes, etc.), indicate the number and type of mark. The sex and age of the live animals should be recorded, if possible.
10. Enter the number of the Appendix of the Convention (I, II or III) in which the species is listed.  
Use the following codes to indicate the source:
  - W** Specimens taken from the wild
  - R** Specimens originating from a ranching operation
  - D** Appendix-I animals bred in captivity for commercial purposes and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention
  - A** Plants that are artificially propagated in accordance with Resolution Conf. 11.11, paragraph a), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)




- C** Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been bred in captivity for non-commercial purposes and specimens of species included in Appendices II and III)
- F** Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof
- U** Source unknown (**must be justified**)
- I** Confiscated or seized specimens
- O** Pre-Convention (may be used with other source codes).
11. The quantity and units indicated should conform to the most recent version of the *Guidelines for the preparation and submission of annual reports*.
- 11a. Indicate the total number of specimens exported in the current calendar year (including those covered by the present permit) and the current annual quota for the species concerned (for example 500/1000). This should be done for the national quotas as well as for those determined by the Conference of the Parties.
12. The country of origin is the country in which the specimens were taken from the wild, bred in captivity or artificially propagated. Indicate the number of the permit or certificate of the exporting country and the date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-exports.
- 12a. The country of last re-export is the country from which the specimens were re-exported before entering the country in which the present document is issued. Enter the number of the re-export certificate of the country of last re-export and its date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-export of specimens previously re-exported.
- 12b. The "No. of the operation" is the number of the registered captive-breeding or artificial propagation operation. The "date of acquisition" is defined in Resolution Conf. 5.11 and is required only for pre-Convention specimens.
13. To be completed by the official who issues the permit. The name of the official must be written in full. The security stamp must be affixed in this block and must be cancelled by the signature of the issuing official and a stamp or seal. The seal, signature and security-stamp number should be clearly legible.
14. To be completed by the official who inspects the shipment at the time of export or re-export. Enter the quantities of specimens actually exported or re-exported. Strike out the unused blocks.
15. Enter the number of the bill of lading or air way-bill if the method of transport used requires the use of such a document.

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

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

## Annex 3

## Model travelling-exhibition certificate

 <p><b>CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA</b></p>	<b>TRAVELLING-EXHIBITION CERTIFICATE</b>	
	<b>Original</b>	
	1. Certificate no.	2. Valid until
3. Owner of specimen(s) (name, permanent address and country of registration)       _____ Signature of owner	4. Name, address, national seal/stamp and country of issuing Management Authority       	
5. Special conditions: <b>a) Valid for multiple cross-border movements. Owner to retain original form</b> <b>b) 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-transferrable. If the specimen(s) dies, is stolen, destroyed, lost, sold or otherwise transferred, this certificate must be immediately returned by the owner to the issuing Management Authority</b> <b>c) This certificate is not valid unless accompanied by a continuation sheet</b> This certificate is valid only if the transport conditions conform to the Guidelines for Transport of Live Animals or, in the case of air transport, to the IATA Live Animal Regulations		

6. Country of import <b>Various</b>		7. Purpose of the transaction <b>Q</b>		8. Security stamp no.	
9. Scientific name (genus and species) and common name of species		10. Description of specimen/s, including identifying marks or numbers, age, sex		11. Quantity	
				12. Appendix no. and source	
13. Country of origin	14. Permit no. and date	15. Exhibition registration number		16. Date of acquisition, if pre-Convention	
17. This certificate is issued by:  <div style="border-bottom: 1px solid black; width: 100%;"></div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <span>Place</span> <span>Date</span> <span>Security stamp, signature and official seal</span> </div>					
18. Additional conditions					
19. Customs endorsement (see Continuation sheet)					

**TRAVELLING-EXHIBITION CERTIFICATE No.**

## Instructions and explanations

(The following correspond to the block numbers on the reverse of the form)

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

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



CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		TRAVELLING-EXHIBITION CERTIFICATE CONTINUATION SHEET	
		Page _____ of _____	
1. Original certificate no.	4. Name, address, national seal/stamp and country of Management Authority		
8. Security stamp no.			
17. This certificate is issued by:			
<div style="display: flex; justify-content: space-between;"> <div>_____</div> <div>_____</div> </div> <div style="display: flex; justify-content: space-between;"> <div>Place</div> <div>Date</div> <div>Security stamp, signature and official seal</div> <div>_____</div> </div>			
<div style="display: flex; justify-content: space-between;"> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div style="display: flex; justify-content: space-between;"> <div>Port of export or re-export</div> <div>Date</div> <div>Signature</div> <div>Official stamp</div> </div>		<div style="display: flex; justify-content: space-between;"> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div style="display: flex; justify-content: space-between;"> <div>Port of export or re-export</div> <div>Date</div> <div>Signature</div> <div>Official stamp</div> </div>	
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<div style="display: flex; justify-content: space-between;"> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div style="display: flex; justify-content: space-between;"> <div>Port of export or re-export</div> <div>Date</div> <div>Signature</div> <div>Official stamp</div> </div>		<div style="display: flex; justify-content: space-between;"> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div style="display: flex; justify-content: space-between;"> <div>Port of export or re-export</div> <div>Date</div> <div>Signature</div> <div>Official stamp</div> </div>	

## Annex 4

## Types of biological samples and their use

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 <sup>3</sup> 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 <sup>3</sup> 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

## Conf. 12.4

### Cooperation between CITES and the Commission for the Conservation of Antarctic Marine Living Resources regarding trade in toothfish

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RECOGNIZING that international cooperation is essential for the protection of certain species of wild fauna and flora and prevention of overexploitation and other adverse effects that can be caused by international trade;

CONSCIOUS of the importance of oceans for the earth's ecosystem and of the obligation of all States to protect and preserve the marine environment and its resources;

RECALLING that Article XV, paragraph 2 (b), of the Convention, provides that the Secretariat, as regards marine species, shall consult with intergovernmental organizations having a function in relation to those species;

RECOGNIZING that several organizations and regional agreements in the field of fisheries are adopting conservation measures that include guidelines for the certification of the origin of capture for species whose recovery and sustainable use they wish to promote and that for the success of these efforts it is important that all States, including those that are not members of or parties to those organizations or agreements, cooperate with these conservation measures and implement them;

KEEPING IN MIND that the Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR) has adopted an action plan that includes, together with measures for preventing and eliminating excessive fishing, others aimed at ensuring transparency of international trade in the species that it regulates, especially the Patagonian toothfish and Antarctic toothfish (*Dissostichus* spp.) in order that that trade does not affect the sustainable development of fishing nor the responsible use of Antarctic marine living resources;

TAKING NOTE that CCAMLR promotes cooperation with specific organizations and with any other organization that contributes to the work of that Commission and its Scientific Committee in aspects related to the protection of the Antarctic marine ecosystem;

CONCERNED that illicit, unregulated and unreported fishing activities threaten to harm the populations of several fish species, including those of the Patagonian toothfish and Antarctic toothfish, and urging all countries to cooperate with international efforts to eradicate illicit, unregulated and unreported fishing;

TAKING NOTE that CCAMLR has established regulations on commercial exploitation of all Antarctic marine living resources, especially the Patagonian toothfish and Antarctic toothfish, for all member States in order to prevent fishing from reaching levels of overexploitation;

FURTHER NOTING that CCAMLR, at its 21st meeting, urged CITES Parties to require a document under the CCAMLR Catch Documentation Scheme for all toothfish imports as well as agreeing that further cooperation with CITES would be welcome;

ALSO RECOGNIZING the need for CCAMLR and CITES to cooperate closely, both for the exchange of information concerning international trade in products of the Patagonian toothfish and Antarctic toothfish, and in their efforts to ensure that international trade in these species is carried out with the utmost legality, rigour and transparency;

CONCERNED that illicit international trade in specimens of species regulated by CCAMLR undermines the effectiveness of CCAMLR and the principles of CITES;

URGING the Parties to CITES to use all measures within their power to ensure that ships flying their flag are not used to undermine conservation measures adopted by CCAMLR or adopted voluntarily outside the scope of that Convention by countries in whose jurisdictional waters specimens of *Dissostichus* spp. are captured;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

***With regard to international trade in toothfish***

RECOMMENDS that, regarding these species, the Parties adopt the *Dissostichus* Catch Document used by CCAMLR for *Dissostichus* spp. and implement requirements for verification in all cases where specimens of these species are introduced into or exported from or transit through the territory under their jurisdiction;

***With regard to illicit trade in toothfish products***

WELCOMES WITH SATISFACTION the work of CCAMLR in combating illicit, unregulated and unreported fishing and urges the Parties to CITES to study carefully the question of trade in specimens of Patagonian toothfish and Antarctic toothfish, especially their geographic origin, and to cooperate with the Secretariat of CCAMLR in gathering information in this regard;

ENCOURAGES CCAMLR to maintain a permanent flow of information to the Parties to CITES through the Conference of the Parties and requests that the Secretariat in turn transmit to the Secretariat of CCAMLR any information available on illicit trade in these species; and

INVITES all interested countries, the United Nations Food and Agriculture Organization (FAO) and other intergovernmental or international organizations active in this field to cooperate in efforts to prevent illicit trade in these species and transmit any relevant information to the Secretariat of CCAMLR; and

***With regard to adherence to the Convention  
for the Conservation of Antarctic Marine Living Resources***

RECOMMENDS to the Parties that capture toothfish or that trade in toothfish products, and which have not yet done so, to adhere to the Convention for the Conservation of Antarctic Marine Living Resources and, in any case, to cooperate voluntarily with its conservation measures.

## Conf. 12.5

### Conservation of and trade in tigers and other Appendix-I Asian big cat species

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RECALLING Resolution Conf. 11.5, adopted by the Conference of the Parties at its 11th meeting (Gigiri, 2000), relating to conservation of and trade in tigers;

NOTING that wild populations of tigers and other Asian big cat species (snow leopard, *Uncia uncia*, clouded leopard, *Neofelis nebulosa*, all subspecies of leopard *Panthera pardus* within its Asian range, and Asiatic lion, *Panthera leo persica*) are threatened by the combined effects of poaching and habitat loss caused by disturbance, fragmentation and destruction;

AWARE that all tigers and other Asian big cat species are included in Appendix I, and that commercial international trade in Asian big cat species and their parts and derivatives has been prohibited by the Convention since 1975 (with the exception of the Asiatic lion and the Amur tiger *Panthera tigris altaica*, which were included in 1977 and 1987, respectively);

CONSCIOUS that three subspecies of tiger, *Panthera tigris*, have become extinct within the last 50 years and noting with concern that, despite inclusion of Asian big cat species in Appendix I, illegal trade in specimens of nearly all these species has escalated and further threatens their long-term survival in the wild;

CONCERNED that the use of medicines and products containing parts and derivatives from the tiger and other Asian big cat species continues in many countries around the world and that the bones of some of these species may be used in traditional medicine systems as a substitute for tiger bone;

CONCERNED further that trade in skins from the tiger and other Asian big cat species appears to be escalating again, and that this trend could fuel poaching that could lead to extinction in the wild;

NOTING that the Standing Committee has called upon all Parties and non-Parties to the Convention to take such measures as are required to halt the illegal trade in tigers and tiger parts and derivatives;

COMMENDING the positive actions taken by some range and consumer States to address the illegal trade in tiger and tiger parts and derivatives and to facilitate cooperation with other Parties, but noting that measures are required to address illegal trade in specimens of all Appendix I Asian big cat species;

CONSCIOUS that the driving forces behind the illegal killing of tigers and other Asian big cats and the illegal trade in specimens from them vary from region to region and may include financial gain from the sale of live specimens, parts and derivatives, protection of people living in Asian big cat habitats and protection against or response to the predation of livestock;

RECOGNIZING that strengthened technical cooperation between range and non-range States and financial support, would contribute to more effective conservation of tigers and other Asian big cat species;

ACKNOWLEDGING that increased political commitment, financial resources and expertise in some range and consumer States will significantly improve control of the illegal killing of Asian big cat species, trade in their parts and derivatives and protection of their habitats;

ACKNOWLEDGING the progress made through the CITES Tiger Enforcement Task Force, including the enforcement training course conducted in India, but noting that the causes of



conservation problems could be relevant to other Asian big cat species and that the solutions to reduce illegal trade in tiger specimens could be applied to benefit these species;

ACKNOWLEDGING further the actions and reports of members of the Snow Leopard Network and of the Global Tiger Forum in reviewing the threats to the longterm survival of the species in the wild and the recommended measures to address those threats;

RECOGNIZING also that long-term solutions to the protection, conservation and management of tigers and other Asian big cat species and their habitats requires the adoption of bold and innovative actions based on a sound base of information;

#### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

##### URGES:

- a) all Parties and non-Parties, especially range and consumer States of Asian big cat species, to adopt comprehensive legislation and enforcement controls which clearly define the administrative responsibilities of the various government agencies responsible for regulating trade within and outside of protected areas and in outlets for parts and derivatives such as in wildlife markets and shops, etc., as a matter of urgency;
- b) all Parties seeking to improve their legislation prohibiting international commercial trade in specimens of tiger and other Asian big cat species, and products labelled as, or claiming to contain, their parts and derivatives, to adopt such legislation, to include penalties adequate to deter illegal trade and to consider introducing national measures to facilitate implementation of CITES, such as voluntarily prohibiting internal trade in such parts, derivatives and products, as provided for in Resolution Conf. 9.6 (Rev.);
- c) all Parties, especially range and consumer States, to introduce innovative enforcement methods and, as a matter of priority, strengthen enforcement efforts in key border regions;
- d) those Parties and non-Parties in whose territory tigers and other Asian big cat species are bred in captivity to ensure that adequate management practices and controls are in place to prevent parts and derivatives from entering illegal trade from or through such facilities;
- e) those Parties and non-Parties in whose countries there exist stocks of parts and derivatives of tiger and other Asian big cat species (such as tiger bone stocks), but not including preConvention specimens, to consolidate and ensure adequate control of such stocks, and where possible destroy the same, with the exception of those used for educational and scientific purposes;
- f) range and non-range States of the tiger and other Asian big cat species to support and participate in international conservation programmes, such as the Global Tiger Forum and the Snow Leopard Network; and
- g) all range and consumer States that are not party to CITES to accede to the Convention at the earliest possible date in order to improve control of international trade in parts and derivatives of tiger and other Asian big cat species;

##### RECOMMENDS that:

- a) the CITES Secretariat expand the remit of the CITES Tiger Enforcement Task Force to include all Asian big cat species;
- b) the range States of the tiger and other Asian big cat species ensure that antipoaching teams and enforcement units are established and effectively resourced to counter the illegal killing of and trade in Asian big cat species, and that intelligence is shared between relevant enforcement agencies to counter illegal killing and trade;

- c) range States of the tiger and other Asian big cat species carry out appropriate education and awareness campaigns directed at urban and rural communities and other targeted groups, on the ecological and cultural significance and the significance for ecotourism of Asian big cats, their prey and habitats;
- d) all range and consumer States take measures to increase awareness of wildlife crime and illicit wildlife trade among their enforcement, prosecution and judicial authorities;
- e) the enforcement agencies in range and consumer States of the tiger and other Asian big cat species establish cooperative bilateral and multilateral arrangements, especially for the management of shared wildlife species and protected habitats with common boundaries, in order to achieve more effective control of illegal international trade in specimens of Asian big cat species;
- f) Parties and non-Parties convene regional workshops on law enforcement needs associated with illegal crossborder movement of specimens of Asian big cat species, including the extent of the trade, smuggling routes, methods and final consumer markets for live specimens and parts and derivatives, with technical assistance from the CITES Secretariat and, where available, financial support from interested governments and organizations; and
- g) the range States of Asian big cat species conduct, where appropriate, studies to examine the motivation behind the illegal killing of these species and to recommend appropriate measures to address such motivation;

#### REQUESTS:

- a) countries and organizations with the relevant expertise to encourage and support range and consumer States, as a matter of urgency, in the development of practical identification manuals to aid the detection and accurate identification of parts and derivatives of Asian big cats; and
- b) that, since biological and distribution data are essential for the implementation of the Convention, donor nations assist in funding the infrastructure and the provision of expertise to develop computer databases and mapping as well as any other necessary conservation management techniques;

RECOMMENDS that the consumer States of specimens from the tiger and other Asian big cat species:

- a) work with traditional medicine communities and industries to develop strategies for gradually reducing and eventually eliminating the use of Asian big cat parts and derivatives;
- b) where necessary and appropriate, remove references to parts and derivatives of Appendix I Asian big cats from the official pharmacopoeia and include acceptable substitute products that do not endanger other wild species, and introduce programmes to educate the industry and user groups in order to eliminate the use of substances derived from Appendix I Asian big cats and promote the adoption of appropriate alternatives; and
- c) carry out appropriate education and awareness campaigns to eliminate illegal trade in and use of Asian big cat skins as trophies, ornaments and items of clothing or for the production of other materials;

CALLS UPON all governments and intergovernmental organizations, international aid agencies, and non-governmental organizations to provide, as a matter of urgency, funds and

other assistance to stop illegal trade in specimens of Asian big cat species, and to ensure the longterm survival of the Asian big cat species in the wild; and

REPEALS Resolution Conf. 11.5 (Gigiri, 2000) – Conservation of and trade in tigers.

## Conf. 12.6

## Conservation and management of sharks

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RECOGNIZING that sharks are particularly vulnerable to overexploitation owing to their late maturity, longevity and low fecundity;

RECOGNIZING that there is a significant international trade in sharks and their products;

RECOGNIZING that unregulated and unreported trade is contributing to unsustainable fishing of a number of shark species;

RECOGNIZING the duty of all States to cooperate, either directly or through appropriate sub-regional or regional organizations in the conservation and management of fisheries resources;

NOTING that IUCN – The World Conservation Union’s Red List of Threatened Species (2000) lists 79 shark taxa (from the 10 per cent of taxa for which Red List assessments have been made);

RECOGNIZING that the International Plan of Action on the Conservation and Management of Sharks (IPOA-sharks) was prepared by FAO in 1999 and that all States whose vessels conduct directed fisheries or regularly take sharks in non-directed fisheries are encouraged by COFI to adopt a National Plan of Action for the Conservation and Management of Shark Stocks (NPOA-Sharks);

NOTING that, through the adoption of Resolution Conf. 9.17 and Decisions 10.48, 10.73, 10.74, 10.93, 10.126, 11.94 and 11.151, Parties to CITES have previously recognized the conservation threat that international trade poses to sharks;

NOTING that two shark species are currently listed in Appendix III of CITES<sup>1</sup>;

WELCOMING the report adopted at the 18th meeting of the Animals Committee that noted that CITES should continue to contribute to international efforts to address shark conservation and trade concerns;

NOTING that States were encouraged by FAO to have prepared NPOAs for sharks by the COFI 24th session held in 2001;

NOTING that there is a significant lack of progress with the development and implementation of NPOAs;

CONCERNED that insufficient progress has been made in achieving shark management through the implementation of IPOA-Sharks except in States where comprehensive shark assessment reports and NPOA-Sharks have been developed;

CONCERNED that the continued significant trade in sharks and their products is not sustainable;

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

AGREES that a lack of progress in the development of the FAO IPOA-Sharks is not a legitimate justification for a lack of further substantive action on shark trade issues within the CITES forum;

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<sup>1</sup> This was correct at the time of the adoption of the Resolution but changed on 13 February 2003.

INSTRUCTS the CITES Secretariat to raise with FAO concerns regarding the significant lack of progress in implementing the IPOA-Sharks, and to urge FAO to take steps to actively encourage relevant States to develop NPOA-Sharks;

DIRECTS the Animals Committee to continue activities specified under Decision 11.94 beyond the 12th meeting of the Conference of the Parties, and to report on progress at the 13th meeting of the Conference of Parties;

DIRECTS the Animals Committee to critically review progress towards IPOA-Sharks implementation (NPOA-Sharks) by major fishing and trading nations, by a date one year before the 13th meeting of the Conference of the Parties to CITES;

DIRECTS the Animals Committee to examine information provided by range States in shark assessment reports and other available relevant documents, with a view to identifying key species and examining these for consideration and possible listing under CITES;

ENCOURAGES Parties to obtain information on implementation of IPOA-Sharks from their fisheries departments, and report directly on progress to the CITES Secretariat and at future meetings of the Animals Committee;

URGES FAO COFI and Regional Fisheries Management Organizations to take steps to undertake the research, training, data collection, data analysis and shark management plan development outlined by FAO as necessary to implement the IPOA-Sharks;

ENCOURAGES Parties to contribute financially and technically to the implementation of the IPOA-Sharks;

DIRECTS the Animals Committee to make species-specific recommendations at the 13th meeting and subsequent meetings of the Conference of the Parties if necessary on improving the conservation status of sharks and the regulation of international trade in these species;

RECOMMENDS that Parties continue to identify endangered shark species that require consideration for inclusion in the Appendices, if their management and conservation status does not improve; and

REQUESTS Management Authorities to collaborate with their national Customs authorities to expand their current classification system to allow for the collection of detailed data on shark trade including, where possible, separate categories for processed and unprocessed products, for meat, cartilage, skin and fins, and to distinguish imports, exports and re-exports. Wherever possible these data should be species-specific.

# Conf. 12.7

## Conservation of and trade in sturgeons and paddlefish

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RECALLING Resolution Conf. 10.12 (Rev.), adopted by the Conference of the Parties at its 10th meeting (Harare, 1997) and amended at its 11th meeting (Gigiri, 2000), and Resolution Conf. 11.13, adopted by the Conference of the Parties at its 11th meeting;

AWARE that sturgeons and paddlefish of the Order Acipenseriformes represent a valuable renewable biological and economic resource that in recent years has been affected by such negative factors as illegal fishing and illegal trade, regulation of water flow and decrease in natural spawning sites;

NOTING the need for further research and the importance of scientific monitoring of the status of stocks and an understanding of their genetic structure as the basis for sustainable fisheries management;

CONSIDERING that Eurasian range States of Acipenseriformes species are in need of funds and technical assistance in order to develop regional management and monitoring programmes for conservation, habitat protection, and the combating of illegal fishing and trade;

RECALLING that Article VI, paragraph 7, of the Convention provides that specimens of species listed in the Appendices may be marked to assist in identifying them;

CONSIDERING that the labelling of all caviar in trade would be a fundamental step towards the effective regulation of trade in specimens of sturgeons and paddlefish;

NOTING that, in order to assist the Parties in identifying legal caviar in trade, marking should be standardized and that particular specifications for the design of labels are fundamental, should be generally applied and should also take into account marking systems currently in place and anticipated technological advances in marking systems;

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

URGES the range States of species in the Order Acipenseriformes to:

- a) encourage scientific research and ensure adequate monitoring of the status of stocks<sup>2</sup> to promote the sustainability of sturgeon and paddlefish fisheries through appropriate management programmes;
- b) curtail the illegal fishing of and trade in sturgeon and paddlefish specimens by improving the provisions in and enforcement of existing laws regulating fisheries and export, in close collaboration with the CITES Secretariat, ICPO-Interpol and the World Customs Organization;
- c) explore ways of enhancing the participation of representatives of all agencies responsible for sturgeon and paddlefish fisheries in conservation and sustainable-use programmes for these species; and
- d) promote regional agreements between range States of sturgeon and paddlefish species aiming at proper management and sustainable utilization of these species;

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<sup>2</sup> The term 'stock' is regarded, for the purposes of this Resolution, to be synonymous with 'population'.

RECOMMENDS:

- a) that range States license legal exporters of specimens of sturgeon and paddlefish species and maintain a register of such persons or companies and provide this register to the Secretariat upon request;
- b) that importing countries be particularly vigilant in controlling all aspects of the trade in specimens of sturgeon and paddlefish species, including the unloading of sturgeon specimens, transit, re-packaging, re-labelling and re-exports;
- c) that Parties monitor the storage, processing and re-packaging of specimens of sturgeon and paddlefish species in Customs free zones and free ports, and for airline and cruise line catering;
- d) that Parties ensure that all their relevant agencies cooperate in establishing the necessary administrative, management, scientific and control mechanisms needed to implement the provisions of the Convention with respect to sturgeon and paddlefish species; and
- e) that Parties consider the harmonization of their national legislation related to personal exemptions for caviar, to allow for the personal effects exemption under Article VII, paragraph 3, of the Convention and consider limiting this exemption to no more than 250 grams of caviar per person;

RECOMMENDS further, with regards to catch and export quotas, that:

- a) Parties not accept the import of specimens of Acipenseriformes species from stocks shared between different range States<sup>3</sup> unless:
  - i) export quotas for that year have been established by the range States<sup>4</sup> concerned and have been communicated by the Secretariat to the Parties;
  - ii) the export quotas referred to in subparagraph i) have been derived from catch quotas agreed amongst States that provide habitat for the same stock of an Acipenseriformes species;
  - iii) catch quotas are based on an appropriate regional conservation strategy and monitoring regime for the species concerned; and
  - iv) the Secretariat is satisfied that catch and export quotas are agreed by all relevant range States, on the basis of information provided to it on the status of stocks of the species concerned; and
- b) if a range State of a shared stock of a species of Acipenseriformes decides to reduce its quota established in accordance with this Resolution under stricter domestic measures, this shall not affect the quotas of the other range States of this stock;

URGES Parties to implement without delay the labelling of caviar in accordance with Annexes 1 and 2;

CALLS UPON range States, importing countries and other appropriate experts and organizations such as the IUCN/SSC Sturgeon Specialist Group, in consultation with the Secretariat and the Animals Committee, to explore the development of a uniform DNA-based

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<sup>3</sup> Quotas do not have to be established for specimens from endemic stocks, i.e. stocks not shared with other countries, and captive breeding or aquaculture operations. Quotas communicated for such specimens are voluntary quotas.

<sup>4</sup> For States that do not have legislation to establish export quotas at the national level, export quotas communicated to the Parties are considered to be export quotas for the purposes of this Resolution only.

identification system for parts and derivatives and aquaculture stocks of Acipenseriformes species to assist in the subsequent identification of the origin of specimens in trade;

DIRECTS the Secretariat:

- a) in collaboration with range States and international organizations from both industry and the conservation community, to assist with the development of a strategy including action plans for the conservation of Acipenseriformes; and
- b) to provide assistance with securing financial resources from Parties, international organizations, United Nations specialized agencies, intergovernmental and non-governmental organizations and industry; and

REPEALS the Resolutions listed hereunder:

- a) Resolution Conf. 10.12 (Rev.) (Harare, 1997, as amended at Gigiri, 2000) – Conservation of sturgeon; and
  - b) Resolution Conf. 11.13 (Gigiri, 2000) – Universal labelling system for the identification of caviar.
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## **Annex 1                      CITES guidelines for a universal labelling system for the trade in and identification of caviar**

- a) The uniform labelling system applies to all caviar produced for commercial and non-commercial purposes, for either domestic or international trade, and is based on the application of a non-reusable label on each primary container.
- b) The following definitions apply in relation to trade in caviar:
  - Caviar: processed roe of Acipenseriformes species.
  - Lot identification number: a number that corresponds to information related to the caviar tracking system used by the processing or repackaging plant.
  - Non-reusable label: any label or mark that cannot be removed undamaged or transferred to another container.
  - Pressed caviar: caviar composed of the roe of one or more sturgeon or paddlefish species, remaining after the processing and preparation of higher quality caviar.
  - Primary container: tin, jar or other receptacle that is in direct contact with the caviar.
  - Processing plant: facility in the country of origin responsible for the first packaging of caviar into a primary container.
  - Repackaging plant: facility responsible for receiving and repackaging caviar into new primary containers.
  - Secondary container: receptacle into which primary containers are placed.
  - Source code: letter corresponding to the source of the caviar, as defined by the relevant CITES resolutions (e.g. 'W' for wild or 'C' for captive bred).
- c) In the country of origin, the non-reusable label should be affixed by the processing plant to any primary container. This label must include, as a minimum: a standard species code



as provided in Annex 2; the source code of the caviar; the ISO two-letter code for the country of origin; the year of harvest; the official registration code of the processing plant (e.g. xxxx); and the lot identification number for the caviar (e.g. yyyy), for instance:

HUS/W/RU/2000/xxxx/yyyy

- d) When no repackaging takes place, the non-reusable label referred to in paragraph c) above should be maintained on the primary container and be considered sufficient, including for re-export.
- e) A non-reusable label should be affixed by the repackaging plant to any primary container in which caviar is repackaged. This label must include, as a minimum: a standard species code as provided in the Annex; the source code of the specimen; the ISO two-letter code of the country of origin; the year of repackaging; the official registration code of the repackaging plant, which incorporates the ISO two-letter code of the country of repackaging if different from the country of origin (e.g. IT-wwww); and the lot identification number, or CITES export permit or re-export certificate number (e.g., zzzz), for instance:

PER/W/IR/2001/IT-wwww/zzzz

- f) When caviar is exported or re-exported, the exact quantity of caviar must be indicated on any secondary container in addition to the description of the content in accordance with international Customs regulations.
- g) The same information that is on the label affixed to the container must be given on the export permit or re-export certificate, or in an annex attached to the CITES permit or certificate.
- h) In the event of inconsistencies between information on a label and a permit or certificate, the Management Authority of the importing Party should contact its counterpart in the exporting or re-exporting Party as soon as possible to establish whether this was a genuine error arising from the complexity of information required by these guidelines. If this is the case, every effort should be made to avoid penalizing those involved in such transactions.
- i) Each importing, exporting and re-exporting Party should establish, where consistent with national law, a registration system for processing and repackaging plants in its territory and provide to the Secretariat the list of these facilities and their official registration codes. The list should be updated as needed.
- j) Parties should accept shipments of caviar only if they are accompanied by appropriate documents containing the information referred to in paragraph c), d) or e).

## Annex 2

### Codes for identification of Acipenseriformes species, hybrids and mixed species

Species	Code
<i>Acipenser baerii</i>	BAE
<i>Acipenser baerii baicalensis</i>	BAI
<i>Acipenser brevirostrum</i>	BVI
<i>Acipenser dabryanus</i>	DAB

Species	Code
<i>Acipenser fulvescens</i>	FUL
<i>Acipenser gueldenstaedtii</i>	GUE
<i>Acipenser medirostris</i>	MED
<i>Acipenser mikadoi</i>	MIK
<i>Acipenser naccarii</i>	NAC
<i>Acipenser nudipectus</i>	NUD
<i>Acipenser oxyrinchus</i>	OXY
<i>Acipenser oxyrinchus desotoi</i>	DES
<i>Acipenser persicus</i>	PER
<i>Acipenser ruthenus</i>	RUT
<i>Acipenser schrenckii</i>	SCH
<i>Acipenser sinensis</i>	SIN
<i>Acipenser stellatus</i>	STE
<i>Acipenser sturio</i>	STU
<i>Acipenser transmontanus</i>	TRA
<i>Huso dauricus</i>	DAU
<i>Huso huso</i>	HUS
<i>Polyodon spathula</i>	SPA
<i>Psephurus gladius</i>	GLA
<i>Pseudoscaphirhynchus fedtschenkoi</i>	FED
<i>Pseudoscaphirhynchus hermanni</i>	HER
<i>Pseudoscaphirhynchus kaufmanni</i>	KAU
<i>Scaphirhynchus platyrhynchus</i>	PLA
<i>Scaphirhynchus albus</i>	ALB
<i>Scaphirhynchus suttkusi</i>	SUS
Mixed species (for 'pressed' caviar exclusively)	MIX
Hybrid specimens: code for the species of the male x code for the species of the female	YYYxxx

# Conf. 12.8

## Review of Significant Trade in specimens of Appendix-II species

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RECALLING that Article IV, paragraph 2 (a), of the Convention requires, as a condition for granting an export permit, that a Scientific Authority of the State of export has advised that the export will not be detrimental to the survival of the species concerned;

RECALLING that Article IV, paragraph 3, requires a Scientific Authority of each Party to monitor exports of AppendixII species and to advise the Management Authority of suitable measures to be taken to limit such exports in order to maintain such species throughout their range at a level consistent with their role in the ecosystem;

RECALLING also that Article IV, paragraph 6 (a), requires, as a condition for granting a certificate of introduction from the sea, that a Scientific Authority of the State of introduction from the sea has advised that the introduction will not be detrimental to the survival of the species concerned;

CONCERNED that some States permitting export of AppendixII species are not effectively implementing Article IV, paragraphs 2 (a), 3 and 6 (a), and that, in such cases, measures necessary to ensure that the export of an Appendix-II species takes place at a level that will not be detrimental to the survival of that species, such as population assessments and monitoring programmes, are not being undertaken, and that information on the biological status of many species is frequently not available;

RECALLING that the proper implementation of Article IV is essential for the conservation and sustainable use of Appendix-II species;

NOTING the important benefits of the review of trade in specimens of Appendix-II species by the Animals and Plants Committees as set out in Resolution Conf. 8.9 (Rev.), adopted at the eighth meeting of Conference of the Parties (Kyoto, 1992) and amended at the 11th meeting (Gigiri, 2000), referred to as the Review of the Significant Trade, and the need to clarify further and simplify the procedure to be followed;

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

#### ***Regarding conduct of the Review of Significant Trade***

DIRECTS the Animals and Plants Committees, in cooperation with the Secretariat and experts, and in consultation with range States, to review the biological, trade and other relevant information on AppendixII species subject to significant levels of trade, to identify problems and solutions concerning the implementation of Article IV, paragraphs 2 (a), 3 and 6 (a), in accordance with the following procedure:

#### ***Selection of species to be reviewed***

- a) the Secretariat shall request UNEP-WCMC to produce, within 90 days after each meeting of the Conference of the Parties, a summary from the CITES database of annual report statistics showing the recorded net level of exports<sup>5</sup> for Appendix-II species over the five most recent years;

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<sup>5</sup> 'Net level of exports' means the total gross number of specimens exported from a range State minus the gross number imported by the same range State, based on the reported export and import data in the annual reports of the Parties.

- b) on the basis of recorded trade levels and information available to the Animals or Plants Committee, the Secretariat, Parties or other relevant experts, species of priority concern shall be selected for review by the Animals or Plants Committee (whether or not such species have been the subject of a previous review);
- c) in exceptional cases where new information indicates an urgent concern, the Animals or Plants Committees may add a species to the list of species of concern at another stage;

***Consultation with the range States concerning implementation of Article IV***

- d) the Secretariat shall, within 30 days after the meeting of the Animals or Plants Committee at which species are selected, notify range States of the species selected, providing an explanation for this selection and requesting comments regarding possible problems of implementing Article IV identified by the Committee. Range States shall be given 60 days to respond;
- e) the Secretariat shall report to the Animals or Plants Committee on the response of the range States concerned, including any other pertinent information;
- f) when the Animals or Plants Committee, having reviewed the available information, is satisfied that Article IV, paragraph 2 (a), 3 or 6 (a), is correctly implemented, the species shall be eliminated from the review with respect to the State concerned. In that event, the Secretariat shall notify the Parties accordingly within 60 days;

***Compilation of information and preliminary categorization***

- g) in the event that the species is not eliminated from the review in accordance with paragraph f) above, the Secretariat shall proceed with the compilation of information regarding the species;
- h) when necessary, consultants shall be engaged by the Secretariat to compile information about the biology and management of and trade in the species and shall contact the range States or relevant experts to obtain information for inclusion in the compilation;
- i) the Secretariat or consultants, as appropriate, shall summarize their conclusions about the effects of international trade on the selected species, the basis on which such conclusions are made and problems concerning the implementation of Article IV, and shall provisionally divide the selected species into three categories:
  - i) 'species of urgent concern' shall include species for which the available information indicates that the provisions of Article IV, paragraph 2 (a), 3 or 6 (a), are not being implemented;
  - ii) 'species of possible concern' shall include species for which it is not clear whether or not these provisions are being implemented; and
  - iii) 'species of least concern' shall include species for which the available information appears to indicate that these provisions are being met;
- j) before the report of the Secretariat, or consultant, is considered by the Animals or Plants Committee, the Secretariat shall transmit it to the relevant range States, seeking comments and, where appropriate, additional information. Range States shall be given 60 days to respond;

***Review of information and confirming of categorization by the Animals or Plants Committee***

- k) the Animals or Plants Committee shall review the report of the Secretariat or the consultants and the responses received from the States concerned and, if appropriate, revise the preliminary categorization proposed;
- l) species of least concern shall be eliminated from the review. Problems identified in the course of the review that are not related to the implementation of Article IV, paragraph 2 (a), 3 or 6 (a), shall be addressed by the Secretariat in accordance with other provisions of the Convention and relevant Resolutions;

***Formulation of recommendations and their transmission to the range States***

- m) the Animals Committee or Plants Committee shall, in consultation with the Secretariat, formulate recommendations for the remaining species. These recommendations shall be directed to the range States concerned;
- n) for species of urgent concern, these recommendations should propose specific actions to address problems related to the implementation of Article IV, paragraph 2 (a), 3 or 6 (a). Such recommendations should differentiate between short-term and long-term actions, and may include, for example:
  - i) the establishment of administrative procedures, cautious export quotas or temporary restrictions on exports of the species concerned;
  - ii) the application of adaptive management procedures to ensure that further decisions about the harvesting and management of the species concerned will be based on the monitoring of the impact of previous harvesting and other factors; or
  - iii) the conducting of taxon- and country-specific status assessments, field studies or evaluation of threats to populations or other relevant factors to provide the basis for a Scientific Authority's non-detriment finding, as required under the provisions of Article IV, paragraph 2 (a) or 6 (a);

deadlines for implementation of these recommendations should be determined by the Animals or Plants Committee. They must be appropriate to the nature of the action to be undertaken, and should normally be not less than 90 days but not more than two years after the date of transmission to the State concerned;

- o) for species of possible concern, these recommendations should specify the information required to enable the Animals or Plants Committee to determine whether the species should be categorized as either of urgent concern or of least concern. They should also specify interim measures where appropriate for the regulation of trade. Such recommendations should differentiate between short-term and long-term actions, and may include, for example:
  - i) the conducting of taxon and country-specific status assessments, field studies or evaluation of threats to populations or other relevant factors; or
  - ii) the establishment of cautious export quotas for the species concerned as an interim measure;

deadlines for implementation of these recommendations should be determined by the Animals or Plants Committee. They must be appropriate to the nature of the action to be undertaken, and should normally be not less than 90 days but not more than two years after the date of transmission to the State concerned;

- p) these recommendations shall be transmitted to the range States concerned by the Secretariat;

***Measures to be taken regarding the implementation of recommendations***

- q) the Secretariat shall, in consultation with the Chairman of the Animals or Plants Committee, determine whether the recommendations referred to above have been implemented and report to the Standing Committee accordingly;
- r) where the recommendations have been met, the Secretariat shall, following consultation with the Chairman of the Standing Committee, notify the Parties that the species was removed from the process;
- s) when the Secretariat, having consulted with the Chairman of the Animals or Plants Committee, is not satisfied that a range State has implemented the recommendations made by the Animals or Plants Committee in accordance with paragraphs n) or o), it should recommend to the Standing Committee appropriate action, which may include, as a last resort, a suspension of trade in the affected species with that State. On the basis of the report of the Secretariat, the Standing Committee shall decide on appropriate action and make recommendations to the State concerned, or to all Parties;
- t) the Secretariat shall notify the Parties of any recommendations or actions taken by the Standing Committee;
- u) a recommendation to suspend trade in the affected species with the State concerned should be withdrawn only when that State demonstrates to the satisfaction of the Standing Committee, through the Secretariat, compliance with Article IV, paragraph 2 (a), 3 or 6 (a); and
- v) the Standing Committee, in consultation with the Secretariat and the Chairman of the Animals or Plants Committee, shall review recommendations to suspend trade that have been in place for longer than two years and, if appropriate, take measures to address the situation;

***Regarding support to the range States***

URGES the Parties and all organizations interested in the conservation and sustainable use of wildlife to provide the necessary financial support or technical assistance to those States in need of such assistance to ensure that wild populations of species of fauna and flora subject to significant international trade are not subject to trade that is detrimental to their survival. Examples of such measures could include:

- a) training of conservation staff in the range States;
- b) provision of information and guidance to persons and organizations involved in the production and export of specimens of the species concerned;
- c) facilitation of information exchange among range States; and
- d) provision of technical equipment and support; and

DIRECTS the Secretariat to assist with identification and communication of funding needs in the range States and with identification of potential sources of such funding; and

***Regarding monitoring, reporting and reintroduction of species into the review process***

DIRECTS the Secretariat, for the purpose of monitoring and facilitating the implementation of this Resolution and the relevant paragraphs of Article IV;

- a) to report at each meeting of the Animals or Plants Committee on the implementation by the range States concerned of the recommendations made by the Committee; and
- b) to maintain a register of species that are included in the review process set out in this Resolution and a record of progress with the implementation of recommendations; and

REPEALS Resolution Conf. 8.9 (Rev.) (Kyoto, 1992, as amended at Gigiri, 2000) – Trade in specimens of Appendix-II species taken from the wild.

# Conf. 12.9

## Personal and household effects

CONSIDERING that Article VII, paragraph 3, of the Convention lays down the conditions under which specimens that are personal or household effects are exempt from the provisions of Articles III, IV and V of the Convention;

FURTHER CONSIDERING that the Convention does not define the term 'personal or household effects';

CONSIDERING that the exemption in Article VII, paragraph 3, does not apply to specimens of AppendixI species that are souvenirs being imported by a person returning to his State of usual residence;

CONSIDERING further that the exemption in Article VII, paragraph 3, does not apply to specimens of AppendixII species that are souvenirs being imported by a person returning to his State of usual residence if the specimens were taken from the wild in a State requiring the granting of export permits before the export of such specimens;

RECALLING that the Convention does not make special provision for airport lounges (including duty-free shops), free ports or non-Customs zones, because each Party is deemed to have sovereignty over the whole of its territory, and to apply the Convention accordingly;

NOTING that Resolution Conf. 10.6, adopted at the 10th meeting of the Conference of the Parties (Harare, 1997), addresses trade in tourist souvenirs in isolation from personal or household effects despite the clear relationship between the two concepts;

RECOGNIZING that Parties currently implement Article VII, paragraph 3, and Resolution Conf. 10.6 in varying ways and that there should be uniform application of the exemption for personal or household effects;

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

DECIDES that the term 'personal or household effects' contained in Article VII, paragraph 3, means specimens that are:

- a) personally owned or possessed for non-commercial purposes;
- b) legally-acquired; and
- c) at the time of import, export or re-export either:
  - i) worn or carried or included in personal baggage; or
  - ii) part of a household move;

RECOMMENDS that Parties:

- a) regulate the cross-border movements of legally acquired, personally owned live animals of species listed in the Appendices of CITES in accordance with Resolution Conf. 10.20;
- b) not require export or import permits, or re-export certificates, for personal or household effects for the following dead specimens, parts and derivatives of Appendix-II species except where the quantity exceeds the specified limits:
  - i) caviar of sturgeon species (*Acipenseriformes* spp.) – up to a maximum of 250 grams per person;
  - ii) rainsticks of *Cactaceae* spp. – up to three per person;



- iii) specimens of crocodilian species – up to four specimens per person; and
  - iv) queen conch (*Strombus gigas*) shells – up to three specimens per person;
- c) advise their Customs administrations of the treatment of personal or household effects under CITES;
- d) take all necessary steps, including inspection and provision of information to merchants, to prohibit the sale of tourist souvenir specimens of Appendix I species in places of international departure, such as international airports, seaports and border crossings and particularly in duty-free areas beyond Customs control points;
- e) provide information through displays and by other means, in all relevant languages, in places of international departure and arrival, informing travellers about the purpose and requirements of the Convention, and of their responsibilities with respect to international and domestic laws relating to the export and import of wildlife specimens; and
- f) in collaboration with national and international tourist agencies, carriers, hotels and other relevant bodies, take all possible steps to ensure that tourists and persons with diplomatic privileges travelling abroad are made aware of the import and export controls that are or may be in force with respect to items derived from CITES species;

REQUESTS the Secretariat to develop a process for consideration of specimens of personal and household effects of Appendix-II species which may be exempted from permitting according to Article VII, paragraph 3; and

ENCOURAGES Parties to harmonize their national legislation with regard to this Resolution.

# **Conf. 12.10**

## **Guidelines for a procedure to register and monitor operations that breed Appendix-I animal species for commercial purposes**

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RECALLING Resolution Conf. 8.15, adopted by the Conference of the Parties at its eighth meeting (Kyoto, 1992) and Resolution Conf. 11.14, adopted by the Conference of the Parties at its 11th meeting (Gigiri, 2000);

RECOGNIZING that Article VII, paragraph 4, of the Convention provides that specimens of Appendix-I animal species bred in captivity for commercial purposes shall be deemed to be specimens of species included in Appendix II;

RECOGNIZING ALSO that the provisions of Article III of the Convention remain the basis for permitting trade in specimens of Appendix-I species of animals that do not qualify for the exemptions of paragraphs 4 and 5 of Article VII;

NOTING that import of wild-caught specimens of Appendix-I species for purposes of establishing a commercial captive-breeding operation is precluded by Article III, paragraph 3 (c), as explained further in Resolution Conf. 5.10, adopted by the Conference of the Parties at its fifth meeting (Buenos Aires, 1985);

RECALLING that Resolution Conf. 10.16 (Rev.), adopted by the Conference of the Parties at its 10th meeting (Harare, 1997) and amended at its 11th meeting (Gigiri, 2000), establishes the definition of 'bred in captivity' and provides the basis for determining whether or not an operation is eligible to be considered for registration;

### **THE CONFERENCE OF THE PARTIES TO THE CONVENTION**

DETERMINES that:

- a) the term 'bred in captivity for commercial purposes', as used in Article VII, paragraph 4, shall be interpreted as referring to any specimen of an animal bred to obtain economic benefit, including profit, whether in cash or kind, where the purpose is directed toward sale, exchange or provision of a service or any other form of economic use or benefit; whereas
- b) for Appendix-I species, Article VII, paragraph 5, shall be interpreted as referring to a specimen of an animal bred for non-commercial purposes where each donation, exchange or loan is not for profit and is conducted between two operations involved in a cooperative conservation programme that provides for the participation and/or support of one or more range States for the species concerned;

AGREES that the exemption of Article VII, paragraph 4, should be implemented through the registration by the Secretariat of operations that breed specimens of Appendix-I species for commercial purposes;

AGREES to the following procedure to register a captive-breeding operation for each Appendix-I listed animal species bred for commercial purposes;

AGREES ALSO that determination of whether or not to apply the exemptions in Article VII, paragraph 4, for the export of specimens of Appendix-I animals bred in captivity for commercial purposes remains the responsibility of the Management Authority of the exporting Party on the advice of the Scientific Authority that each operation complies with the provisions of Resolution Conf. 10.16 (Rev.);

RESOLVES that:

- a) an operation may only be registered according to the procedure in this Resolution, if specimens produced by that operation qualify as 'bred in captivity' according to the provisions of Resolution Conf. 10.16 (Rev.);
- b) the first and major responsibility for approving captive-breeding operations under Article VII, paragraph 4, shall rest with the Management Authority of each Party, in consultation with the Scientific Authority of that Party;
- c) the Management Authority shall provide the Secretariat with appropriate information to obtain, and to maintain, the registration of each captive-breeding operation as set out in Annex 1;
- d) the Secretariat shall notify all Parties of each application for registration following the procedure set out in Annex 2;
- e) Parties shall strictly implement the provisions of Article IV of the Convention with respect to specimens of species included in Appendix I originating from operations that breed such specimens in captivity for commercial purposes;
- f) registered captive-breeding operations shall ensure that an appropriate and secure marking system is used to clearly identify all breeding stock and specimens in trade, and shall undertake to adopt superior marking and identification methods as these become available;
- g) the Management Authority, in collaboration with the Scientific Authority, shall monitor the management of each registered captive-breeding operation under its jurisdiction and advise the Secretariat in the event of any major change in the nature of an operation or in the type(s) of products being produced for export, in which case the Animals Committee shall review the operation to determine whether it should remain registered;
- h) any Party within whose jurisdiction an operation is registered may unilaterally request the removal of that operation from the Register without reference to other Parties by so notifying the Secretariat, and, in this case, the operation shall be removed immediately;
- i) any Party believing that a registered operation does not comply with the provisions of Resolution Conf. 10.16 (Rev.) may, after consultation with the Secretariat and the Party concerned, propose that the Conference of the Parties delete the operation from the Register by a two-thirds vote of the Parties as described in Article XV of the Convention; and, once deleted, such an operation may only be reinstated in the Register by satisfying the procedure outlined in Annex 2; and
- j) the Management Authority shall satisfy itself that the captive-breeding operation will make a continuing meaningful contribution according to the conservation needs of the species concerned;

URGES that Parties, prior to the establishment of captive-breeding operations for exotic species, undertake an assessment of the ecological risks, in order to safeguard against any negative effects on local ecosystems and native species;

AGREES further that:

- a) Parties shall restrict imports for primarily commercial purposes, as defined in Resolution Conf. 5.10, of captive-bred specimens of Appendix-I species to those produced by operations included in the Secretariat's Register and shall reject any document granted under Article VII, paragraph 4, if the specimens concerned do not originate from such an

operation and if the document does not describe the specific identifying mark applied to each specimen; and

- b) comparable documentation granted in accordance with the Convention by States that are not Parties to the Convention shall not be accepted by Parties without prior consultation with the Secretariat; and

REPEALS Resolutions Conf. 8.15 (Kyoto, 1992) and Conf. 11.14 (Gigiri, 2000) – Guidelines for a procedure to register and monitor operations breeding Appendix-I animal species for commercial purposes.

**Annex 1**                      **Information to be provided to the Secretariat  
by the Management Authority  
on operations to be registered**

1. Name and address of the owner and manager of the captive-breeding operation.
2. Date of establishment.
3. Species bred (Appendix I only).
4. Details of the number and age (if known or appropriate) of males and females that comprise the parental breeding stock.
  - Evidence of legal acquisition of each male and female, including receipts, CITES documents, capture permits, etc.
5. Operations located within range States must produce evidence that the parental stock was obtained in accordance with the relevant national laws (e.g. capture permits, receipts, etc.), or, if imported, in accordance with the provisions of the Convention (e.g. receipts, CITES documents, etc.).
6. Operations located in non-range States must produce evidence that the animals comprising the parental stock:
  - a) are pre-Convention specimens (e.g. relevant dated receipts or other acceptable proof of lawful acquisition);
  - b) have been derived from pre-Convention specimens (e.g. relevant dated receipts or other acceptable proof of lawful acquisition); or
  - c) were acquired from the range State(s) in accordance with the provisions of the Convention (e.g. receipts, CITES documents, etc.).
7. Current stock (numbers, by sex and age, of progeny held in addition to parental breeding stock above).
8. Information on the percentage mortalities and, where possible, on the percentage mortalities in the different age groups and between males and females.
9. Documentation showing that the species has been bred to second-generation offspring (F2) at the facility and a description of the method used.



the Management Authority of the Party submitting the application and the Party or Parties objecting to the registration, and shall provide the recommendations of the Animals Committee, and allow a further 60 days for resolution of the identified problem(s).

4. If the objection is not withdrawn or the identified problem(s) not resolved, the application shall be postponed until it is decided by a two-thirds majority vote at the following meeting of the Conference of the Parties, or by postal procedures equivalent to those set forth in Article XV.
5. For applications involving species already on the Secretariat's Register, refer such applications to experts for advice on their suitability only in cases where there are significant new aspects or other reasons for concern.
6. When satisfied that an application meets all requirements in Annex 1, publish the name and other particulars of the operation in its Register.
7. When an operation is not accepted for registration, provide the relevant Management Authority with a full explanation of the reasons for rejection and indicate the specific conditions that must be met before it can be resubmitted for further consideration.

RECALLING Resolution Conf. 11.22, adopted by the Conference of the Parties at its 11th meeting (Gigiri, 2000);

NOTING that biological nomenclature is dynamic;

AWARE that the names of the genera and species of several families are in need of standardization and that the current lack of a standard reference with adequate information decreases the effectiveness of the implementation of CITES in conserving the many species that are listed in the Appendices;

RECOGNIZING that the taxonomy used in the Appendices to the Convention will be most useful to the Parties if standardized by nomenclatural references;

AWARE that the Nomenclature Committee has identified names of taxa used in the Appendices to the Convention that should be changed to reflect accepted use in biology;

NOTING that these changes should be adopted by the Conference of the Parties to the Convention;

RECOGNIZING that there are several taxa included in the Appendices of which domesticated forms exist, and that in several cases the Parties have chosen to discriminate between the wild form and the domesticated form by applying a name that differs from the name cited in the standard nomenclature for the protected form;

RECOGNIZING that, in the case of new proposals for listing in the Appendices, the Parties should use adopted standard references whenever available;

CONSIDERING the great practical difficulties involved in recognizing many of the subspecies at present listed in the Appendices when they appear in trade, and the need to weigh ease of subspecies identification against reliability of information on geographic source, for enforcement purposes;

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

AGREES that species of fungi are covered by the Convention;

RECOMMENDS that:

- a) a subspecies be proposed for inclusion in the Appendices only if it is generally recognized as a valid taxon, and easily identifiable in the traded form;
- b) where there are identification difficulties, the problem be approached by either including the entire species in Appendix I or Appendix II or by circumscribing the range of the subspecies warranting protection and listing the populations within this area on a country basis;
- c) where there are domesticated forms of listed taxa, the Nomenclature Committee recommend names for the wild and domestic forms;
- d) when submitting a proposal to amend the Appendices to the Convention, the proponent identify the reference used to describe the entity being proposed;
- e) upon receiving proposals to amend the Appendices to the Convention, the Secretariat seek, where appropriate, the advice of the Nomenclature Committee on the correct names to use for the species or other taxa in question;

- f) the Secretariat may make orthographic changes in the lists of species included in the Appendices to the Convention, without consulting the Conference of the Parties;
- g) the Secretariat inform the Parties whenever the name of a taxon to be used in the Appendices to the Convention changes, provided that:
  - i) the change has been recommended or agreed to by the Nomenclature Committee; and
  - ii) the change will not alter the scope of protection for fauna or flora under the Convention;
- h) whenever the scope of a taxon is redefined as a result of a taxonomic revision, the Nomenclature Committee advise the Secretariat on the name to be listed in the Appendices or on alternative actions, including amendments to the Appendices, required to ensure that the original intent of the listing is retained;
- i) if there is conflict regarding the choice of taxonomic authority for taxa for which no standard references have been adopted by the Conference of the Parties, countries authorizing export of animals or plants (or parts or derivatives thereof) of such taxa inform the CITES Secretariat and prospective importing countries of their preferred published taxonomic authority. 'Taxonomic authority' means a recent published paper or monograph that reviews the nomenclature of the taxon being exported and that has been reviewed by professionals in the pertinent discipline. In cases where specimens of the taxon are exported from several countries and the exporting countries do not agree, or the exporting and importing countries do not agree, on the taxonomic authority, the zoologist and the botanist of the Nomenclature Committee should determine the most appropriate taxonomic authority; and
- j) the Secretariat be provided the citations (and ordering information) of checklists that will be nominated for standard references at least six months before the meeting of the Conference of the Parties at which such checklists will be considered. The Secretariat shall include such information in a Notification to the Parties so that Parties can obtain copies to review if they wish before the meeting;

ADOPTS the *Checklist of CITES species*, compiled by the UNEP World Conservation Monitoring Centre, 2001 and its updates accepted by the Nomenclature Committee as the standard reference for species included in the Appendices;

AGREES that the adoption of a standard checklist or reference by the Conference of the Parties does not by itself change the status vis-à-vis CITES of any entity, whether it is listed in the Appendices or not, and the status of the entity remains as intended in the proposal adopted by the Conference unless specifically changed by the adoption of a further proposal;

URGES Parties to assign to their Scientific Authorities the principal responsibility for:

- a) interpretation of the listings;
- b) consultation with the CITES Nomenclature Committee as appropriate;
- c) identification of nomenclatural issues that may warrant further review by the appropriate CITES committee and preparation of proposals to amend the Appendices if appropriate; and
- d) supporting and cooperating in the development and maintenance of the checklists; and

REPEALS Resolution Conf. 11.22 (Gigiri, 2000) – Standard nomenclature.