

Interpretation and Implementation of the Convention  
Marking of Crocodilian Specimens

UNIVERSAL TAGGING SYSTEM FOR THE IDENTIFICATION OF CROCODILIAN SKINS

The attached draft resolution (Annex) to replace Resolution Conf. 8.14 has been prepared and submitted by the Animals Committee of the Conference of the Parties.

Doc. 9.36 (Rev.) Annex

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

Universal Tagging System for the Identification of Crocodilian Skins

AWARE that all living species of crocodilian are listed in Appendix I or II of CITES, but concerned that several crocodilian species may be subject to some levels of illegal trade;

RECOGNIZING that illegal trade has in the past threatened the survival of certain populations of crocodilian and has undermined the efforts of producer countries to manage their crocodilian resources on a sustainable basis;

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;

NOTING that in order to assist the Secretariat and the Parties in their efforts efficiently to track crocodilian skins in trade, marking should be standardized and that particular specifications for the design of tags are fundamental and should be generally applied;

CONSIDERING that the tagging of all crocodilian skins in international trade would be a fundamental step towards the effective regulation of international trade in crocodilians and that a Resolution to this effect was adopted at the eighth meeting of the Conference of the Parties (Resolution Conf. 8.14, Kyoto, 1992);

NOTING, however, that strategies for the secure marking of similar species should take into consideration systems currently in place as well as the requirements of legitimate processing industries and that the system established at the eighth meeting of the Conference of the Parties was found to require improvement;

APPROVING the steps already taken by the Secretariat to establish a register of manufacturers able to produce tags for the marking of crocodilian skins;

RECOGNIZING that any requirement for a marking system that involves the individual identification and documentation of huge numbers of specimens is likely to result in increased errors in documentation;

THE CONFERENCE OF THE PARTIES TO THE  
CONVENTION

RECOMMENDS

- a) the introduction of a universal tagging system for the identification of raw and processed crocodilian skins and parts thereof by the general application of non-reusable tags to identify all crocodilian skins entering international trade from the countries of origin;
- b) that whole or substantially whole skins and flanks be individually tagged and that "chalecos" have a tag attached to each side, and further that tails, throats, feet, backstrips and other parts be exported in transparent, sealed containers clearly marked with a tag together with a description of the content and weight;
- c) that the non-reusable tags include, as a minimum, the ISO two-letter code for the country of origin, a unique

serial identification number and a standard species code, and further, that such tags have as a minimum the following characteristics: a self-locking mechanism, heat resistance, inertia to chemical and mechanical processing and alphanumeric information applied by permanent stamping. The year of production or harvest, as appropriate, should be included on tags used to mark skins produced in accordance with the provisions of Resolutions Conf. 3.15, 7.14 and 8.15 adopted at the third (New Delhi, 1981), seventh (Lausanne, 1989) and eighth (Kyoto, 1992) meetings of the Conference of the Parties;

- d) that the same information as is on the tags be given on the export permit or re-export certificate (or other Convention document) or on a separate sheet which shall be considered an integral part of the document, carry the same identification number and be validated by the same issuing authority;
- e) that, in the event of mismatches of information within such a permit, re-export certificate or other Convention document, 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 that, if this is the case, every effort be made to avoid penalizing those involved in such transactions;
- f) that Parties establish, where legally possible, a system of registration or licensing, or both, for importers and exporters of crocodilian skins and parts thereof;
- g) that all countries permitting re-export of raw and processed crocodilian skins and parts thereof ensure that whole and substantially whole skins and flanks are re-exported with the original tags intact unless the pieces originally imported have been further processed and cut into smaller pieces;
- h) that, where the original tags have been lost or removed from legally imported whole or substantially whole crocodilian skins or flanks, the country of re-export tag each such skin or flank, prior to re-export, with a "re-export" tag meeting all the requirements of paragraph c) above except that the country-of-origin and standard-species codes will not be required; and further, that the same information as is on these tags be given on the re-export certificate together with details of the original permit under which the skins were imported;
- i) that, where a re-export comprises legally acquired, untagged skins that pre-date the implementation of this Resolution, the Management Authority of the country of re-export shall record this on the re-export certificate;
- j) that Parties accept export permits, re-export certificates or other Convention documents for trade in crocodilian skins and parts thereof only if they contain the

information referred to in paragraphs c), h) or i), as appropriate, and if the related skins and parts thereof are tagged according to the provisions of this Resolution; the only exception to this latter requirement will be where a Party has stocks of existing tags that do not bear the information required in c) but has informed the Secretariat of the number and details of such tags, and plans to discontinue their use. In such cases, this should be stated on the export documentation which, after confirmation by the Secretariat, the Management Authority of the importing Party should accept; and

k) that the Parties and the Secretariat implement a management and tracking system for tags used in trade as outlined in the Annex to this Resolution;

DIRECTS the Secretariat, in consultation with the Animals Committee, to monitor implementation of this Resolution and report its findings with recommendations where appropriate at each meeting of the Conference of the Parties; and

REPEALS Resolution Conf. 8.14 (Kyoto, 1992) on the same subject.

## Annex

### Management and Tracking System for Tags used in the Crocodilian Skin Trade

1. The CITES Secretariat should establish, maintain, and amend periodically thereafter, a list of approved sources capable of manufacturing tags that meet the minimum requirements as laid down in paragraph c) of this Resolution; and further, the Secretariat should regularly give notice to the Parties of such sources and each Management Authority should obtain tags to mark crocodilian skins only from these approved sources.
2. Any approved tag manufacturer registered by the Secretariat should first agree, in writing, that it will:
  - a) not duplicate any series of tags produced in accordance with this Resolution;
  - b) sell such tags only to Management Authorities or, in non-party States to designated government agencies, recognized by the Secretariat in accordance with Resolution Conf. 8.8, or to bodies approved by these agencies; and
  - c) report directly and immediately to the Secretariat each order for tags that is fulfilled.
3. When ordering tags from approved sources, Management Authorities should immediately inform the Secretariat of the details of each tag order.
4. Upon request by a Management Authority, the Secretariat should purchase and distribute tags for crocodilian skins, and should recover the full cost, except if external funding becomes available for Parties requiring assistance.
5. The Secretariat should seek additional resources to allow it to computerize the information collected in connection with this Resolution.
6. The Management Authorities of the exporting, re-exporting and importing Parties should provide the Secretariat, when directed by the Standing Committee or agreed to between the range States and the Secretariat, with a copy of each export permit, re-export certificate or other Convention document for crocodilian skins or flanks immediately after issuance or on receipt, as appropriate.

### Codes for the Identification of Crocodilian Species

Species	Code	Species	Code
<i>Alligator mississippiensis</i>	MIS	<i>Crocodylus niloticus</i>	NIL
<i>Alligator sinensis</i>	SIN	<i>Crocodylus novaeguineae mindorensis</i>	MIN
<i>Caiman crocodilus apaporiensis</i>	APA	<i>Crocodylus novaeguineae novaeguineae</i>	NOV
<i>Caiman crocodilus chiapasius</i>	CHI	<i>Crocodylus palustris</i>	PAL
<i>Caiman crocodilus crocodilus</i>	CRO	<i>Crocodylus porosus</i>	POR
<i>Caiman crocodilus fuscus</i>	FUS	<i>Crocodylus rhombifer</i>	RHO
<i>Caiman latirostris</i>	LAT	<i>Crocodylus siamensis</i>	SIA
<i>Caiman yacare</i>	YAC	<i>Gavialis gangeticus</i>	GAV
<i>Crocodylus acutus</i>	ACU	<i>Melanosuchus niger</i>	NIG
<i>Crocodylus cataphractus</i>	CAT	<i>Osteolaemus tetraspis</i>	TET
<i>Crocodylus intermedius</i>	INT	<i>Paleosuchus palpebrosus</i>	PAP
<i>Crocodylus johnstoni</i>	JOH	<i>Paleosuchus trigonatus</i>	TRI
<i>Crocodylus moreletti</i>	MOR	<i>Tomistoma schlegelii</i>	SCH

Interpretation and Implementation of the Convention

NON-COMMERCIAL SAMPLES OF SKINS

The attached draft resolution (Annex) has been prepared and submitted by Brazil.

Note from the Secretariat

The Secretariat recognizes that the international circulation of non-commercial samples of skins generates considerable paperwork, which does not benefit the implementation of CITES or the conservation of the species in question. It would therefore be useful to find a solution to this issue that would conform to CITES, be acceptable to the Parties and not be subject to abuses.

A similar proposal concerning fur exhibitions was considered by the Parties at its sixth meeting (see Doc. 6.37). The

proposal was rejected as contrary to CITES, but it provided for the possible sale of specimens during the exhibition period. This is not the case with the present proposal.

The Secretariat believes that the proposal as drafted is not acceptable because it is not in accordance with the provisions of the Convention and that more work is necessary. The Secretariat therefore suggests that the Conference of the Parties consider whether a solution may be found and, if so, that the Conference invite the proponent or any other Party to submit a new proposal for consideration at the tenth meeting, or instruct the Secretariat to do so, unless it is felt that the preparation of a new draft resolution is possible at the ninth meeting itself.

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Doc 9.37 Annex

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DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

Non-commercial Samples of Skins

NOTING that for specimens of species included in Appendix II of the Convention, the prior granting and presentation of an export permit or re-export certificate is necessary before starting a transaction;

NOTING that skin manufacturers and traders often send sets of samples of skin items to their clients in various countries, who send them back to the countries of residence of the manufacturers or traders;

NOTING that such items are not for sale;

NOTING that there are no provisions in the Articles of the Convention for the temporary export of samples that will circulate in various countries with a single document;

NOTING that in each of the countries visited by traders to offer their merchandise, they must obtain a re-export certificate for their set of samples;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that

- a) the Parties adopt a unique export permit/re-export certificate for non-commercial samples of skins to be issued by a Management Authority to skin manufacturers or traders located in its country, to allow the permittee to visit all countries specified on the document without the need to obtain a re-export certificate in each of them; and
- b) when the samples are returned to the country of issuance of the document, the validity of which may not exceed six months, the document be returned to the issuing Management Authority.

Interpretation and Implementation of the Convention  
STANDARDIZATION OF CITES PERMITS AND CERTIFICATES

This document has been prepared and submitted by the Secretariat.

1. At its eighth meeting, the Conference of the Parties adopted Resolution Conf. 8.5, without adopting a standard form for permits and certificates, but it asked the Secretariat to prepare one in consultation with the Parties. The standard form currently recommended is that annexed to Resolution Conf. 3.6, which does not correspond to the text of Resolution Conf. 8.5.
2. With Notification to the Parties No. 691, of 24 August 1992, the Secretariat sent to the Parties for comments a draft of a standard form for permit. Most of the Parties that responded approved the draft but some of them proposed amendments.
3. The Secretariat submitted a revised draft to the Standing Committee, as well as the comments from the Parties. The Committee considered these documents at its 29th meeting (Washington, D.C., March 1993) and made some further comments. The Committee noted in particular that, contrary to the text of Appendix IV of the Convention, the proposed standard form, like that annexed to Resolution Conf. 3.6 and like the export permits of many of the Parties, has no space reserved for the signature of the applicant for the permit. The Standing Committee agreed that the rejection of a permit or certificate should only be recommended in cases where there is a space on the document for the signature but the space is not completed.
4. The Secretariat has prepared a standard form that it is now recommending. A copy of this standard form was sent to the Parties with Notification to the Parties No. 807 of 10 June 1994. A copy is attached to the present document as Annex 2.

Each Party may adapt the standard form to its own needs and to its national legislation, provided that all the information required by the Convention and that agreed upon by the Conference of the Parties in Resolution Conf. 8.5 is included.

5. Consequently, the Secretariat is asking the Conference of the Parties to approve the new standard form (see Annex 2) to replace the Annex to the consolidated Resolution relating to permits and certificates.
6. In certain circumstances it is difficult to include in the available space on the permit all the necessary information. This is in particular the case for shipments that include a large number of species or when the information concerning the individual marks of a large number of specimens must be provided and the numbers of the marks are not sequential. In such cases, annexes to the permit must be used but no guidelines have ever been provided regarding their format and the information they should contain. Annex 1 to this document includes a proposed amendment to the consolidated Resolution relating to permits and certificates, to provide the necessary guidelines.
7. In addition, and as indicated in document Doc. 9.22 on alleged infractions, the Secretariat has identified a number of problems regarding permits and certificates. In Annex 1 to the present document, amendments to the consolidated Resolution on permits and certificates are proposed, relating to the following matters:
  - permits/certificates expired, cancelled, lost, stolen or destroyed;
  - re-export of specimens of illegal origin;
  - compliance with annual quotas;
  - units of measure; and
  - use of standard nomenclatures.
8. The Secretariat suggests that, if adopted, the amendments proposed in this document and contained in Annexes 1 and 2 be inserted in the consolidated Resolution at the appropriate places, as determined by the Secretariat.

Doc. 9.38 (Rev.) Annex 1

Proposals for Amendment of the Consolidated Resolution Relating to Permits and Certificates

1. Addition at the end of paragraph b) of the first RECOMMENDS of: as Annex.
2. Addition under AGREES of the following paragraphs:
  - that 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;
  - that 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 permit or certificate number and the date of issuance; and
    - ii) the signature and the stamp or seal, preferably embossed, of the authority issuing the document.
3. Amendment (addition in italics) of paragraph k) under the second RECOMMENDS to read as follows":
 

*"that, when a country 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;*
4. Addition under the second RECOMMENDS of the following paragraphs:
  - that, 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;

- that, 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;
- that, when issuing permits and certificates, the Parties follow the standard nomenclatures adopted by the Conference of the Parties to indicate the names of species;
- that, 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;
- that Parties reject any re-export certificate that refers to an export permit that does not exist or that is invalid;
- that Parties ensure that, when the original of an export permit or re-export 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;

- that, when a Management Authority knows a specimen to be of illegal origin, it not issue a re-export certificate for the specimen even if it has been imported in accordance with the national legislation;
- that, when a permit or certificate for export or re-export has been cancelled, lost, stolen or destroyed, the issuing Management Authority immediately inform the Management Authority of the country of destination;
- that, 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;.



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

**PERMIT / CERTIFICATE No.**

- EXPORT
- RE-EXPORT
- IMPORT
- OTHER:

Original

2. Valid until

3. Importer (name and address)	4. Exporter (name and address, country)
3a. Country of import	_____ Signature of the applicant
5. Special conditions  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.	6. Name, address, national seal/stamp and country of Management Authority
5a. Purpose of the transaction (see reverse)	5b. Security stamp N°

7.B. 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
A	7.B. _____ 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	7.B. _____ 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 ***	
C	7.B. _____ 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 ***	
D	7.B. _____ 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 ***	

\* Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export)  
 \*\* Only for specimens of Appendix-I species bred in captivity or artificially propagated for commercial purposes  
 \*\*\* For pre-Convention specimens

13. THIS PERMIT IS ISSUED BY:

\_\_\_\_\_

Place \_\_\_\_\_ Date \_\_\_\_\_ Security stamp, signature and official seal \_\_\_\_\_

14. EXPORT ENDORSEMENT:

Block	Quantity
A	_____
B	_____
C	_____
D	_____

15. Bill of Lading/Air Waybill Number: \_\_\_\_\_

Port of Export \_\_\_\_\_ Date \_\_\_\_\_ Signature \_\_\_\_\_ Official stamp and title \_\_\_\_\_

**CITES PERMIT / CERTIFICATE N°**

# 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 square "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. 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 square 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 objects, **M** for bio-medical research, **E** for education, **N** for reintroduction or introduction into the wild and **B** for captive breeding or artificial propagation.
  - 5b. Indicate the number (including the country's ISO code) 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 sub-species) 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 specimens 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 in 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. 9.18, 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. 2.12, 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 bred in captivity for non-commercial purposes and specimens of species included in Appendices II and III)
  - F** First generation (F1) animals born in captivity, but which do not fulfil the definition of "bred in captivity" in Resolution Conf. 2.12, as well as parts and derivatives thereof
  - U** Source unknown (**must be justified**)
  - I** Confiscated or seized specimens.
11. Indicate the total number of specimens or, if this is not possible, the quantity, and specify the unit of measurement used (for example the weight in kilograms). Do not use general terms such as "a case" or "a batch".
  - 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 export permit of the 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.
  13. To be completed by the official who issues the permit. The name of the official (and his title) 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 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 waybill 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, French and Spanish) or must include a full translation into one of these three languages. Exported and re-exported specimens should not appear on the same document.

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

## Interpretation and Implementation of the Convention

## Transport of Live Specimens

## WORKING GROUP ON THE TRANSPORT OF LIVE SPECIMENS

Report of the Chairman

In Resolution Conf. 7.13 the Parties recorded their decision that the Working Group on Transport of Live Specimens (TWG) shall be a permanent working group reporting to the Standing Committee. I should like to take this opportunity to report on the activities of the TWG since the last meeting of the Conference of the Parties, March, 1992, in Kyoto, Japan (COP8). The following documents were submitted to and adopted by the Standing Committee:

- Doc. SC.28.9 June, 1992: Report of the Chair: Working Group on the Transport of Live Specimens: contains Terms of Reference for the operations of the TWG between

COP8 and COP9, which were approved by the Standing Committee

- Doc. SC.29.20 March, 1993: Report of the Chair: Working Group on the Transport of Live Specimens
- Doc. SC.30.11 September, 1993: Report of the Chair: Working Group on the Transport of Live Specimens.

Following a summary of activities of the TWG since COP8, I shall provide my own personal recommendations for the future of the TWG.

**Report, According to the Terms of Reference**

In June 1992, the Standing Committee, at its 28th meeting (SC28), adopted document Doc. SC.28.9, entitled "Report of the Chair: Working Group on the Transport of Live Specimens", which established the Terms of Reference for the activities of the TWG between COP8 and COP9. The numbered items below refer to the Terms of Reference adopted at SC28. The Government of Senegal hosted a meeting of the TWG on 29 and 30 April 1993; this was the first meeting of the TWG in Africa, and indeed the first TWG meeting in an exporting country. A detailed discussion of the meeting was presented in document Doc. SC.30.11.

1. To assist Parties, when requested, in the implementation of both the Convention and Resolutions, pertaining to both preparation for shipment and transport of live specimens

- a) The Chair assisted the Secretariat in providing training to Parties and non-Parties of the wider Caribbean, regarding both the implementation of the Convention and Resolutions on the transport of live specimens listed in the CITES appendices.
- b) The Chair responded to a request from the Government of the United Kingdom for co-operation in analyzing data on the mortality of wild birds in international trade, as recommended in Resolutions Conf. 7.13 and 8.12. The report was discussed at the Senegal meeting of the TWG, and at the subsequent Standing Committee meeting (see 5, below).
- c) In order to implement Resolution Conf. 8.5, the Chair and the TWG endeavoured to work with the Secretariat to implement the requirement that all permits for live animals should have a statement printed or stamped on them saying that the shipment is only valid if it complies with the International Air Transport Association (IATA) Live Animals Regulations (for air transport) or the CITES Guidelines. The TWG at its meeting strongly agreed that the Secretariat should recommend to Parties that permits without this information should not be accepted, and that the Secretariat should recommend to Parties that shipments not in compliance with the IATA Live Animals Regulations should be rejected.
- d) Resolution Conf. 8.12 (Trade in Live Birds Experiencing High Mortalities in Transport) calls upon the Parties to "take appropriate measures, including temporary suspension of trade for commercial

purposes between Parties when appropriate, regarding trade in species of birds that have significant high mortality rates in transport..." This issue was discussed extensively at COP8. At its meeting the TWG confirmed its consensus from previous meetings that 10% mortality in transport was significantly high. The TWG was unable however to reach a consensus on any actual recommendations on individual species.

- e) The Terms of Reference of the TWG include making recommendations to the Parties relating to the transport of all CITES-listed species, including plants. The Chair has received the agreement of the TWG to ask the Plants Committee whether there are any specific recommendations that are necessary, or any specific problems with shipments of live plants that should be addressed. None was identified.
2. Co-operate with the Secretariat in presenting training workshops focused on assisting exporting Parties in implementing the treaty and relevant Resolutions dealing with the preparation for shipment and humane transport of live animals; such work shall include planning and participating in such workshops
- a) Such training was provided by the Chair, in co-operation with the Secretariat, at a CITES training workshop for representatives of 18 governments of the Caribbean in September 1992. The Secretariat also provided the same training at workshops in Argentina, Paraguay, Thailand and Malawi.
  - b) A training workshop in CITES procedures and procedures for the transport of live animals was provided by the Chair, in co-operation with the Secretariat and the Government of Senegal, for representatives of several governments, traders, airlines, and other non-governmental organizations, in May 1993, in Dakar, Senegal. Attendees included most of the participants in the TWG meeting of the week before, along with additional traders and airlines. As a result of the training, governments, airlines and several importers and exporters are now far more aware of CITES requirements, including the requirements of the IATA Live Animals Regulations, and the stricter domestic measures of the European Community and the United States of America.
  - c) The Standing Committee and the Secretariat have agreed that all such training offered by the

Secretariat in the future will include a component on live animal transport.

3. Seek information from the Parties, with the assistance of the Secretariat, in an effort to obtain data and information on: (i) numbers of live specimens per shipment and mortalities and causes thereof related to transport; and (ii) individual cases of high mortalities in transport for any CITES-listed species (in accordance with Resolutions Conf. 7.13 and 8.12).

- a) The Chair and the Secretariat co-operated in preparation of Notification to the Parties No. 692, which requested that Parties maintain records of the numbers of live birds and other animals per shipment and of their mortalities, and that copies of these data be provided to the Secretariat. The Chair has received such information from few Parties. The Chair appreciates the information that has been received from the Governments of Austria, Belgium, France, Germany, Switzerland and the United Kingdom.
- b) Notification No. 692 also requested information from Parties on shipments in which the IATA Live Animals Regulations are not complied with and/or in which there are high mortalities. Information on specific shipments, which has been communicated to the Secretariat and the IATA Live Animals Board (as appropriate) has been received from the following Parties: Germany, Switzerland and the United Kingdom.
- c) A co-operative effort with representatives of the Government of the United Kingdom, in an effort to implement Resolution Conf. 8.12, is discussed under item 5, below.

4. Obtain information from scientists, veterinarians, zoological institutions, and other experts and, in co-operation with the Secretariat, make recommendations to the Parties designed to minimize mortality

Efforts to obtain that information were concurrent with the TWG meeting in Senegal, where several such experts participated. Lack of consensus at that meeting has precluded any new recommendations that could be made to the Parties designed to minimize mortality. The Chair's specific recommendations are discussed in the Recommendations section at the end of this Report.

5. &

6. Particular attention will be paid to the preparation for shipment and transport of live birds listed in the CITES appendices, though not at the expense of consideration of preparation for shipment and transport of other live CITES-listed animals. Report any findings to the Standing Committee, particularly regarding high mortalities, injury, damage to health or cruel treatment, or the lack of implementation of the Convention or relevant Conference Resolutions

- a) A report by the Chair and the Government of the United Kingdom, regarding statistical analysis of mortalities of birds imported into the United States, was prepared and discussed at the TWG meeting in Senegal.
- b) Resolution Conf. 8.12 calls upon the TWG to "seek information from Parties, based both upon data on number of live specimens per shipment and mortality, and upon information ... make recommendations to the Parties designed to minimize mortality". The Terms of Reference require the TWG to "seek information from the Parties, with the assistance of the Secretariat, in an effort to obtain information on numbers of live specimens per

shipment and mortalities and causes thereof related to transport". The Terms of Reference also require the TWG to "report any findings to the Standing Committee, particularly regarding high mortalities, injury, damage to health or cruel treatment, or the lack of implementation of the Convention or relevant Conference Resolutions".

- c) The Chair reported to SC29 on analyses conducted jointly by the United States and the United Kingdom, dealing with the relationship between a number of variables and mortalities of birds during transport. Those analyses were in response to the Terms of Reference, Resolution Conf. 8.12, and a specific request from the IATA Live Animals Board that the TWG evaluate the effect of consignment size on mortalities of wild birds. The analyses were distributed at the TWG meeting.
  - d) Several Parties supported the establishment of specific limits on consignment sizes, while others were opposed. The conclusion of the TWG was that consignment size is a matter of serious concern. There was agreement on the need to limit consignment sizes in some way to reduce mortalities but no consensus on what the limit should be. The TWG could not decide by consensus on actual size limits for consignments. The Chair's personal reflections on this issue and recommendations are discussed in the Recommendations section at the end of this report.
7. To provide for liaison, in conjunction with the Secretariat, between the Standing Committee and the International Air Transport Association (IATA) Live Animals Board

The Chair has provided this liaison, in close co-operation with the Secretariat. Accomplishments include:

- a) Agreement by IATA to continue to publish the Live Animals Regulations in the three CITES working languages (English, French and Spanish).
  - b) Provision by IATA of free copies of the IATA Live Animals Regulations to the Chair and the Secretariat, for training purposes.
  - c) Commitment by the Live Animals Board to training for airline personnel in the transport of live CITES-listed animals. Provision of a training workshop, with Chair and Secretariat staff involvement as instructors, in October 1992.
  - d) Improved distribution of the IATA Live Animals Regulations to Parties and airlines around the world.
  - e) Purchase by the U.S. Office of Management Authority of copies of the IATA Live Animals Regulations, with distribution to several Parties. The choice of Parties that received complementary copies from the U.S. Office of Management Authority (English and Spanish) was co-ordinated with the Secretariat, and was based on Secretariat recommendations.
8. To review the IATA Live Animals Regulations and make recommendations to the Live Animals Board for changes to meet CITES requirements

The Chair and the Secretariat have continued to make recommendations to IATA to improve the Live Animals Recommendations, in order to meet CITES requirements. Accomplishments include:

- a) Inclusion in the 21st edition of the Live Animals Regulations of a new container note for live corals. Corals are the only CITES-listed species not currently included in the regulations, and the trade in live coral specimens is increasing. The drafting of

this container note was a co-operative effort of zoological institutions, industry groups and other experts.

- b) Improvements to the IATA Live Animals Regulations for the transport of live specimens of CITES-listed species, including but not limited to several species of reptiles, birds and mammals. These improvements were discussed at several IATA Live Animals Board meetings, and particularly took advantage of the expertise of the Chair, the Secretariat, and representatives of other Parties at IATA Live Animals Board meetings.
- c) Some IATA Live Animals Board meetings have involved discussions of possible changes to the IATA Live Animals Regulations that might not be in the best interest of CITES-listed species, and the involvement of the Chair, through a liaison function, helped clarify some of the needs and requirements of certain CITES-listed species that precluded such changes.
- d) Improved information about CITES and its requirements in the IATA Live Animals Regulations. The current and forthcoming editions of the IATA Live Animals Regulations provide better information about CITES-related requirements.

9. Co-operate with the IATA Live Animals Board and the Secretariat in the planning and presentation of training workshops for airline personnel and others responsible for the preparation and shipment of live animals

The Chair and the Secretariat, in co-operation with IATA, served as instructors at an IATA-sponsored training workshop for airline personnel in Geneva, Switzerland, in October 1992.

10. Continue to work on preparing/revising international transportation guidelines for consideration of the Parties concerning terrestrial (road and rail) and marine transportation of live animals

- a) Several Resolutions of the COP have established that the IATA Live Animals Regulations should be applied for air transport and the CITES Guidelines for marine and terrestrial transport. It has been agreed for many years that the CITES Guidelines are in need of revision and updating. At its Senegal meeting, the TWG agreed to rewrite the CITES Guidelines for the Transport of Live Specimens, such that the Guidelines would only contain information on the transport of species for which the IATA Live Animals Regulations were not sufficient or appropriate.
- b) The Chair has begun this review with the IATA Veterinary Consultant. There are many species for which the IATA Live Animals Regulations would be adequate for any form of transport, while there are others for which variations on the IATA Live Animals Regulations would be necessary for road or rail or marine transport. In order to make the CITES Guidelines more useful to the Parties, the Transport Working Group and its Chair will endeavour to revise the Guidelines.

11. Endeavour to involve exporting Parties in the activities and deliberations of the TWG

The United States has provided funding to the Secretariat through a Co-operative Agreement that

allowed participation in the Senegal meeting of the TWG of representatives of several exporting Parties.

12. Arrange for two meetings of the TWG between COP8 and COP9

- a) The Government of Senegal hosted the first meeting of the TWG in Africa, and indeed the first TWG meeting in an exporting country, on 29 and 30 April 1993. A discussion of the meeting was presented in document Doc. SC.30.11. The Government of the United States provided financial assistance for simultaneous English/French translation and travel expenses of delegates from several Parties requesting assistance.
- b) The Government of Israel offered to host a second meeting of the TWG, immediately after the Asian Regional Meeting in Israel in March 1994. Unfortunately, that created a conflict with the Standing Committee meeting the following week. Furthermore, due to the lack of available funding (all TWG activities are paid for from external funding sources and are not covered by the Secretariat's budget), the workload imposed by the Standing Committee meeting, and the Chair's other responsibilities, Israel's gracious offer could not be accepted. The Chair felt that if funding were not available to allow interested exporting Parties to attend, a meeting should be deferred to the COP. The Chair looks forward to in-depth discussion of transport issues at COP9, where all interested Parties can participate.
- c) The discussions at the Senegal meeting were summarized in document Doc. SC.30.11. The Chair appreciates the participation of all of the CITES Parties that were represented at that meeting, in particular those whose representatives commented on the draft minutes of the meeting.

13. Other issues

- a) The issue of airline embargoes was not part of the Terms of Reference adopted by the Standing Committee for the TWG, nor did the Standing Committee ever request the TWG to discuss the issue. Throughout the two days of the Senegal meeting, several exporters, importers, and governments repeatedly raised the issue of embargoes of individual airlines relating to shipments of wild birds; they were reminded by the Secretariat and the Chair that the airline embargoes on bird shipments were beyond the remit of the TWG.
- b) It was agreed that the Secretariat would circulate a questionnaire to the Parties, seeking information on mortalities in transport and other transport-related problems. Parties would have the opportunity, when responding to the questionnaire, to submit objective information on all factors influencing their ability to determine, as required by the treaty, that shipments of live animals are transported without injury, damage to health or cruel treatment. Any information that airline embargoes are increasing or decreasing mortality risks should be submitted at that time. For a number of reasons the questionnaire has not yet been circulated to the Parties but it should be available shortly after the conclusion of COP9.

## Recommendations for the Future of the TWG / Personal Reflections

I would like to make the following observations and recommendations for the future of the TWG. These are my personal recommendations, and are not necessarily those of individual participants in meetings or activities of the TWG, and do not result from consultation with other Parties or observers. My observations and recommendations to the Parties (in bold type) follow:

### Future of Transport Issues

It is my assessment that the two factors that contribute the most to increased risks of injury, damage to health, cruelty and mortalities in live animal transport are:

- a) lack of compliance with the IATA Live Animals Regulations; and
- b) lack of implementation and enforcement by CITES Parties of CITES requirements for live animal transport.

Mortality and morbidity of live animals in transport would be significantly reduced if:

- a) the IATA Live Animals Regulations were complied with;
- b) Parties enforced CITES transport requirements;
- c) exporters and importers were held accountable for shipments transported in violation of CITES transport requirements; and
- d) training were provided to Management Authorities, Scientific Authorities, airlines, dealers and shippers.

I believe that if live animals can not be prepared and transported according to CITES and IATA requirements (which have been adopted by the CITES Parties as satisfying the treaty's requirements for preparation for shipment and transport), then they should not be transported at all; the requirements are reasonable, feasible and in the best interest of the health and well-being of the animals concerned.

It is my personal opinion that today, twenty years after the inception of the treaty, there is no excuse for indifference to live animal transport requirements. If one looks at findings of the Animals Committee and scientific experts on where the greatest detriment is to wild populations due to significant trade, all too often it relates to international commercial trade in live animals. That is in no small part due to indiscriminate handling, preparation for transport, and shipment that result in high mortalities; those mortalities result in greater numbers of animals taken from the wild to meet a given demand. It is my opinion that economics should not be a factor in compliance with transport requirements. Indeed, for commercial trade in CITES Appendix-II species, we are dealing with species that "may become threatened with extinction". Therefore, it is totally inappropriate and inconsistent with conservation and sustainable utilization to accept the philosophy that animals worth little should be treated differently than animals with a greater profit potential.

I do not believe that all of the "blame" for lack of compliance should be placed on the Management Authorities of exporting countries in the developing world, however. All too often they are underfunded, understaffed and undertrained. It is my personal opinion that **exporters, importers in wealthy countries of Europe, North America and Asia, and air carriers, who profit well from this trade, should be: (1) held firmly accountable for compliance with all CITES requirements, and (2) responsible for supporting training for Management Authorities, dealers, shippers, exporters and airline personnel.** In my personal opinion, the complete lack of funding by traders and trade organizations for Secretariat-sponsored training in transport issues is appalling. **Whatever form the Transport Working Group takes in the future, as decided by the Parties,**

**what is needed is a commitment to a combination of training, implementation and enforcement.**

### Recommendations to the Parties

#### 1. Future of the Working Group

The TWG was established as a permanent working group of the Standing Committee. I believe that a truly functioning Working Group that represents the interests of the Parties is only possible if it functions the same as the other permanent Committees (Standing, Animals, Plants, Nomenclature and Identification Manual). That is to say, there must be: (1) Regional Representation; (2) Decision-making by Parties, with input from non-governmental organizations; (3) Rules of Procedure as for the other Committees; and (4) funding from the core budget.

Many problems that I have observed since COP8 have resulted from the TWG not being able to function in the same way as one of the permanent Committees, including the following:

- a) Several Parties at the TWG meeting in Senegal expressed their concern that the TWG was unable to reach any conclusion on specific measures pursuant to implementation of several Resolutions of the COP, particularly as pertains to trade in wild birds. In order to facilitate meaningful progress, I was requested by several Parties to ask the Standing Committee to provide direction to the TWG as to how it should proceed, including whether or not to devise a voting or regional representational procedure. The Standing Committee agreed that consensus should be the goal, but voting among Parties only is of course acceptable. **I believe that Regional Representation is necessary if such decision-making is required, prior to submission of recommendations to the Standing Committee and/or the Parties.**
- b) A second meeting of the TWG was not possible prior to COP9, due in no small part to a lack of funding. I believe that **in order for the TWG to function in a meaningful way, exporting Parties that are interested and that require financial assistance should be able to participate.** The United States provided funding to several participants from such Parties to attend the Senegal meeting.
- c) The attendance of a very large number of traders, along with some representatives of animal welfare organizations, at the Senegal meeting created a climate that, although discussion was animated, precluded consensus-building among the Parties. **The Chair needs the right, from the Parties or Standing Committee, to address this situation (as in other Committees).**
- d) Some trade organizations personally attacked the statistical analyses produced by myself and representatives of another State Party, both at the TWG meeting and at IATA Live Animals Board meetings, which created a climate not in the best interest of CITES implementation or wildlife conservation. **The Chair of the TWG needs the right to deal with such a situation.**
- e) It was impossible at the Senegal meeting to reach consensus on a number of vital issues pertaining to Implementation of Resolutions of the COP, particularly Resolution Conf. 8.12. On the other hand, it was easier to reach consensus when a broad cross-section of Parties did not participate, but the value of consensus among only European

and North American Parties (as happened prior to COP8) was limited. **I recommend that whatever future is decided for the TWG, the Parties discuss these issues openly and objectively at COP9.**

Therefore, I would like to suggest to the Parties the following three options for the future of the TWG:

Option 1: Establish a new permanent committee dealing with live animals issues

- a) The need for such a committee was discussed above. In addition, a number of issues pertaining to live animals in international trade are currently being discussed by the Animals Committee. Examples include disposal of confiscated specimens, reintroduction of confiscated live animals, and the need for animal holding facilities. The Animals Committee is already overburdened. I recommend that the Standing Committee assign these issues to the Transport Working Group or its successor entity.
- b) Funding: Such a permanent committee would require funding to function effectively. I believe that the preparation and transport of live animals (along with procedures for dealing with confiscated live animals) are as important, if not more important, than nomenclature reviews and identification manuals. I do not recommend the inclusion of additional funds in the budget, but rather a re-programming of the funds allocated to the Nomenclature and Identification Manual Committees (I note that this is a personal recommendation and not one of the U.S. Fish and Wildlife Service).

Option 2: Dissolve the Transport Working Group; retain only a Transport Representative to the Standing Committee

- a) If the TWG is not able to be funded, can not have regional representatives, can not have meetings where all interested Parties can participate, and can not reach consensus on important issues, then perhaps the most honest response would be to: (1) retain the Working Group as an entity at each COP; and (2) have one individual, representing the Parties, serve as representative to the Standing Committee and liaison to IATA.
- b) Except for the Senegal meeting, that has virtually been the reality of my functioning since COP8.

Option 3: No change

This option would retain the current structure of the TWG, while encouraging the Secretariat and the Chair of the TWG to endeavour to seek additional funding from Parties and non-governmental conservation, animal welfare and trade organizations.

## 2. Training

**I recommend that between COP9 and COP10, at least one training workshop be held for Management Authorities and traders dealing with transport issues (along with other CITES compliance issues) in each of: South and Central America and the Caribbean; Asia; and Africa. Trade organizations participating in COP9 should be asked to make a financial commitment to support these training workshops.**

## 3. IATA Liaison

**I recommend that the role of liaison to IATA be retained by the TWG or its successor, according to which of the Options 1–3, above, is chosen by the Parties.**

## 4. Wild Birds and Transport

The Standing Committee has encouraged the TWG to endeavour to reach consensus on implementation of relevant Resolutions of the COP. Particular difficulty has been encountered in discussions pertaining to wild birds and transport. I stand by my analysis of the role of consignment sizes. Although there is quibbling about which statistical analyses have been used, I stand by the conclusion that very large consignments, of hundreds or even thousands of birds, pose a greater risk of high mortalities. Furthermore, such large consignments are inconsistent with the CITES requirement for animal-holding facilities. **I recommend that these issues be discussed at a full COP, so that all Parties can be present to provide input.**

## 5. Secretariat Involvement in Live Animal Transport Issues

One of the problems with dealing with live animal transport issues has been the heavy workload imposed on Secretariat staff by the entire range of issues decided upon at COP8, and elaborated upon at subsequent meetings of the Standing Committee. Currently, only one Secretariat staff member is assigned to live animal transport issues. **I recommend that these issues be divided among Secretariat staff, to increase their visibility and attention.**

In conclusion, I would like to thank the Parties very much for the opportunity to serve them and CITES between COP8 and COP9 as Chair of the Working Group on the Transport of Live Specimens. I look forward to discussing all of these issues at COP9, for the benefit of the conservation and humane transport of live wildlife subject to international trade.

Susan S. Lieberman  
Chairman

### Note from the Secretariat

The Secretariat, if so requested, will make its views known to the Conference of the Parties on this report, in particular on the Chairman's recommendations. At this stage, it wishes only to remark that although the Secretariat fully agrees with the remarks on the Secretariat's workload, in the penultimate paragraph of the report, it is not correct to imply that only one of its staff members is concerned with the transport conditions of live specimens. The Secretariat therefore believes that the recommendation made is not appropriate.