Scientific exchange exemption and simplified procedures

Guidance on the use of the scientific exchange exemption and the simplified procedures to issue permits and certificates

As endorsed by the Standing Committee at SC73 (online, May 2021)

Contents

I. Purpose and content of the Guidance

This guidance has been prepared by the CITES Secretariat at the request of the Conference of the Parties at its 18th meeting (Geneva, Switzerland, August 2019) in Decision 18.171. The main audience of the guidance is the national CITES Management Authorities, but any person, organization or company involved in expediting CITES specimens across international borders may find the guidance useful.

The purpose of the guidance is to:

- increase awareness of the scientific exchange exemption (SEE) provided in Article VII, paragraph 6, of the Convention and the simplified procedures (SP) established in Resolution Conf. 12.3 (Rev. CoP18) by Authorities and by possible 'beneficiaries' and provide non-binding guidance on their use;
- facilitate a better understanding of the benefits and the risks of using these procedures; and
- remove misperceptions and explain the similarities and differences between the two procedures.

The Secretariat is conscious that this guidance for SEE and SP is prepared after many Parties have developed legislation and procedures in this regard. Such Parties are invited to review existing processes and consider bringing them in line with the non-binding guidance, as they see appropriate and necessary.

The guidance is organized in the following way: First the main differences between SEE and SP are outlined. The two procedures, SEE and SP, are then explained in more detail. A specific section is dedicated to wildlife forensic specimens that can be transferred under both procedures, but for different purposes. A few concrete examples to illustrate the use of one or the other set of provisions are included in section VI. Annex 1 contains the lists of biological samples that can be exchanged under the two procedures. Annex 2 contains examples of actual use by Parties of SP and Annex 3 contains an example of a label used under the SEE.

II. Main differences between SEE and SP

- Scientific Exchange Exemption (SEE) is an **exemption** from the normal procedures while Simplified Procedures (SP) allows for applying **normal procedures** in a simplified manner when certain specified circumstances and conditions are met.
- **SEE** is a transaction that is exempt from normal CITES regulations between an exporting and an importing **registered institution** (museum, laboratory, forensic research institution, etc.)
- For **SP, no prior registration** of the exporter or importer is required.
- SP may be used for **commercial** or non-commercial purposes, while SEE can only be used for **non-commercial** loan, donations and exchanges.

The table below provides an overview of the main features of SEE and SP.

Table 1: Overview of the main features of SEE and SP

Requirements	Scientific Exchange	Simplified Procedures
CITES permit or certificate required	**No (a label is required instead)**	**Yes**
Registration of beneficiaries and institutions under certain conditions	**Yes**	**No**
Transactions should be recorded in the annual report submitted by each Party to the Secretariat	**Yes (if possible)**	**Yes**
Covers species included in all three Appendices of CITES	**Yes**	**Yes**

Requirements	Scientific Exchange	Simplified Procedures
All specimens covered (See Annex 1 of this guidance)	**No**	**Yes***
Only specimens that are registered and catalogued/databased	**Yes**	**No**
Specimen or container carry - or accompanied by - a label issued or approved by the MA	**Yes**	**Yes** for biological samples of the type and size specified in Annex 4 to Resolution Conf. 12.3 (Rev. CoP18) – in addition to the CITES permit or certificate **No** for other specimens
Only trade with no or negligible impact on the conservation of the species in the three Appendices	**Yes**	**Yes**
Transactions for commercial purposes allowed	**No**	**Yes**

* *where trade will have no or negligible impact on the conservation status of the species concerned*

III. Scientific Exchange Exemption

1. Introduction

Articles III, IV and V of the Convention provide conditions and procedures for the granting of CITES permits and certificates that are required for trading in CITES specimens to ensure that such trade is legal, sustainable and traceable.

Paragraph 6 of Article VII of the Convention includes an exemption known as 'the scientific exchange exemption' allowing registered scientific institutions to exchange CITES specimens without applying the requirements of Articles III, IV or V. No CITES permits or certificate is required for such an exchange, although the specimen must carry a label issued or approved by a Management Authority of the State that registered the institution.

> Art. VII, paragraph 6 of the Convention:
>
> *The provisions of Articles III, IV and V shall not apply to the **non-commercial** loan, donation or exchange between **scientists or scientific institutions registered** by a Management Authority of their State, of herbarium specimens, other preserved, dried or embedded museum specimens, and live plant material which carry a **label** issued or approved by a Management Authority.*

2. Purpose of the scientific exchange exemption

The purpose of the exemption is to:

- encourage collaborative scientific research, including forensic research, on wild fauna and flora for conservation purposes;
- reduce the potential impact of scientific research by limiting the take of specimens from the wild; and
- Ensure smooth and rapid loan, donation and exchange among registered scientific and forensic research institutions.

3. Conditions

The recommended conditions that apply for the exemption are further specified in Resolution Conf. 11.15 (Rev. CoP18) on *Non-commercial loan, donation or exchange of museum, herbarium, diagnostic and forensic research specimens*, and are summarized below and explained in further detail in the following sections.

Scientific institutions with an international remit would need to be registered by the MA of the country in which they are located.

- The scientists, scientific institutions and forensic research institutions must be **registered** in the **register of the CITES Secretariat (CITES Register)** by a Management Authority of their hosting State in accordance with **certain standards;**
- The exemption is only applicable to **animal (non-live) and plant specimens, as shown in Table 2;**
- Scientific materials must to be shipped in containers with a **label issued or approved by authorized by the Management Authority that registered the institution;**
- The loan, donation, or exchange must be of a **non-commercial** nature;
- The registered institution must **report annually on the use of the exemption to** the Management Authority of the hosting State.

4. Standards for registration

The standards for registration of scientific institutions and forensic research institutions with the Management Authority are contained in paragraphs 3 g) vi) and 3 g) vii) of Resolution Conf. 11.15 (Rev. CoP18), respectively. The Resolution contains no specific standards for the registration of individual scientists. Although it is possible under the Convention for individuals to benefit from the exemption, the Resolution recommends that scientists who keep private collections be encouraged to affiliate with registered scientific institutions in order to take advantage of the exemption. Most scientists are generally affiliated with at least one institution.

In order to facilitate the exchange and ensure due diligence, Parties have agreed that only scientific, including forensic research, institutions registered with the Management Authority of their hosting State, and included in the CITES Register can exchange under the SEE. It does not matter whether they are registered as a scientific or a forensic research institution.

When the first version of this Resolution was adopted at CoP2, the Parties agreed that *bona fide* scientific research institutions should be permitted to exchange easily amongst themselves specimens already part of their collections and that such exchanges involve only the bare minimum of formality necessary to ensure that such procedures are not used to circumvent the intent of the Convention; an agreed list of institutions to use the procedure would be a necessary prerequisite. It is thus recommended that Parties facilitate the registration so that all scientific and forensic research institutions meeting certain standards and determined to be *bona fide* can take advantage of the exemption. These standards are set out below.

Standards for registration of scientific institutions

Scientific institutions should meet the following standards for their registration:

Bona fide in this context means that the Scientific Authority has no reason not to trust the institution.

- The institutions should be ***bona fide***;
- Collections of animal or plant specimens, and records ancillary to them, are **permanently housed and professionally curated**;

- Specimens are accessible to all **qualified users, including those from other institutions**; and all accessions are properly recorded in a permanent catalogue;
- Permanent records of loans, donations, and transfers (exchanges) to **other institutions** are maintained**;**
- Specimens are acquired primarily for purposes of research that is to be reported in **scientific publications**;
- Specimens are prepared and collections arranged in a manner that ensures their **utility**; and
- **Accurate data** are maintained on specimen labels, permanent catalogues and other records.

The term *qualified users, including those from other institutions* is not further qualified in the Resolution, but would include other scientific institutions in the same territory as so determined by the hosting State, including international and regional institutions. If such "other institutions" are located in the territory of a different State, they should be included in the CITES Register to be able to exchange under SEE.

The CITES Management Authority (MA) of the hosting State should seek the advice from the competent CITES Scientific Authority (SA) on whether it considers that the standards are met by a scientific institution seeking to be included in the register. The national legislation of the hosting State may include additional conditions and requirements for registration.

Standards for registration of forensic research institutions

A *forensic research institution* is a laboratory that is mandated by the government to provide forensic research and analysis in wildlife law enforcement investigations. The intention is to facilitate the exchange of reference samples to support the development and application of analytical methods. If the laboratory is not mandated to provide forensic research and analysis, it might be able to seek registration as a *scientific institution* if it meets the required standards.

- Forensic research institutions should be determined by the Management Authority **as suitable to provide wildlife forensic analysis**;
- Animal or plant specimens – acquired primarily for purposes of research or to expand forensic research capabilities through the development of wildlife reference databases – should be **properly recorded in a permanent catalogue**;
- Permanent records should contain information about **loans and transfers** to other institutions and the purpose of the transaction;
- Institutions should make reference to their **quality management system** used for research conducted; and
- **Accurate data**, for example scientific name, weight, geographical origin, source code, purpose and result of research, should be recorded in the permanent catalogue, and specimens should be accurately and adequately labelled.

It is recalled that, in the CITES '*Directory of laboratories eligible and willing to be included in an electronic directory of wildlife forensic providers*', the following admissibility criteria are applied: Each of these laboratories (i) carry out forensic casework; (ii) operate in accordance with a quality management system (QMS); (iii) are audited internally and externally by a competent third party (and have provided confirmatory evidence of this); (iv) are able and willing to carry out wildlife forensic analyses upon request from other countries; and (v) have explicitly requested to be included in the directory. Parties may wish to also take these benchmarks into account when deciding on the standards for registering forensic research institutions.

For both scientific institutions and forensic research institutions

- **Acquisition and possession** of specimens should be in accordance with the laws of the State in which the institution is located; and

- All specimens of species included in **Appendix I** should be permanently and centrally housed under the direct control of the scientific or forensic institution and managed in a manner to preclude the use of such specimens for commercial purposes, decoration, trophies or other purposes incompatible with the principles of the Convention.

Diagnostic testing laboratories recognized as an official reference laboratory or a collaborating centre by the World Organisation for Animal Health (OIE) would qualify for registration as these are considered to meet the standards above. Management Authorities are encouraged to identify relevant OIE Reference laboratories and Collaborative Centres in their countries and submit these for inclusion in the CITES Register.

Also laboratories included in the electronic directory of laboratories that conduct wildlife forensic testing maintained by the CITES Secretariat would qualify for registration. However, they are not automatically included in the CITES register and still need to be registered through the Management Authority of the hosting State.

5. Process for registration of institutions in the CITES Register

Once it is determined upon **advice of the Scientific Authority** that the above-mentioned standards are met by a given scientific institution, the Management Authority of the State concerned should register the **scientific or forensic research institution** with the CITES Secretariat by email to info@cites.org. When registering an institution, the Management Authority should give the institution a registration number that is composed of the following elements:

- the two-letter ISO code of the State where the scientific institution is located (XX);
- A unique number assigned by the national Management Authority (YYY);
- Example: BE 001 is a scientific institution registered by Belgium with unique registration number 1.

Unless otherwise specified, the Secretariat will include the date the information is published on the website as the date of CITES registration. According to Resolution Conf. 11.15 (Rev. CoP18), the Management Authority should provide the following **information** to the Secretariat when registering an institution

- Name, address, contact details, including where practicable, email address and telephone number;
- Website of the institution, if available;
- Registration number (see above);
- Types of services provided by the institution (more than one is possible)
    - Taxonomic;
    - Species conservation research;
    - Wildlife forensic research

Taxonomic means that the institution is providing services and/or undertaking research on the naming, defining and classifying groups of biological organisms on the basis of shared characteristics.

In addition, it might be useful if Parties indicate whether the institution is also an OIE reference laboratory or collaborative centre, and if it specializes in disease diagnostics, for instance. Some Parties have also added 'A' for animals and/or 'P' for plants to indicate the competencies of the institution.

Example of a registration by the United Kingdom of Great Britain and Northern Ireland:

Code	Address	Contact	Date of CITES registration
GB001	Science Directorate, The Natural History Museum Cromwell Road LONDON SW7 5BD – Type of services: Taxonomic Reference, Species Conservation Research **Website:** http://www.nhm.ac.uk	**Contact details:** [contact details of relevant contact person in the institution] **Telephone:** **Email:** registrar@nhm.ac.uk	dd/mm/yyyy

Registered institutions should be subject to renewal at the discretion of the registering Management Authority to ensure that only current and valid institutions are eligible for scientific exchange. The registration should as a minimum be reviewed **every five years** by the Management Authority. In case of an OIE institution, the renewal should be fairly simple as such institutions are reviewed on an annual basis in the context of OIE procedures.

It should be noted that the indication of the types of services provided by the registered institution does not limit the institution to only exchange with institutions in the same category. The purpose of the indication of the types of services is to facilitate the use of the register. An institution that provides both wildlife forensic research and taxonomic services would need to fulfill both sets of standards for registration.

The CITES Register is available on the CITES website at this address:
https://cites.org/eng/common/reg/e_si.html

6. Inventories

According to subparagraphs 3 b) and c) of Resolution Conf. 11.15 (Rev. CoP18), Parties should encourage their natural history museums, herbaria and forensic research laboratories to inventory their holdings of rare and endangered species and make that information widely available to the Parties and the research community, as appropriate. The provision does not refer to CITES-listed species and therefore it could be interpreted to mean all rare and endangered species, irrespective of their status under the Convention. Such inventories will allow researchers to efficiently borrow specimens for study or use forensic information contained in reference databases. Addenda should be added to the inventories as specimens become available. Scientific and Management Authorities can use the information in determining whether further collection of some rare species may be justifiable, or whether the need can already be met by borrowing specimens from other museums or using forensic information provided by forensic research laboratories.

As mentioned above, individual scientists who keep private collections are encouraged to affiliate with registered scientific institutions

7. Types of scientific material/specimens

The Convention and Resolution Conf. 11.15 (Rev. CoP18) set certain limits on the types of specimens that can be exchanged under the SEE. As this is an exemption from the normal requirements of the Convention, the list of what can be exempted is exhaustive and should be narrowly interpreted. The Management Authority may not extend the list of what can be exempted (left column) but may delete types of specimens from the list (as a stricter domestic measure).

Table 2: Types of scientific material and specimens that can or cannot be exchanged

Types of specimens that can be exchanged under the exemption are:	**Types of specimens that cannot be exchanged under the exemption include:**
Herbarium specimens (e.g. dried or pressed plants and flowers)	
Preserved, dried or embedded museum animal or plant specimens	Any specimens that *are not* first catalogued and registered in the collection of a registered institution (e.g.: fresh blood, sera or semen samples, or specimens collected by field researchers)
Non-live animal specimens	Live animal specimens
Live plant material	
Frozen museum specimens (e.g. frozen tissue samples)	
Forensic research specimens of the examples of types included in the Annex to Resolution Conf. 11.15 (Rev. CoP18) (non-exhaustive list)	Enforcement specimens that are the subject of an ongoing criminal investigation and which may therefore not legally be exchanged

Diagnostic samples of the types listed in Annex 4 to Resolution Conf. 12.3 (Rev. CoP18)	

8. Application of the SEE, use of labels

Once a scientific or forensic research institution has been registered with the CITES Secretariat, it will appear in the online CITES Register with the code, name and address of the institution, and can begin to apply the SEE.

The Management Authority of the hosting State should issue or approve the template of a label that must accompany the container used to transport the specimens or samples. A label may be a document, sticker, certificate, document affixed (glued on) or in a pouch, etc. Parties have not developed a standard form for the label, so each Management Authority can design its own standard "label." Such a standard label should include:

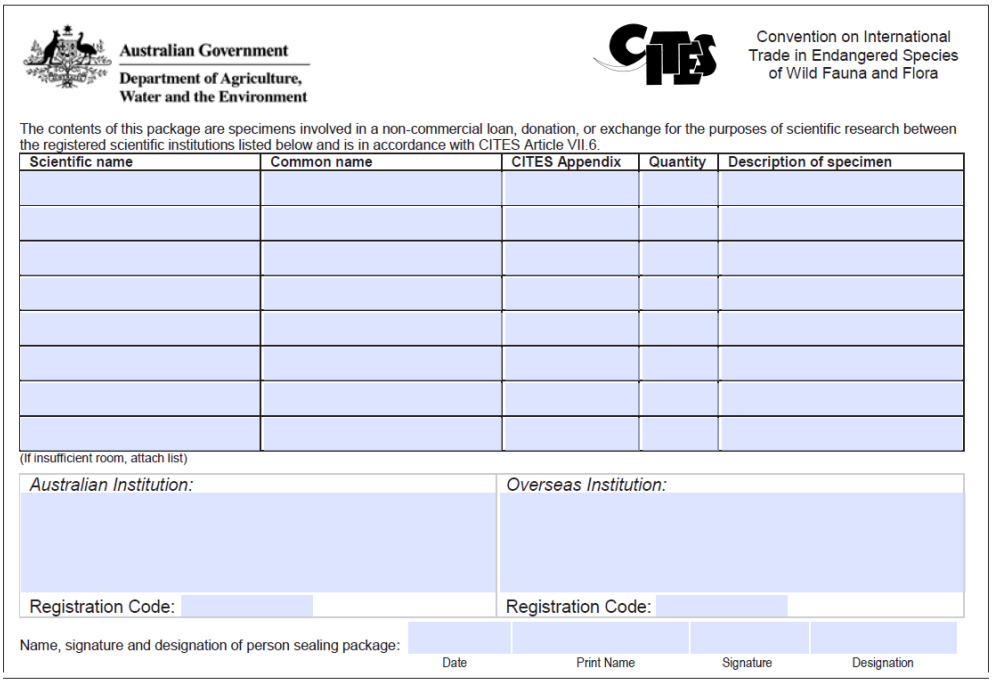
- The CITES logo
- Management Authority of the country "responsible" for institution and having approved the "label"
- Reference number linking to application filed with Management Authority

For each export (loan, donation or exchange), the exporting institution must ensure that the label is placed on the container and that it contains at least the following information:

- the type of specimens and the purpose of the exchange (scientific study, forensic research or diagnostic purposes);
- the name and address of the exporting institution;
- the codes of the exporting and importing institution; and
- the signature of the designated officer of the exporting registered institution.

Management Authorities may add additional requirements for information to be contained on the label. Instead of issuing a specific label, the Management Authority may authorize the use of a customs declaration label, provided that it bears the acronym CITES and contains the same information.

Example of the main part of the label (the full label is included in Annex 3 of this guidance):



Australian Government
Department of Agriculture, Water and the Environment

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

The contents of this package are specimens involved in a non-commercial loan, donation, or exchange for the purposes of scientific research between the registered scientific institutions listed below and is in accordance with CITES Article VII.6.

Scientific name	Common name	CITES Appendix	Quantity	Description of specimen

(If insufficient room, attach list)

Australian Institution:	*Overseas Institution:*
Registration Code:	Registration Code:

Name, signature and designation of person sealing package:

Date | Print Name | Signature | Designation

9. Import under SEE

A shipment under SEE that meets all the above requirements should be accepted for import without a CITES permit or certificate. In case of doubt as to whether the requirements are met, the Management Authority of the importing State may contact the Management Authority of the exporting State or the CITES Secretariat to seek clarifications.

It is important to note that the exemption applies to *non-commercial* loan, donation or exchange between registered scientific institutions. It does not apply when an institution acquires a specimen with the intention of selling onwards to a third party, or when the institution is paying to acquire the specimen. In this context, it is irrelevant whether the institution will make a profit of the sale or if the received funds are going to be used for scientific purposes. If there is a commercial aspect to the importation, the exemption does not apply. This means that the specimen can be used by the institution and put on display, but cannot be sold, traded or otherwise disposed of outside the State in which the institution is located.

10. Reporting

Since 2019, all registered scientific institutions should report annually on the use of the exemption to the hosting Party, including on the species, types and volumes of specimens exchanged in accordance with paragraph 3 g) xiii) of Res. Conf. 11.15. OIE Collaborative Centres and Reference Laboratories may submit the same annual report as they are submitting to the OIE General Assembly.

If the Management Authority has received the information from the registered scientific institution in accordance with the Resolution, the Management Authority should include this in the annual trade report to be submitted to the CITES Secretariat in accordance with Art. VIII, paragraph 7 a).

11. Examples of use of the scientific exchange exemption

Australia has made publicly available information on its implementation of the SEE. See https://www.environment.gov.au/biodiversity/wildlife-trade/non-commercial/research.

12. Risks

Management Authorities and the scientific and forensic research institutions must apply the provisions of the exemption carefully and diligently. The risks to wildlife and wildlife conservation should be minimal, and care should be taken to scrupulously remain within the list of specimens covered by the exemption, and not to interpret or expand this list under any circumstances. Any misuse would discredit the institution concerned and could potentially have serious consequences.

IV. Simplified procedures

1. Introduction

Unlike SEE, the simplified procedures are a simplified way to apply the normal requirements under CITES in situations of trade with **no or negligible impact** on the conservation of the species concerned. The procedures are set out in Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*, section XIII, paragraph 22.

The simplified procedure allows the Management Authority to provide persons and bodies determined to be *bona fide* with partially completed permits and certificates, and hence to 'pre-authorize' trade under certain conditions.

> It is for the Management Authority in each Party to determine which persons and bodies it considers to be *bona fide*. It could include any research institutions, individual researchers, veterinarians, health professionals, police officers and departments, regional fisheries management organizations, non-governmental organizations, companies, shops, traders etc. that the Management Authority fully trusts will comply with the provisions correctly.

2. Purpose and main features of simplified procedures

- Facilitate and **expedite urgent low-risk transactions of biological samples** for scientific, conservation, diagnostic, species identification or law enforcement purposes;
- Facilitate and expedite **low-risk trade covered by certain exemptions and special provisions** of the Convention;

- Use of SP may be **less burdensome for the Management Authority** in situations of high numbers of transactions from the same exporter with no or negligible conservation impact (e.g. to issue partially completed permits to trusted horticulture companies that are exporting high volumes of artificially propagated plants of species included in Appendix II, for example orchids or ginseng);
- Imports/export/re-export and Introduction from the Sea (IFS) authorized through SP shall be reported in the **annual reports** of the Party;
- It is for the **designated Management Authority** to decide whether the use of SP is merited or not, based on a consideration of advantages, disadvantages and risks.

3. Use of SP

SP can be used in the following situations to pre-authorize trade *if there is **no or negligible impact on the conservation** of the species concerned:*

1. Where **biological samples** of a certain type and size are **urgently required:**
   - In the interest of an individual animal or in the interest of conservation of the species concerned or other species listed in the Appendices;
   - For control of diseases transferable between species in the Appendices;
   - For diagnostic or identification purposes; or
   - For judicial or law enforcement purposes.
2. For the issuance of **certificates** in accordance with Article VII, paragraphs 2 or 5 (pre-Convention, artificial propagation, captive breeding) or **export permits or re-export certificates** for specimens covered by Article VII, paragraph 4.
3. SP can also be used in other situations where it is **considered merited by the Management Authority if there is *no or negligible impact on the conservation*** *of the species concerned* [for example, multiple commercial shipments over a short period of time of Appendix-II or –III species that are not of high conservation concern or for the issuance of musical instrument certificates under Resolution Conf. 16.8 (Rev. CoP17)].

The use of SP in each of these situations is further explained after the general conditions for using SP below.

Before issuing the partially completed permits or certificates, the Management Authority may also wish to check with the importing State (if this is known) that the acceptance of shipment can be handled expeditiously upon arrival.

4. General conditions for using SP

- The **normal conditions for trade in CITES-listed species**, set out in Articles III, IV and V are applicable under SP [Legal Acquisition Finding (LAF), Non-Detriment Finding (NDF), traceability] as well as the exemptions set out in Article VII and related Resolutions.
- The SP may be used in response to an application for SP or may be proposed by the Management Authority where this is considered useful.
- Under SP, the Management Authority will provide in advance of the actual transaction **partially completed permits or certificates** to *bona fide* persons and bodies for them to complete at the time of export.
- The Management Authority will maintain **records of the persons and bodies** (hereinafter beneficiaries) as well as the **species** they may trade under the SP.
- The partially completed permits issued by the Management Authority have the following **validity** (unless a shorter validity is specified on the document itself):
  - Export permit: 6 months
  - Import permit: 12 months
  - Certificates (pre-Convention, captive breeding, artificial propagation, musical instruments etc.): 3 years

- When providing partially completed permits or certificates, the Management Authority must specify:
  - Which boxes the beneficiary must complete at the time of trade;
  - The inventory of species (up to family level) that may be traded with the partially completed permits or certificates – this inventory must be included on the permit or in an annex to the permit;
  - The procedure for adding new species to the inventory;
  - Any special conditions; and
  - A place for the name and signature (or its electronic equivalent) of the person completing the document.
- The beneficiary must:
  - Keep copies of all permits and certificates that have been used, and inform the Management Authority accordingly for inclusion in the annual report to be submitted to the CITES Secretariat by the Management Authority; and
  - Return to the Management Authority any permits and certificates that have not been used upon expiry of their validity.

Unless the Management Authority has explicitly authorized the delegation to another specified entity, the beneficiary may not delegate the completion of the partially filled permits and certificates to other persons or bodies.

It is the beneficiary who shall inform the Management Authority of used and unused permits and certificates.

This could for example be the case where a producer of artificially propagated plants has been authorized to delegate the completion of the documents to exporting companies.

5. SP for trade in biological samples

As mentioned above, one of the main situations in which SP can be applied is where biological samples of the types and sizes in Annex 4 to Resolution Conf. 12.3 (Rev. CoP18) are **urgently required** for the uses indicated therein (see Annex 1 to the present guidelines). The uses include species identification, biomedical research, disease testing/diagnosis, etc. In such situations, Parties have agreed to further facilitate and expedite the export in the following ways:

- Permits and certificates that were **validated at the time of issuance** rather than the time of export should be accepted by the State of import, provided the **container carries a label and a document number**.
- The Management Authority of the State of export may issue the export permit at the **genus or family level**, if the species is unknown at the time of the issuance of the permit.
- The Scientific Authority of the State of export and, in the case of a species included in Appendix, I the Scientific Authority of the State of import, may develop **generic non-detriment advice** (see box below) to cover multiple shipments.
- The Management Authority of the State of export and import should consider **waiving or customizing any stricter domestic measures in place** to ensure that standard processes for issuance of CITES documents are applied.
- To the extent possible, **Management Authorities should expedite the processing of applications for such trade.**

The generic **non-detriment advice** should take into account the impacts of the collection of the specimens of species included in Appendix I or II to determine whether the export or import of biological samples would be detrimental to the survival of the species. The advice can cover multiple shipments, and prescribe timeframes, and quality or quantity of the samples. It means that the Scientific Authority considers that shipments of particular specimens/species are non-detrimental as long as they meet such specific criteria set out by the Scientific Authority.

Where practicable, before issuing the partially completed permits, the Management Authority should check with the importing State (if this is known) to confirm that the acceptance of a shipment can be handled expeditiously upon arrival.

It is the Management Authority in the State of export (and import in case of App. I) who determines whether the conditions for using SP are met in cases of emergency. The following factors may help to make this determination:

Factors that may argue for the use of SP in emergency situations	**Factors that may argue against using SP in emergency situations**
The survival of an individual animal – or of an entire population or species is at risk.	The animal or species is not at any risk.
The species is of high conservation value.	The species is of limited conservation value.
There is no laboratory or other facility to undertake the diagnosis or identification in the State of export.	There are laboratories within the territory that may undertake the diagnosis or identification.
Normal procedures are very long (over one month).	Normal procedures are very expeditious (e.g. less than 36 hours).
The investigation of a wildlife crime depends on the transfer of the specimen.	The transfer of the specimen might be useful but is not essential for the investigation to progress (the Management Authority should consider the justifications provided by the enforcement authorities concerned to inform its decision).
The sampling will take place in remote locations from where they can be shipped directly abroad and cold storage can be more efficiently maintained.	The sampling is taking place in a nearby location making it easier for the Management Authority to issue permits for each shipment.
Several shipments of small volumes of biological samples are expected to be needed over a limited period of time.	A single shipment is expected to be needed.
The "beneficiary" is a credible *bona fide* person or body.	The credibility of the person or body applying for the use of SP for biological samples is questionable.

In case of doubt as to whether to use SP in case of an emergency, the Management Authority may seek advice with the CITES Secretariat. Sometimes, it may be difficult to determine whether an emergency situation exists or not. In some instances, for example in the case of disease outbreak among wild animals, it may be prudent to consider that there is an emergency situation until the opposite can be determined with some certainty.

It is not possible to use SP for emergency transfer of specimens of species in Appendix I unless an import permit covering the transaction has already been issued by the importing State. Import permits for biological samples of species included in Appendix I may also be issued under SP. If sufficient information is available to do so, the beneficiary - or the receiving laboratory - may contact the Management Authority of the State where the receiving laboratory is located to apply for partially completed import permits.

6. SP for the issuance of certificates under Article VII

SP may also be used by the Management Authority to issue certificates in the context of the following exemptions and special procedures in accordance with Article VII, if there is no or negligible impact on the conservation of the species concerned:

- **Pre-Convention certificates** (in accordance with paragraph 2 of Article VII);

- Certificates of **artificial propagation** or **captive breeding** (in accordance with paragraph 5 of Article VII);
- Export permits or re-export certificates in accordance with Article IV for specimens covered by paragraph 4 of Article VII. These are **specimens of species in Appendix I that are captive bred or artificially propagated for commercial purposes by a registered facility.**

SP may for example be used to issue prefilled permits to *bona fide* horticulture companies that are exporting high volumes of artificially propagated plants of species included in Appendix II, for example orchids or ginseng. See Annex 2 to the present guidance for examples.

7. SP in other cases

Finally, in accordance with paragraph 22, subparagraph a) iv), of Resolution Conf. 12.3 (Rev. CoP18), SP can be applied *in other cases judged by the Management Authority to merit the use of SP*. This must be cases where there **is no or negligible impact** on the conservation of the species concerned. It should also be cases where the Management Authority considers that there are none or very low risks involved with using SP.

Examples of use of SP under this provision include the following:

- For pharmaceutical and cosmetic companies using only very small quantities of CITES specimens;
- For the issuance of partially completed re-export certificates to companies that re-export medical products (MED) containing wild specimens of plant species;
- For scientific samples collected within the framework of research programmes of Regional Fisheries Management Organizations (RFMOs);
- For the issuance of musical instrument certificates under Res. Conf. 16.8 (Rev. CoP17).

See Annex 2 to this guidance for examples of the use of SP.

8. SP for specimens collected at sea

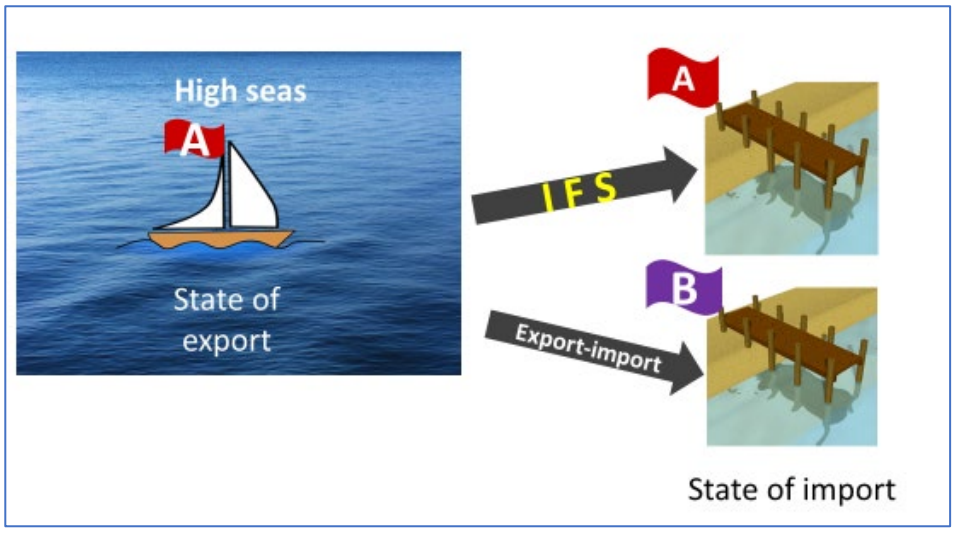
Pursuant to reported challenges faced by Parties in facilitating the transfer of scientific samples for specimens collected at sea (both from within the territory of a State and from the high seas), this section is aimed at specifically providing guidance on how SP may be used to authorize trade in biological samples of specimens collected at sea, where such trade will have negligible or no impact on the conservation status of the species concerned.

The applicant would need to provide the following information to the Management Authority of the appropriate State (see box below):

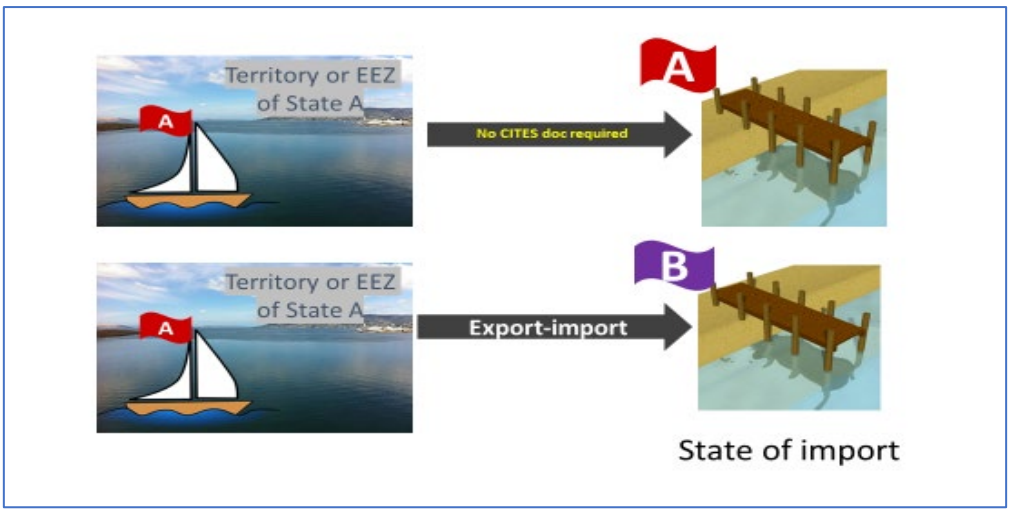
- Information about the applicant (to be further specified by the Management Authority)
- Which species will be sampled and what kind of specimens will be traded (introduced from the sea or exported), but not necessarily the quantity;
- The flag State of the vessel used for taking the samples;
- The geographical location of the origin of the samples:
    - High seas
    - Exclusive Economic Zone (EEZ) or territorial waters of a State
    - EEZ or territorial waters of another State
- The expected destination(s) of the specimens.

The Management Authority of the vessel's flag State may issue partially filled permits or certificates corresponding to the types of transactions envisaged by the beneficiary/applicant:

    - If from high seas into vessel's flag State: IFS certificate
    - If from high seas into another State: export permit
        - If the samples from high seas are from Appendix-I listed species, an import permit from that other State is required as well. The Management Authority of the importing State may also use SP for the import permit.



- If from within own territory or EEZ to own territory: no CITES document required
- If from within own territory or EEZ to other territory: export permit required
- If from EEZ or territorial waters of another State, the Management Authority of that other State is competent to issue the permits; not the Management Authority of the flag State



- The Management Authority of the vessel's flag State can only authorize trade from own territories or from the high seas; not from the territories of other States.
- The Management Authority can use of SP for re-export certificates.
- The Management Authority may authorize the beneficiary to delegate the authorization to complete the permits to specific collaborators under specified conditions.
- There are special recommendations in Resolution Conf. 14.6 (Rev. CoP16) on *Introduction from the sea* on chartering and on trans-shipment.

If the researcher/beneficiary is using several vessels operating under different flags to carry out the sampling of CITES-listed species, it can be complex to apply the provisions of the Convention. In such cases, the Secretariat should be contacted for further guidance.

Parties are invited to also consult the introduction from the sea webpage on the CITES website for more information on the matter of introduction from the sea: https://cites.org/eng/prog/ifs.php

9. Reporting

The beneficiary must inform the Management Authority of the use of the permits and certificates issued under SP for inclusion in the annual report to be submitted to the CITES Secretariat by the Management Authority in accordance with Art. VII, paragraph 6, of the Convention and the applicable Guidelines.

10. Risks of using SP

It cannot be emphasized enough that SP must only be used with regard to **trade that will have no or negligible impact on the conservation status of the species concerned**. Even when observing this important condition, there are some risks involved with using SP:

- An inadequate NDF, or a wrong appreciation of the impact of the trade on the conservation status of the species;
- Unintended mistakes by beneficiaries (i.e. wrong description of specimen or species);
- Lack of reporting to the Management Authority on actual trade, making monitoring of take and trade difficult or impossible;
- Deliberate misuse by beneficiaries, e.g. by transferring partially filled permits to traders without the authority to do so;
- Use of specimens by the importer for other purposes than authorized on the export permit.

In cases where the Management Authority observes that the beneficiaries are not using the SP correctly – whether deliberate or not – it should take measures to rectify the situation, including discontinuing the issuance of SP to the beneficiary in question, if needed. If the misuse is evidently deliberate, the MA may need to take further action, including judicial.

This concludes the guidance on SP. The following sections are aimed at providing additional guidance on when to use SEE and SP in the case of forensic specimens and in other situations.

V. Forensic specimens

At CoP18, forensic research specimens (or forensic reference samples) were included in Resolution Conf. 11.15 (Rev CoP18) while already covered by SP prior to CoP18. In the light of this recent change to Resolution Conf. 11.15 (Rev. CoP18), there may be additional questions related to trade in this kind of specimens, and on how the SEE or the SP apply to these specimens.

The Secretariat offers clarifications below, which will be refined and expanded as experience is gained with the implementation of the exemption.

- What are forensic research specimens or reference samples?
  - Specimens and samples from CITES-listed animal or plant species that have been acquired primarily for purposes of research or to expand forensic research capabilities through the development of wildlife reference databases; and
  - that are properly recorded in a permanent catalogue/database.
  - Examples of the types of specimens concerned are included in Annex 1 to this document and in Annex 1 to Resolution Conf. 11.15 (Rev. CoP18).

- How are they different from specimens used in wildlife law enforcement or investigations?
  - The specimens themselves are not different; it is the purpose of the transaction/transfer that is different:
    - *Forensic research specimens* or *forensic reference samples* are transferred for purposes of research or to expand forensic research capabilities through the development of wildlife reference databases; they can be exchanged under the SEE procedure.
    - *Wildlife enforcement specimens* are material sampled as evidence in an ongoing criminal investigation and accompanied by a record (case, file)

number; they cannot be exchanged under SEE, but Parties may use the SP to expedite trade.

- Why are only forensic research or reference specimens covered by SEE?
  - Reference is made to Article VII, paragraph 6, that only applies to exchange, loan and donation between registered scientists and scientific institutions, including forensic research institutions – and not to law enforcement agents or agencies.

As explained above, the simplified procedures may be used to facilitate and expedite the transfer of forensic specimens for law enforcement purposes. In some instances, it can be difficult to determine which process to use as illustrated by this example.

Example: A laboratory receives an unidentified meat sample from a suspected App I-species. The laboratory generates a DNA sequence from the sample and identifies it against a research-level electronic database. It comes back as blue whale (*Balaenoptera musculus*), but the reference data is not considered reliable enough and the lab requires its own, authenticated reference sequence to report the result. The lab requests a *Balaenoptera musculus* reference sample from another country to analyze as part of the case. The transfer of this authenticated reference sequence would be allowed under the SEE – even if it is used in an ongoing case, because the specimen itself is not evidence in the case.

When the MA registers a forensic research institution (or a forensic laboratory) in the CITES Register of scientific institutions under Resolution Conf. 11.15 (Rev. CoP18), it is important to give very clear instructions on what the institution can exchange and cannot exchange under SEE. The Management Authority should also clarify that to assist in ongoing investigations in third countries, the forensic laboratory may likely need to use SP for urgent imports of forensic evidence.

VI. SEE and SP – When to use which?

The examples below are provided to assist Management Authorities and beneficiaries in deciding on whether to use SP or SEE. The detailed conditions for the use of SEE and SP are explained in the preceding sections.

Example 1:

Situation: The Management Authority receives a request from a veterinarian to urgently allow for the export of a series of biological samples of a species included in Appendix II for diagnostics purposes in the context of a wildlife disease outbreak [samples of the type in Resolution Conf. 12.3 (Rev. CoP18), Annex 4].

Solution: use **simplified procedures** that will allow for partially completed permits to be issued to *bona fide* persons and bodies under specific conditions; no need to be registered in advance;

- Don't use **scientific exchange –** these provisions can only be used if the diagnostic samples are catalogued and are exchanged, donated or loaned between scientific institutions in the CITES register.
- **If** the species were included in Appendix I, the applicant or the Management Authority should contact the Management Authority of the importing State to seek import permits under SP as well.

Example 2:

Situation: A police officer urgently needs to get a seized specimen (piece of carapace) of an unidentified species of a marine turtle to a laboratory in another State for forensic analysis.

Solution: use simplified procedures that will allow the Management Authority to issue partially completed permits to the named enforcement agency to expedite the shipment of seized specimens, even if the species is not yet identified. If the species is likely to be a species included in Appendix I (all species of marine turtles are included in Appendix I), this requires an import permit to be issued

by the Management Authority of the importing State, normally before the export permit can be issued. Import permits can also be issued under SP;

- Don't use **scientific exchange** as the enforcement agency does not fulfill the criteria for registration and because the specimens will not have been properly catalogued.

Example 3:

Situation: A marine researcher is applying to the Management Authority to take biological samples from different species in the high seas into his own State for analysis, using a vessel flying under the same state.

Solution: Use **simplified procedures** issue partially completed IFS certificates to the marine researcher;

- **Don't use** SEE; the specimens have not yet been catalogued and can therefore not be exchanged under SEE even if the purpose is research.

Example 4:

Situation: An official OIE Reference Laboratory contacts the Management Authority in Party A to get permission to send non-live animal specimens of CITES-listed species to another OIE official Reference Laboratory in Party B. The specimens are part of the catalogued reference collection by the 'Party A' OIE Laboratory.

Solution: Party A: ensure that the laboratory is registered as a **scientific institution in the CITES Register** and suggest the Management Authority of the Party B to register this as well for them to be able to exchange specimens under **SEE**. Provide the laboratory with labels and detailed explanations on the use of the SEE and the SP (in case of exchange of live animal specimens or forensic law enforcement specimens);

- In general, ensure that all relevant OIE Reference Laboratories are included in the CITES Register.

Example 5:

Situation: An international non-governmental organization is undertaking research on great apes in country A. The organization regularly takes biological samples for diagnostic or identification purposes, which are always sent to country B for analysis.

Solution for country A: Consider **using SP** only if the samples are of the type and size in Annex 4 to Resolution Conf. 12.3 (Rev. CoP18) and the expeditious transfer of the samples to country B is likely to be required.

- **Don't use SEE**. The samples are taken in the wild and not yet catalogued and therefore cannot be exchanged under SEE even if the transfer is for diagnostic purposes.

Solution for country B: consider using **SP** for the import permits (all species of great apes are in Appendix I) if the expeditious import of the biological samples of the type and size in Annex 4 to Resolution Conf. 12.3 (Rev. CoP18) is required.

Both countries should consider developing generic non-detriment advice that would cover multiple shipments of such biological samples taking into account the impacts of the collection of the specimens of species.

Example 6:

Situation: A medicinal company is developing a vaccine for a zoonotic disease and needs to transfer DNA samples of various species listed in App. I from the company's laboratory in country A to another laboratory of the same company in country B.

Solution for country A: Consider **using SP** if the MA judges that the situation merits the use of SP (in accordance with paragraph 22 a), iv) of Resolution Conf. 12.3 (Rev. CoP18) and several expeditious transfers of the samples to country B are likely to be required.

- **Don't use SEE**. The samples are transferred for commercial purposes and therefore SEE does not apply.

Solution for country B: consider using **SP** for the import permits if the expeditious import of several shipments of the biological samples is likely to be required.

Both countries should consider developing generic non-detriment advice that would cover multiple shipments of such biological samples, taking into account that the transfer of the samples must have no or negligible impact on the conservation of the species concerned.

Annex 1. Biological samples and forensic reference samples

Types of biological samples and their use included in Annex 4 to Resolution Conf. 12.3 (Rev. CoP18) and examples of the types of forensic reference samples that may be exchanged under SSE, included Annex 1 to Res. Conf. 11.15 (Rev. CoP18).

Annex 1 to Res. Conf. 11.15 (Rev. CoP18) contains the following heading*: Examples of the types of forensic reference samples that may qualify for provisions under non-commercial loan, donation or exchange of museum and herbarium specimens and their use (Note: Depending on the specific circumstances, the type of sample and typical sample size eligible for exchange under this Resolution may differ.)*

The following contains the list of specimens included in Annex 4 to Resolution Conf. 12.3 (Rev. CoP18) and in Annex 1 to Resolution Conf. 11.15 (Rev. CoP18).

The types of samples are the same but the **purposes** for which they can be transferred under the two provisions differ slightly as shown in the table.

Type of sample Res. Conf. 12.3 (Rev. CoP18) Res. Conf. 11.15 (Rev. CoP18)	**Typical size of sample** Res. Conf. 12.3 (Rev. CoP18) Res. Conf. 11.15 (Rev. CoP18)	**Use of sample** [Annex 4 to Res. Conf. 12.3 (Rev. CoP18)]	**Use of sample** [Annex 1 to Res. Conf. 11.15 (Rev. CoP18)]
blood and its derivative components	5 ml maximum for liquid samples or dry blood sample on a microscope slide, filter paper or swab	biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis, including serology	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis
internal tissues (botanical or zoological), fixed	tissues (5 mm^3-25 mm^3) in a fixative or histological glass slide containing a +/-5um section of fixed tissue	Histology and electron microscopy to detect organisms and poisons; taxonomic research; biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis
internal tissues (botanical or zoological), frozen	pieces of tissues (5 mm^3-25 mm^3)	biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis
internal tissues (botanical or zoological), fresh (excluding ova, sperm and embryos)	pieces of tissues (5 mm^3 - 25 mm^3)	biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis

Type of sample Res. Conf. 12.3 (Rev. CoP18) Res. Conf. 11.15 (Rev. CoP18)	**Typical size of sample** Res. Conf. 12.3 (Rev. CoP18) Res. Conf. 11.15 (Rev. CoP18)	**Use of sample** [Annex 4 to Res. Conf. 12.3 (Rev. CoP18)]	**Use of sample** [Annex 1 to Res. Conf. 11.15 (Rev. CoP18)]
external tissues including hair, skin, feathers, scales, bone, egg shell, teeth, ivory, horn, leaves, bark, seeds, fruit or flowers	Individual samples with or without fixative for ivory: pieces of ivory approximately 3 cm x 3 cm and 1 cm thick or less depending on analysis method, in accordance with *ICCWC Guidelines on methods and procedures for ivory and laboratory analysis* for rhino horn: small amounts of powder/shavings sealed in a tamper proof sample bottle, in accordance with the *Procedure for Rhino horn DNA Sampling*	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis; age analysis; biomedical research	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; age analysis;
buccal/cloacal/mucus/nasal/ urinary tract/rectal swabs	small amounts of tissue or cells on a swab in a tube	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis, including serology; biomedical research	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis
cell lines and tissue cultures	no limitation of sample size	biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis; age analysis	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; age analysis;

Type of sample Res. Conf. 12.3 (Rev. CoP18) Res. Conf. 11.15 (Rev. CoP18)	**Typical size of sample** Res. Conf. 12.3 (Rev. CoP18) Res. Conf. 11.15 (Rev. CoP18)	**Use of sample** [Annex 4 to Res. Conf. 12.3 (Rev. CoP18)]	**Use of sample** [Annex 1 to Res. Conf. 11.15 (Rev. CoP18)]
DNA or RNA (purified)	up to 0.5 ml volumes per individual specimen of purified DNA or RNA	biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis; age analysis	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; age analysis;
secretions, (saliva, venom, milk, plant secretions)	1-5 ml in vials	production of anti-venom; biomedical research; species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; disease testing/diagnosis, including serology; age analysis	species identification; determination of geographic origin; sex determination; individual identification; parentage testing; toxicology analysis; age analysis;

Annex 2. Examples of the use of SP by CITES Parties

In response to Notification to the Parties No. 2017/071, Parties provided information on the use and experience with SP. These are included in information document SC70 Inf. 4 (English only). The examples below are taken from this document.

Australia

Australia uses simplified procedures for the following purposes:

a) Identification, training, education and enforcement purposes;
b) Moving biological samples of unknown species;
c) Emergency provisions;
d) In other cases, using Australia's multiple consignment authorities (MCAs).

The Australian CITES Management Authority has determined that some commercial exports, re-exports and imports of species listed on Appendix II to CITES represent a low risk to the conservation of the species concerned. For these international movements, the Management Authority can issue a multiple consignment authority, which authorises the holder to generate individual export permits to accompany individual shipments. The Australian CITES Management Authority must be informed of the details of each shipment that occurs under the authority. This advice can be cross checked with export and import data collected by border authorities. The Management Authority can revoke multiple consignment authorities where necessary, and maintains records of individuals and businesses considered eligible to use multiple consignment authorities. A multiple consignment authority is limited to a particular exporter, for specified species and product types. The authority is valid for up to six months. If the exporter is not a primary producer, the authority will be for a defined quantity, based on evidence of the quantity held by the exporter. If the exporter is a primary producer, the authority will not necessarily define a quantitative limit. The multiple consignment authority is issued on the condition that exported quantities will be within any quota set by the approved programme. Shipments must be acquitted, and acquitted quantities are recorded for monitoring purposes. Australia's international wildlife trade law allows for the use of multiple consignment authorities, provided the fundamental requirements of CITES are met, i.e. the Scientific Authority has determined the trade will not be detrimental, the specimen was legally acquired from an approved programme, or the exporting country has given permission of the export or re-export of the specimens.

Canada

The simplified processes (mainly referred to as multi-shipment permitting in Canada) are used based on an initial verification of the legal origin and source of the material which will be exported over a 6-month period under a CITES export authorization. This simplified method is only used when permittees have shown over time that they fully understand the CITES requirements and processes. This "privilege" can be revoked if the Canadian Management Authority deems that the permit holder has contravened the procedures outlined for the use of this type of permit. Multi-shipment permits will be partially filled out by the CITES permit office – permittee information, species and description of specimen. The permit holder will fill out the consignee information and the quantities being shipped. The cases where these permits are issued in Canada include:

a. Commercial export of American ginseng root (*Panax quinquefolius*) sourced from registered ginseng producers. There are large farms where ginseng is cultivated in Canada, producing tons of ginseng for export each year. Permits are issued to allow multiple shipments of ginseng from these farmers or distributors that source their ginseng from the registered farms.

b. Export of live artificially propagated plants grown in nurseries/greenhouses from verified parental stock.

c. Biomedical samples taken from colonies of macaques which are kept in university or private research laboratories. The origin of the macaques in the colonies is verified before granting of the permits to ship samples from those macaques. The multi-shipment permits are also useful for these laboratories in case of emergency situations (e.g. monkey bites), since samples from

the monkey must be tested in qualified laboratories in the shortest delay possible for diseases which could infect the injured human.

d. Export of leather products (e.g. boots, watchstraps) made from skins (alligator, python, arapaima, etc) which were imported into Canada. Small to medium sized manufacturers of leather products import volumes of skins with which they make products for export. The origin of the skins and the quantities are verified before allowing the multiple shipment permits to be used.

e. Export of wood products (e.g. guitars, woodworking tools) made from wood (rosewood, bubinga) imported into Canada. Medium to large sized manufactures of wood products import volumes of wood, or have declared their stocks of pre-convention wood, which they use to make their products for export. The origin and quantities are verified before allowing the issuance of multi-shipment permits.

f. A pilot project is underway to determine whether the simplified multi-shipment procedure can work with Canadian captive breeders. One reptile breeder has been allowed so far to test out the use of this process. His parental stock and breeding history have been recorded and tracked. To date, this process seems to be working, so this process may be expanded to other approved captive breeders. There are only a small number of reptile breeders in Canada for which this procedure might apply.

Further information about the use of simplified procedures by Canada can be found in information document SC70 Inf. 4 and on https://www.canada.ca/en/environment-climate-change/services/convention-international-trade-endangered-species/non-detriment-findings/american-ginseng-exporter-notice.html

France

As of January 2018, two laboratories are licensed for simplified procedures with regard to certain trade in biological samples and about 100 companies for simplified procedures with regard to export or re-export of dead specimens (some of those companies have several retail points, which all have their own contracts, thus more than 150 contracts have been signed). Simplified procedures with regard to re-export of dead specimens are especially appreciated by leather products industries. Some pharmaceutical and cosmetic companies, as well as musical instrument makers are also benefiting from these simplified procedures (in 2017, following the listing of *Dalbergia* spp, simplified procedures were extended to rosewood products companies). In 2016, 16,423 re-export certificates and 152 export permits were issued through simplified procedures (respectively 11,171 and 204 in 2015). Almost all of them concerned dead specimens (specimen codes LPS, LPS, MED, CAR, etc)

Germany

The simplified procedures have not been used for certain trade in biological samples in Germany. In 2017, there were three registered applicants/firms/companies where 'simplified procedures' under Article 19 Commission Regulation (EC) No 865/2006 were applied:

1. Cosmetic products or extracts for cosmetics known as 'caviar crème' containing very small portions of captive bred specimens of the species *Acipenser baerii, Acipenser gneldenstaedtii* and *Acipenser transmontanus*.

2. Snake venom for medical products using the species *Daboia russelii* (CITES App. III) from captive bred specimens, imported mainly from USA and to a lesser extent from Sweden.

3. Medical products (MED) using wild specimens of the plant species *Cyclamen purpurascens* (medicine), originated in France. Taking from the wild has been allowed by the competent regional authority in France. The products do contain only a very small share (homeopathy) of the protected plant species.

In general, 'simplified procedures' are less burdensome for personal resources in CITES MAs when there is a certain amount of applications and when the applicant is able to complete boxes in

documents without any mistakes. Germany is reporting on actual trade and it is controlled whether permits were used or not.

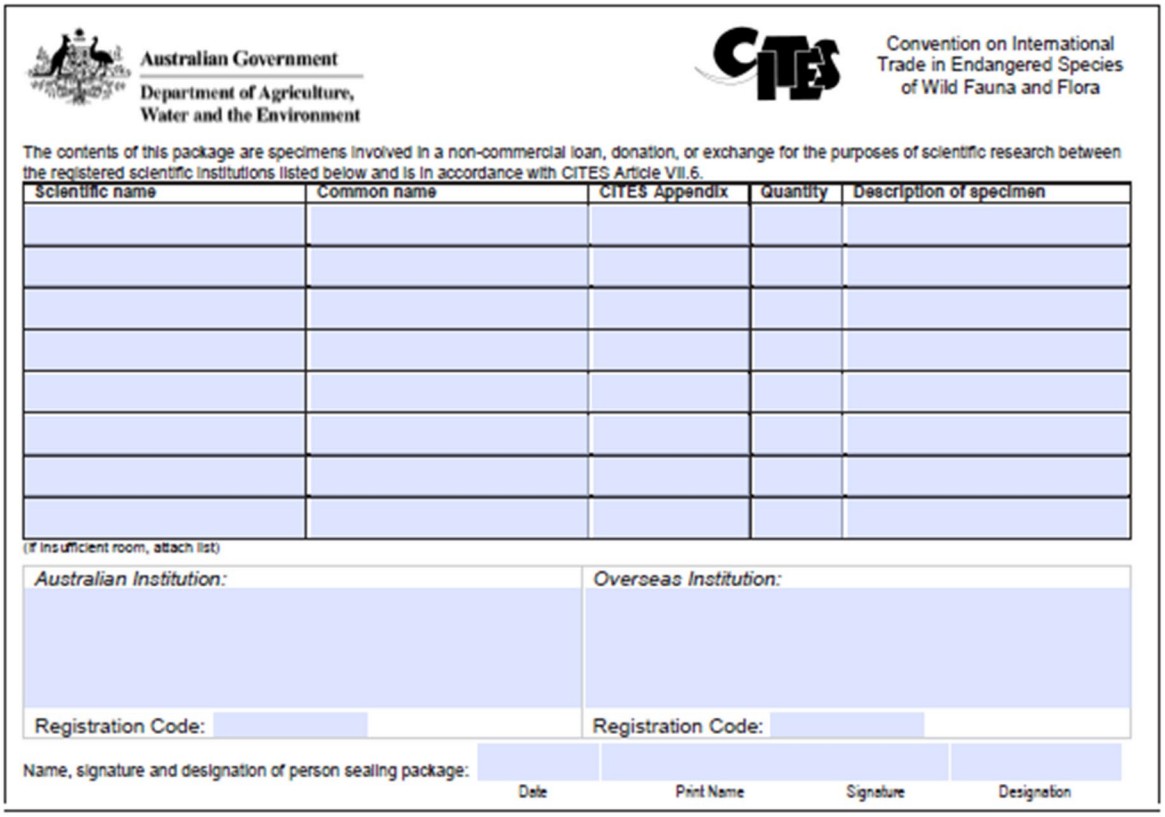
Spain

The kind of simplified procedure for issuance of permits and certificates most used in Spain is the issuance of pre-issued re-export certificates for small leather items and wooden musical instruments made with CITES Appendix II species, that are sold by *bona fide* shops to tourists. The re-export certificates are issued with all the details except the country of destination and the data of the consignee, which are filled in by the shop at the time of the sale. A few of these re-export certificates are submitted to the exporting Customs Office to clear the shipment and complete box 27; it seems that most of these transactions are not declared to the exporting Customs office, but we have no information about the presentation of the re-export certificate to the country of destination Authorities. This kind of pre-issued certificates is highly appreciated by the traders and allow them to obtain the relevant CITES paperwork without delay, although perhaps the submission to the Customs Office is an aspect that should be improved in each State.

USA

The United States has implemented the simplified procedures through its CITES Regulations 50 CFR 23.51. In accordance with Resolution Conf. 12.3 (Rev. CoP18), to facilitate the issuance of CITES documents for trade that will have a negligible impact or no impact on the conservation of the species concerned, the U.S. Management Authority has developed a procedure for creating “master files.” Master files are developed primarily for commercial applicants that have large inventories, have the need for multiple shipments over a short period of time, whose recipients and quantities to be exported or reexported do not remain the same from shipment to shipment, and where the species concerned are not of high conservation concern. When establishing a master file, the U.S. Management Authority, in consultation with the U.S. Scientific Authority when applicable, evaluates the application, including information on the applicant’s entire inventory (or the projected inventory for the near future, e.g., for artificially propagated plants) to be exported under the authorization established by the master file, to ensure that the proposed trade meets CITES provisions and the criteria in regulations 50 CFR 23.51. Once the evaluation is completed and the master file is established, the U.S. Management Authority will issue partially completed CITES documents. Typically, the blocks for the consignee, quantity, and, if for re-export authorization, the country of last export, are left blank on partially completed documents, with specific instructions on the face of the document for the permittee to include the missing information.

Annex 3. Example of a label used for exchange of scientific samples



Australian Government
Department of Agriculture, Water and the Environment

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

The contents of this package are specimens involved in a non-commercial loan, donation, or exchange for the purposes of scientific research between the registered scientific institutions listed below and is in accordance with CITES Article VII.6.

Scientific name	Common name	CITES Appendix	Quantity	Description of specimen

(If insufficient room, attach list)

Australian Institution:	*Overseas Institution:*
Registration Code:	Registration Code:

Name, signature and designation of person sealing package:

Date | Print Name | Signature | Designation

CITES label instructions. **Detach these instructions before sending package.**

The label above is to be used for the exchange, donation or loan of CITES listed scientific specimens between Australian scientific institutions registered by the Department of Agriculture, Water and the Environment, and overseas institutions registered by the CITES Management Authority of their own country. The label has been populated with information specific to your organisation.

Details which **must** be entered into the form are the:

- scientific and common name of the species from which the specimen is derived
- Appendix to CITES in which the species is listed
- quantity and short description of the specimen
- receiving organisation's name, address and registration code number
- date on which the package was sealed
- name and signature of the person authorised to exchange specimens, and the designation or title of that person.

The lists of registered institutions can be found on the following web pages:

- Australian Government Department of Agriculture, Water and the Environment
  http://www.environment.gov.au/biodiversity/wildlife-trade/sources/non-commercial/exchange/index.html
- Convention on International Trade in Endangered Species of Wild Fauna and Flora
  http://www.cites.org/common/reg/e_sl.html

The exchange **must** meet the following criteria:

- It is an exchange between registered scientific institutions, of herbarium specimens, other preserved, dried or embedded museum specimens, or live plant material which carries the label above, issued by the Department of Agriculture, Water and the Environment.
- The specimen is being lent, given or exchanged without monetary compensation.
- The specimen is not a live animal.
- The specimen was legally obtained.
- The above label with all required information filled in is securely attached to the outside of the package containing the specimen, and central records must be kept of all exchanges.

Exchange and/or administrative instructions specific to your institution may be entered below: