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Acknowledgement



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IELP is a legal clinic at Lewis & Clark Law School that works to develop, implement, and enforce international environmental law. It works on a range of issues, including wildlife conservation, climate change, and issues relating to trade and the environment. It participates in meetings of the Convention on International Trade in Endangered Species of Wild Fauna and Flora at Lewis and Clark College (IELP).

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Preface

The *CITES Pocket Guide* is designed to provide Party delegates and representatives from observer organisations and non-Party States with a concise introduction to the Convention in order to enhance discussion and debate on implementation issues. Since its entry into force in 1975, CITES has grown and evolved as the international community seeks effective strategies to protect species of conservation concern from over-exploitation due to trade. This *CITES Pocket Guide* provides descriptions and definitions of these programmes, as well as of key provisions of the Convention. The core of the *CITES Pocket Guide*, however, is the glossary of terms, which describes important terms, commonly used abbreviations and acronyms, mechanisms, procedures, and institutions of the Convention. Please note that the terms that are in **bold-faced type** within a glossary entry have their own entries in the glossary.

Common Abbreviations

AC	Animals Committee	NGO	Non-governmental organisation
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora	PC	Plants Committee
CoP	Conference of the Parties	RoP	Rules of Procedure
IFS	Introduction from the sea	SC	Standing Committee
MoU	Memorandum of Understanding	Sig Trade	Review of Significant Trade
NDF	Non-detriment finding	ToR	Terms of Reference
		UNEP	United Nations Environment Programme

A Note From Azzedine Downes,

President and CEO of the International Fund for Animal Welfare:



CITES is one of the most effective multilateral environmental agreements in existence – certainly,

it is the most effective multilateral wildlife conservation regime. Over the last 40 years, CITES has regulated trade in more than 34,000 species and has helped save iconic species like elephants, tigers, rhinos, and many others from extinction. The reason for the success of the treaty is clear:

CITES was crafted to achieve a specific purpose, which is to protect species of conservation concern from the additional threat of international trade.

The key to CITES' continued success is simplicity – get back to basics. For CITES to remain effective, strict implementation needs to be the priority, and decision-making regarding key definitional and technical issues needs to be based on the precautionary principle and an aggressive pursuit of species conservation.

Moreover, finite resources should be directed towards compliance assistance and enforcement capacity building at the national, regional, and international

levels. Finally, science must retake centre stage as the fundamental underpinning of CITES decision-making, and diplomacy and international goodwill should remain the modus operandi of meetings of the Parties and stakeholders.

CITES alone cannot change the conservation status of most species threatened with extinction – species that are often imperilled by much more than just the impacts of commercial trade – and we must call on more appropriate international bodies and coordinated action by governments to address those broader threats, including the undeniable threat of climate change.

However, CITES can give species the chance they deserve to recover their numbers, and in doing so, help Parties achieve their goals under other international agreements, including sustainable development regimes.

IFAW has been a committed member of the CITES community for over 15 years. We offer this CITES Pocket Guide as a resource to Party delegates and other CITES stakeholders, along with our support for the Convention and its implementation.

Together, we can make the next 40 years the best ever for CITES and the precious species it aims to protect.



A Brief Introduction to CITES

Since its entry into force in 1975, the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) has set out to accomplish a single goal: to protect species of conservation concern from over-exploitation due to international trade. CITES has grown in complexity as it seeks to accommodate the interests of 182 Parties with varying degrees of institutional capacity and resources to implement the Convention. CITES has also grown in complexity as an increasing number of species require protection from over-exploitation due to trade. The CITES Appendices now include more than 35,000 species, including approximately 5,500 species of animals and 29,500 species of plants. Implementing CITES is challenging, even with abundant resources.

The core of CITES, and the key to fulfilling its goal, is first, to identify species of conservation concern. CITES does not regulate domestic trade or require Parties to protect habitat. At meetings of the Conference of the Parties, which are held every two to three years, the Parties assess a species' vulnerability and determine in which Appendix, if any, to place the species. Appendix I includes those species threatened with extinction which are or may be affected by trade. Appendix I includes more than 900 species. Appendix II includes those species which may become threatened unless trade is strictly regulated to avoid utilization incompatible with their survival. Appendix II includes more than

34,000 species. A two-thirds majority of Parties present and voting is needed to include a species in Appendix I or II. Species are included in Appendix III solely on the basis of a decision of a range State. Trade in an Appendix III specimen requires CITES documentation but no biological findings.

The second key element of CITES is its permit system to monitor and regulate international trade in specimens of species included in Appendix I, II, or III. The permit system is central to CITES' ability to prevent over-exploitation of species due to trade. The permit requirements for species depend on the Appendix in which they are listed. Generally, trade in Appendix I specimens is prohibited for commercial purposes or if it will be "detrimental to the survival of the species" (known as the "non-detriment finding"); trade requires both an import and export permit. Trade in Appendix II specimens is prohibited if it will be "detrimental to the survival of the species" and requires only an export permit. Trade in Appendix III species requires a certificate of origin or similar document.

In addition to making the important scientific and management findings necessary to ensure that trade in CITES-listed specimens is sustainable, the Parties must also ensure that trade occurs consistently with the CITES permit system by devoting resources to enforcement. Adequate enforcement includes building the capacity to uncover illegal trade, confiscating illegally traded specimens,

and imposing penalties for that trade. Adequate enforcement also requires training to identify the many products entering trade each day. In addition, Parties must compile and submit trade statistics to allow verification of imports from and exports to other countries.

Import Permits for Appendix I Species

Trade in an Appendix I specimen requires an import permit. A trader must obtain the import permit from the State of import prior to exporting the species. These provisions are intended to deter traders from killing wildlife, exporting it, and then shopping for a permit and a buyer. To obtain an import permit, the State of import must determine that:

1. the import is for purposes which are not detrimental to the survival of the species for which the permit is sought;
2. the proposed recipient of a living specimen is suitably equipped to house and care for it; and
3. the specimen is not to be used for primarily commercial purposes.

The “primarily commercial purposes” finding is the most important finding for protecting Appendix I species. Because of the significant role that trade has played in driving some species towards extinction, the Parties have interpreted “primarily commercial purposes” very broadly to include all uses “whose non-commercial aspects do not clearly predominate.”

Export Permits for Appendix I, II, and III Species

Each export of an Appendix I or Appendix II specimen must be accompanied by an export permit. Before granting an export permit, the State of export must determine that:

1. the export will not be detrimental to the survival of the species;
2. the specimen was not obtained in contravention of the laws of that State;
3. any living specimen will be so prepared and shipped as to minimise the risk of injury, damage to health or cruel treatment; and
4. an import permit has been granted for an Appendix I species.

The conditions for a re-export permit are mostly the same as those for an export permit, except that the State of re-export is not required to determine that the export will not be detrimental to the survival of the species. For an Appendix III species, the State of export need not make any findings related to the biological status of the species, but it must ensure that the species was caught legally and will be shipped humanely.

Permits and Certificates for Trade in Marine Species

The inclusion of marine species in recent years has placed more emphasis on the rules for trade in such species. When a specimen of a CITES-listed species is caught in a State’s territorial sea or exclusive economic zone and that specimen is landed in that State, no CITES permits need to be issued. If the specimen is landed in another State, however, then the rules relating to import and export apply.

CITES includes special provisions for trade in marine species taken on the high seas—what the Convention calls “the marine environment not under the jurisdiction on any State.” If a specimen of an Appendix I or II species is taken on the high seas by a vessel flagged by one State and is transported into a different State, then the rules applicable to imports and exports,

described above, apply. In other words, for an Appendix I specimen, both an import and export permit is required. For an Appendix II specimen, only an export permit is required.

However, if a specimen of an Appendix I or II species is taken on the high seas by a vessel flagged by a State and is transported into that same State, then the Convention's rules for "introduction from the sea" apply. Prior to landing an Appendix I specimen, the State must 1) make a non-detriment finding; 2) be satisfied that the specimen will not be used for primarily commercial purposes; and 3) ensure, for a living specimen, that the proposed recipient is suitably equipped to house and care for it. For an Appendix II specimen, the State must make a non-detriment finding and, for a living specimen, be satisfied that it will be handled so as to minimize the risk of injury, damage to health, or cruel treatment.

Exemptions

The Convention also includes a number of exemptions from these permit requirements. For example, the permit requirements do not apply to transshipment through a country when the specimens remain in Customs control. In addition, the permit requirements do not apply to "pre-convention specimens," certain "personal or household effects," non-commercial loans or donations, travelling zoos, and certain specimens bred in captivity or artificially propagated. The Parties have adopted procedures and definitions for all of these exemptions. As such, Parties should consult the Glossary of Terms, below, for additional information.

The Institutions of CITES

To help implement CITES, the Convention establishes a Secretariat. The Secretariat arranges meetings of the Parties, receives

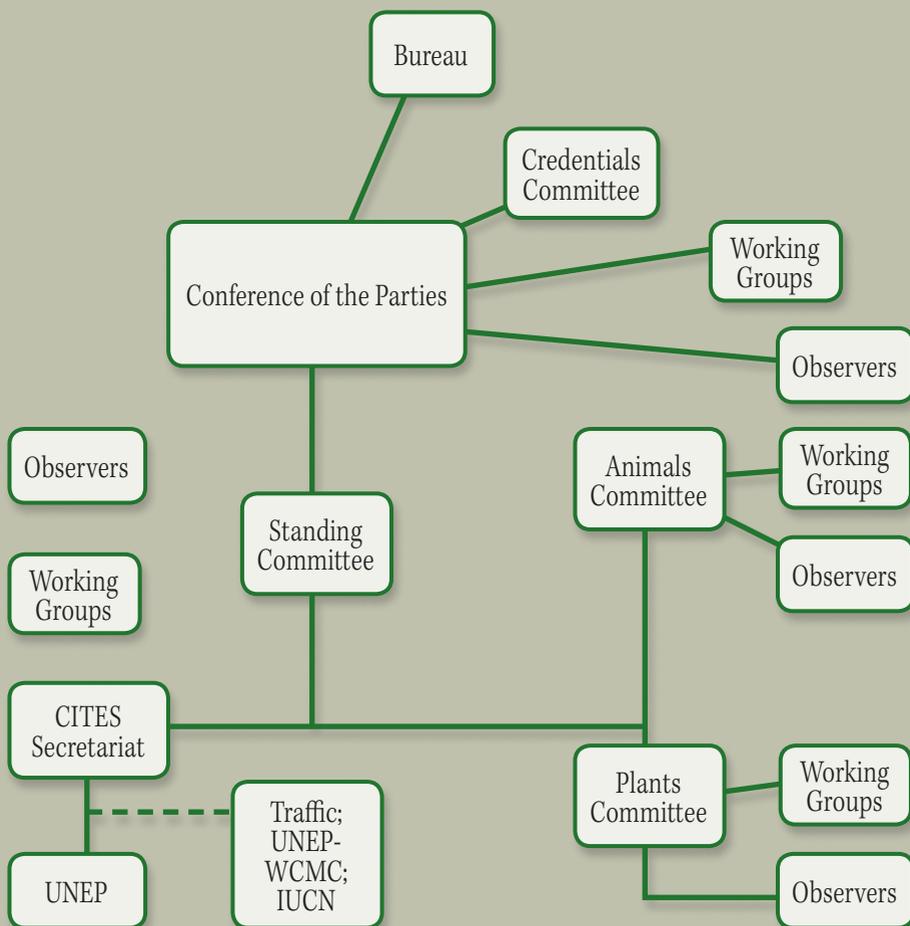
reports from the Parties, and prepares annual reports to the Parties, as well as other reports, when requested. It also drafts the budget for the Convention and makes recommendations to the Parties, among many other things.

The Animals Committee and Plants Committee are the Convention's scientific bodies. They provide scientific advice and technical support to the Parties, deal with nomenclature issues, undertake periodic reviews of species to ensure they are included in the appropriate Appendix, and draft resolutions on animal and plant matters for consideration by the Conference of the Parties, among other things. The Animals and Plants committees usually meet once each year.

The Standing Committee coordinates and oversees the work of other Committees and working groups, carries out tasks given to it by the Conference of the Parties, and drafts resolutions for consideration by the Conference of the Parties. It also provides policy guidance to the Secretariat and oversees the management of the Secretariat's budget. The Standing Committee typically meets once each year in July for a full week. It also meets immediately before and after meetings of the Conference of the Parties for a single day.

Inter-governmental organisations (IGOs) and non-governmental organisations (NGOs) also play a significant role in CITES. IGOs and NGOs, as well as non-Party States, may participate in meetings of the Conference of the Parties, as well as meetings of the Animals, Plants, and Standing Committees. These organisations often have specialised expertise that helps inform discussions on conservation, trade management, technical, and legal issues.

The Organisational Structure of CITES



Glossary of Terms

Amendment proposal

See **Proposal**

Animals Committee (AC)

The Animals Committee consists of experts on scientific and other technical matters relating to animal species. The Animals Committee may prepare resolutions on scientific matters, review studies concerning specific animal species or taxonomic groups, periodically review the status of an animal species in the Appendices, and analyse the adequacy of a Party's **non-detriment findings**, among many other things. >> [See Resolution Conf. 11.1.1 \(Rev. CoP16\)](#).

Annotation

An annotation is included in the Appendices to help explain the scope of a species listing. There are two types of annotations used in the Appendices: reference annotations and substantive annotations. Reference annotations are used for informational purposes only. They include annotations that 1) indicate which populations of a species or taxa are included in the Appendices; 2) indicate whether a species is possibly extinct; or 3) relate to nomenclature. >> [See Resolution Conf. 11.21 \(Rev. CoP16\)](#).

Substantive annotations are integral to the species listing. They include annotations that 1) indicate **export quotas** or 2) specify the types of specimens that may be traded. >> [See Resolution Conf. 11.21 \(Rev. CoP16\)](#).

An annotation that specifies the types of specimens to which the Convention applies limits the CITES permitting regime to those specimens included in the annotation. For example, when certain species have been transferred from Appendix I to Appendix II subject to an annotation, only the annotated specimens are considered to be included in Appendix II; the remaining specimens are considered to be included in Appendix I.

For plant species included in Appendix II or III, the symbol “#” followed by a number placed against the name of the species refers to an annotation that indicates the parts or derivatives of plants that are designated as “specimens” subject to the provisions of the Convention. Specimens not included in the annotation are not protected by the Convention. The inclusion of species in Appendix I does not require an annotation because all specimens of such species are included in the listing.

Resolution Conf. 9.24 (Rev. CoP16) states that a proponent of a new substantive annotation should ensure that the proposed annotation is in compliance with the applicable Resolution, indicate the practical intent of the annotation, harmonise new annotations with existing annotations, and be specific and accurate as to affected parts and derivatives.

Annual Report

An annual report is a report that must be prepared by each Party concerning trade

in specimens included in the Appendices. Article VIII(7)(a). The report should include the number and types of permits issued, the States with which the trade occurred, and names of species in trade, among other things. The Parties consider the failure to submit an annual report by October 31 of the year following the year for which the report was due to be “a major problem with the implementation of the Convention,” which the Secretariat must refer to the Standing Committee for a solution in accordance with Resolution Conf. 11.3 (Rev. CoP14) on compliance and enforcement. If a Party has failed to submit its Annual Report for three consecutive years, the Parties have agreed that the Secretariat should recommend a suspension of trade in CITES-listed specimens with that Party. The Parties have developed *Guidelines for the Preparation and Submission of CITES Annual Reports* to assist the Parties. >> [See Resolution Conf. 11.17 \(Rev. CoP16\)](#). >> [See also Implementation \(Biennial\) report and Annual Illegal Trade Report](#)

Annual Illegal Trade Report

At the 66th Standing Committee meeting, the Parties agreed to require the submission of an annual illegal trade report. Although mandatory, submission is not subject to CITES compliance procedures. Information shared in the report will not be made public.

Appendix I

Appendix I includes species that are presently threatened with extinction and are or may be affected by trade. Article II(1) of the Convention states that “[t]rade in specimens of these species must be subject to particularly strict regulation

in order not to endanger further their survival and must only be authorised in exceptional circumstances.” Resolution Conf. 9.24 (Rev. CoP16) provides more detailed **listing criteria** for including a species in Appendix I.

Appendix II

Appendix II includes species that are not necessarily now threatened with extinction but may become so unless their trade is strictly regulated. Appendix II also includes “**look-alike**” species—those species for which specimens in trade resemble those of other species included in Appendix I or II. Resolution Conf. 9.24 (Rev. CoP16) provides more detailed **listing criteria** for including a species in Appendix II.

Appendix III

Appendix III includes species unilaterally listed by individual Parties, but which will require issuance of CITES documents by all **range States**. These species are subject to domestic protections within their range. Unlike for Appendix I or II species, there are no biological criteria that must be met for including a species in Appendix III.

Appropriate and acceptable destinations

Appropriate and acceptable destinations are “destinations where the Scientific Authority of the State of import is satisfied that the proposed recipient of a living specimen is “**suitably equipped to house and care** for it.” >> [See Resolution Conf. 11.20](#). This term is used in **annotations** to limit trade in live specimens only to locations that are suitably equipped to house and care for the specimen. The listing of the South African population of the southern white rhinoceros and the African elephant both

contain this annotation. In Resolution Conf. 11.20, the Parties also agreed that “appropriate and acceptable destinations for live animals should be those that ensure that the animals are humanely treated.”

Artificially propagated

Articles VII(4) and VII(5) of the Convention exempt artificially propagated specimens of plant species from some of the Convention’s permit requirements. An artificially propagated specimen is a plant specimen that is both “(a) grown under controlled conditions and (b) grown from seeds, cuttings, divisions, callus tissues or other plant tissues, spores or other propagules that either are exempt from the provisions of the Convention or have been derived from cultivated parental stock.” >> [See Resolution Conf. 11.11 \(Rev. CoP15\)](#).

If a plant is produced from material that has been collected from the wild, that plant is not considered artificially propagated. However, Resolution Conf. 11.11 (Rev. CoP15) recommends that an exception to this rule be made when:

1. specimens take a long time to reach reproductive age;
2. a **range State** collects seeds or spores from the wild and grows them under controlled conditions;
3. the Management Authority of that range State determines that the collection of seeds or spores was legal; and
4. the Scientific Authority of that range State determines that:
 - a. collecting the seeds or spores was **not detrimental to the survival of the species** in the wild, and

- b. allowing trade in such specimens has a positive effect on the conservation of wild populations.

Timber or other **parts** or **derivatives** of trees are considered artificially propagated when they are grown on plantations that only raise one species of timber. >> [See Resolution Conf. 10.13 \(Rev. CoP15\)](#).

Article VII(4) of the Convention states that specimens of Appendix I species that are artificially propagated for commercial purposes shall be treated as if they are specimens of species included in Appendix II. Nurseries that wish to take advantage of this exemption must be included in the Register maintained by the Secretariat. >> [See Resolution Conf. 9.19 \(Rev. CoP15\)](#).

ATA carnet

An ATA carnet (pronounced kar-nay) is an international customs and import-export document. The document allows an importer to import goods without paying dues and taxes if the specimen will be re-exported within 12 months. If the goods are not re-exports, then applicable duties must be paid. “ATA” is a combination of French and English phrases “Admission Temporaire/Temporary Admission.”

The Parties to the Convention have recognised that carnets facilitate the frequent cross-border movement of sample collections. As a result, sample collections that are covered by ATA carnets may be exempt from the permit requirements of the Convention under Article VII(1) of the Convention as a “**transshipment** of specimens,” provided that the requirements of section XV of Resolution Conf. 12.3 (Rev.

CoP16) are met. Section XV contains recommendations and requirements for the use of ATA carnets in transshipment of sample collections. >> [See Resolution Conf. 9.7 \(Rev. CoP15\)](#).

Bred in captivity

Articles VII(4) and VII(5) of the Convention exempt certain specimens of animal species that are bred in captivity from the Convention's permit requirements. An animal is bred in captivity when the following conditions are met:

1. If reproduction of the species is sexual, the parents mated, or gametes were otherwise transferred, in a controlled environment. If reproduction of the species is asexual, the parents were in a controlled environment when development of the offspring began;
2. The breeding stock was established in accordance with the provisions of CITES in a manner **not detrimental to the survival of the species** in the wild;
3. The breeding stock is maintained without the introduction of specimens from the wild unless allowed by CITES; and
4. The breeding stock has produced offspring of second generation or subsequent generation in a controlled environment.

>> [See Resolution Conf. 10.16 \(Rev.\)](#).

The definition applies to specimens bred in captivity of species included in Appendix I, II, or III, whether or not they were bred in captivity for commercial purposes. However, the scope of the exemption differs depending on whether the specimen is included in Appendix I, II, or III, and whether the species is bred for commercial or non-commercial purposes. >> [See Articles VII\(4\), VII\(5\)](#).

Bred in captivity for commercial purposes

Article VII(4) of the Convention provides that Appendix I animal specimens that are bred in captivity for commercial purposes shall be treated as if they are Appendix II specimens. Resolution Conf. 12.10 (Rev. CoP15) defines the term "bred in captivity for commercial purposes" as referring to "any specimen of an animal bred to obtain economic benefit, whether in cash or otherwise, where the purpose is directed toward sale, exchange or provision of a service or any other form of economic use or benefit." The Resolution further requires operations that wish to take advantage of the exemption of Article VII(4) to register their operations through the Secretariat. Such facilities may be registered if they meet the standards established in Resolution Conf. 12.10 (Rev. CoP15).

Bureau

The Bureau is the Convention body that organises the agenda for meetings of the Conference of the Parties, ensures effective enforcement of the **Rules of Procedure**, and forwards the business of the meeting. The Bureau comprises the Chair, the Alternate Chair and the Vice-Chairs of the Conference, the Chairs of Committees I and II, the Chair of the Credentials Committee, the Chair and the other members of the Standing Committee, and the Secretariat.

>> [See Rules of Procedure, Rule 15](#).

Captive bred

>> [See Bred in captivity](#)

Certificate of origin

A certificate of origin is a document issued by the Management Authority of a State of export for export of an Appendix

III specimen when that State has not included the species in Appendix III. Article V(3) of the Convention requires the presentation of a certificate of origin for any import of an Appendix III species from a Party that has not included the species in Appendix III. A Party that has included the species in Appendix III must issue an **export permit**.

CITES

CITES is the English acronym for the Convention on International Trade in Endangered Species of Wild Fauna and Flora. It is pronounced “Si’Teez.” In formal documents, CITES is referred to as “the Convention.”

CITES Secretariat

>> [See Secretariat](#)

Committee I

Committee I debates proposals to amend the Appendices, quotas, and other scientific issues relating to the Convention. After debate on these issues, Committee I recommends to the **Conference of the Parties**, meeting in **plenary**, the adoption or rejection of proposals. Even when Committee I votes on an issue, its recommendations are not final decisions of the Conference of the Parties.

Committee II

Committee II debates, analyses, and makes recommendations on implementation, compliance, and enforcement issues. Committee II recommends to the **Conference of the Parties**, meeting in **plenary**, the adoption or rejection of proposals. Even when Committee II votes on an issue, its recommendations are not final decisions of the Conference of the Parties.

Compliance

Compliance refers to a state of conformity with specified rules. In the CITES context, the Parties have created procedures designed to facilitate compliance with the Convention’s obligations. Resolution Conf. 14.3 establishes that a “supportive and non-adversarial approach is taken towards compliance matters, with the aim of ensuring long-term compliance.” This approach engages a Party in discussions with the Secretariat, the Standing Committee, and other relevant committees as needed to recommend capacity-building actions and provide technical and other assistance. If a compliance matter has not been resolved through these types of actions, the Standing Committee may recommend a trade suspension with the non-complying Party. In addition, Article XIII of the Convention allows the Secretariat to initiate communication with a Party if it believes an Appendix I or II species is being affected adversely by trade in specimens of that species or that the provisions of the Convention are not being effectively implemented by that Party.

Conference of the Parties (CoP)

The Conference of the Parties (CoP) is the decision-making body of the Convention. The CoP consists of all **Parties** to the Convention. The CoP, meeting in plenary, adopts species proposals, resolutions, and decisions of the Parties.

Credentials

Credentials enable delegates to represent their country at a meeting of Parties. Credentials must be issued by a proper authority; i.e., the Head of State, the Head of Government or the Minister of Foreign Affairs. Every member of a

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delegation must submit credentials to the Secretariat. When possible, these credentials should be submitted one week before the opening session of the meeting, together with a translation into English, French, or Spanish if the credentials are not already in one of these languages. A **delegate** whose credentials are pending may participate in the meeting on a provisional basis but may not vote. A delegate whose credentials are unacceptable may not participate in the meeting. >> [See Rules of Procedure, Rule 3.](#)

States, agencies, and organisations wishing to participate as **observers** must submit a list of names of these observers to the Secretariat at least six weeks prior to the opening of the meeting. National non-governmental organisations must also provide evidence that the State in which they are located has approved their participation.

Credentials Committee

The Credentials Committee is a group of not more than five Representatives of different Parties that examines **credentials** submitted by delegates. It recommends acceptance of credentials only if the signed original has been presented.

Cruel treatment

Cruel treatment is treatment of a live animal that inflicts pain, suffering, or stress. Prior to the export, re-export, or introduction from the sea of any living specimen of a species included in any of the Appendices, the relevant Management Authority must be satisfied that cruel treatment will not occur during transport. This requirement is part of

the larger obligation to determine that “any living specimen will be so **prepared and shipped** as to minimize ... cruel treatment.” >> [See Article III\(2\)\(c\).](#) Conditions such as lack of food or water, extreme temperatures, overcrowding or lack of air, and physical abuse all might contribute to the cruel treatment of live animals during transport.

Date of acquisition

For purposes of determining whether a specimen is a “**pre-convention specimen**,” the date of acquisition is the date a specimen was known to be either 1) removed from the wild or 2) born in captivity or **artificially propagated** in a controlled environment. If neither of these dates is known, then the date of acquisition is the first provable date on which the specimen was first possessed by a person. >> [See Resolution Conf. 13.6 \(Rev. CoP16\).](#)

Decision

A Decision is an agreement of the **Parties** that typically provides instructions or requests to Committees, working groups, or the Secretariat and remains in effect for a short period of time (i.e., until the relevant body fulfils the instruction or request). >> [See Resolution Conf. 4.6 \(Rev. CoP15\).](#) The Secretariat maintains a list of Decisions on the CITES website. In contrast, a **Resolution** typically treats a subject comprehensively and helps the Parties implement or interpret the Convention over an extended period of time.

Delegate

A delegate is an official representative designated by the Parties to a meeting of the Conference of the Parties. Parties

are entitled to representation at the Meeting of the Conference of the Parties by delegates and other alternative representatives as the Party deems necessary. >> *See Rules of Procedure, Rule 1.*

Depositary government

The depositary government is the government to which Parties must submit their documentation and the location where all official documents of the Convention are stored. The depositary government for the Convention is Switzerland.

Derivative

A derivative is a processed part of an animal or plant (e.g., medicine, perfume, watch strap). The term derivative is used to define a “**specimen**,” a specimen is a **readily recognizable part or derivative** of any animal or plant, whether alive or dead, that is included in the Appendices. Unlike a derivative, a **part** is typically not processed (e.g., a seed, shell, root or skin), although it could be processed in simple ways (e.g., by drying or preserving).

Detrimental to the survival of the species

>> *See Not detrimental to the survival of the species*

Enforcement

Enforcement refers to approaches to detect and punish non-compliance. Article VIII of the Convention requires Parties to take “appropriate measures” to enforce the provisions of the Convention, including through penalizing and confiscating illegally traded specimens. Resolution Conf. 11.3 (Rev. CoP16) recommends that the Parties adopt additional enforcement measures, such as

conducting physical examination of goods based on risk assessment and targeting, implementing document controls to ensure the authenticity of CITES documents, and ensuring that officials are well trained in the identification of wildlife specimens and other CITES matters. This resolution also recommends, among many other things, that Parties prepare action plans for improving enforcement of the Convention.

Entry into force

“Entry into force” refers to the date on which the terms of a treaty have legal force and effect.

The Convention entered into force on July 1, 1975. Because the Convention has entered into force, **Parties** to the Convention are legally bound to the terms of the Convention. The provisions of the Convention do not apply to species until the Parties list those species in the Appendices.

ETIS (Elephant Trade Information System)

The Elephant Trade Information System (ETIS) is an information system that tracks illegal trade in ivory and other elephant products. ETIS is designed to: 1) measure and record the levels and trends, and changes in levels and trends, of illegal trade in ivory in elephant **range States**, ivory consumer States, and ivory transit States; 2) assess whether and to what extent observed trends are related to changes in the listing of elephant populations in the CITES Appendices and/or the resumption of legal international trade in ivory; 3) establish an information base to support the making of decisions on appropriate management, protection

and enforcement needs; and 4) build capacity in range States. >> [See Resolution Conf. 10.10 \(Rev. CoP16\)](#). The database, which is the central aspect of ETIS, lists all reported seizures of elephant specimens that have occurred anywhere in the world since 1989. ETIS also includes “subsidiary information on law enforcement effort and efficiency, rates of reporting, legal and illegal elephant product markets, governance issues, background economic data and other factors.” >> [See Resolution Conf. 10.10 \(Rev. CoP16\), Annex 1](#). TRAFFIC, in consultation with the ETIS Technical Advisory Group, manages and coordinates ETIS, but the Standing Committee supervises implementation of ETIS. A more detailed description of ETIS can be found at <http://www.cites.org/eng/prog/ETIS/index.php>.

Exemption

Article VII of the Convention provides exemptions to permit requirements for trade of Appendix I and II specimens in the following circumstances:

1. a specimen remains under Customs control;
2. a Management Authority of the State of export or re-export is satisfied that a specimen is a **pre-convention specimen**;
3. a specimen is considered a **personal or household effect**. However, this exemption does not apply when,
4. for an Appendix I specimen, the specimen was acquired by the owner outside his or her State of usual residence; or
5. for an Appendix II specimen, the specimen: i) was acquired by the owner outside his or her State of

usual residence and in a State where removal from the wild occurred; ii) the specimen is being imported into the State of the owner’s usual residence; and iii) the State where removal from the wild occurred requires the prior grant of export permits before any export of such specimens;

6. a specimen is a non-commercial loan, donation, or exchange between scientists or scientific institutions registered by a Management Authority of its 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; and
7. a specimen is part of a travelling zoo, circus, menagerie, plant exhibition, or other **travelling exhibition** and the Management Authority waives the permit requirements.

In addition, an Appendix I animal specimen that was **bred in captivity for commercial purposes** will be treated as an Appendix II specimen. Similarly, an Appendix II plant specimen that was **artificially propagated** for commercial purposes will be treated as an Appendix II specimen. >> [See Article VII\(4\)](#).

Export permit

Export permits must be granted by the Management Authority of the State of export before the export of an Appendix I or II specimen and, in some cases, an Appendix III specimen. All relevant permit requirements of Articles III, IV, or V of the Convention must be met before an export permit may be granted. Permit requirements depend on the Appendix in which the species is listed. Article VI of the Convention contains provisions for

the Management Authority to follow when granting a permit.

Export quota

An export quota is an annual numeric limit on the quantity of specimens of a species that may be traded. These quotas may be set by the Conference of the Parties or at the national level by Parties. Export quotas must be revisited in the event that new information indicates the species population can no longer sustain the established quota.

The Annex to Resolution Conf. 14.7 (Rev. CoP15) establishes guidelines for managing national export quotas. This Annex recognises that an export quota eliminates the need for a **non-detriment finding** to be made for each individual shipment of CITES specimens covered by the export quota.

Geographically separate population

A “geographically separate population” refers to “parts of a species or a subspecies within particular geographical boundaries.” Resolution Conf. 9.24 (Rev. CoP16). The term can also refer to populations, subpopulations, or stocks of fish, as understood by fisheries management. >> [See Resolution Conf. 9.24 \(Rev. CoP16\), Annex 5.](#)

A geographically separate population is a category of a species. >> [See Article I\(a\)](#). A geographically separate population may be listed in an Appendix if that geographically separate population meets the **listing criteria** for including a species in one of the Appendices. This listing would not extend to all populations of the species; it would be limited to the specific geographically separate population.

Hunting trophy

A hunting trophy is one of twelve designated **purpose codes** used on permits and certificates to identify the reason for the trade. Resolution Conf. 12.3 (Rev. CoP16) defines “hunting trophy” as “a whole animal, or a **readily recognizable part or derivative** of an animal ... that: 1) is raw, processed or manufactured; 2) was legally obtained by the hunter through hunting for the hunter’s personal use; and 3) is being imported, exported or re-exported by or on behalf of the hunter ... to the hunter’s State of usual residence.” >> [See Resolution Conf. 12.3 \(Rev. CoP16\).](#)

Several resolutions establish special rules for trade in hunting trophies. For example, Resolution Conf. 2.11 (Rev.) recommends that “the Scientific Authority of the importing country accept the finding of the Scientific Authority of the exporting country that the export of the hunting trophy is **not detrimental to the survival of the species**, unless there are scientific or management data to indicate otherwise.”

Other resolutions establish **marking requirements, export quotas**, and other requirements for hunting trophies in specific species. >> [See Resolution Conf. 10.14 \(Rev. CoP14\)\(leopards\); Resolution Conf. 13.5 \(Rev. CoP14\) \(black rhinoceros\); Resolution Conf. 10.15 \(Rev. CoP14\)\(markhor\).](#)

Hybrids

Animal and plant hybrids may be included in the Appendices “but only if they form distinct and stable populations in the wild.” >> [See Resolution Conf. 9.24 \(Rev. CoP16\).](#)

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In addition, Resolution Conf. 10.17 (Rev. CoP14) provides that a hybrid *animal* shall be subject to the provisions of the Convention if it has in its recent lineage (defined as within the previous four generations) one or more specimens of species included in Appendix I or II. The hybrid itself does not need to be listed in one of the Appendices to receive this protection. If an animal hybrid has an Appendix I species in its recent lineage, the Convention treats the animal hybrid as if it is listed in Appendix I. If an animal hybrid has an Appendix II species in its recent lineage, and no animal in the hybrid's recent lineage is included in Appendix I, the Convention treats the animal hybrid as if it is listed in Appendix II. As an example, a "tigon," a cross between a tiger and a lion, would be treated as an Appendix I animal because tigers are included in Appendix I.

Similarly, Resolution Conf. 11.11 (Rev. CoP15) provides that a *plant* hybrid shall be subject to the provisions of the Convention "if one or both of [its] parents are of taxa included in the Appendices, unless the hybrids are excluded from CITES control by a specific **annotation** in Appendix II or III."

Different rules apply to **artificially propagated** hybrids. Plant species included in Appendix I must be annotated in order for Appendix I requirements to apply. If annotated, then an export permit or re-export certificate shall be required for trade in specimens of all artificially propagated hybrids derived from it. If the plant species listed in Appendix I is not annotated, then the artificially propagated hybrid is regarded as being included in Appendix II.

Identification Manual

The Identification Manual is a collection of data sheets that anyone may use to help identify specimens of species included in the Appendices. The manual is helpful for **Management Authorities, Scientific Authorities**, and Customs officials. The manual is available in English, French, and Spanish. The content of the database is incomplete and not all CITES-listed species are included. The manual is available online at http://www.cites.org/eng/resources/wiki_id.shtml.

Implementation Report

Parties prepare implementation reports (formerly biennial reports) on the legislative, regulatory, and administrative measures they have taken to enforce the provisions of the present Convention. >> [See Article VIII\(7\)\(b\)](#). >> [See also Annual report and Annual Illegal Trade report](#)

Import permit

An import permit must be granted by the Management Authority of the State of import before an Appendix I specimen may be imported. All conditions required by Article III of the Convention must be met before an import permit may be granted. Article VI of the Convention contains provisions for the Management Authority to follow when granting a permit.

Information/informative Document

Information documents are documents distributed during meetings on the conservation and utilization of natural resources or other matter on the agenda of the meeting. They are often referred to as "INF. Docs."

The **Rules of Procedure** state that any Representative, observer, or the

Secretariat may submit these documents “for the attention of the participants to the meeting.” Approval is not required to submit the documents but the documents must identify who is distributing them. Any Representative may issue a complaint to the Bureau if they consider an Information Document offensive.

Introduction from the sea

Introduction from the sea is the transportation into a State of specimens of any species which were taken in the marine environment not under the jurisdiction of any State. >> [See Article I\(e\)](#). The “marine environment not under the jurisdiction of any State” refers to any marine area that falls outside a State’s territorial waters or exclusive economic zone, such as the high seas.

Introduction from the sea is a category of trade separate from import, export, and re-export. It is used to cover trade in CITES specimens taken in the **marine environment not under the jurisdiction of any State** by a vessel flagged by one State and transported into that same State.

When a CITES specimen is taken in the marine environment not under the jurisdiction of any State by a vessel flagged by one State and transported into another State, then an **import permit** is required for an Appendix I specimen and an **export permit** is required for both Appendix I and II specimens. >> [See Resolution Conf. 14.6 \(Rev. CoP16\)](#).

Introduction from the sea certificate

An introduction from the sea certificate is required for trade in specimens of a CITES species taken in the **marine environment**

not under the jurisdiction of any State by a vessel flagged by one State and transported into that same State. The Management Authority of this State, known as the State of introduction, issues these certificates. Before issuing these certificates, the State of introduction must make a **non-detriment finding** and determine that an Appendix I specimen will not be used for **primarily commercial purposes**. The State of introduction must make other findings as well. >> [See Article III\(5\) and Article IV\(6\)](#).

Label

A label is any material that is affixed to a specimen or container that identifies the specimen. A label may be required as part of the Convention’s **marking requirements**. The definition of “specimen” in Article I of the Convention includes any “**readily recognizable parts and derivatives** of animals and plants.” In Resolution Conf. 9.6 (Rev. CoP16), the Parties agreed that a label that identifies something as a part or derivative of a CITES species satisfies the “readily recognizable” standard for the purposes of the Convention.

Listing

Listing is the process used in the Convention to protect species from overutilization due to trade. The Parties propose a species for listing in **Appendix I** or **Appendix II**. The Parties evaluate a species proposal based on **listing criteria**. A proposal must be adopted by two-thirds of the Parties present and voting at a **meeting of the Conference of the Parties**. The Parties first debate a proposal in **Committee I**. If at least two-thirds of the Parties present and voting support the proposal, then Committee I

recommends the proposal's acceptance by the plenary, which again must adopt the proposal by at least a two-thirds majority. Parties may also list species in Appendix III without a vote of the Parties.

Listing criteria

Listing criteria are the factors that must be met before a species may be listed in one of the Appendices. Each Appendix has different listing criteria. For example, Appendix I has two listing criteria. Appendix I shall include all species 1) threatened with extinction and 2) which are or may be affected by trade. >> [See Article II\(1\)](#).

Resolution Conf. 9.24 (Rev. CoP16) includes a set of biological and trade criteria to help manage the listing of species according to their risk of extinction. The criteria adopted by the resolution are designed to make the listing process more consistent and objective. >> [See Threatened with extinction](#).

Look-alike species

A species is a "look-alike species" if an enforcement officer who encounters specimens of that species is "unlikely to be able to distinguish between" that specimen and a specimen of a CITES-listed species. >> [See Resolution Conf. 9.24 \(Rev. CoP16\), Annex 2b](#). If a species is designated as a look-alike species, it can be listed in Appendix II in accordance with Article II(2)(b).

Management Authority

A Management Authority is a national management authority designated in accordance with Article IX of the Convention. >> [See Article I\(g\)](#). Article IX states that the Management Authority

of a Party grants permits or certificates on behalf of the Party. If a Party has more than one Management Authority, one must be designated to communicate directly with the Secretariat and the Party itself.

Marine species

Marine species may be included in the Appendices. When a Party proposes an amendment to the Appendices relating to a marine species, the Secretariat must consult inter-governmental bodies having a function in relation to those species, such as the UN Food and Agriculture Organization. The purpose of the consultation is to obtain scientific data these bodies may have and to ensure co-ordination with any conservation measures enforced by such bodies. >> [See Article XV\(2\)\(b\)](#).

Marine environment not under the jurisdiction of any State

The "marine environment not under the jurisdiction of any State" includes any marine area that falls outside a State's territorial waters or exclusive economic zone, such as the high seas. This definition is important to the Convention's requirements for **introduction from the sea**. >> [See Resolution Conf. 14.6 \(Rev. CoP16\)](#).

Marking requirement

Article VI(7) of the Convention allows a Management Authority to "affix a mark upon any specimen to assist in identifying the specimen" when appropriate and feasible. Article VI(7) defines "mark" as "any indelible imprint, lead seal or other suitable means of identifying a specimen, designed in such a way as to render its imitation by unauthorised persons as difficult as possible."

Resolution Conf. 7.12 (Rev. CoP15) provides additional guidance for marking Appendix I and Appendix II specimens. Marking is contemplated specifically with respect to ranched specimens and specimens from species **bred in captivity**. Resolution Conf. 7.12 (Rev. CoP15) also recommends that any marking system established should consider humane care, natural behaviour, and well-being of the specimen. In addition, Resolution Conf. 8.13 (Rev.) recommends that Parties adopt the use of implantable micro-chips as a way to identify live specimens.

In some situations a mark may be required. For example, Resolution Conf. 10.14 (Rev. CoP14) establishes marking requirements for trade in leopard skins. This Resolution requires that all imported leopard skins “ha[ve] a self-locking tag attached which indicates the State of export, the number of the specimen in relation to the annual quota and the calendar year in which the animal was taken in the wild.” The Parties have also recommended a universal tagging system for Crocodylian skins under Resolution Conf. 11.12 (Rev. CoP15). The Parties have established marking requirements for other species as well.

Meeting of the Conference of the Parties

A meeting of the Conference of the Parties occurs once every two to three years for CITES. At these meetings, the Parties review implementation of the Convention, adopt amendments to the Appendices, and make resolutions to improve implementation of the Convention.

>> [See Article XI](#).

MIKE (Monitoring the Illegal Killing of Elephants)

Monitoring the Illegal Killing of Elephants (MIKE) is a programme that monitors elephant population trends and the illegal killing of elephants. The objectives of MIKE are to: 1) measure and record the levels and trends, and changes in levels and trends, of illegal hunting and trade in ivory in elephant **range States**, ivory consumer States and ivory transit States; 2) assess whether and to what extent observed trends are related to changes in the listing of elephant populations in the CITES Appendices and/or the resumption of legal international trade in ivory; 3) establish an information base to support the making of decisions on appropriate management, protection and enforcement needs; and 4) build capacity in range States. MIKE provides information that elephant range States can use “to make appropriate management and enforcement decisions, and to build institutional capacity within the range States for the long-term management of their elephant populations.” >> [See Resolution Conf. 10.10 \(Rev. CoP16\), Annex 2](#). The Secretariat, in consultation with the MIKE and ETIS Technical Advisory Group, will request or subcontract technical support from appropriate experts to: a) obtain and compile relevant data; b) select sites for monitoring as representative samples; c) develop a standardised methodology for data collection analysis; d) facilitate the provision of training to designated officials in countries with selected sites and to CITES Management Authorities of elephant range States; e) establish appropriate databases and linkages with relevant existing databases; and f) collate and process all data and information from all sources identified. >> [See Resolution Conf. 10.10 \(Rev. CoP16\), Annex 2](#). Resolution Conf.

10.10 (Rev. CoP16). For more details on MIKE, see <http://www.cites.org/eng/prog/MIKE/index.php>.

National Legislation Project

The National Legislation Project assists Parties in implementing national legislation to enforce the provisions of the Convention. The National Legislation Project analyses a Party's implementing legislation to determine its adequacy. Based on this analysis, a Party's legislation is categorised as Category 1 (generally meets requirements), Category 2 (does not meet all requirements), or Category 3 (generally does not meet requirements for implementation of CITES). If a Party whose legislation is categorised as Category 3 does not improve its legislation, the Parties may decide to suspend trade with that Party in specimens protected by the Convention. >> [See Resolution Conf. 8.4 \(Rev. CoP15\)](#).

NDF

>> [See Not detrimental to the survival of the species](#)

Non-commercial loan, donation, or exchange

A non-commercial loan, donation, or exchange of an Appendix I, II, or III specimen between scientists or **scientific institutions** is exempted from trade regulation. To fall within this exemption, the scientists and scientific institutions must be registered by a **Management Authority** of their State. The specimen must carry a label issued or approved by the Management Authority. >> [See Article VII \(6\)](#).

Non-detriment finding

>> [See Not detrimental to the survival of the species](#)

Not detrimental to the survival of the species

Prior to export or introduction from the sea of an Appendix I or II specimen, the Scientific Authority must determine that such trade is not detrimental to the survival of the species. In making this finding, the Scientific Authority will review available information concerning the species' population status, distribution, and population trend, as well as harvest and other biological and ecological factors, as appropriate, and trade information relating to the species concerned. Permits for import, export, and introduction from the sea should not be granted unless a Scientific Authority finds that trade is not detrimental to the survival of the species. This finding is frequently called the "non-detriment finding" or "NDF." The Parties have adopted Resolution Conf. 16.7, which provides guidance on making non-detriment findings.

Observer

An observer is a governmental, inter-governmental, or non-governmental organisation that has a right to participate at a meeting of the Conference of the Parties but does not have a right to vote. An observer may attend the sessions and contribute to discussions. >> [See Article XI\(7\)](#). Rule 2 of the **Rules of Procedure** states that an observer may be represented and participate at plenary sessions and sessions of Committees I and II unless one-third of Representatives present and voting object. An observer may also participate, without a right to vote, at meetings of the Standing Committee, Animals Committee, and Plants Committee.

Part

A part is a raw, unprocessed part of an animal or plant (e.g., a seed, shell, root or skin). A part may also be subject to processing in simple ways (e.g., by drying or preserving). The term is used to define a **“specimen;”** specimens are parts or derivatives of a species of any plant or animal, whether alive or dead, included in the Appendices. Unlike a “part,” a **“derivative”** is a processed part of an animal or plant (e.g., medicine, perfume, watch strap).

Party

A Party is a State that has ratified a treaty. There are 182 Parties to the Convention, as of June 2016.

Personal and household effects

“Personal and household effects” are specimens that may not need permits under the Convention in order to be traded between States. Article VII(3) of the Convention describes the situations in which the exemption does and does not apply.

Resolution Conf. 13.7 (Rev. CoP16) defines personal and household effects as specimens that are:

1. personally owned or possessed for non-commercial purposes;
2. legally acquired; and
3. at the time of import, export, or re-export are
 - a. worn, carried or included in personal baggage, or
 - b. part of a household move.

Live animals do not qualify for the personal and household effects exemption, and the Parties have also

agreed to exclude hunting trophies of rhino horn and African elephant ivory. The Parties have also agreed to a list of specimens that are subject to quantitative restrictions under the exemption, including caviar of sturgeon species (*Acipenseriformes* spp.), rainsticks of Cactaceae spp., specimens of crocodylian species, queen conch (*Strombus gigas*) shells, seahorses (*Hippocampus* spp.), giant clam (*Tridacnidae* spp.) shells, and specimens of agarwood. Resolution Conf. 13.7 (Rev. CoP16) provides guidance for the interpretation and implementation of the exemption.

Plants Committee (PC)

The Plants Committee provides scientific and technical advice in relation to species of plants that are, or might become, subject to the provisions of CITES. The Plants Committee may prepare resolutions on scientific matters, review studies concerning specific plant species or taxonomic groups, periodically review the status of a plant species in the Appendices, and analyse the adequacy of a Party’s **non-detriment findings**, among many other things. >> [See Resolution Conf. 11.1 \(Rev. CoP16\)](#).

Plenary

A plenary is a formal session of the entire Conference of the Parties. The Parties to the Convention may make final decisions only when meeting in plenary. >> [See Rules of Procedure, Rule 5](#).

Precautionary approach / measures

In light of the precautionary approach and in case of uncertainty regarding the status of a species or the impact of trade on the conservation of a species, the Parties “shall act in the best interest

of the conservation of the species concerned.” With respect to proposals to amend the Appendices, Parties should adopt measures that are “proportionate to the anticipated risks to the species.” Resolution Conf. 9.24 (Rev. CoP16).

The Parties implement the precautionary approach, in part, through the precautionary measures included in Annex 4 to Resolution Conf. 9.24 (Rev. CoP16). These precautionary measures include, among other things,

1. requiring an Appendix I species to be placed in Appendix II before it can be removed from the Appendices; and
2. requiring, as part of a transfer from Appendix I to Appendix II, assurances that the species is not in trade, if the species is in trade that adequate enforcement and management measures are in place, an export quota, or other measures are in place.

Pre-convention specimen

A pre-convention specimen is a specimen acquired before the provisions of the Convention applied to the relevant species. When a specimen was acquired before the date on which the Convention applied to that species, Article VII(2) of the Convention exempts such specimens from the permit requirements of Articles III, IV and V if the Management Authority of the State of export issues a certificate to that effect.

Resolution Conf. 13.6 (Rev. CoP16) recommends that “the date from which the provisions of the Convention apply to a specimen be the date on which the species concerned was first included in the Appendices.” This date will differ for

each species because species are added to the Appendices at different times. Resolution Conf. 13.6 (Rev. CoP16) also defines the **date of acquisition** as the date the specimen was known to be either 1) removed from the wild or 2) born in captivity or **artificially propagated** in a controlled environment. If neither of these dates is known, then the date of acquisition is the earliest provable date on which the specimen was first possessed by any person. If the date of acquisition is before the species was listed in one of the Appendices, Article VII(2) exempts such specimens from the permit requirements, provided that State of export issues a pre-convention certificate. If the date of acquisition is after the species was listed in one of the Appendices, the specimen is subject to the full rules of the Convention.

Prepared and shipped

“Prepared and shipped” refers to the preparation of a living specimen of a listed species prior to shipment. Articles III, IV, and V of the Convention require that a living specimen be prepared and shipped so as to minimise the risk of injury, damage to health, or **cruel treatment**. Management Authorities of the State of export or re-export shall not issue an export permit for any living specimen if these conditions are not met.

Primarily commercial purposes

“Primarily commercial purposes” describes an activity in which commercial purposes predominate. Prior to issuing an import permit or an introduction from the sea certificate for an Appendix I specimen, the relevant Management Authority must determine that the import or introduction from the sea will not be for “primarily commercial purposes.” If an Appendix

I specimen will be used for primarily commercial purposes, the Management Authority of the State of import shall not issue an import permit or a certificate of introduction from the sea. To provide context for this permit finding, examples of activities that are typically primarily commercial or non-commercial are given in Resolution Conf. 5.10 (Rev. CoP15), Annex.

Resolution Conf. 5.10 (Rev. CoP15) was instrumental in providing clarity on the meaning of “primarily commercial purposes.” The second general principle of the Resolution establishes that an activity will be described as commercial if it aims to provide economic benefits, including profits (whether cash or in kind) and is directed towards resale, exchange, provision of a service, or other forms of economic use or benefit. The third general principle of the Resolution states that the term “commercial purpose” should be defined by the importing State “as broadly as possible so that any transaction which is not wholly ‘non-commercial’ will be regarded as ‘commercial.’”

Proposal

A proposal, when used in the context of the Convention, typically refers to a proposal to amend Appendix I or II. It may also refer to draft resolutions.

With a proposal to amend the Appendices, a species may be included in, transferred between, or deleted from the Appendices. The Parties have established two procedures for submitting proposals to amend Appendix I or II: 1) consult with relevant **range States** before submitting the proposal and then submit the proposal, including any comments from

range States, 150 days prior to the next meeting of the Conference of the Parties or 2) when the proposing Party does not consult with the relevant range States, that Party should submit the proposal to the Secretariat 330 days prior to the next scheduled meeting of the Conference of the Parties so that the Secretariat can seek comment from other range States.

>> [See Resolution Conf. 8.21 \(Rev. CoP16\).](#)

Resolution Conf. 9.24 (Rev. CoP16), Annex 6 outlines the format for proposals to amend the Appendices. Annex 6 specifies that a proponent of the amendment must be a Party to the Convention.

>> [See also Resolution Conf. 9.20 \(Rev.\) \(specific requirements for considering proposals for ranching marine turtles\).](#) >> [See Resolution Conf. 10.9 \(specific requirements for considering proposals for transferring African elephants from Appendix I to Appendix II\).](#)

Purpose codes / purpose of transaction codes

A purpose code identifies the reason for trade in a specimen. Parties are required to state, on each of their permits and certificates, the purpose of transaction for the trade of the specimen.

The Parties use twelve codes to define the purpose of a transaction. These codes are T (commercial); Z (zoo); G (botanical garden); Q (circus or travelling exhibition); S (scientific); H (hunting trophy); P (personal); M (medical); E (educational); N (reintroduction or introduction into the wild); B (breeding in captivity or artificial

propagation); and L (law enforcement).
>> [See Resolution Conf. 12.3 \(Rev. CoP16\)](#).

Quorum

A quorum is the minimum number of members needed before a session may begin.

At meetings of the Conference of the Parties, a quorum consists of one-half of the **Parties** having delegations at the meeting. No **plenary** session or session of **Committee I** or **Committee II** may take place in the absence of a quorum.
>> [See Rules of Procedure, Rule 7](#).

Quota

>> [See Export quota](#)

Ranching

Ranching is the “rearing in a controlled environment of animals taken as eggs or juveniles from the wild, where they would otherwise have had a very low probability of surviving to adulthood.” >> [See Resolution Conf. 11.16 \(Rev. CoP15\)](#). The Resolution recommends that populations of Appendix I species that are no longer endangered and that will benefit from ranching with the intention of trade may be down-listed to Appendix II. Any proposal to transfer a population to Appendix II for purposes of ranching must meet a number of criteria, including that the ranching programme is “primarily beneficial to the conservation of the local population.” The proposal must also include details for a uniform marking system to control trade in the ranched specimens.

Range State

A range State is a State in which a particular species or taxon lives or through

which a species migrates during its normal migration route.

Readily recognizable part or derivative

A “readily recognizable part or derivative” is “any specimen which appears from an accompanying document, the packaging or a mark or **label**, or from any other circumstances, to be a **part** or **derivative** of an animal or plant of a species included in the Appendices, unless such part or derivative is specifically exempted from the provisions of the Convention.” >> [See Resolution Conf. 9.6 \(Rev. CoP16\)](#). A “readily recognizable part or derivative” of a specimen is subject to the permit requirements of the Convention.

The term “readily recognizable part or derivative” is part of the definition of “**specimen**.” The definition of specimen, which includes a whole animal or plant, is broader than “readily recognizable part or derivative,” which includes seeds, skins, and medicines. >> [See Article I\(b\)](#).

Re-export

Re-export is defined in Article I(d) of the Convention to mean the “export of any specimen that has previously been imported.” Articles III, IV, and V of the Convention establish permit requirements for re-export of specimens of species included in the Appendices, including the issuance of a **re-export certificate**.

Re-export certificate

A re-export certificate is required for any re-export of Appendix I or II specimens. Articles III(4) and IV(5) of the Convention state that a re-export certificate may not be granted unless several permit requirements are met. Resolution Conf.

12.3 (Rev CoP15), Section II outlines the required information that must be included in a re-export certificate.

For trade in specimens of Appendix III species, Article V(4) of the Convention states that a re-export certificate “shall be accepted by the State of import as evidence that the provisions of the present Convention have been complied with in respect of the specimen concerned.”

Regional meetings

Regional meetings are those meetings during which Parties from the Convention’s six designated regions elect regional representatives to the Animals, Plants, and Standing Committees, and, if desired, coordinate positions or take other action. Regional meetings occur regularly and the regions report on their proceedings to the **Conference of the Parties**. The six regions are Africa, Asia, Europe, North America, Central and South America and the Caribbean, and Oceania.

Retrospective issuance of permits/certificates

Retrospective issuance of permits is the issuance of a permit for trade after the trade has already occurred. The Parties have recognised that retrospective issuance of permits frustrates the purpose of the Convention and creates loopholes for illegal trade. >> [See Resolution Conf. 12.3 \(Rev. CoP16\)](#). Section XIII of this Resolution recommends that Management Authorities not issue permits retrospectively nor accept permits that were issued retrospectively. Section XIII also contains narrow exceptions to this rule for trade in Appendix II and Appendix III species.

Rescue centre

A rescue centre is “an institution designated by a Management Authority to look after the welfare of living specimens, particularly those that have been confiscated.” >> [See Article VIII\(5\)](#).

Each Party shall take appropriate measures to enforce the provisions of the Convention. These measures shall include confiscating specimens that are traded illegally. >> [See Article VIII\(1\)](#). When an illegally traded specimen is confiscated, “the specimen shall be entrusted to a Management Authority of the State of confiscation.” The Management Authority shall return that specimen to the State of export or to a rescue centre or other place the Management Authority deems appropriate. >> [See Article VIII\(4\)](#).

Reservation

A reservation is a formal objection to a part of a treaty. When a Party takes a reservation, it is considered a non-Party with respect to that provision. Under the Convention, Parties may only take reservations to a specific species listing, not to substantive provisions of the Convention (e.g. permit requirements of Article III).

Resolution

A Resolution is an agreement between the Parties regarding interpretation and application of the Convention’s provisions. Resolutions include budgets of the Secretariat, definitions of key Convention terms, and recommendations on proper interpretation of Convention provisions, among other things. In contrast to **Decisions**, Resolutions are intended to remain in effect for an extended period of time.

P

Q

R

Review of significant trade

“Review of significant trade” is a programme developed in response to concerns that the **non-detriment findings** and export monitoring provisions of Article IV of the Convention were not being implemented effectively. Resolution Conf. 12.8 (Rev. CoP13) directs the Animals and Plants Committees “to review the biological, trade and other relevant information on Appendix-II species subject to significant levels of trade.” Based on that review, the Animals or Plants Committee may recommend that a State of export undertake specific actions to improve its implementation of non-detriment findings and the export monitoring provisions of Article IV. The Standing Committee could recommend a suspension of trade with a specific Party for a specific species if the recommendations of the Animals and Plants Committees have not been implemented.

Rules of procedure

The Rules of Procedure guide the Parties on the procedures relating to meeting protocol and document submission. The Rules of Procedure contain important rules for the election of officers, the conduct of debates, voting, and many other issues relating to the operation of a **meeting of the Conference of the Parties**.

Scientific Authority

A Scientific Authority provides the Management Authority with technical and scientific advice. Each Party must designate at least one national Scientific Authority. >> [See Article I\(f\)](#). One important function of the Scientific Authority is to provide advice on whether trade in an Appendix I or II specimen is

not detrimental to the survival of that species.

Scientific institution

A scientific institution registered by a Party's Management Authority is eligible to trade in specimens of listed species under the exemption provided in Article VII(6) of the Convention for non-commercial loan, donation, or exchange. The Conference of the Parties encourages Parties to register their scientific institutions to facilitate exchange of species or specimens for the purpose of taxonomic and species-conservation research. It has also established detailed requirements for registering scientific institutions. >> [See Resolution Conf. 11.15 \(Rev. CoP12\)](#).

Secretariat

The Secretariat is an official body of the Convention established by Article XII of the Convention. The Secretariat provides advice to the Parties on implementation of the Convention, organises meetings, and serves as a central registry of information. The Secretariat also helps monitor the proper implementation of the Convention. The Secretariat's offices are located in Geneva, Switzerland.

Security Stamp

A security stamp is a numbered stamp, acquired from the Secretariat, for attachment to import permits, export permits, and re-export certificates. It is used to prevent fraud or forgery of permits and certificates. The use of a security stamp is recommended but not mandatory. >> [See CITES Notification No. 2001/062](#).

Source codes

A source code identifies where a specimen was obtained. These codes are W (taken

from the wild); R (ranchered specimens); D (Appendix I animals **bred in captivity for commercial purposes** or plants artificially propagated for commercial purposes); A (plants that are **artificially propagated**); C (animals **bred in captivity**); F (animals born in captivity that do not fit into Res. Conf. 10.16); U (justified unknown source); I (confiscated or seized specimens); and O (**pre-convention specimens**). >> See [Resolution Conf. 12.3 \(Rev. CoP16\)](#).

Species

A species, as defined by Article I(a) of the Convention, is “any species, subspecies, or geographically separate population thereof.” The term species refers to the biological concept of a species and also covers varieties. >> See [Resolution Conf. 9.24 \(Rev. CoP16\), Annex 5](#). A species is the basic taxonomic unit for determining whether the Convention applies.

Specimen

A specimen is “any animal or plant, whether alive or dead.” >> See [Article I\(b\)](#). For *animal* species included in Appendices I and II, the term “specimen” includes any **readily recognizable part or derivative** of the animal. For species included in Appendix III, the term specimen includes any readily recognizable part or derivative of the animal **annotated** in Appendix III.

For *plant* species included in Appendix I, the term specimen includes any readily recognizable part or derivative of the plant. For plant species included in Appendices II and III, the term specimen includes any readily recognizable part or derivative of the plant **annotated** in Appendices II and III in relation to the species.

Trade in a specimen of a listed species requires the issuance of Convention documentation.

Split-listing

Split-listing is the listing of different populations of the same species in more than one Appendix at the same time. For example, some populations of African elephants are included in Appendix II while all others are included in Appendix I. Split-listing should be avoided in general, because it creates enforcement problems. When split-listing does occur, it is more effective to split-list based on national or regional populations, rather than **subspecies**. Split-listings that place some populations of a species in the Appendices and the rest outside of the Appendices “should normally not be permitted.” >> See [Resolution Conf. 9.24 \(Rev. CoP16\), Annex 3](#).

Standing Committee (SC)

The Standing Committee is a permanent committee formed by the Conference of the Parties. It reports to the Conference of the Parties on issues such as policy guidance and budget management. The Standing Committee guides the Conference of the Parties on the **Rules of Procedure**, coordinates the work of other Committees, and drafts **Resolutions**, among other things. The complete terms of reference and the specific membership of the Standing Committee can be found in [Resolution Conf. 11.1 \(Rev. CoP16\), Annex 1](#).

State of introduction

The State of introduction issues **introduction from the sea certificates**. The Parties have not defined “State of introduction.” However, the State

of introduction refers to the State into which an Appendix I or II specimen is landed when that specimen is taken in the **marine environment beyond the jurisdiction of any State** by a vessel of a State and transported into that same State. >> [See](#) Articles III(5) and IV(6); Resolution Conf. 14.6 (Rev. CoP16).

Stricter Domestic Measures

A Party may adopt domestic measures that are stricter than those provided in the Convention regarding the conditions for trade, taking, possession, or transport of specimens of species included in Appendices I, II, and III. These measures may include trade bans, non-recognition of exemptions, and other things. >> [See Article XIV\(1\)](#).

Resolution Conf. 6.7 recommends that Parties intending to take stricter domestic measures notify the **range States** of the relevant species as early as possible prior to adopting such measures and to consult with those range States.

Subspecies

A subspecies is a category of a “**species**.” >> [See Article I\(a\)](#). Subspecies “may be included in different Appendices at the same time in accordance with the relevant criteria” in Resolution Conf. 9.24 (Rev. CoP16), Annex 3. However, when **split-listing** does occur, it is more effective to split-list based on national or regional populations, rather than subspecies. >> [See Resolution Conf. 9.24 \(Rev. CoP16\), Annex 3](#).

Summary Records/Reports

Summary records are produced after sessions of plenary and Committees I and II. Rule 10 of the **Rules of Procedure**

states that the Secretariat shall prepare these summary records in all working languages of the meeting. The summary records will be circulated to all Parties after each meeting.

Suitably equipped to house and care

Any recipient of a living Appendix I specimen must be suitably equipped to house and care for the specimen. This finding must be made before issuance of an import permit or an introduction from the sea certificate. The Parties have not identified the factors that should be used to make this finding.

In Resolution Conf. 11.20, the Parties agreed that any time the term “**appropriate and acceptable destinations**” appears in an annotation for an Appendix II species, “the term shall be defined to mean destinations where the Scientific Authority of the State of import is satisfied that the proposed recipient of a living specimen is suitably equipped to house and care for it.”

Suspension of Trade

>> [See Trade suspension](#)

Sustainable use

Sustainable use is “the use of components of biological diversity in a way and at a rate that does not lead to the long-term decline of biological diversity, thereby maintaining the potential to meet the needs and aspirations of present and future generations.” >> [See Resolution Conf. 13.2 \(Rev. CoP14\) \(citing Article 2 of the Convention on Biological Diversity\)](#).

Principles of sustainable use have been developed in the *Addis Ababa Principles*

and Guidelines for the Sustainable Use of Biodiversity under the Convention on Biological Diversity. The **Animals Committee**, **Plants Committee**, and Parties are urged to make use of these guidelines when appropriate. >> See [Resolution Conf. 13.2 \(Rev. CoP14\)](#).

Terrestrial species

Terrestrial species are species that live predominantly or entirely on land. They compose the majority of species included in the Appendices.

Threatened with extinction

The Conference of the Parties must determine that a species is threatened with extinction before the species can be listed in Appendix I. The Parties have established **listing criteria** to determine whether a species is threatened with extinction. For example, a species will be considered threatened with extinction if it has a small and fluctuating wild population, has a restricted area of distribution which continues to decrease, or shows a marked decline in population size. >> See [Resolution Conf. 9.24 \(Rev. CoP16\)](#).

Whether a species is “threatened with extinction” is determined by reference to the specific listing criteria of Resolution Conf. 9.24 (Rev. CoP16). More generally, however, whether a species is vulnerable to threats of extinction depends on its “population demographics, biological characteristics (such as body size, trophic level, life cycle, breeding structure or social structure requirements for successful reproduction), and vulnerability due to aggregating habits, natural fluctuations in population size, and/or residency/migratory patterns. This makes

it impossible to give numerical threshold values for population size or area of distribution that are applicable to all taxa.” >> See [Resolution Conf. 9.24 \(Rev. CoP16\)](#).

Trade suspension

A trade suspension may be recommended when a Party is failing to implement the Convention adequately. For example, the Standing Committee may recommend the suspension of a State’s trade privileges if the State has unresolved and persistent compliance matters and shows no intention of achieving compliance. >> See [Resolution Conf. 14.3, Annex](#). In addition, the Standing Committee may recommend a trade suspension for an Appendix II species when a Party fails to implement recommendations of the Animals or Plants Committee to address problems related to making **non-detriment findings**. These recommendations may be made pursuant to a **review of significant trade** in specimens of Appendix II species as required by Resolution Conf. 12.8 (Rev. CoP13). Trade with a Party may also be suspended under the **National Legislation Project**. Resolution Conf. 8.4 (Rev. CoP15).

Tourist souvenir

A tourist souvenir is a specimen that is a **personal or household effect** acquired outside the owner’s State of usual residence, but it does not include live specimens. >> See [Resolution Conf. 13.7 \(Rev. CoP16\)](#).

Trade

Trade is defined in Article I(c) of the Convention as “export, re-export, import and introduction from the sea.”

In other words, trade for purposes of the Convention requires transport of a specimen of a species included in the Appendices across a national border.

Transshipment

Transshipment occurs when a specimen is physically transported through a State but is not accepted by Customs as imported into the State. According to Article VII(1) of the Convention, “the provisions of Articles III, IV, and V shall not apply to ... transshipment of specimens through or in the territory of a Party while the specimen remains in Customs control.”

In the context of the Convention, transshipment refers only to:

1. specimens that remain in Customs control and are in the process of shipment to a named consignee when any interruption in the movement arises only from the arrangements necessitated by this form of traffic; and
2. cross-border movements of sample collections of specimens that comply with the provisions of section XV of Resolution Conf. 12.3 (Rev. CoP16) and are accompanied by an ATA carnet.

>> [See Resolution Conf. 9.7 \(Rev. CoP15\)](#).

Transport

See **Prepared and shipped**

Travelling exhibition

A “travelling exhibition” is one of the twelve **purpose codes** used on permits and certificates to identify the reason for trade. The purpose code for a travelling exhibition—Q—is the same purpose code used to identify a “circus.”

>> [See Resolution Conf. 12.3 \(Rev.](#)

CoP16). Article VII(7) of the Convention lists “travelling exhibition” along with “travelling zoo, circus, menagerie, [and] plant exhibition.” Therefore, a “travelling exhibition” refers to an activity similar to a zoo, circus, menagerie, or plant exhibition.

Generally, each live animal in a travelling exhibition requires its own “travelling-exhibition certificate.” For travelling exhibitions of specimens other than live animals, Parties may use one travelling-exhibition certificate that lists all of the specimens in one attachment. Specimens travelling with travelling-exhibition certificates “may not be sold or otherwise transferred in any State other than the State in which the exhibition is based and registered.” >> [See Resolution Conf. 12.3 \(Rev. CoP16\)](#).

Article VII(7) of the Convention allows a Management Authority to exempt specimens that form part of a travelling exhibition from the requirements of Articles III, IV, and V.

Uniform marking system

>> [See Marking requirements](#)

Validity of permits

A permit has a different period of validity, dependent on the type of permit or certificate. Resolution 12.3 (Rev. CoP16) outlines the period of validity for many types of permits and certificates. The Resolution recommends that:

1. an export permit and a re-export certificate will have a period of validity of no more than six months from the date on which the permit was granted. The resolution provides an extension for export or re-export of timber species

included in Appendices II and III.

2. an import permit will have a period of validity of no more than twelve months from the date on which it was granted.
3. A certificate of origin will have a period of validity of no more than twelve months from the date on which it was granted.
4. A travelling-exhibition certificate will have a period of validity of no more than three years from the date on which it was granted. This period of time will allow for multiple imports, exports, and re-exports of the individual specimens the certificate covers.

Resolution Conf. 10.20 restricts a certificate of ownership for a live animal as a **personal or household effect** for a maximum period of three years. This will allow for multiple imports, exports, and re-exports of the individual animal.

Resolution Conf. 12.7 (Rev. CoP16) restricts the re-export of caviar to eighteen months after the date of issuance of the relevant original export permit. Therefore, the re-export certificate cannot be valid beyond that eighteen-month period.

Voting

Voting at meetings of the Conference of the Parties occurs frequently, in contrast to meetings of many other multilateral environmental agreements. The number of Parties required to adopt a vote depends on the issue:

1. Adoption of substantive matters, including species proposals, draft resolutions, and draft decisions, requires a two-thirds majority vote of Parties present and voting.
2. Adoption of procedural matters, such

as whether to adjourn a meeting, requires a simple majority vote of those Parties present and voting.

3. Adoption of the costed programme of work requires a three-fourths majority vote of the Parties present and voting. See Resolution Conf. 15.1, Annex 2.
4. A motion to open debate in plenary on an issue that has already been debated and voted on in Committee I or II requires the support of one-third of the Parties present and voting.
5. A motion to reopen debate in plenary on an issue that has *not* been debated in Committee I or II requires the support of two-thirds of the Parties present and voting.

Wildlife trade policy review

A wildlife trade policy review is a voluntary study of the effects of domestic wildlife trade policies on international wildlife trade. A review may be conducted on regional or sub-regional scales, reflecting the realities of participating countries. In all cases, a review should take into account environmental, social, and economic issues and relevant policy instruments. The Secretariat is instructed to facilitate the reviews by distributing funds, compiling data, providing necessary technical cooperation, and disseminating the information to other Parties. >> [See Resolution Conf. 15.2.](#)

Working document

A working document refers to documents that are not species proposals. It may include a draft resolution or decision or amendments to existing resolutions or decisions. A working document may also be a discussion paper on an issue that a Party wishes discussed. The text of a working document must be submitted

to the Secretariat at least 150 days before the meeting. Resolution Conf. 4.6 (Rev. CoP15).

Working group

A working group is a group established by the Conference of the Parties, Committees I or II, the Standing Committee, or the Animals or Plants Committee to enable them to carry out their functions. A working group is often established when a body of the Convention finds it difficult

to reach agreement on an issue. The working group may meet in the margins of a meeting, intersessionally, or online. It will return to the body with a proposal for resolving the particular issue. The body establishing the working group must define terms of reference and the composition of the working group. In many cases, a working group will consist of Parties representing all CITES regions and observers with a diverse range of views.
>> [See Rules of Procedure, Rule 5\(3\).](#)

Annex — Key CITES Terms Identified

Institutional Terms

- Animals Committee (AC)
- Bureau
- Committee I
- Committee II
- Conference of the Parties (CoP)
- Credentials
- Credentials Committee
- Delegate
- Depository government
- Entry into force
- Information/Informative document
- Management Authority
- Meeting of the Conference of the Parties
- Observer
- Party
- Plants Committee (PC)
- Plenary
- Quorum
- Regional Meetings
- Rules of Procedure
- Scientific Authority
- Secretariat
- Standing Committee (SC)
- Summary Records/Reports
- Working document
- Working Group
- Voting

Implementation Terms

- Annotation
- Annual report
- Biennial report
- Appendix I
- Appendix II
- Appendix III
- Appropriate and acceptable destinations
- ATA carnet

- Certificate of origin
- Compliance
- Date of Acquisition
- Decision
- Derivative
- ETIS (Elephant Trade Information System)
- Enforcement
- Exemption
- Export Permit
- Export Quota
- Hunting trophy
- Identification Manual
- Import permit
- Introduction from the sea
- Introduction from the sea certificate
- Label
- Look-alike species
- Marine environment not under the jurisdiction of any State
- Marking requirement
- MIKE (Monitoring illegal killing of elephants)
- National Legislation Project
- Non-detrimental to the survival of the species
- Part
- Pre-convention specimen
- Proposal
- Purpose codes/purpose of transaction codes
- Personal and household effects
- Prepared and shipped
- Primarily commercial purposes
- Ranching
- Range State
- Readily recognizable part of derivative
- Re-export
- Re-export certificate

- Retrospective issuance of permits/certificates
- Rescue centre
- Reservation
- Resolution
- Review of significant trade
- Scientific Institution
- Security stamp
- Source codes
- Species
- Specimen
- Split-listing
- State of introduction
- Stricter domestic measures
- Subspecies
- Sustainable use
- Threatened with extinction
- Tourist souvenir

- Trade
- Trade suspension
- Transhipment
- Travelling Exhibition
- Wildlife trade policy review

Biological/Conservation Terms

- Artificially propagated
- Bred in captivity
- Bred in captivity for commercial purposes
- Cruel treatment
- Geographically separate population
- Hybrids
- Listing Criteria
- Marine species
- Precautionary approach / measures
- Suitably equipped to house and care
- Terrestrial species

Founded in 1969, the International Fund for Animal Welfare (IFAW) saves individual animals, animal populations, and habitats all over the world. With projects in more than 40 countries, IFAW provides hands-on assistance to animals in need, whether it's dogs and cats, wildlife and livestock, or rescuing animals in the wake of disasters. We also advocate saving populations from cruelty and depletion, such as our campaign to end commercial whaling and seal hunts.



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