

## SUMMARY OF USE OF PERMITS AND CERTIFICATES IN CITES

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	Permit	WHO?	NDF? (SA)	Legal acquisition (MA)	Scope	Other specific conditions	Format, validity
<b>Permits - Normal procedures</b>	<b>Import permit</b> <i>Art. III</i> <i>Res. Conf. 12.3</i>	MA of import country w. advice from SA	-	-	<ul style="list-style-type: none"> <li>App. I</li> </ul>	<ul style="list-style-type: none"> <li>Purposes of import not detrimental to the survival</li> <li>For live specimens, SA confirms that proposed recipient is suitable</li> <li>Import not for primarily commercial purposes</li> </ul>	STANDARD
	<b>Export permit</b> <i>Art. III</i> <i>Res. Conf. 12.3</i>	MA of export country	Yes	Yes	<ul style="list-style-type: none"> <li>App. I</li> </ul>	<ul style="list-style-type: none"> <li>For live specimens, requirements for the transport</li> <li>Import permit issued</li> </ul>	STANDARD
	<b>Export permit</b> <i>Art. IV, V</i> <i>Res. Conf. 12.3</i> <i>AND</i> <i>Art. VII, para. 4</i> <i>Res. Conf. 12.10</i>	MA of export country	Yes	Yes	<ul style="list-style-type: none"> <li>App. II</li> <li>App. III (listing Party) AND</li> <li>App. I (if captive bred or artificially prop. for commercial purposes)</li> </ul>	<ul style="list-style-type: none"> <li>For live specimens, requirements for the transport</li> </ul>	STANDARD

	Certificate	WHO?	NDF?	Legal acquisition (MA)	Scope	Other specific conditions	Format, validity
<b>Certificates - Normal procedures</b>	<b>Certificate of origin</b> <i>Art. V</i> <i>Res. Conf. 12.3</i>	MA	No		<ul style="list-style-type: none"> <li>App. III</li> </ul>	<ul style="list-style-type: none"> <li>Export is <u>not</u> from the State which has included the species in App. III</li> </ul>	STANDARD – should include country of origin
	<b>Re-export certificate</b> <i>Art. III, IV, V</i> <i>Res. Conf. 12.3</i>	MA	No	Res. 12.3, subparas. 5 i) and j)	<ul style="list-style-type: none"> <li>App. I, II and III</li> </ul>	<ul style="list-style-type: none"> <li>Imported in accordance w. Convention</li> <li>for App. I, import permit is required</li> <li>live specimens safely transported</li> </ul>	STANDARD
	<b>Introduction from the sea certificate</b> <i>Art. III, IV</i> <i>Res. Conf. 12.3</i> <i>Res. Conf. 14.6</i>	MA with advice from SA	<b>Yes</b>	Res. 14.6, para. 3	<ul style="list-style-type: none"> <li>App. I, II</li> </ul>	<ul style="list-style-type: none"> <li>for App. I, MA satisfied that not to be used for primarily commercial purposes</li> <li>live specimens safely transported</li> </ul>	STANDARD

Special provisions in the Convention	<p><b>Pre-convention certificate</b>  <i>Art. VII, para. 2</i>  <i>Res. Conf. 13.6</i>  <i>Res. Conf. 12.3</i></p>	MA	No		<ul style="list-style-type: none"> <li>• App. I, II and III</li> <li>• Can be traded for commercial purposes</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence provided to the effect that <ul style="list-style-type: none"> <li>- Removed from the wild <b>or</b></li> <li>- Born in captivity/artificially propagated <b>before</b></li> <li>- the date it was first included in the Appendices</li> </ul> </li> </ul>	STANDARD – should include date of acquisition
	<p><b>Certificate of captive bred animals</b>  <i>Art. VII, para. 5</i>  <i>Res. Conf. 10.16</i></p>	MA	No	Of breeding stock in accordance with Res. 10.16, para. 2 b) ii) A)	<ul style="list-style-type: none"> <li>• App. I (if <b>not</b> bred for commercial purposes)</li> <li>• App. II and III</li> </ul>	Definition of bred in captivity: <ul style="list-style-type: none"> <li>• Born or produced in <b>controlled environment and</b></li> <li>• Parents mated in controlled environment</li> <li>• <b>Breeding stock</b> established in accordance with Res. Conf. 10.16</li> <li>• <b>Production of F2</b> (or demonstrated capacity to do so)</li> <li>• Marking of specimens</li> </ul>	STANDARD – Source code is C ( <b>not</b> bred for commercial purposes)
	<p><b>Certificate of artificially propagated plants</b>  <i>Art. VII, para. 5</i>  <i>Res. Conf. 11.11</i></p>	MA	No	Of parental stock in accordance with Res. 11.11, para. 1 b) i)	<ul style="list-style-type: none"> <li>• App. I (if <b>not</b> propagated for commercial purposes)</li> <li>• App. II and III</li> </ul>	Definition of Artificially propagated: <ul style="list-style-type: none"> <li>• Grown under controlled conditions <b>and</b></li> <li>• Grown from seeds, cuttings, callus tissues etc. that are either exempt from CITES or have been derived from a cultivated parental stock</li> </ul>	STANDARD – Source code is A ( <b>not</b> propagated for commercial purposes)
	<p><b>Travelling-exhibition certificate</b> (zoos, circus, plant exhibit etc.)  <i>Art. VII, para. 7</i>  <i>(and para. 2)</i>  <i>Res. Conf. 12.3</i></p>	MA	No	Res. 12.3, para. 12 b)	<ul style="list-style-type: none"> <li>• App. I, II, III</li> <li>• MA <b>may</b> waive the requirements</li> </ul>	<ul style="list-style-type: none"> <li>• Full details of the specimens to be registered with the MA</li> <li>• Specimens have to be <ul style="list-style-type: none"> <li>• captive bred /artificially propagated <b>or</b></li> <li>• Acquired before 1 July 1975 or before the species was first listed in the Appendices</li> </ul> </li> <li>• Specimens marked or otherwise identified</li> </ul>	Travelling exhibition certificate (Annex 3 of Res. 12.3) <ul style="list-style-type: none"> <li>• one per live animal</li> <li>• Specific language to be included in Box 5</li> <li>• Valid max. 3 years</li> <li>• Purpose code Q</li> </ul>

<b>Other special procedures</b>	<b>Certificate of personal ownership of live animals</b> <i>Art. VII, para. 3</i> <i>Res. Conf. 10.20</i>	MA	No	Res. 10.20, para. 1 c)	<ul style="list-style-type: none"> <li>App. I, II, III (if acquired in country of usual residence)</li> <li>Use is <b>optional</b> by MA</li> <li>Many countries <b>do not</b> accept the certificate - See:  <a href="https://cites.org/eng/resources/certif-ownership.php">https://cites.org/eng/resources/certif-ownership.php</a> </li> </ul>	<ul style="list-style-type: none"> <li>Comply with definition of ‘personal or household effect’</li> <li>Registered with MA in country of residence</li> <li>Prior agreement between Parties concerned that such certificates are acceptable</li> <li>Transported safely</li> <li>Marked or otherwise identified</li> <li>Records of certificates issued to be maintained by MA</li> </ul>	<b>STANDARD</b> with specific language for Box 5 (multiple border crossing, non-commercial use) <ul style="list-style-type: none"> <li>Valid max. 3 years</li> <li>Certificate treated as passport, stay with owner</li> </ul>
	<b>Musical instrument certificate</b> <i>Art. VII, para. 2, 3</i> <i>Res. Conf. 16.8</i>	MA or other competent authority		Res. 16.8, para. 1 b)	<ul style="list-style-type: none"> <li>App. I, II, III (But <b>not</b> App. I, if instrument was acquired <b>after</b> the species was included in App. I)</li> </ul>	<ul style="list-style-type: none"> <li>Purposes including personal use, paid or unpaid performance, display or competition</li> <li>Marked or otherwise identified</li> <li>Records of certificates issued to be maintained by MA</li> </ul>	<b>STANDARD</b> with specific text for box 5 (multiple border crossing, non-commercial use, not to be sold or disposed of outside State of usual residence) <ul style="list-style-type: none"> <li>Certificate treated as passport, stay with owner</li> </ul>

### SUMMARY OF EXEMPTIONS IN CITES - NO PERMIT OR CERTIFICATE REQUIRED

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	<b>Specimens</b>	<b>Scope</b>	<b>Legal acquisition</b>	<b>Conditions</b>
<b>Exemptions in the Convention</b>	<b>In transit or transshipment</b> <i>Art. VII, para. 1</i> <i>Res. Conf. 9.7</i>	App. I, II, III	Follow the requirements for the CITES Document for final destination	<ul style="list-style-type: none"> <li>Remain in customs control</li> <li>Are in the process of shipment to a named destination</li> <li>Interruption of movement only due to transport arrangements</li> <li>Customs should <ul style="list-style-type: none"> <li>Verify presence of valid CITES documents</li> <li>Withhold/seize specimens/consignments without valid documentation if possible under national law</li> <li>If not possible, shipment details to be sent to country of destination and other transit countries and the CITES Secretariat</li> </ul> </li> </ul>
	<b>Personal and household effects</b> <i>Art. VII, para. 3</i> <i>Res. Conf. 13.7</i>	App. I, II, III (applies to App. I only if acquired in the State of usual residence)	Specimens have to be legally acquired, Res. 13.7, para. 1 b)	<ul style="list-style-type: none"> <li>Personally-owned for non-commercial purposes</li> <li>At the time of import, export or re-export, the specimens are <ul style="list-style-type: none"> <li>Worn, carried or included in personal baggage, OR</li> <li>Part of a household move</li> <li>Not a live animal</li> </ul> </li> </ul>

		<p>Some Parties have adopted stricter domestic measures regarding personal and household effects.</p>		<ul style="list-style-type: none"> <li>• The exemption does <b>not</b> apply if <ul style="list-style-type: none"> <li>• The Party involved does not apply the exemption for personal and household effects.</li> <li>• The export/re-export involves rhino horn or elephant ivory contained in hunting trophies</li> <li>• Involves other hunting trophies unless bilateral written arrangements among neighboring countries, including NDF and other means of monitoring trade in hunting trophies, provided that such arrangements have been duly notified to the CITES Secretariat <b>and</b> the specimen at the time of import, export or re-export was worn, carried or include in the hunter's personal baggage</li> </ul> </li> <li>• Certain products/specimens can only be carried as personal goods if the quantity does <b>not</b> exceed a certain limit: <ul style="list-style-type: none"> <li>• Caviar of sturgeon species: 125 grams (labelled in accordance with Res. Conf. 12.7</li> <li>• rainsticks of Cactaceae spp. - up to three specimens per person;</li> <li>• specimens of crocodilian species – up to four specimens per person;</li> <li>• queen conch (<i>Strombus gigas</i>) shells – up to three specimens per person;</li> <li>• seahorses (<i>Hippocampus</i> spp.) – up to four specimens per person;</li> <li>• giant clam (Tridacnidae spp.) shells – up to three specimens, each of which may be one intact shell or two matching halves, not exceeding 3 kg per person; and</li> <li>• specimens of agarwood – up to 1 kg of woodchips, 24 ml of oil and two sets of beads or prayer beads (or two necklaces or bracelets) per person;</li> </ul> </li> <li>• customs administrations should be advised of the treatment of personal effects under CITES</li> <li>• Tourist souvenir specimens of Appendix-I species should follow normal procedures</li> </ul>
	<p><b>Exchanged between registered scientific institutions</b>  <i>Art. VII, para. 6</i>  <i>Res. Conf. 11.15</i></p>	<p>App. I, II, III</p> <p>Five-character coding system for registered scientific institutions</p>	<p>Only shipments of legally obtained specimens, Res. Conf. 11.15, para. 3. e) iv)</p>	<ul style="list-style-type: none"> <li>• Scientific Institutions need to be registered, upon advice of the SA</li> <li>• Standards for registration contained in the Resolution should be followed</li> <li>• All registered scientific institutions should be communicated to CITES: see <a href="#">CITES web page</a> for currently registered institutions</li> <li>• All material should carry a label issued or approved by MA <b>or</b> certain information should be included in the Customs Declaration</li> </ul>