

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



Seventy-fourth meeting of the Standing Committee
Lyon (France), 7 - 11 March 2022

SUMMARY

THURSDAY 10 MARCH
EVENING

45. Transport of live specimens SC74 Doc. 45

The Committee approved the *CITES guidelines for the non-air transport of live animals and plants* as set out in the Annex to document SC74 Doc. 45. The Committee requested the Secretariat to consider, in consultation with the International Air Transport Association (IATA), options to improve access to the IATA Live Animals Regulations, taking into account the options proposed by Canada, and to report to the Standing Committee at SC77.

42. Authentication and control of permits: Report of the Secretariat SC74 Doc. 42

The Committee:

- a) noted the information on the study on permit authentication and control, contained in document SC74 Doc. 42;
- b) encouraged Parties to ensure that they have suitable controls of authorized e-commerce in specimens of CITES-listed species;
- c) agreed to submit to CoP19 the following revised amendments to Resolution Conf. 11.3 (Rev. CoP18) on *Compliance and enforcement*;

XX. RECOMMENDS that Parties, where possible and appropriate:

- i) institutionalize regular formalized meetings between customs and CITES authorities;
- ii) ~~where possible and appropriate~~, exchange information on seizures between customs and the CITES authorities;
- iii) allow customs systems access to information in permitting databases of Management Authorities and allow Management Authorities access to information in customs systems;
- iv) institute automated verification schemes between customs application systems and CITES permitting databases;
- v) ensure collaboration between CITES authorities and customs to use information contained in the respective electronic data systems, available intelligence and the HS code to implement risk-based control procedures;

- vi) ensure to the extent possible that professionals involved in wildlife trade and management, such as veterinarians receive training on CITES and their role in implementing the Convention and compliance with relevant national laws as part of their professional practice and ongoing accreditation;
- d) agreed to submit to CoP19 the following draft decisions:

19.AA Directed to the Parties

Where this has not yet been done, Parties are encouraged to undertake risk assessments to develop risk profiles specific to CITES-listed specimens frequently ~~found in trade~~ exported and imported by the Party, and to reach out to the World Customs Organization for support in this regard, where needed.

19.BB Directed to the Secretariat

The Secretariat shall, subject to available resources, work with the World Customs Organization and other partners to develop guidance, including a specific guidance for a risk-based analysis related to the process of analysis and inspection under CITES permit issuing systems, and elements for a national policy on physical inspections and present its report and recommendations to the Standing Committee.

19.CC Directed to the Standing Committee

The Standing Committee shall consider the report of the Secretariat and endorse any guidance, as appropriate.

- e) agreed that Decisions 18.130 and 131 had been implemented and can be proposed for deletion by the Conference of the Parties.

41. Electronic systems and information technologies:

Report of the working group and the Secretariat..... SC74 Doc. 41

The Committee:

- a) noted document SC74 Doc. 41;
- b) agreed to submit to CoP19 the following draft amendments to Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*:
 - i) After the sixth preambular paragraph, insert the following new paragraph:

RECOGNIZING that electronic permitting systems can support Parties in regulating trade, in incentivizing compliance with legal trade frameworks, in monitoring the legality and sustainability of trade, including with regard to producing CITES annual trade reports, and in combatting illegal trade;

- ii) Amend the tenth, eleventh and twelfth preambular paragraphs as follows (agreed by SC73):

NOTING that the [eCITES Implementation Framework](#), [CITES electronic permitting toolkit](#), [Guidelines and specifications for Electronic Permit Information eXchange \(EPIX\) of CITES permits and certificates](#), and [the Guidance on CITES electronic signatures](#) provides guidance to Parties on common internationally recognized information exchange formats, protocols and standards, and electronic signatures;

RECOGNIZING the need to adopt the principles outlined in the ~~*CITES electronic permitting toolkit*~~ above-mentioned guidance to facilitate the exchange of information among national Management Authorities;

RECOGNIZING that the ~~*CITES electronic permitting toolkit*~~ this guidance will require updates and revisions to reflect the evolution of technologies and ongoing development of international standards;

- iii) Amend paragraph 2 e) as follows (agreed by SC73):
- e) if a permit or certificate form, whether issued in an electronic or paper format, includes a place for the signature of the applicant, the absence of the handwritten signature or, in case of electronic forms, any electronic equivalent, should render the permit or certificate invalid, taking into account the *Guidance on CITES electronic signatures*; and
- iv) In paragraph 3, insert a new subparagraph c), amend the current subparagraph c), insert two new subparagraphs after subparagraph c) and renumber the subsequent subparagraphs as follows:
- c) all Parties consider the development and use of electronic permit management systems such as those outlined in the *eCITES Implementation Framework* that, *inter alia*, support the production of annual reports required under the provisions of Article VIII, paragraph 7 (a); where relevant and appropriate, Parties consider the implementation of electronic processes for permit issuance and the development and use of the electronic equivalent of paper-based permits and certificates;
 - ed) Parties using or developing electronic permits and certificates, adopt the standards recommended in the *CITES electronic permitting toolkit, Guidelines and specifications for Electronic Permit Information eXchange (EPIX) of CITES permits and certificates and the Guidance on CITES electronic signatures*;
 - e) Parties that issue electronic permits and certificates submit information to the Secretariat documenting that when their system issues electronic permits and certificates, these are the electronic equivalent of original paper permits and certificates and information on how to verify the validity of permits and certificates issued electronically;
 - f) the Secretariat, via Notification, provide the information from Parties submitted under [subparagraph e] on their electronic systems;
- v) Amend paragraph 3, subparagraph n) as follows:
- n) Parties that do not already do so affix a security stamp to each permit and certificate, or add a two-dimensional barcode, or both, or use any other relevant manner to secure each permit and certificate;
- vi) In paragraph 3 after the current subparagraph o), insert a new subparagraph as follows:
- AA) Parties that issue electronic permits and certificates ensure that their systems issue electronic equivalent of original paper permits and certificates, and that their systems have adequate security measures, including mechanisms that:
- i) in the case of a single-use document, prevent more than one movement under the same document; and in the case of a multiple-use document, prevent its unauthorized use;
 - ii) receive information from the importing Party when a document has been used;
 - iii) enable the authorities of any Party to verify whether the document is valid or has been used;
 - iv) contain security protocols that maintain integrity of all communications and data transfer, including use of two-dimensional barcodes;
- vii) Amend the current paragraph 3, subparagraph q) to read as follows (agreed by SC73)
- q) 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, or in case of electronic permits and certificates, the names of the empowered persons and methodologies used to authenticate them, 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;

viii) Amend Annex 1, paragraph I) as follows (agreed by SC73):

- l) The name of the signatory and his/her handwritten signature for paper permits and certificates or its electronic equivalent for electronic permits and certificates taking into account the *Guidance on CITES electronic signatures*;

ix) Amend Annex 2, page 2, paragraph 4 as follows:

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, if a place for the signature of the applicant is included.

x) Amend Annex 3, page 2, paragraph 3 as follows:

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, if a place for the signature of the owner is included.

c) agreed to submit to CoP19 the following draft decisions:

19.AA Directed to the Parties

Parties are invited to:

- a) use the eCITES Implementation Framework, the latest edition of the CITES electronic permitting toolkit, Guidelines and specifications for Electronic Permit Information eXchange (EPIX) of CITES permits and certificates, and the *Guidance on CITES electronic signatures in planning and implementing electronic CITES systems*;
- b) consider the implementation of electronic CITES systems in a manner designed to meet CITES requirements, including those provided in Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates* to increase transparency and efficiency of the permit issuance and control process, to prevent use of fraudulent permits, and to provide quality data for reporting and improved sustainability assessment;
- c) work with the customs, National Plant Protection Organizations (NPPOs) and other relevant agencies to ensure that trade in CITES-listed specimens is in compliance with CITES requirements and, where appropriate, in line with, or integrated into, other relevant national cross-border trade systems and procedures;
- d) share experience, challenges and know-how with other Parties on the development and implementation of electronic CITES permit management systems and use of the electronic equivalent of paper-based permits and certificates, and provide inputs to the Secretariat for continuous improvement of eCITES reference materials;
- e) take note of the [eCITES BaseSolution](#) as an automated permit management system option that is now available to Parties for implementation;
- f) call upon donor countries and agencies to provide financial support towards the implementation of electronic CITES permit management systems in developing countries; and
- g) submit to the Secretariat information on the use of HS codes for risk-based control procedures.

19.BB Directed to the Standing Committee

The Standing Committee shall, in consultation with the Secretariat, undertake the following tasks:

- a) work with the United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT), the United Nations Conference on Trade and Development (UNCTAD),

the United Nations Economic Commission for Europe (UNECE), the International Trade Centre (ITC), the World Bank, the World Customs Organization (WCO), the World Trade Organization (WTO), the Secretariat of the International Plant Protection Convention (IPPC), and other relevant partners, to continue the exchange of information and the development and implementation of joint projects that would facilitate Parties' access to electronic permitting systems that comply with CITES requirements and where appropriate are aligned with international trade standards and norms;

- b) work with relevant partners on the further development of standards and solutions for Electronic Permit Information eXchange (EPIX) for the exchange of CITES permit and certificate data and the improvement of the validation of CITES permit data by CITES Management Authorities and customs officials;
- c) recognizing the importance of the requirement for endorsement of permits and certificates at export, explore possible alternatives to the physical endorsement;
- d) monitor and advise on Parties' work related to the development of traceability systems for specimens of CITES-listed species to facilitate their harmonization with CITES permits and certificates;
- e) monitor the use of HS codes in implementing risk-based control procedures in different countries;
- f) support the development of the capacity of Management Authorities, especially those with the greatest needs, to electronically collect, secure, maintain, and transmit data using systems compatible with those of the Secretariat and other Management Authorities; and
- g) submit reports on activities undertaken under Decision 19.BB, paragraphs a) to f) and make recommendations to the Conference of the Parties at its 20th meeting.

19.CC Directed to the Secretariat

The Secretariat shall, subject to the availability of external funding:

- a) undertake a study on the information used by different Parties in a risk-based approach for CITES trade controls;
 - b) collect information from Parties on any issues encountered with regard to the application of national data protection laws that affect implementation of Electronic Permit Information eXchange (EPIX) for the exchange of CITES permits and certificates;
 - c) support the work of the Standing Committee under Decision 19.BB through the organization of workshops, consultations, preparation of studies and guidance materials on relevant topics as identified by the Standing Committee; and
 - d) provide capacity-building and advisory services to support Parties interested in implementing electronic solutions for the management and control of CITES permits and certificates and support Parties in establishing electronic permit systems and information exchanges.
- d) agreed that Decisions 18.125-128 had been implemented and propose to CoP19 that they can be deleted.

43. Purpose codes on CITES permits and certificates: Report of the working group SC74 Doc. 43

The Committee agreed to submit to CoP19 the following amendments to Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*:

Conf. 12.3 (Rev. CoP189) *Permits and certificates*

...

- g) Parties state, on each of their permits and certificates, the purpose of the transaction using the following codes:

T – Commercial
Z – Zoo
G – Botanical garden
Q – Circus or travelling exhibition
S – Scientific
H – Hunting trophy
P – Personal
M – Medical (including biomedical research)
E – Educational
N – Reintroduction or introduction into the wild
B – Breeding in captivity or artificial propagation
L – Law enforcement / judicial / forensic;

- h) The purpose of transaction code is determined as follows:

- i) The transaction between the sender/exporter and receiver/importer directly involved in the trade from one State to another is used to assess the purpose of transaction code for the export permit or re-export certificate. This indicates the reason there is trade of the specimen(s) from the sender/exporter to receiver/importer. The sender/exporter and receiver/importer can be the same entity (e.g., personal movement).
- ii) The intended use of the specimens by the importer is used to determine the purpose of transaction code for the import permit. This indicates the reason the importer requests to import or is importing the specimen(s).
- iii) When both the export permit/re-export certificate and the import permit are issued, the purpose of transaction code used on the two CITES documents may be different.
- iv) For transactions whose non-commercial aspects do not clearly predominate, and except where an alternative code more precisely reflects the reason for the transaction, purpose-of-transaction-code T should be used.
- v) For transactions that are non-commercial in nature, the most applicable of the codes should be used.

- ~~iv~~v) In the case of these certificates, the following purpose of transaction codes should be used:

Certificate of Ownership	P
Travelling Exhibition Certificate	Q
Musical Instrument Certificate	P or Q
Scientific Certificate	S

- ~~v~~vii) For the remaining certificates, the purpose of transaction code is determined as follows:

Pre-convention certificate – as outlined in i) above for export permits or re-export certificates;
Certificate of Origin – as outlined in i) above for export permits or re-export certificates;
Certificate of captive breeding and artificial propagation – as outlined in i) above for export permits or re-export certificates;
Introduction from the Sea certificate – as outlined in ii) above for import permits;

- i) The term 'hunting trophy', as used in this Resolution, means a whole animal, or a readily recognizable part or derivative of an animal, specified on any accompanying CITES permit or certificate, that:

- i) is raw, processed or manufactured;

- ii) was legally obtained by the hunter through hunting for the hunter's personal use; and
 - iii) is being imported, exported or re-exported by or on behalf of the hunter, as part of the transfer from its country of origin, ultimately to the hunter's State of usual residence.
- j) Purpose code 'Z' (zoo) should be used where the transaction is for the purpose of movement of a specimen to a zoo and/or aquarium or by a zoo and/or aquarium for public display, care, reproduction, public education and awareness, scientific research, rescue, rehabilitation, or conservation;
 - k) Purpose code 'M' (medical including biomedical research) should be used where the transaction is for the purpose of medical or veterinary testing, diagnosis, treatment or research, including biomedical research;
 - l) Purpose code 'E' (educational) should be used where the transaction is for the purpose of use in educational and training programs or for display in an institution with a primarily educational remit;
 - m) Purpose code 'N' (reintroduction or introduction to the wild) should be used where the transaction is for the purpose of reinforcement and reintroduction within a species' natural and historical range, and for conservation introductions, comprising assisted colonization and ecological replacement, outside the species' natural and historical range;
 - n) Purpose code 'L' (law enforcement/judicial/forensic) should be used where the transaction is for the purpose of transfer of specimens between, or in support of, government agencies for law enforcement, judicial or forensic purposes;

The Committee requested the Secretariat to work with the Standing Committee Chair and the Chair of the intersessional working group to consider any Resolution related to or affected by purpose-of-transaction codes, to ensure coherent interpretation; to prepare a report to CoP reflecting the discussion on purpose codes 'P' and 'T' and to draft new decisions to CoP19 to ensure continued discussion on purpose code 'P' and 'T'.

44. Simplified procedures for permits and certificates..... SC74 Doc. 44

The Committee agreed to submit to CoP19 the following amended draft decision:

19.XX Directed to the Standing Committee

The Standing Committee shall consider the need for the development of further appropriate mechanisms, including guidance and capacity-building on simplified procedures in accordance with the recommendations in Part XIII of Resolution Conf. 12.3 (Rev. CoP18) on Permits and certificates, to facilitate the efficient international movement of wildlife samples for diagnostic purposes and/or conservation purposes, for consideration by the 20th meeting of the Conference of the Parties.

40. Guidance for making legal acquisition findings: Report of the Secretariat..... SC74 Doc. 40

The Committee noted document SC74 Doc. 40 and the 'Rapid guide for the making of legal acquisition findings' in its Annex. The Committee further noted that the Secretariat will organize a workshop to review the 'Rapid guide for the making of legal acquisition findings' and agreed to submit to CoP19 the 'Rapid guide for the making of legal acquisition findings' as revised at the workshop.

The Committee agreed to submit to CoP19 the following draft decisions:

19.AA Directed to the Parties

Parties are invited to test the 'Rapid guide for making legal acquisition findings' developed by the Secretariat and offer, upon request, peer assistance to other Parties for the improvement of their capacity to verify legal acquisition for different taxa.

19.BB Directed to the Secretariat

The Secretariat shall:

- a) subject to external funding, develop digital solutions to automate relevant parts of the 'Rapid guide for making legal acquisition findings' and maintain a dedicated webpage regarding the verification of legal acquisition for different taxa and specimens on the CITES website and update it regularly;
- b) subject to external funding, organize workshops and other capacity-building activities related to the implementation of Resolution Conf. 18.7 on *Legal acquisition findings* and disseminate training material for the verification of the legal acquisition of CITES specimens; and
- c) report to the Standing Committee on the progress made in the implementation of Resolution Conf. 18.7 on the basis of information, experiences and examples submitted by the Parties.

19.CC Directed to the Standing Committee

The Standing Committee shall monitor progress in the implementation of Resolution Conf. 18.7, assess any reports submitted by the Secretariat as per Decision 19.BB., paragraph c) and, where appropriate, make recommendations for improving the verification of legal acquisition by the Parties for submission to the 20th meeting of the Conference of the Parties.

14. Tree Species Programme: Report of the Secretariat.....SC74 Doc. 14

The Committee noted the Secretariat's progress report in document SC74 Doc. 14 and its annexes provided under Decision 18.17, paragraph b) and the support by the Plants Committee for the further implementation of the programme as set out in paragraph 11 of document SC74 Doc. 14.

The Committee invited the Secretariat to take into account the guidance provided by the Standing Committee and observer Parties in preparation for its report to CoP19, including the following amendments to the draft decisions in document SC74 Doc. 14:

Directed to the Parties

- 19.AA Parties are invited to provide financial and in-kind support for the continuation of a capacity-building programme that provides long-term support to Parties on their implementation of the Convention for CITES-listed tree species.

Directed to the Secretariat

19.BB The Secretariat shall bring to the attention of the Plants Committee relevant technical and scientific results of the CITES Tree Species Programme (CTSP) and, subject to external funding:

- a) develop and implement a capacity-building programme across all six regions on the implementation of CITES for tree species included in the Appendices based on the lessons learned of the CTSP;
- b) seek advice and guidance from the Plants and Standing Committees, as needed ~~where required~~;
- c) continue cooperation with organizations working on forest related matters, such as the International Tropical Timber Organization (ITTO) and other members of the Collaborative Partnership on Forests (CPF), to strengthen the support to Parties for implementing the Convention for listed tree species; and
- d) report on the implementation of this Decision at the 20th meeting of the Conference of the Parties.