

Electronic CITES Toolkit Version 3.0 – What is it and how can it be used?

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Convention on International Trade in Endangered Species of Wild Fauna and Flora

Agenda

- What is new
- Brief History of ePermitting Toolkit
- International data model alignment:
 - UNECE UNCEFACT
 - WCO
- Data exchange syntax support
- What can it be used for – how to implement
- Implementation digitilisation challenges
- Annex 3 technical html resource for implementers

What is new in the V3.0 CITES ePermitting Toolkit

This update to the e-permitting toolkit continues to address the three primary challenges identified by the Secretariat at the initial design stage:

- Firstly, the toolkit should be harmonized and compliant with paper-based permitting procedures, so that Parties would have the choice of using new e-permitting systems or existing paper-based systems
- Secondly, harmonization with international standards and norms, particularly those developed by UN/CEFACT and the WCO is important to allow integration with national projects especially those establishing single-window initiatives
- Thirdly, the toolkit should be designed with sufficient flexibility to accommodate future developments and updates to international standards and norms.

* Publication of the CITES e-permitting toolkit was made possible by the financial support of Switzerland.



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Where to find and download the toolkit



Convention on Inter

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eCITES

What is eCITES?

Electronic CITES includes electronic application and issuance of CITES permits, control and authentication of CITES permits, reporting as well as electronic exchange of permits (permit information) between the Parties.

Objective

The objective of electronic CITES or eCITES is to improve the implementation of the Convention by using modern Information and Communication Technologies to simplify compliant trade and to combat illegal trade. It is important to note that digitalization of procedures and electronic information exchange is not an objective in itself, but rather a tool to simplify and improve the work of Management Authorities and other agencies to implement the Convention.

Why is it needed?

The electronic permits together with simpler and automated trade procedures help government agencies to better target their inspections and identify those actors that break the law. Implementation of eCITES facilitates collaboration and electronic information exchange with Customs and other border control agencies for efficient control of CITES trade. Parties will benefit from increased transparency, prevention of fraudulent permits, faster and more robust reporting and better data to decide on non-detriment findings. Finally, simplified and automated procedures could create new business opportunities for compliant traders and rural communities.

Diagram illustrating the components of eCITES: ePermit, eControl, eReport, and eExchange.

Barcode with a zebra illustration.

Recent Notifications

THAILAND: E-permitting for terrestrial animals
THAILAND: E-permitting for plants
BAHRAIN: E-permitting

Resolutions and Decisions

- **Res Conf. 12.3 (Rev. CoP19)** on Permits and certificates
- **Res Conf. 11.3 (Rev. CoP19)** on Compliance and enforcement
- **Res Conf. 11.17 (Rev. CoP19)** on National reports
- **Dec. 19.150-19.152** on Electronic Systems and Information Technology
- **Dec. 19.153-19.155** on Risk assessment and analysis for border control

Current work

CITES-ESCAP Regional Workshop on eCITES Permitting Systems in Asia, Bangkok, 17-18 July 2023 (Hybrid)

Intersessional Working Group on Electronic Systems and Information Technologies, 4 July 2023 (online)

New CITES Electronic Permitting Toolkit (V 3.0) is now available in [English](#), [French](#) and [Spanish](#).

UNCTAD eCITES BaseSolution [Website](#)

Brief Survey on eCITES Systems for the Parties. See [Notification](#) to participate.

Tools and resources

- The eCITES Implementation Framework [English](#)
- The CITES ePermitting Toolkit [English v3](#) | [French v3](#) | [Spanish v3](#) [Annex v3 in html](#)
- Guidelines and specifications for Electronic Permit Information eXchange (EPIX) of CITES permits and certificates [English](#) | [French](#) | [Spanish](#)
- Guidance on Electronic Signatures on CITES Permits and certificates [English](#)
- Policy Brief on eCITES [English](#)
- Briefing on UNCTAD eCITES Base Solution [English](#)

Introduction

At its 18th meeting (Geneva, 2019), the Conference of the Parties adopted Decisions 18.125 to 18.128 on Electronic systems and information technologies and Decisions 18.129 to 18.131 on Authentication and control of permits.

These decisions directed to the Parties, the Secretariat and the Standing Committee, recommend using international standards for electronic data used for CITES permits and harmonization of standards and procedures.

Furthermore, the Working Group on Electronic Systems and Information Technology as well as the Standing Committee In its 74th meeting in March 2022, recommended the revision of the toolkit, first drafted in 2010 and revised in 2013.



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In more detail

- Updated to reflect the 2022 versions of the UN/CEFACT Reference Data Models (D22A)
- Updated to reflect the WCO Data Model (3.11)
- Updated implementation guidance for the existing communication technology XML plus reflections on new communication technologies such as JSON schemas
- Revised content of the toolkit to provide a more streamlined business perspective and separate updated technical Annex (section 5)
- Updated html web presentation of the toolkit



CITES Business Processes

- The main parties involved in the CITES business processes are customers or traders and customs, CITES Management Authorities or other governmental bodies
- Relationships or interactions of those parties can take place on different levels
- 3 levels of interaction
 - Business to Business (B2B)
 - Business to Government (B2G)
 - Government to Government (G2G)
- These levels will have influences on technical and security aspects



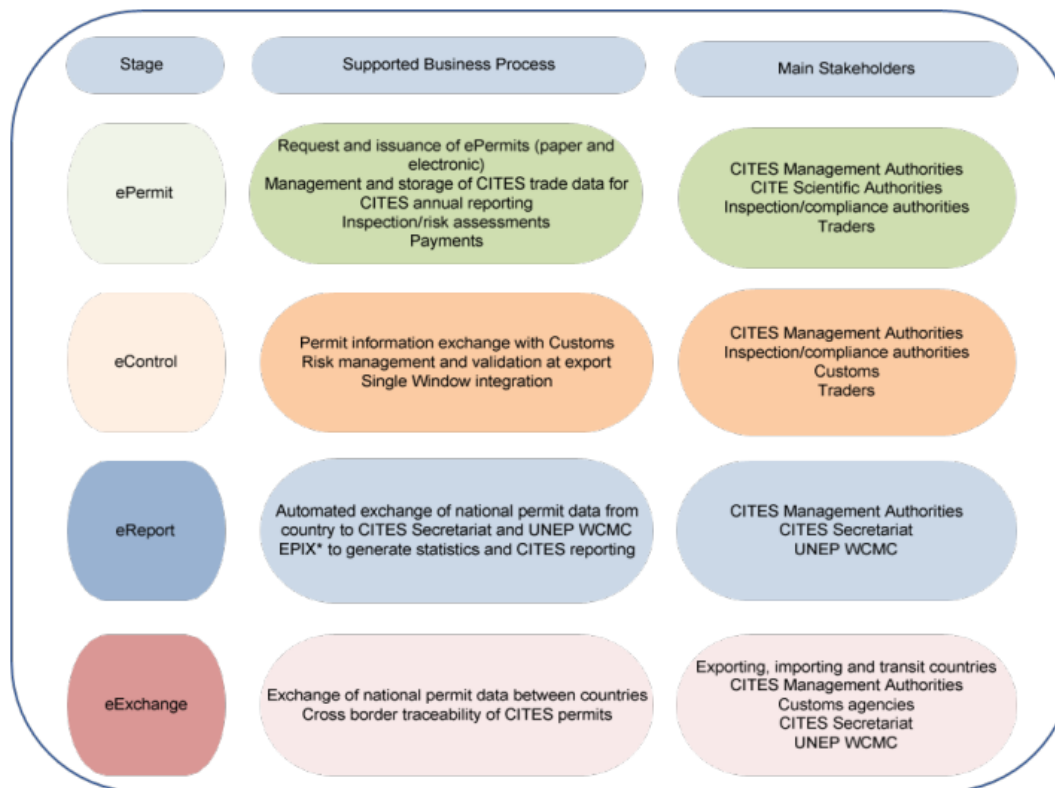
CITES Business Processes contd.

- The international trade procedures in regard to the CITES Convention can be summarized in two main processes:
 - import of CITES-protected products
 - customs export, transit and import checks
 - export (or re-export) of CITES-protected products
- Depending on the interaction level of business parties the view on the same process can be different
- Currently the data exchange processes in many CITES implementation environments are paper based and at the level of B2B and B2G



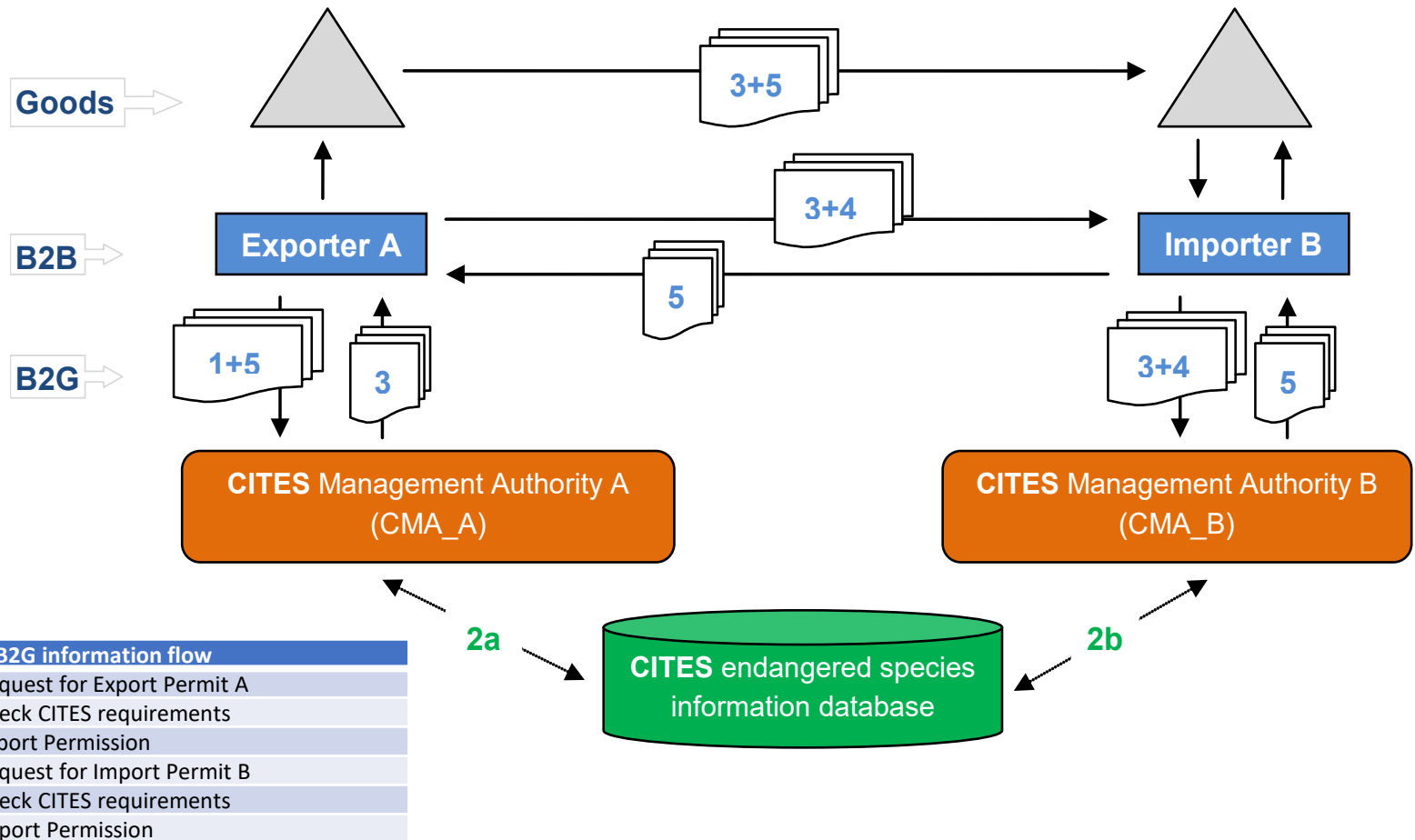
Recommended Implementation Process

Figure 4 - Summary of the main project components in the implementation of a CITES e-permitting system

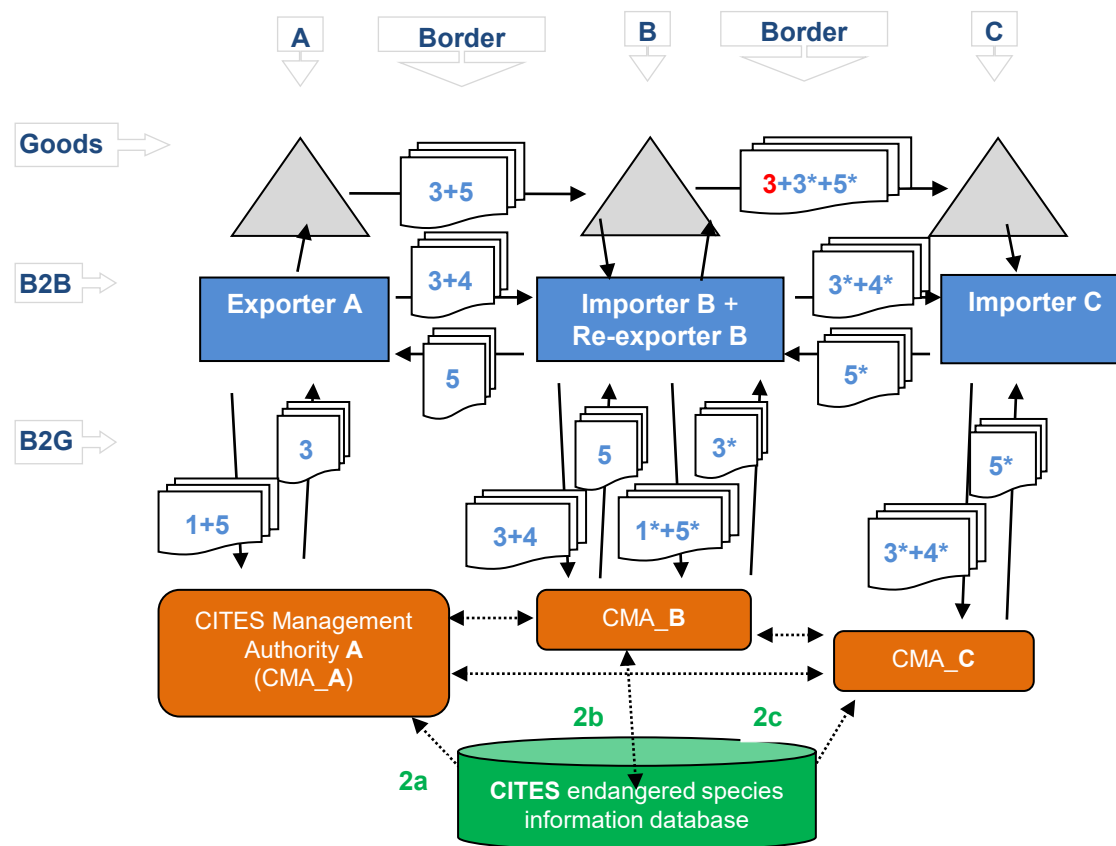


Source: The eCITES Implementation Framework

CITES ePermitting Basic Import and Export processes – Business to Business and Business to Government



CITES ePermitting Basic Import and Export processes – Import, Export and Re-Export processes including Government to Government processes



B2B and B2G information flow			
1	Request for Export Permit A	1*	Request for Re-Export
2a	Check CITES requirements	2b	Check CITES requirements
3	Export Permission	3*	Re-Export Permission
4	Request for Import Permit B	4*	Request for Import Permit C
5	Import Permission	2c	Check CITES requirements
		5*	Import Permission C

* enhanced feature "re-export" marked by a star (*).

Linking eCITES with the global supply chain

- **Most digitalisation projects are only looking at one sectoral view**
 - Almost all sectoral views are just one part of a global supply chain
 - The international supply chain is very complex (multiple actors and multiple relations in data exchanges)
- **A holistic view and approach is beneficial**
 - Information will not be related purely to goods or purely to transport or purely to regulatory
 - There are clear links between the information in each part of the global supply chain

Global Trade – Semantic Anchors

Shipment (Product Information)

- A shipment is an identifiable collection of one or more Trade Items (available to be) transported together from the Seller (Original Consignor/Shipper) to the Buyer (Final/Ultimate Consignee):
 - A Shipment can only be destined for one Buyer
 - A Shipment can be made up of some or all Trade Items from one or more Sales Orders
 - A Shipment can have only one Customs UCR
 - A shipment may form part or all of a Consignment or may be transported in different Consignments.

Consignment (Transport Information)

- A consignment is a separately identifiable collection of Consignment Items (available to be) transported from one Consignor to one Consignee via one or more modes of transport as specified in one single transport service contractual document:
 - A Consignment can only have one Transport Service Buyer
 - A Consignment can only have one Transport Service Provider
 - A Consignment can only have one Consignor
 - A Consignment can only have one Consignee
 - The Transport Service Buyer can be either the Consignor or the Consignee
 - A Consignment is made up of one or more Consignment Items
 - A Consignment can be made up of some or all Trade Items (aggregated into Consignment Items) from one or more Shipments

Aligned with WCO Data Model Concepts

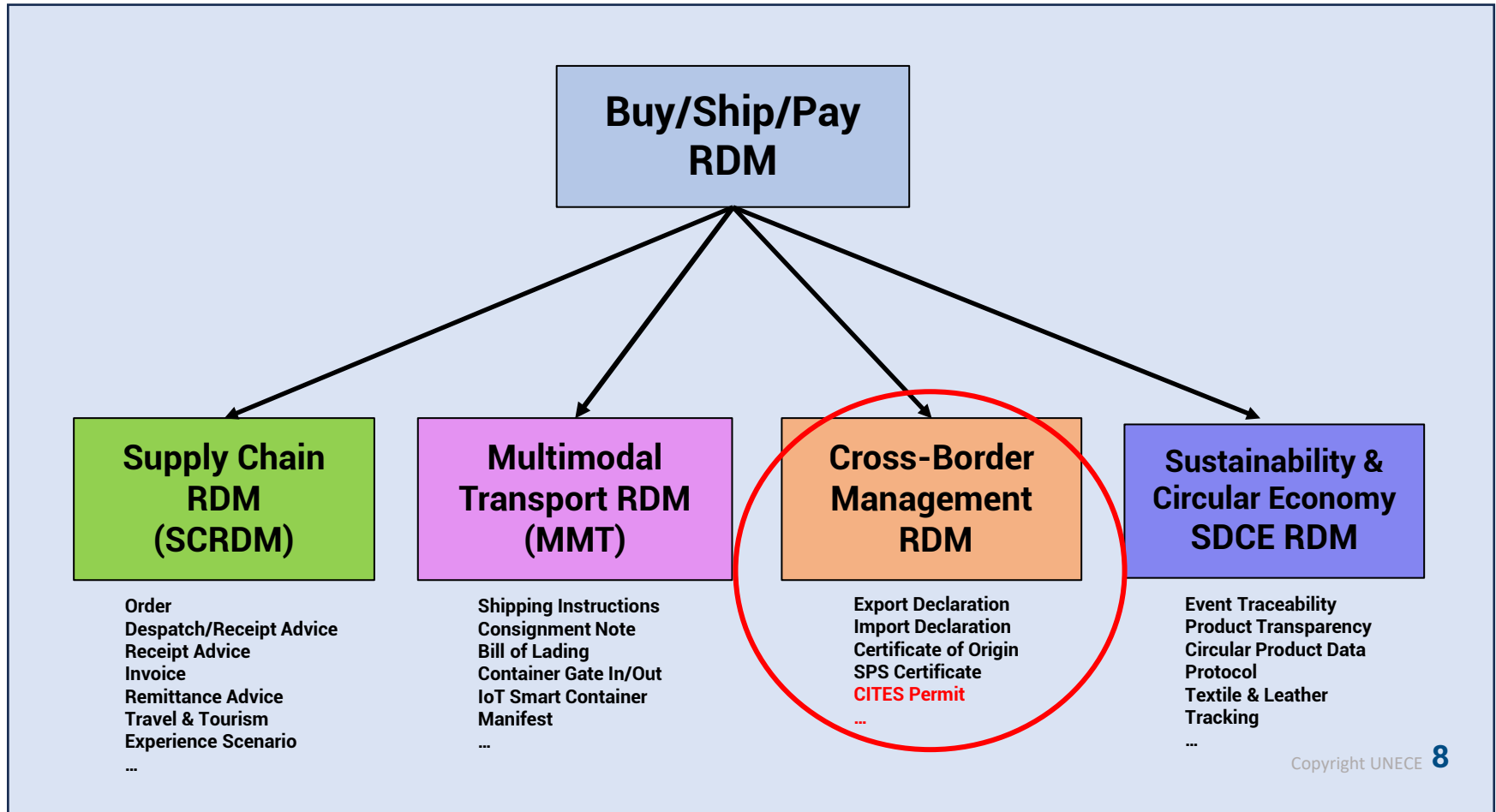
Copyright UNECE

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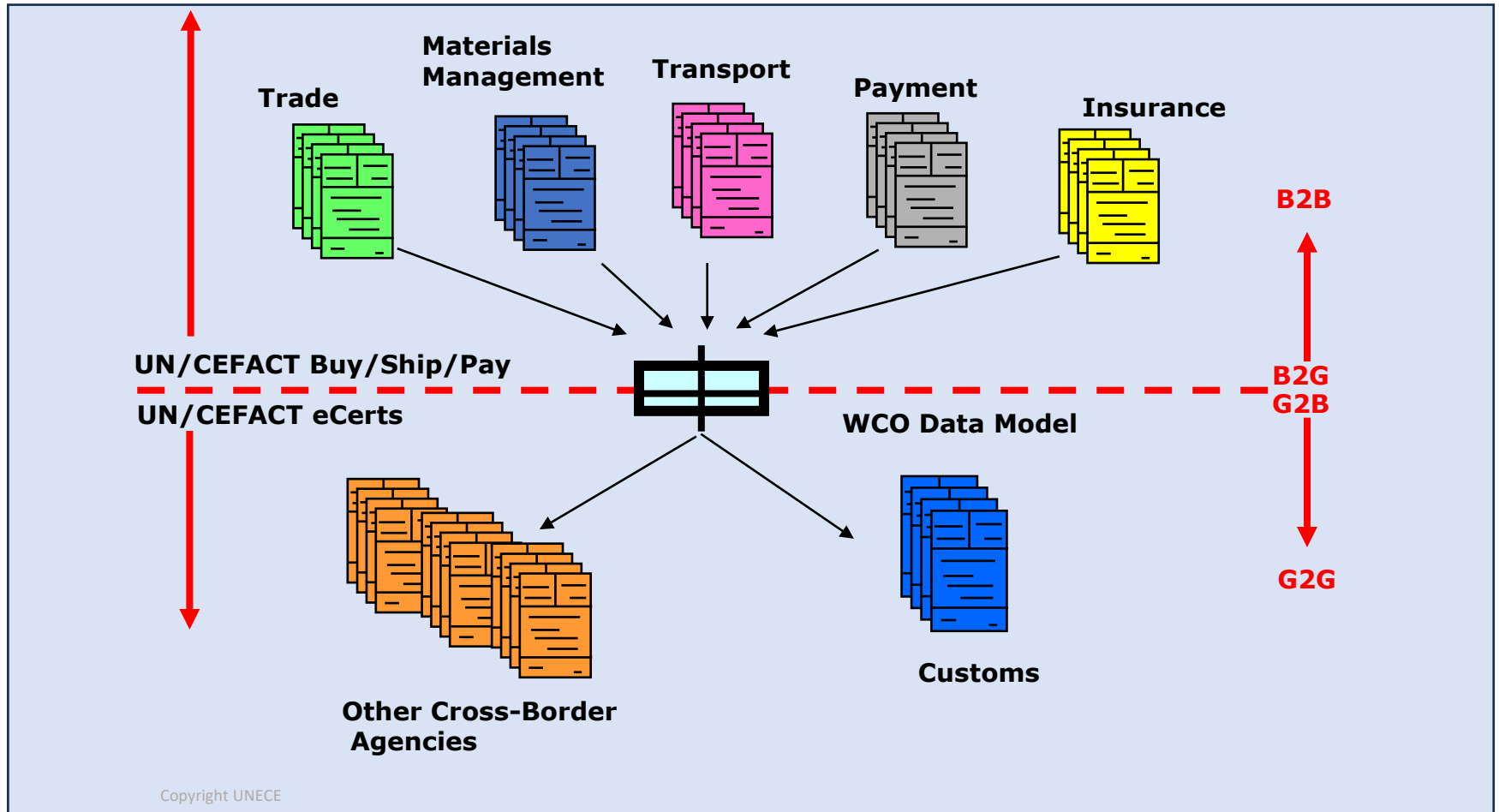
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UN/CEFACT International Supply Chain Reference Data Model Family



Single Windows Document Families

Border Management Challenges



Key Single Window Semantic Aspects

- Public side and Government side speak different languages or, at least, different dialects
 - Affects names and definitions
 - Affects data quality
- Partnership approach using harmonised names and definitions will offer increased quality and mutually beneficial facilitation
- Pipeline provision of data in trusted trader programs
- **Primary and Secondary** data views
- Managing moving targets

WCO Data Model Support

- CITES ePermitting standard is currently available based on the WCO Data Model LPCO (Licences, Permits, Certificates and Others) Base Information Package for providing access for Customs to supporting documents
- Mapping between the UN/CEFACT ePermit data exchange structure and the WCO Data Model LPCO subset has been completed to provide additional support for the CITES B2G and G2G data exchanges
- Future update to issue a WCO DM v4.0 version?



Digitilisation challenges

- Data security mechanisms – which to choose?
 - Block chain systems
 - QR Codes
 - Electronic signatures
 - Verifiable credentials
 - Etc.
- Considering global perspectives – other MA partners and Customs
 - Export, import and transit processes
 - Mapping to HS Coding
- Consider the practicalities of running dual paper and electronic permit exchanges in parallel
- How many mechanisms will need to be supported by every MA and every Customs Authority if different solutions are chosen



Toolkit v3 Annex 3 html online technical resources

- XML schema specifications for UN/CEFACT and WCO Data model eCITES
- Downloadable XML schemas
- Code lists
- Future JSON schema specifications
- Presentation




Standard CITES Permit/Certificate Form



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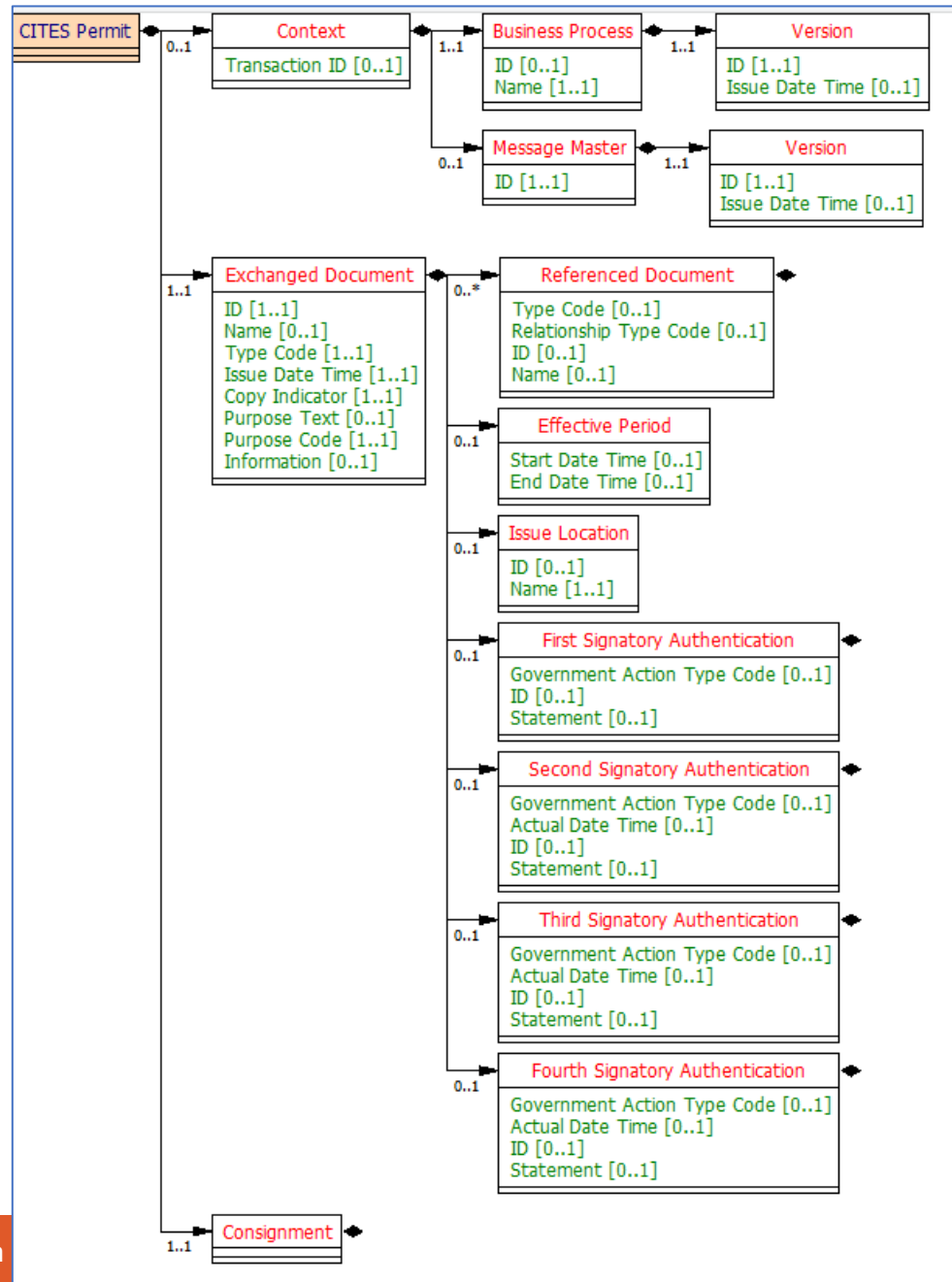
Standard permit/certificate form

 CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		PERMIT/CERTIFICATE No. <input type="checkbox"/> EXPORT <input type="checkbox"/> RE-EXPORT <input type="checkbox"/> IMPORT <input type="checkbox"/> OTHER:		Original
				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 CITES Guidelines for transport 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
A	7./8.	9.	10.	11.
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./8.	9.	10.	11.
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./8.	9.	10.	11.
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./8.	9.	10.	11.
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/certificate is issued by:				
Place _____ Date _____ Security stamp, signature and official seal _____				
14. Export endorsement: 15. Bill of Lading/Air waybill number:				
Block	Quantity			
A				
B				
C				
D				
Port of export		Date	Signature	Official stamp and title

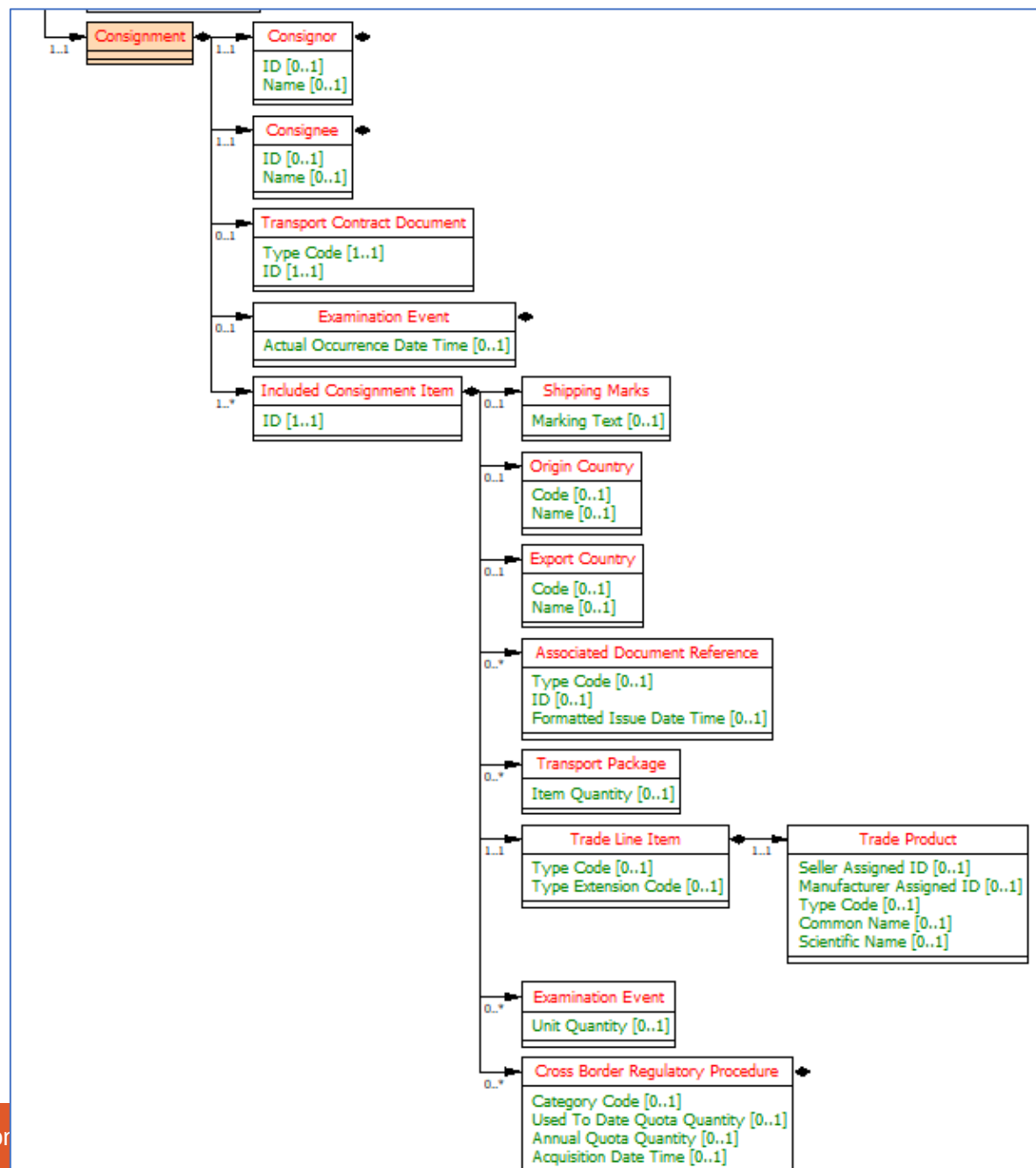
CITES PERMIT/CERTIFICATE No.

(as amended at CoP14)

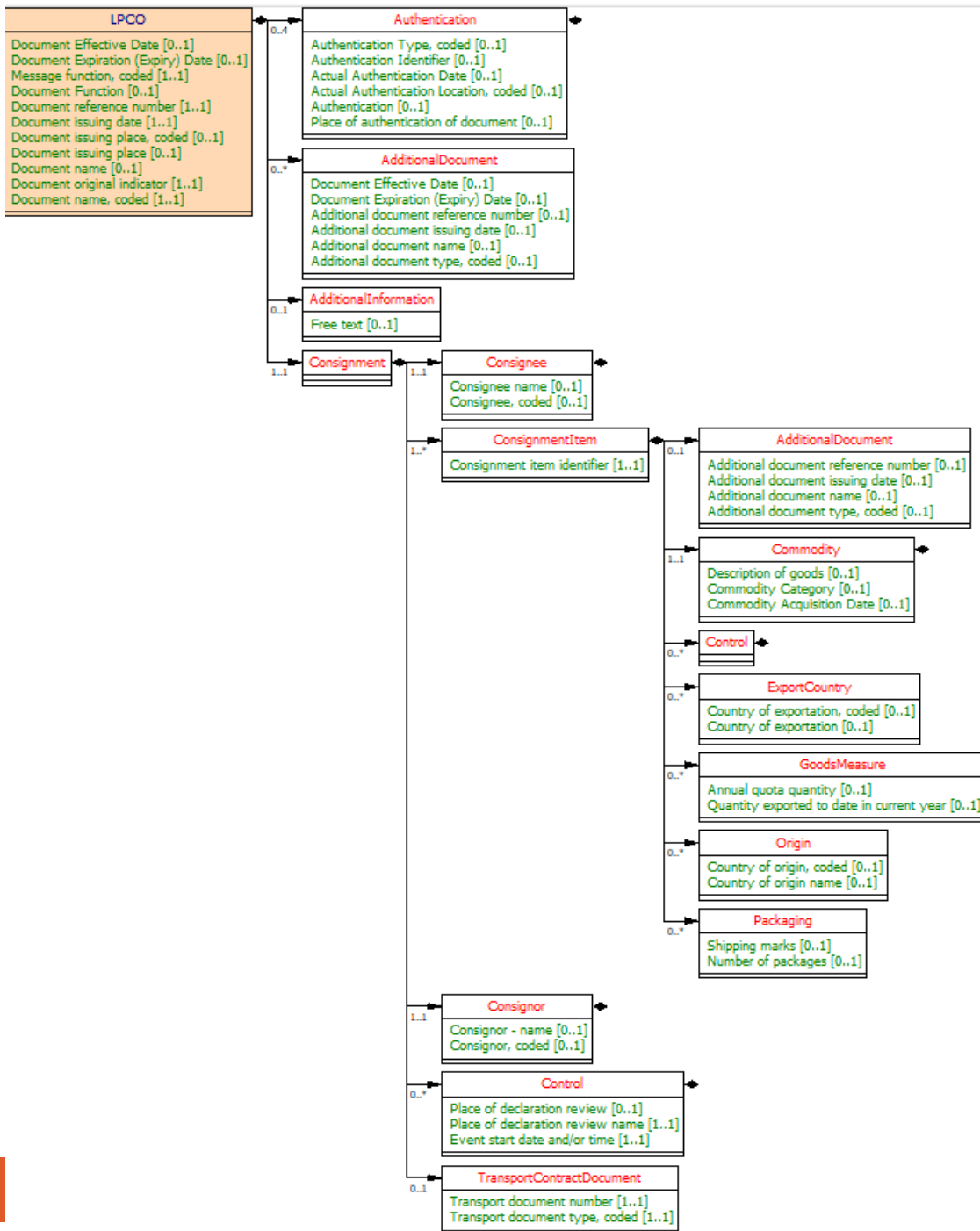
CITES UN RDM ePermit Class Diagram - 1



CITES UN RDM ePermit Class Diagram - 2



WCO DM CITES subset



Mapping Project

- UN RDM ePermit model to WCO DM ePermit Model

← → ↑ CITES Permit > A Document issuing date (issue) >

- Exchanged Document **
 - ID **
 - Name **
 - Type Code **
 - Issue Date Time **
 - Copy Indicator **
 - Purpose Text **
 - Purpose Code **

BBIE	CCTS	Notes	Enhanced	Children
Acro				slp
BPorDoc				CITES permit
Requirement ID				Box 13
Cardinality				1:1
Comment				Box Heading: This permit/certificate is issued by: Date

Mapping list

Seq		^ Source	Link	Target
1	✓	ID	1	Document reference number
2	✓	Name	2	Document name
3	✓	Type Code	3	Document name, coded
4	✓	Issue Date Time	4	Document issuing date
5	✓	Copy Indicator	5	Document original indicator

← → ↑ CITES Permit > A Document issuing date (issue) >

- CITES Permit **
 - Document Effective Date **
 - Document Expiration (Expiry) Date **
 - Message function, coded **
 - Document Function **
 - Document reference number **
 - Document issuing date **
 - Document issuing place, coded **

Attribute	Notes	Enhanced	Children
WCO ID			D011
WCO NAME			Document issuing date
WCO DESC			Date at which a document was issued and otherwise authenticated
WCO Attribute			

Mapping Report



CITES Toolkit ePermit 3.0 Annex

About

Form

Business View

Developer View

Mapping

Code lists ▼

UN/CEFACT ▼

WCO ▼

UN/CEFACT ▼

WCO ▼

CITES ePermit > Mapping

Mapping

UN RDM CITES

WCO DM CITES

Card.	Element	UN ID	WCO ID	Card.	Element	CITES Form Reference
1..1	ID Path: BSP Master, Details/BSP Master, Exchanged_ Document/Exchanged_ Document, Identification, Identifier	UN01002488	D014	1..1	Document reference number Path: LPCO/identification	Box 1
0..1	Name Path: BSP Master, Details/BSP Master, Exchanged_ Document/Exchanged_ Document, Name, Text	UN01002489	D032	0..1	Document name Path: LPCO/name	Box 1 (Text)
1..1	Type Code Path: BSP Master, Details/BSP Master, Exchanged_ Document/Exchanged_ Document, Type, Code	UN01002491	D013	1..1	Document name, coded Path: LPCO/type	Box 1.1 (Other - document type code)
1..1	Issue Date Time Path: BSP Master, Details/BSP Master, Exchanged_ Document/Exchanged_ Document, Issue, Date Time	UN01002493	D011 D029	1..1	Document issuing date Response issuing date Path: LPCO/issue	Box 13
1..1	Copy Indicator Path: BSP Master, Details/BSP Master, Exchanged_ Document/Exchanged_ Document, Copy, Indicator	UN01002494	D033	1..1	Document original indicator Path: LPCO/original	Box 5a.1 (Text)
0..1	Purpose Text Path: BSP Master, Details/BSP Master, Exchanged_ Document/Exchanged_ Document, Purpose, Text	UN01003548	D039	0..1	Document Function Path: LPCO/functionName	Box 5a.1 (Text)
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0..1	Information Path: BSP Master, Details/BSP Master, Exchanged_ Document/Exchanged_ Document, Information, Text	UN01003563	105	0..1	Free text Path: LPCO/AdditionalInformation/content	Box 5
0..1	Type Code Path: BSP Master, Details/BSP Master, Exchanged_ Document/Exchanged_ Document, Reference, Referenced_ Document/Referenced_ Document, Type, Code	UN01001577	D006	0..1	Additional document type, coded Path: LPCO/AdditionalDocument/type	
0..1	ID Path: BSP Master, Details/BSP Master, Exchanged_ Document/Exchanged_ Document, Reference, Referenced_ Document/Referenced_ Document, Identification, Identifier	UN01003991	D005	0..1	Additional document reference number Path: LPCO/AdditionalDocument/identification	Box 0
0..1	Name Path: BSP Master, Details/BSP Master, Exchanged_ Document/Exchanged_ Document, Reference, Referenced_ Document/Referenced_ Document, Name, Text	UN01003994	D028	0..1	Additional document name Path: LPCO/AdditionalDocument/name	Box 0
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0..1	End Date Time Path: BSP Master, Details/BSP Master, Exchanged_ Document/Exchanged_ Document, Reference, Referenced_ Document/Referenced_ Document, Effective, Specified_ Period/Specified_ Period, End, Date Time	UN01001275	275	0..1	Document Expiration (Expiry) Date Path: LPCO/AdditionalDocument/expiration	Box 0
0..1	Start Date Time Path: BSP Master, Details/BSP Master, Exchanged_ Document/Exchanged_ Document, Effective, Specified_ Period/Specified_ Period, Start, Date Time	UN01001274	276	0..1	Document Effective Date Path: LPCO/effective	Box 2
0..1	End Date Time Path: BSP Master, Details/BSP Master, Exchanged_ Document/Exchanged_ Document, Effective, Specified_ Period/Specified_ Period, End, Date Time	UN01001275	275	0..1	Document Expiration (Expiry) Date Path: LPCO/expiration	Box 2



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Further Information

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