



## **CITES Electronic Permits/Certificates**

**Group of Experts on the Operationalization of eCMR  
Working Party on Road Transport**

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# CITES: at the cross-section of trade and environment

Convention on International Trade in Endangered Species of Wild Fauna and Flora (1973)

- **Binding trade/environment agreement for 184 Parties to control trade in 38,000+ species of animals and plants (live, dead, parts & derivatives)**
- wildlife and trade
- Conservation & sustainable use



# Illegal wildlife trade

Highly lucrative, transnational, and poses serious risk to the conservation of wild species

- Revenues lost
- Value of the ecosystem services lost

Exploits gaps in control systems

- Manual procedures
- Weak monitoring & collaboration capacity,
- Weak information exchange between agencies
- Uses Corruption, mixing illegal goods into legal trade, and fraud (fake permits, false declarations)

➔ **Electronic permit systems and information exchange can strengthen permit issuance, control and information exchange to fight illegal trade**



# CITES Permits and Certificates

- CITES regulates international trade in specimens of species of wild fauna and flora listed in its Appendices on the basis of a **system of permits and certificates** which are issued only when certain conditions are met, and which must be presented when leaving and entering a country
  - For **Appendix-II** and **-III** listed species, international trade is permitted but regulated
  - For **Appendix-I** listed species, international trade is generally prohibited



# CITES: A Convention built on permits

- The CITES permit is a key instrument of the Convention that balances **conservation and sustainable use objectives**
- Permit ensures **legality, sustainability and traceability** of trade

CITES CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		PERMIT/CERTIFICATE No.		Original	
		<input type="checkbox"/> EXPORT <input type="checkbox"/> RE-EXPORT <input type="checkbox"/> IMPORT <input type="checkbox"/> OTHER:		2. Valid until	
1. Importer (name and address)		4. Exporter/Importer (name, address and country)			
6. Quantity of export		Signature of the applicant			
7. Special conditions		8. Name, address, national seal/stamp and country of Management Authority			
In both countries, the permit or certificate is only valid if the transport conditions set forth in the Guidelines for Transport of Live Animals II, in the case of an export, to the CITES Live Animals Regulations					
9. Purpose of the transaction (see annex)		10. Security stamp no.			
25. Taxonomic name (genus and species) and common name of animal or plant		26. Description of specimens, including identifying marks or numbers (signature F req)		27. Appendix no. and access date (see annex)	
28. Quantity (including unit)		29. Total exported/Quota			
A		B		C	
12. Country of origin <sup>1</sup> Permit no. Date		13. Country of last receipt <sup>2</sup> Certificate no. Date		14. No. of the operation <sup>3</sup> in date of acquisition <sup>4</sup>	
EAB		S		15.	
B		C		D	
12. Country of origin <sup>1</sup> Permit no. Date		13. Country of last receipt <sup>2</sup> Certificate no. Date		14. No. of the operation <sup>3</sup> in date of acquisition <sup>4</sup>	
EAB		S		15.	
C		D		E	
12. Country of origin <sup>1</sup> Permit no. Date		13. Country of last receipt <sup>2</sup> Certificate no. Date		14. No. of the operation <sup>3</sup> in date of acquisition <sup>4</sup>	
EAB		S		15.	
D		E		F	
12. Country of origin <sup>1</sup> Permit no. Date		13. Country of last receipt <sup>2</sup> Certificate no. Date		14. No. of the operation <sup>3</sup> in date of acquisition <sup>4</sup>	
EAB		S		15.	
<sup>1</sup> Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export) <sup>2</sup> Only for specimens of Appendix I species bred in captivity or artificially propagated for commercial purposes <sup>3</sup> F or post-Convention specimens <sup>4</sup> The permit/certificate is issued by:					
Place		Date		Security stamp, signature and official seal	
4. Export endorsement		15. Seal of Listing No. valid number			
5a. Quantity		5b. Date		5c. Signature	
A		B		C	
EAB		S		15.	
B		C		D	
EAB		S		15.	
C		D		E	
EAB		S		15.	
D		E		F	
EAB		S		15.	

# Four stages of the system – phased implementation

## Components of the Electronic CITES Permit Systems

Stage	Supported business processes	Main stakeholders
electronic Permit	<ul style="list-style-type: none"> <li>Request and issuance of permits (paper and electronic)</li> <li>Management and storage of CITES trade data for CITES annual reports</li> <li>Inspection/risk assessments and payment for permit</li> </ul>	<ul style="list-style-type: none"> <li>CITES Management Authorities</li> <li>CITES Scientific Authorities</li> <li>Enforcement Authorities</li> <li>Traders</li> </ul>
electronic Control	<ul style="list-style-type: none"> <li>Permit information exchange with Customs</li> <li>Risk management and validation at export</li> <li>Single window integration</li> </ul>	<ul style="list-style-type: none"> <li>CITES Management Authorities</li> <li>Enforcement Authorities</li> <li>Traders</li> </ul>
electronic Report	<ul style="list-style-type: none"> <li>Automated submission of national permit data from country to CITES Secretariat</li> </ul>	<ul style="list-style-type: none"> <li>CITES Management Authorities</li> <li>CITES Secretariat</li> </ul>
electronic Exchange	<ul style="list-style-type: none"> <li>Electronic Permit Information Exchange (EPIX) to generate statistics and CITES reporting</li> <li>Cross border traceability of CITES permits</li> </ul>	<ul style="list-style-type: none"> <li>CITES Management Authorities</li> <li>Customs</li> <li>CITES Secretariat</li> </ul>

Questions? Send an email to – [khan.salehin@cites.org](mailto:khan.salehin@cites.org)

More information



# How does it help the Parties?

## Legality:

Origin & sourcing, (inter-) national legislation

## Sustainability

Non-detriment findings

## Traceability

Trade data & transaction details

CITES CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		PERMIT/CERTIFICATE No.	Original
		<input type="checkbox"/> EXPORT <input type="checkbox"/> RE-EXPORT <input type="checkbox"/> IMPORT <input type="checkbox"/> OTHER:	2. Valid until
3. Importer (name and address)		4. Exporter/vendor (name, address and country)	
5. Country of import		Signature of the applicant	
7. Special conditions		8. Name, address, national authority and country of Management Authority	
For live animals, this permit or certificate is only valid if the transport conditions conform to the Guidelines on Transport of Live Animals, at the date of its transport, in the CITES Live Animals Regulations.			
9a. Purpose of the transaction (see annex)	9b. Security stamp no.		
10. Species name (scientific name and common name of animal or plant)	11. Description of specimens including identification marks or numbers (specimen(s) only)	12. Appendix no. and serial (see annex)	13. Country (including unit)
EAB	14.	15.	16.
A	17. Country of origin * Permit no. Date	18. Country of last receipt? Certificate no. Date	19. No. of the operation ** in date of acquisition ***
EAB	20.	21.	22.
B	17. Country of origin * Permit no. Date	18. Country of last receipt? Certificate no. Date	19. No. of the operation ** in date of acquisition ***
EAB	20.	21.	22.
C	17. Country of origin * Permit no. Date	18. Country of last receipt? Certificate no. Date	19. No. of the operation ** in date of acquisition ***
EAB	20.	21.	22.
D	17. Country of origin * Permit no. Date	18. Country of last receipt? Certificate no. Date	19. No. of the operation ** in date of acquisition ***
EAB	20.	21.	22.
* Country in which the specimens were taken from the wild, based on captivity or artificially propagated (only in case of re-export) ** Date the specimens or Appendix I species listed in captivity or artificially propagated for commercial purposes *** For non-Convention specimens			
23. This permit/certificate is issued by:			
Place		Date	Security stamp, signature and seal of issuer and
14. Export endorsement		15. Bill of Lading or vessel number	
Specimen	Quantity		
A			
B			
C			
D		Date	Signature
		Original stamp and title	



# Use Case Diagram – CITES e-permit exchange for Appendix II species


Use case diagram: electronic CITES Appendix II procedures





# Current standard form

## Annex 2 Standard CITES form

 <b>CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA</b>		<b>PERMIT/CERTIFICATE No.</b> <input type="checkbox"/> EXPORT <input type="checkbox"/> RE-EXPORT <input type="checkbox"/> IMPORT <input type="checkbox"/> OTHER:		<b>Original</b> 2. Valid until											
		3. Importer (name and address)  3a. Country of import		4. Exporter/re-exporter (name, address and country)  Signature of the applicant											
5. Special conditions  <small>If for live animals, this permit or certificate is valid only if the transport conditions comply with the IATA Live Animals Regulations; if for live plants, with the IATA Perishable Cargo Regulations or, in the case of non-air transport, with the CITES Guidelines for the Non-Air Transport of Live Wild Animals and Plants</small>		6. Name, address (national seal/stamp and country of Management Authority)													
5a. Purpose of the transaction (see reverse)		5b. Security stamp no.													
7.8. Scientific name (genus and species) and common name of animal or plant		9. Description of specimens, including identifying marks or numbers (age/sex if live)		10. Appendix no. and source (see reverse)											
				11. Quantity (including unit)											
				11a. Total exported/Quota											
<b>A</b> 12. Country of origin * Permit no. Date		12a. Country of last re-export Certificate no. Date		12b. No. of the operation ** or date of acquisition ***											
<b>B</b> 12. Country of origin * Permit no. Date		12a. Country of last re-export Certificate no. Date		12b. No. of the operation ** or date of acquisition ***											
<b>C</b> 12. Country of origin * Permit no. Date		12a. Country of last re-export Certificate no. Date		12b. No. of the operation ** or date of acquisition ***											
<b>D</b> 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 ***											
<small>* / 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</small>															
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:													
<table border="1"> <thead> <tr> <th>Block</th> <th>Quantity</th> </tr> </thead> <tbody> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> <tr> <td>C</td> <td></td> </tr> <tr> <td>D</td> <td></td> </tr> </tbody> </table>		Block	Quantity	A		B		C		D		Port of export _____ Date _____		Signature _____ Official stamp and title _____	
Block	Quantity														
A															
B															
C															
D															
<b>CITES PERMIT/CERTIFICATE NO.</b>															

3. Stamp and signature by inspecting official on export

2. Stamp, signature and seal by the CITES MA





# Challenges

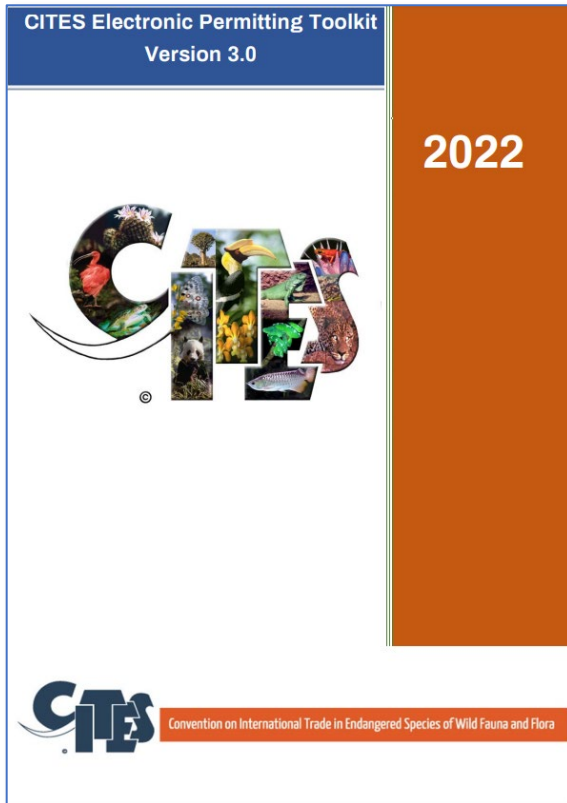
- Exchange of permit information between Parties and interoperability
- Cost of implementation vs trade volume vs trade value
- Risk management of CITES specimens
- Cooperation with border agencies (customs, law enforcement authorities etc.)



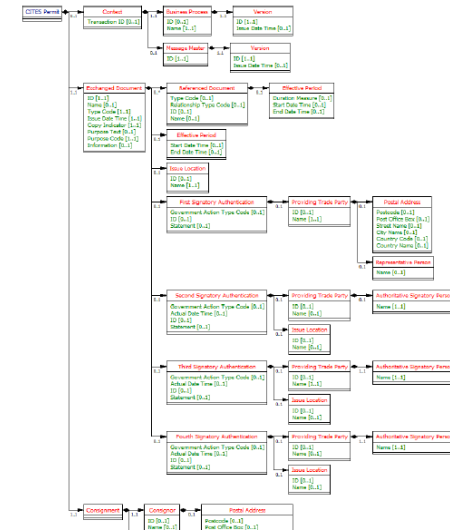
# Latest Guideline – CITES Electronic Permitting Toolkit

Version No. 3

Published February 2023



## 5.2.1.1 Class Diagram

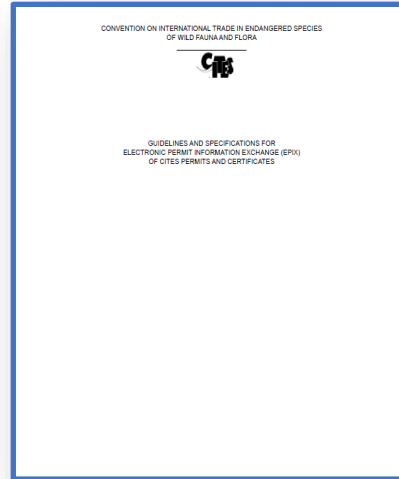
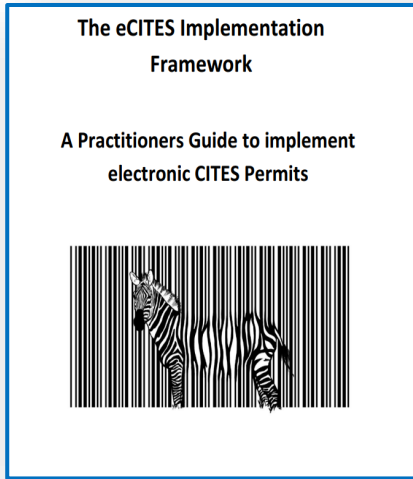


## 5.2.1.2 Message Structure

Element/Attribute	UN ID	Annotations
<b>UN/CEFACT Permit</b>		
<b>Context</b>	UN01003540	0..1
Transaction ID	UN01003541	0..1
<b>Business Process</b>	UN01003542	1..1
ID	UN01004853	0..1
Name	UN01004854	1..1
		CITES Form Reference(s) Business Process Context Value This element shall be used with the indicated value "CITES PERMITTING"; it is recommended to use this value as a trigger for the further processing of received data as required by the business or administrative process if neither the communication information nor the root element information nor the combination of both is considered to be sufficient. This value should not be used to trigger the technical processing of received CITES permit data.
<b>Version</b>	UN01004855	1..1
ID	UN01003591	1..1
		CITES Form Reference(s) Business Process Context Value This element shall be used with the indicated value (Currently 1). It is recommended to use this value together with parameter value text as a trigger for the further processing of received data as required by the business or administrative process if neither the communication information nor the root element information nor the combination of both is considered to be sufficient. This value will be changed whenever the eCITES data will incorporate more or other process capabilities. This value should not be used to trigger the technical processing of received CITES permit data.



# Other Guidelines



## International Standards and Best Practices



The eCITES Implementation Framework (General guidance for project implementation)

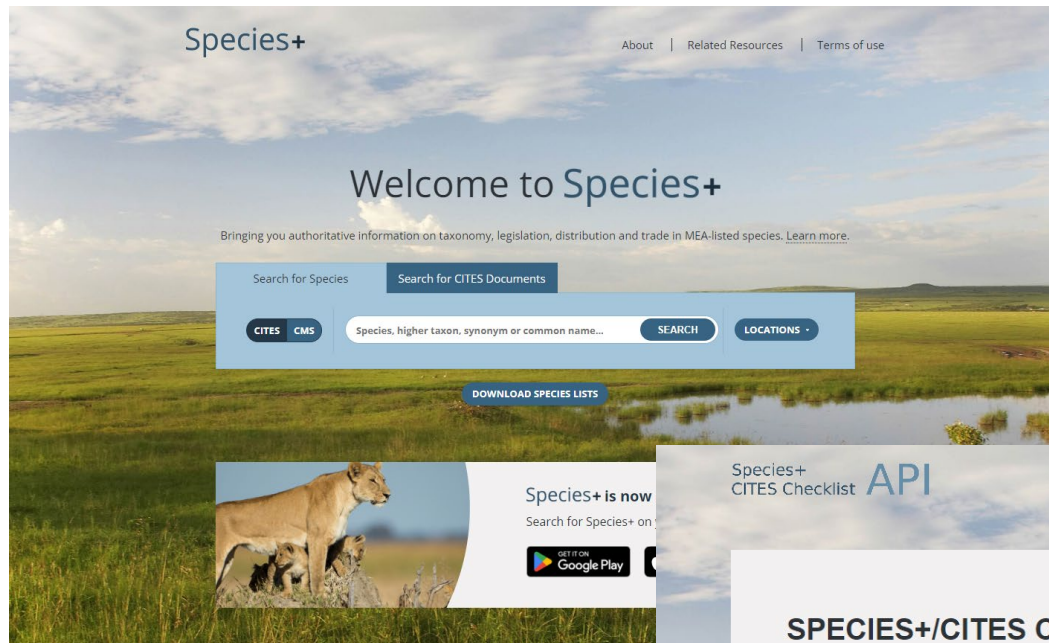
Guidelines and Specifications for Electronic Permit Information Exchange (EPIX) of CITES Permits and Certificates



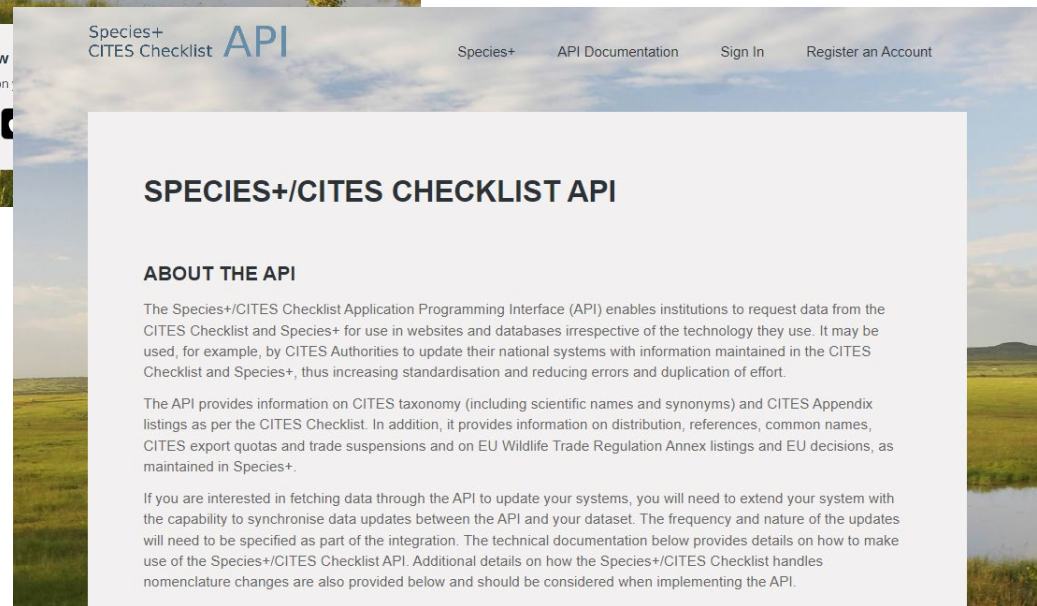
<https://cites.org/eng/prog/eCITES>



# Species+ API



The screenshot shows the Species+ website homepage. At the top left is the 'Species+' logo. To its right are navigation links for 'About', 'Related Resources', and 'Terms of use'. The main heading is 'Welcome to Species+', followed by a sub-heading: 'Bringing you authoritative information on taxonomy, legislation, distribution and trade in MEA-listed species. [Learn more.](#)' Below this is a search bar with two tabs: 'Search for Species' and 'Search for CITES Documents'. The search bar contains the text 'Species, higher taxon, synonym or common name...' and a 'SEARCH' button. To the right of the search bar is a 'LOCATIONS' dropdown menu. Below the search bar is a 'DOWNLOAD SPECIES LISTS' button. At the bottom left, there is a banner for 'Species+ is now' with a search bar and a 'GET IT ON Google Play' button. The background of the page is a landscape with a river and green fields.



The screenshot shows the Species+ API documentation page. At the top left is the 'Species+ API' logo. To its right are navigation links for 'Species+', 'API Documentation', 'Sign In', and 'Register an Account'. The main heading is 'SPECIES+/CITES CHECKLIST API'. Below this is a section titled 'ABOUT THE API'. The text in this section reads: 'The Species+/CITES Checklist Application Programming Interface (API) enables institutions to request data from the CITES Checklist and Species+ for use in websites and databases irrespective of the technology they use. It may be used, for example, by CITES Authorities to update their national systems with information maintained in the CITES Checklist and Species+, thus increasing standardisation and reducing errors and duplication of effort. The API provides information on CITES taxonomy (including scientific names and synonyms) and CITES Appendix listings as per the CITES Checklist. In addition, it provides information on distribution, references, common names, CITES export quotas and trade suspensions and on EU Wildlife Trade Regulation Annex listings and EU decisions, as maintained in Species+'. Below this is another paragraph: 'If you are interested in fetching data through the API to update your systems, you will need to extend your system with the capability to synchronise data updates between the API and your dataset. The frequency and nature of the updates will need to be specified as part of the integration. The technical documentation below provides details on how to make use of the Species+/CITES Checklist API. Additional details on how the Species+/CITES Checklist handles nomenclature changes are also provided below and should be considered when implementing the API.' The background of the page is a landscape with a river and green fields.



# SC WG on electronic systems & information technologies

- [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*



# UNCTAD ASYCUDA eCITES Solution

## Off-the-shelf solution:

- ePermit, eControl, eReport, eXchange
- Powerful functions: Web access, user profiles, controls & checks, risk management, electronic payment, work flow support ..
- Solution can be configured to national requirements and extended by the country
- Supports international trade and eBusiness standards : WTO, WCO, UNECE, ISO, ..
- Easy integration with any Customs and Single Window system: electronic permit exchange and validation, integrated Customs Risk Management, eSPS,..



ASYCUDA eCITES, worldwide (leaflet)

Sri Lanka and Mozambique are the latest countries to implement ASYCUDA eCITES Solution

<https://ecites.asycuda.org>



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



**Thank you**

**Salehin Khan**

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