



## **Guidelines and specifications for Electronic Permit Information eXchange (EPIX) of CITES permits and certificates**

### Draft document

This document was drafted jointly by CITES and UNECE and will be maintained jointly by the CITES Working Group on electronic Systems and Information Technologies and the UN/CEFACT expert group on agriculture trade.

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## 1. Introduction

The *Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)* establishes a legally binding regulatory regime to ensure the survival of endangered, CITES-listed species. Currently, 182 countries and the European Union are Party to this Convention and bound to its rules. CITES regulates trade in over 36,000 species of wild animals and plants, both aquatic and terrestrial and includes emblematic species such as tigers, elephants, rhinos, manta rays and all great apes.

The issuance and control of permits and certificates is the backbone for the implementation of the CITES Convention and the control of trade in CITES listed species. The Convention provides extensive rules on how these permits are issued, controlled and processed to ensure sustainable trade.

However, wildlife is becoming increasingly threatened by organized illegal trade. In October 2019<sup>1</sup> the World Bank estimated that illegal logging, fishing and wildlife trade have an estimated value of \$1 trillion or more per year. Governments in source countries forego an estimated \$7-12 billion each year in potential fiscal revenues that aren't collected due to illegal logging, fishing, and, in some instances, wildlife trade. Illegal trade in wildlife and is now considered the fourth largest international crime.

In September 2019 the UN General Assembly, concerned about the increasing scale of poaching and illegal trade in wildlife and wildlife products and its adverse economic, social and environmental impacts adopted the GA resolution titled *Tackling illicit trafficking in wildlife* (document A/73/L.120) with a call to urgently increase efforts to prevent illegal trade in wildlife. In particular, the General Assembly called on Member States *..to take measures making permit systems more resilient to corruption and to take advantage of modern information and communications technologies for improved control of international trade in protected species of wild fauna and flora in order to prevent the use of fraudulent documents in the international trade in protected species.*

CITES Parties are now stepping up efforts for electronic CITES permit processing and cross border electronic exchange of CITES permits to increase transparency, fight corruption and prevent forgery of CITES permits through use of information technologies. The implementation of Electronic Permit Information eXchange (EPIX) – the exchange of electronic CITES permits and certificates between Management Authorities of different countries – completely eliminates possibilities to temper with (paper) documents and provides end-to-end control of trade in CITES listed species.

UN/CEFACT has developed the eCERT standard for exchange of electronic licenses, permits and certificates in international agriculture and bio-trade. CITES adapted this standard for electronic CITES permits and published the standard layout of an electronic CITES permit in the ePermitting Toolkit. The CITES Conference of Parties (CoP) recommends all Parties to use this standard when exchanging electronic permits and certificates.

However, when exchanging electronic permits more than a data standard is needed: When two government agencies exchange electronic permits, they actually enter into an electronic dialogue. As in every dialogue, the partners need a common understanding what the purpose of the information exchange is, how the dialogue is structured, who is speaking when, how the other party will act on the information received and whether the other party is expected to respond.

Such a structured exchange of messages is called a “choreography”, i.e. a description of which processes take place in the respective Management Authorities before and after messages are sent and received and how the exchange of messages completes an end-to-end electronic CITES permit process..

This document provides a description and guidelines of the choreography that all Parties should follow when exchanging electronic permits with other Parties. It complements the data standard defined in the CITES ePermitting toolkit with a description of processes and a set of that Parties should follow when engaging in EPIX exchanges.

## 2. Guidelines for Electronic Permit Information eXchange – The Business View

This chapter describes business processes relating to electronic request, issuance and exchange CITES permits in cross border trade.

When processing CITES Permits each Management Authority can implement its own permit processing workflow. As a result, the permit processes differ significantly between different Management Authorities.

This documentation takes these variations into account by aiming to describe the business process as much as possible as a black box (i.e. “*MA processes the permit request*”) instead of describing how the Management Authority implements this business process (i.e. How the MA approves or rejects a permit request in an electronic workflow).

Nevertheless, readers might find it useful to understand how specific Parties have implemented their permit process. Therefore, we provide in the annex of this document examples of national implementations of electronic CITES permit processes using EPIX exchanges.

The business processes in this publication are documented using the *Business Process Modeling Notation* (BPMN<sup>1</sup>), a graphical notation that depicts the steps in a business process. The BPMN graphs in this publication are provided in source code by the UNECE or CITES Secretariats. They can be edited with yEd<sup>2</sup> from yWorks, a freeware graphic editor.

The *Business Process Analysis Guide to Simplify Trade Procedures*<sup>3</sup> developed by UNECE and ESCAP was used as a guideline for the analysis and presentation of the CITES business processes.

### 2.1 Electronic information exchange between CITES stakeholders

Use of electronic CITES permits requires that all permit processes including permit request, issuance, control and exchange are automated and information is exchanged electronically. The Management Authorities of the exporting and importing country use electronic permit information exchange (EPIX) instead of exchange of paper permits.

At present EPIX is being implemented as a direct, point-to-point (P2P) message exchange between the Management Authorities of the exporting and importing country. After reviewing the experiences made with P2P message exchanges Parties may decide to implement in addition a central exchange hub for CITES permits in the future. It is expected that the CITES message standards and business processes developed for P2P can be applied as well in a hub solution.

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<sup>1</sup> <http://www.bpmn.org/>

<sup>2</sup> <https://www.yworks.com/products/yed>

<sup>3</sup> [http://www.unescap.org/sites/default/files/0%20-%20Full%20Report\\_6.pdf](http://www.unescap.org/sites/default/files/0%20-%20Full%20Report_6.pdf)

The business processes and message exchanges documented hereafter are based on point-to-point message exchanges between Parties.



Figure 2.1: Overview of Electronic Permit Information Exchange (EPIX) between two Parties

## 2.2 Message types for Electronic Permit Information Exchange

Electronic information exchange can take place within a country (for example between the Management Authority and the national Customs<sup>4</sup> Administration) and across borders (for example between the Management Authority of the exporting and the importing country). CITES EPIX message specifications are exclusively designed for cross border information exchange. However, a Party may choose to use the same or similar message specifications for the exchange of CITES permit information between its national administrations.

<sup>4</sup> The term "Customs" is used to designate Customs administrations and/or other border control agencies.

The EPIX specifications assume that the messages are exchanged directly between the Management Authorities of the exporting and the importing country. It is well understood that in reality a Management Authority may authorize another national entity such as the National Single Window or the Customs Administration to send and receive EPIX messages on their behalf. However, this is considered an internal arrangement and should be transparent for the Management Authority of the other country.

Electronic CITES certificates are identified through the certificate number and an additional code (“token”). This token<sup>5</sup> is assigned by the Management Authority that issues the permit. The token is an additional security element that prevents incorrect access to certificates, either as a result of a typing error or by intentionally guessing a certificate number. Because this token has to be typed in manually, it cannot be too long. A four-digit generated value (random sequence of numbers and letters) should be entirely adequate for this purpose.

For the electronic exchange of CITES permit information four message types have been specified: The messages *GetNonFinalCitesCertificate* (iterable) and *GetFinalCitesCertificate* (sent only once) are used for requesting and delivering CITES certificates. The *ConfirmQuantities* message allows the actual quantity of the imported goods to be transmitted at a later stage. The *ServiceState* message offers a simple way of determining if the EPIX system of the other Party is available.

EPIX messages are exchanged through Web service calls. The details specification of the WSDL is provided in Chapter 3 of this document.

### 2.2.1. Status of a permit

At present a permit can have two status:

- “*issued*”: The permit has been issued by a Management Authority and can now be used for a CITES shipment
- “*used*”: The permit has been used for a CITES shipment and cannot be used for another shipment.

### 2.2.2 EPIX Message types:

#### **GetNonFinalCitesCertificate**

It is possible to reference a CITES certificate in a Customs declaration before the actual import or export has taken place. The declarant may also update a Customs declaration multiple times. This may imply that the border control systems of the importing country will make several requests to the Management Authorities of the importing country to receive the permit information.

When the Management Authority of the exporting country receives a *GetNonFinalCitesCertificate* message it will send a copy of the CITES permit (i.e. the XML instance of this permit). The Management Authority will not assume that the export process has

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<sup>5</sup> The token was introduced in the Swiss- French pilot project and is not based on an international standard or eBusiness practice. The CITES Working Group on electronic Systems and Information technologies should define which characters a token may take, for exp. BASE 58

actually taken place and will not update the permit status. The permit status remains “*issued*”. Therefore, this request may be repeated any number of times.

### GetFinalCitesCertificate

When the *GetFinalCitesCertificate* method is run, the certificate status is set to “*used*” and the certificate is transmitted electronically. From this moment onwards, the certificate can no longer be requested with *GetFinalCitesCertificate* or *GetNonFinalCitesCertificate*.

### ConfirmQuantities

The *ConfirmQuantities* method is used to transmit the actual quantities of goods imported per CITES position on a CITES certificate previously obtained with *GetFinalCitesCertificate*.

Important:

- A permit can only be used for one shipment. The *ConfirmQuantities* method is used to inform the Management Authority of the exporting country on the actual quantities imported and to update the trade statistics. It does not allow a new export or import using the same permit.
- Even when using electronic permits, the actual quantities exported should always be reported by the Customs office of the exporting country to the Management Authority of the exporting country. The *ConfirmQuantities* message provides additional, complementary information on the quantities that were recorded at the time of import.

### ServiceState

The *ServiceState* method is used to find out if the EPIX service of the corresponding Party is available. The method returns the version number as the payload.

## 2.3 Business processes and electronic Permit Information eXchange

### 2.3.1 Summary of the business process

*Request export permit:* The exporter sends a request for issuance of an export permit to the Management Authority of the exporting country. The Management Authority processes this request and either rejects the request or issues a permit. The Management Authority stores the permit in its permit database. The Management Authority returns the permit number (permit ID) and the security token to the exporter.

*Export border control:* The exporter submits the permit number and the security token to the Customs Authority of the exporting country. The Customs Authority requests the permit from the Management Authority. The Management Authority submits the permit information to Customs. The Customs Authority informs the Management Authority about actual quantities exported. The goods are exported.

*Import border control:* The exporter sends the permit number and the security token to the importer. The importer submits a Customs declaration with the permit number and the security token to the

#### Commented [MP1]: Switzerland

This is not standard. In Switzerland for instance we do not get that Feedback. In the electronic version we had planned with Swiss customs this was foreseen. Now it is not implemented. This sentence is more of a wishful thinking as it corresponds 1to1 with the Resolution... Maybe it would be better to leave that sentence out or soften it?

MP: I am adftraid we will have to keep it. The This is what the Convention requires. How much this is implemented is another topic. I was told that in DE and Austria this works.



Customs Authority of the importing country. The Customs Authority of the importing country requests the permit information from the Management Authority of the importing country. The Management Authority of the importing country sends a *GetFinalCitesCertificate* message to the Management Authority of the exporting country and receives a copy of the permit. The Management Authority sends the permit information to the Customs Administration.

*Import confirm quantities*: The Customs Administration (importing) clears the goods. The Customs Administration (importing) may inform the Management Authority (importing) on the about actual quantities and about the success of the import process.

The Management Authority (importing) updates their trade statistics and sends a *ConfirmQuantities* message to inform the Management Authority (exporting) about actual quantities imported. The management Authority of the importing country updates the trade statistics with the information received.

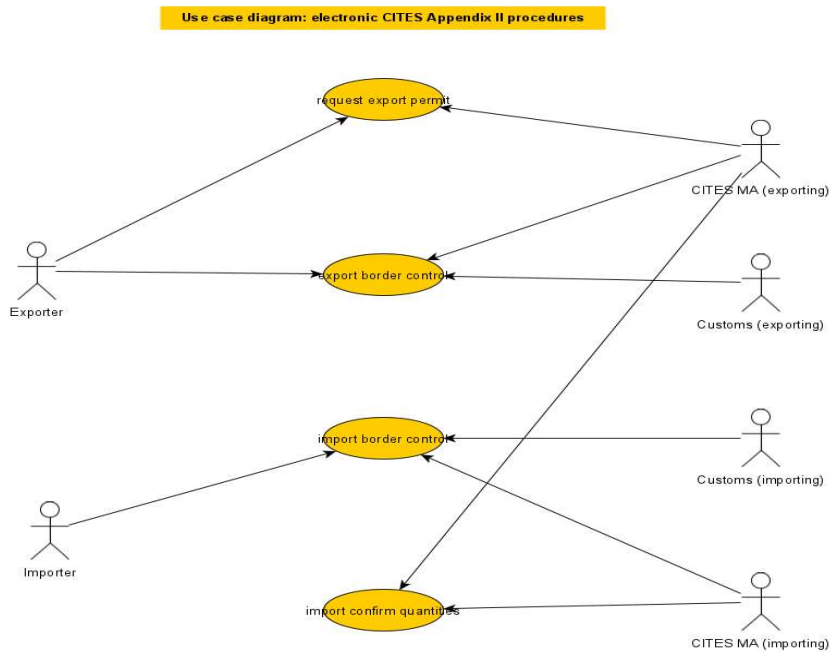


Figure 2.3.1: UML Use Case Diagram of the CITES Appendix II process with electronic permit information exchange

### 2.3.2 Business process activity diagram

Figure 2.3.2 shows the complete model export and import process for Appendix II species. The blue boxes correspond to the activity areas of the UML Use Case Diagram above.

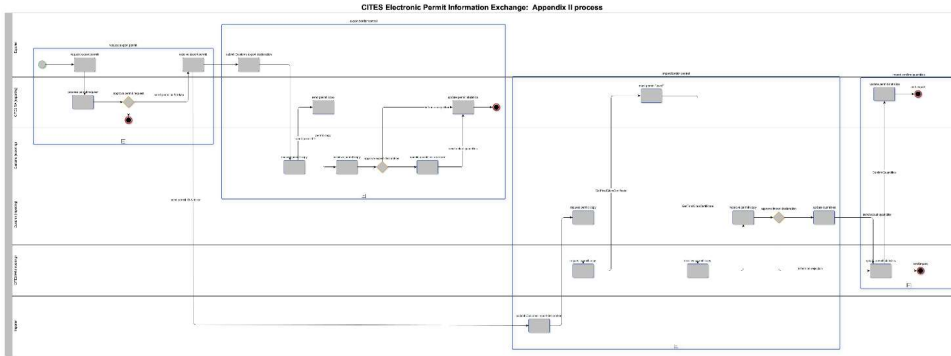
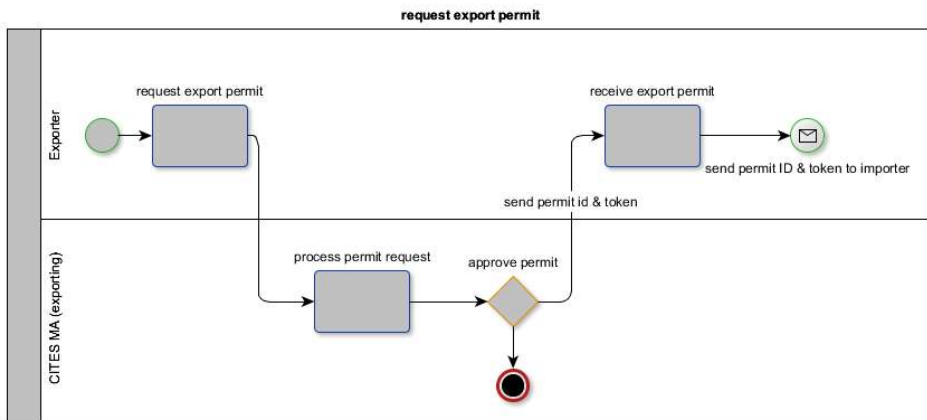


Figure 2.3.2: Activity Diagram of the CITES Appendix II process with electronic permit information exchange

### 2.3.3 Detailed description of the activity areas

This chapter provides a more detailed description of each activity area. It consists of a graphic representation of the process and a narrative part that provides further explanation to the process.

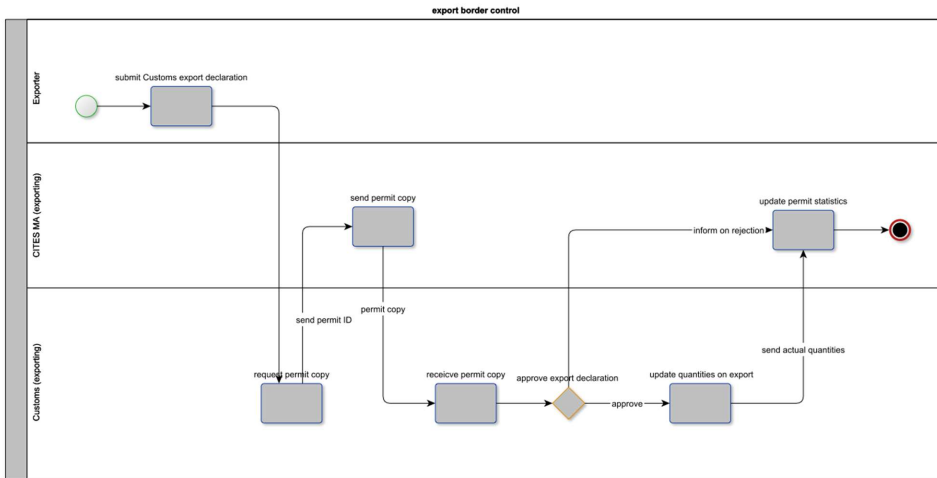
#### Process area “request export permit”



<b>Name of the process area</b>	request export permit
<b>Process participants</b>	<ul style="list-style-type: none"> <li>• Exporter</li> <li>• CITES Management Authority (exporting)</li> </ul>
<b>Input criteria to enter/begin the business process</b>	<ul style="list-style-type: none"> <li>• Exporter has a potential buyer (importer)</li> <li>• Exporter has full contact details of buyer</li> <li>• Exporter is eligible to request export permit online</li> <li>• Species listed in Appendix II</li> </ul>
<b>Activities and associated documentary requirements</b>	<p><i>request export permit</i></p> <ul style="list-style-type: none"> <li>• The exporter submits all required information to obtain a permit to the Management Authority. This includes inter alia, descriptions of the specimens, quantities, name of the exporter and importer etc. The required data formats and code lists are provided in Resolution Conf. 12.3</li> </ul> <p><i>process permit request</i></p> <ul style="list-style-type: none"> <li>• The Management Authority checks and analyses the information provided by the exporter and decides on the issuance of the permit. Checks include data consistency checks (use of CITES code lists and Species+ names for specimen) as well as of the requested export with compliance with CITES regulations and national legislation.</li> <li>• This activity may also require further documentary checks, for example to proof legal acquisition.</li> <li>• The Management Authority may also need to consult with other Government agencies such as the Scientific Authority.</li> <li>• The activity includes payment of any duties and fees.</li> </ul> <p><i>approve permit request</i></p> <ul style="list-style-type: none"> <li>• The Management Authority decides whether to issue the permit.</li> <li>• If the permit is approved the Management Authority will send the permit ID and the token</li> <li>• The permit information is stored in the permit database of the Management Authority. This information is considered as the electronic equivalent of the original of a CITES paper permit.</li> </ul>

	<p><i>receive export permit</i></p> <ul style="list-style-type: none"> <li>• The exporter received the permit ID and token</li> <li>• The exporter may access the eCITES system of the Management Authority to obtain electronic or paper copies of the permit</li> </ul>
<b>Exit criteria of the business process</b>	<ul style="list-style-type: none"> <li>• Permit request is not approved</li> <li>• Permit request is approved, and exporter has received permit ID and token</li> </ul>
<b>Average time required to complete the business process</b>	
<b>Related CITES regulations</b>	
<b>Related national laws, rules and regulations</b>	

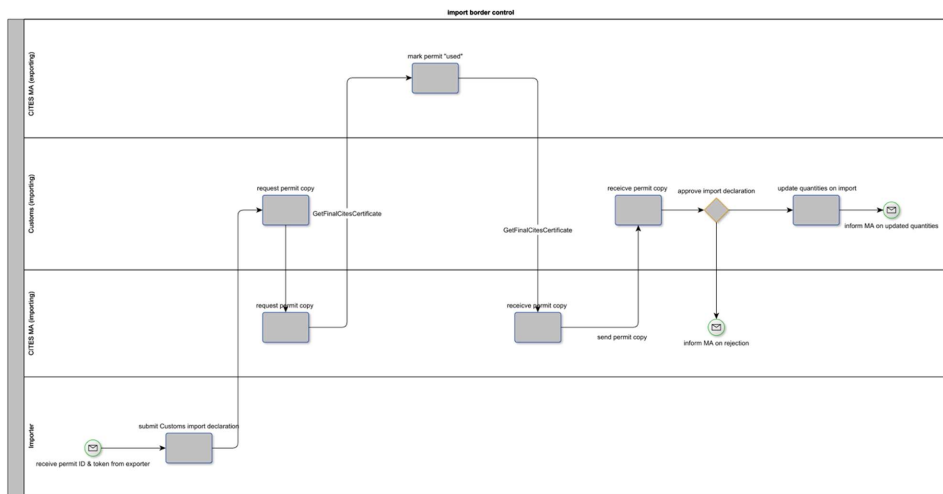
**Process area “export border control”**



<b>Name of the process area</b>	export border control
<b>Process participants</b>	<ul style="list-style-type: none"> <li>• Exporter</li> <li>• CITES Management Authority (exporting)</li> <li>• Customs (exporting)</li> </ul>
<b>Input criteria to enter/begin the business process</b>	<ul style="list-style-type: none"> <li>• Exporter has obtained a CITES permit ID and token</li> </ul>
<b>Activities and associated documentary requirements</b>	<p><i>submit customs declaration</i></p> <ul style="list-style-type: none"> <li>• The exporter submits a Customs export declaration</li> <li>• The CITES permit ID and the token are registered as “supporting documents” in the Customs declaration</li> </ul> <p><i>request permit copy</i></p> <ul style="list-style-type: none"> <li>• Customs sends an electronic request to transmit the permit data to the Management Authority. This message could be in the same format as the <i>GetNonFinalCitesCertificate</i> message.</li> </ul> <p><i>send permit copy</i></p> <ul style="list-style-type: none"> <li>• The Management Authority sends the permit data</li> </ul> <p><i>receive permit copy</i></p> <ul style="list-style-type: none"> <li>• Customs receives the permit data</li> </ul> <p><i>approve export declaration</i></p> <ul style="list-style-type: none"> <li>• Customs compares data in the CITES permit with the information provided in the export declaration for consistency</li> <li>• Customs makes a risk assessment of the transaction using CITES related risk parameters</li> <li>• Customs approves or rejects the export</li> </ul> <p><i>update quantities on export</i></p> <ul style="list-style-type: none"> <li>• Customs sends an electronic message to the Management Authority. This message includes: <ul style="list-style-type: none"> <li>○ Actual quantities exported. The required data formats and code lists are provided in Resolution Conf. 12.3</li> <li>○ Name (ID) of the Customs office of Export</li> <li>○ Date of export</li> <li>○ air waybill or B/L number</li> </ul> </li> </ul> <p><i>update permit statistics</i></p>

	<ul style="list-style-type: none"> <li>• If the export is rejected the Management Authority will assess the reasons for rejection and decide whether the permit is revoked.</li> <li>• If the export has been approved the Management Authority will update the status of the permit</li> <li>• The Management Authority will record the information provided by Customs in the permit database</li> </ul>
<b>Exit criteria of the business process</b>	<ul style="list-style-type: none"> <li>• Export has been rejected or</li> <li>• Consignment has left the Customs territory</li> </ul>
<b>Frequent variations of the business process</b>	<p>Countries implement different process for the interaction between the national Customs administration and the national Management Authority. The internal (national) management of the CITES process is black box for the other Party (i.e. no information is needed how the other Party manages its internal processes) to implement and manage the EPIX exchanges.</p> <p>As an example, for such a national interaction between MA and Customs we provide a detailed process flow on the Swiss export process in Annex 2.</p>
<b>Average time required to complete the business process</b>	<ul style="list-style-type: none"> <li>• <i>Submit Customs export declaration:</i> 1 hour</li> <li>• <i>Approve export declaration:</i> 1 hour</li> </ul>
<b>Related CITES regulations</b>	
<b>Related national laws, rules and regulations</b>	

### Process area “import border control”



<b>Name of the process area</b>	import border control
<b>Process participants</b>	<ul style="list-style-type: none"> <li>• Importer</li> <li>• CITES Management Authority (exporting)</li> <li>• CITES Management Authority (importing)</li> <li>• Customs (importing)</li> </ul>
<b>Input criteria to enter/begin the business process</b>	<ul style="list-style-type: none"> <li>• Importer has obtained the CITES permit ID and token from the exporter</li> </ul>
<b>Activities and associated documentary requirements</b>	<p><i>submit customs import declaration</i></p> <ul style="list-style-type: none"> <li>• The importer submits a Customs import declaration</li> <li>• The CITES permit ID and the token are registered as “supporting documents” in the Customs declaration</li> </ul> <p><i>request permit copy (Customs)</i></p> <ul style="list-style-type: none"> <li>• Customs sends an electronic request to transmit the permit data to the Management Authority (importing). This message could be in the same format as the <i>GetNonFinalCitesCertificate</i> message.</li> </ul> <p><i>request permit copy (importing Management Authority)</i></p>

- Management Authority (importing) sends an electronic request (*GetNonFinalCitesCertificate* (optional; not shown in the above diagram) to the Management Authority (exporting) to receive the permit data. This message may be sent any number of times.
- If Customs has informed the Management Authority (importing) that the importer has submitted the final import declaration the Management Authority (importing) will issue *GetFinalCitesCertificate* message. This message may be sent only one time.

*mark permit "used"*

- The Management Authority (exporting) marks the permit as "used". This permit cannot be used for further import operations.
- The Management Authority sends the permit data to the Management Authority (importing)

*receive permit copy*

- The Management Authority (importing) receives the permit
- The Management Authority sends the permit data to Customs (importing). This message could be in the same format as the *GetNonFinalCitesCertificate* message.

*receive permit copy*

- Customs receives the permit data

*approve import declaration*

- Customs compares data in the CITES permit with the information provided in the import declaration for consistency
- Customs makes a risk assessment of the transaction using CITES related risk parameters
- Customs may request sanitary or phytosanitary inspection of the consignment
- Customs approves or rejects the import

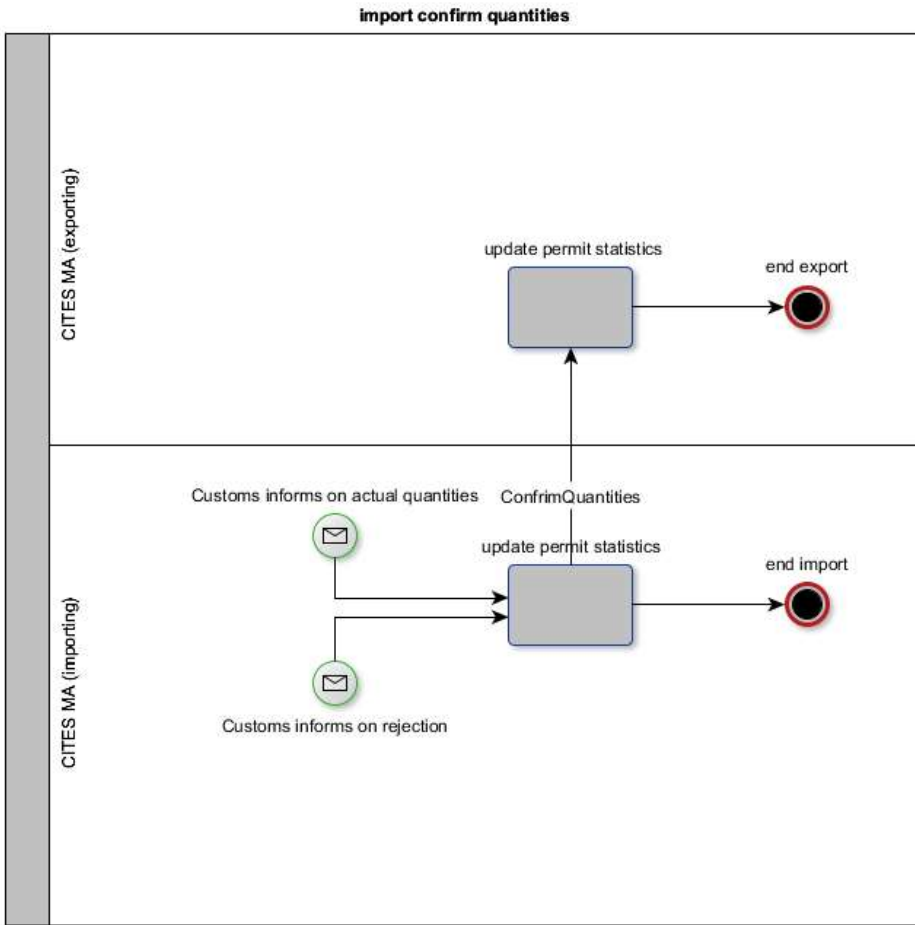
*update quantities on import*

- Customs sends an electronic message to the Management Authority (importing). This message includes:
  - Actual quantities imported. The required data formats and code lists are provided in Resolution Conf. 12.3
  - Name (ID) of the Customs office of import
  - Date of import
  - Air waybill or B/L number



<b>Exit criteria of the business process</b>	<ul style="list-style-type: none"> <li>• Import has been rejected or</li> <li>• Goods have been released for free circulation in the Customs territory</li> </ul>
<b>Frequent variations of the business process</b>	<p>Countries implement different process for the interaction between the national Customs administration and the national Management Authority. The internal (national) management of the CITES process is black box for the other Party (i.e. no information is needed how the other Party manages its internal processes) to implement and manage the EPIX exchanges.</p> <p>As an example, for such a national interaction between MA and Customs we provide a detailed process flow on the Swiss import process in Annex 1.</p>
<b>Average time required to complete the business process</b>	<ul style="list-style-type: none"> <li>• <i>Submit Customs import declaration:</i> 1 hour</li> <li>• <i>Approve import declaration:</i> 1 hour</li> </ul>
<b>Related CITES regulations</b>	
<b>Related national laws, rules and regulations</b>	

### Process area "import confirm quantities"



<b>Name of the process area</b>	import confirm quantities
<b>Process participants</b>	<ul style="list-style-type: none"> <li>• CITES Management Authority (exporting)</li> <li>• CITES Management Authority (importing)</li> </ul>
<b>Input criteria to enter/begin the business process</b>	<ul style="list-style-type: none"> <li>• Customs (importing) has informed the Management Authority (importing) whether import has been approved or rejected</li> <li>• If the import had been approved Customs has informed the Management Authority (importing) on the actual quantities imported.</li> </ul>
<b>Activities and associated documentary requirements</b>	<p><i>update final permit statistics (importing)</i></p> <ul style="list-style-type: none"> <li>• If the import had been rejected by Customs, the Management Authority (importing) will assess the reasons for the rejection and may take further action.</li> <li>• The Management Authority will record the actual quantities in the permit database</li> <li>• The Management Authority (importing) will send a <i>ConfirmQuantities</i> message to the Management Authority (exporting) containing the actual quantities imported.</li> </ul> <p><i>update final permit statistics (exporting)</i></p> <ul style="list-style-type: none"> <li>• The Management Authority (exporting) will record the actual quantities imported provided by the <i>ConfirmQuantities</i> message in the permit database for reporting.</li> </ul>
<b>Exit criteria of the business process</b>	<ul style="list-style-type: none"> <li>• Database of Management Authority (exporting) is updated and export process is terminated</li> <li>• Database of Management Authority (importing) is updated and import process is terminated</li> </ul>

<b>Frequent variations of the business process</b>	<p>Under discussion: Should <i>ConfirmQuantities</i> be permitted after <i>GetFinalCitesCertificate</i> or should it be blocked? The process in France requires that <i>ConfirmQuantities</i> can be run after <i>GetFinalCitesCertificate</i> (in France it is used exclusively after <i>GetFinalCitesCertificate</i>).</p> <p>Note: For various reasons (for example loss of specimen during transport) there can be differences between actual quantities reported on export and actual quantities reported on import.</p> <p>Switzerland-France exchange:</p> <ul style="list-style-type: none"> <li>• On import into France the <i>ConfirmQuantities</i> method can be run by the French endangered species authority after requesting the CITES certificate using <i>GetFinalCitesCertificate</i>. The data is recorded in the Swiss CITES system under the corresponding CITES certificate for reporting purposes.</li> </ul>
<b>Average time required to complete the business process</b>	<p>Fully automated process</p>
<b>Related CITES regulations</b>	
<b>Related national laws, rules and regulations</b>	

---

## 2.4. Exemption and Error Handling Use Cases

There are various cases when a permit exchange can cause problems. The following cases describe the possible problems and solutions that have to be agreed by the Parties.

### 2.4.1 Transmission errors

There may be cases where a short interruption of the service causes parts of the transmission to fail. The result is that the data transmitted are incomplete. This may involve empty data fields or in case of attachments, the absence of them.

Proposed solution:

- In case of a “GNF-Call”, the MA at the receiving end can retry the call and if the problem remains would notify the error to the sending MA. Via the internal ticketing system, the error is treated asap. MA at the receiving end continues the process via an internal process for errors in transmissions.
- In case of a “GF-Call”, the MA at the receiving end immediately notifies the case to the sending MA which resets the permit to be fetched. MA at the receiving end retries the “GF-Call”. If the error persists, the MA at the receiving end informs the sending MA. The sending MA corrects via the internal ticketing system the problem asap. MA at the receiving end continues the process via an internal process for errors in transmissions.

### 2.4.2 Temporary interruption of the connection between parties

The service between the two parties may be interrupted temporarily because of various reasons. The result will be that for that time no transmission of electronic permits is possible. A temporary interruption lasts less than half a day at the most.

- MA at the receiving end informs the sending MA asap and temporarily interrupts treatment of EPIX during the temporary interruption. Should the problem persist, then 2.4.3 comes into play.

### 2.4.3 Long-term breakdown of the connection

In this scenario the connection between the parties is interrupted for a considerable time. This means that the exchange of permits cannot take place for several hours to several days.

- MA at the receiving end informs the sending MA asap. As the interruption is longer term, the MA initiates the internal procedures for a longer-term interruption. This may involve changing to a paper-based process or a semi-automatic process.
- Once the connection can resume, both parties inform each other and the cases that have been treated by a non EPIX means must be updated in the electronic system in order to have complete databases.

#### **2.4.4 Loss of data due to a problem in the internal processes of the destination country**

Due to technical or other problems, the data file that was initially transmitted may be lost, altered or corrupted so that it cannot be used anymore.

- In the case of a “GNF-Call” the MA at the receiving end that has lost the data can just repeat the action with a new “GNF-Call”.
- In the case of a “GF-Call” the MA at the receiving end that has lost the data can contact the sending MA which then sets the permit concerned back to a stage where it can be fetched again.
- 

#### **2.4.5 Refusal of a shipment due to administrative regulations in the destination country**

Due to non-compliance with the import requirements of the country of import, a shipment may be refused and sent back to the importing country.

- In this case, the party that refused the shipment informs the exporting MA about the refusal. The exporting MA then evaluates the case and cancels the permit in its database.

#### **2.4.6 Seizure of a shipment in the destination country**

Due to non-compliance with the import requirements of the country of import, a shipment may be seized.

- In that case the party that seized the shipment does not inform the exporting MA about the case, as to this MA the transaction has taken place and is finished.

#### **2.4.7 The country of import may request the importer to provide a replacement document**

The importing country may decide to accept an import only if a replacement document by the exporting country is being issued.

- In that case the usual internal procedure for establishing a replacement document is followed and the new permit information is provided to the exporter who transmit this information to the importer. The importer then informs the importing MA about the new document.

#### **2.4.8 The country of import may ask the importer to request a retrospectively issued permit**

If a shipment was sent to the importing country without having applied for export document in the exporting country, the importing country may be willing to accept a retrospectively issued permit.

- In that case the usual internal procedure for establishing a retrospectively issued document is followed and the permit information is provided to the exporter who transmit this information to the importer. The importer then informs the importing MA about the new document.

#### **2.4.9 Differences in the databases between parties may cause transmission problems**

If there are differences in the databases between parties concerning the scientific species names, descriptions of specimens and units, the importing country may encounter difficulties in importing the given permit.

- In that case the MA at the receiving end contacts the sending MA and the two entities agree on a solution to the differing database entries.

#### **2.4.10 Importing Country's scientific authority refuses the granting of an import permit**

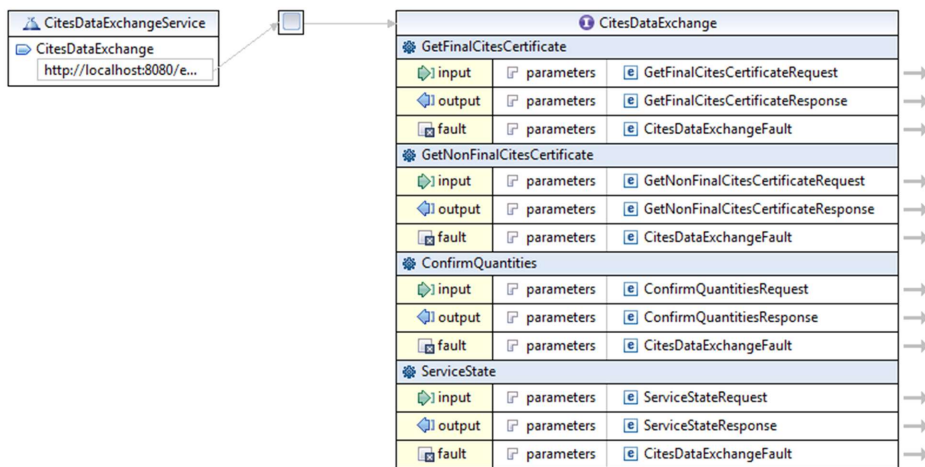
An importing country's scientific authority may refuse to grant an import permit even though an export permit exists for a given specimen.

- In that case no action is required as the export permit will not be used and remains in a state of unused.

### 3. Technical specifications for Electronic Permit Information eXchange – The Technical View

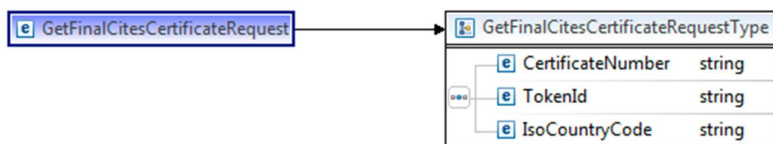
#### 3.1. eCITES EPIX Webservice calls

The following Web Service Description Language (WSDL) diagram shows the interface to the web services available for EPIX exchanges.



#### 3.1.1 GetFinalCitesCertificate

##### Request Parameters



`GetFinalCitesCertificateRequestType` contains the ID of the CITES certificate.

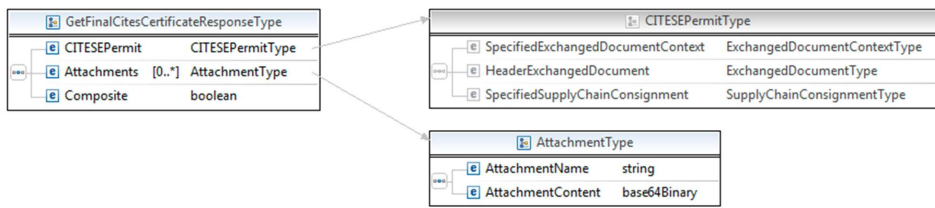
- The `CertificateNumber` element contains the CITES number.
- The `Token` element must contain the random value allocated to this certificate.



- The IsoCountryCode element defines the partner country with which communication is to be set up.

XML attribute	Data type	Cardinality
CertificateNumber	String	1
Token	String	1
IsoCountryCode	String	1

### Response Parameters



### GetFinalCitesCertificateResponseType

GetFinalCitesCertificateResponseType contains all the information about a CITES certificate.

- The CITESEPermit element contains the data of the CITES certificate.
- The Attachments element contains the files that were attached to a CITES certificate.
- The Composite element indicates whether the individual positions on the CITES certificate belong together.

XML attribute	Data type	Cardinality
CITESEPermit	CITESEPermitType	1
Attachments	AttachmentType	0..n
Composite	boolean	1

### CITESEPermitType

CITESEPermitType is described in Section 3.2 “The CITES XML Schema”

**AttachmentType**

AttachmentType contains the file attachments of a CITES certificate.

- The AttachmentName element contains the name of the attachment including the file suffix
- The AttachmentContent element contains the file attachment.

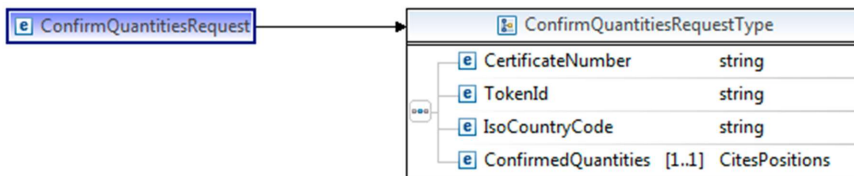
XML attribute	Data type	Cardinality
AttachmentName	String	1
AttachmentContent	Base64Binary	1

**3.1.2 GetNonFinalCitesCertificate**

GetNonFinalCitesCertificate has the same request and response types as GetFinalCitesCertificate in Section 3.1.1

### 3.1.3 ConfirmQuantities

#### Request parameters



#### ConfirmQuantitiesRequestType

ConfirmQuantitiesRequestType contains the CITES certificate ID as well as the quantities of goods to be confirmed for each CITES position.

- The CertificateNumber element contains the CITES number.
- The Token element must contain the random value allocated to this certificate.
- The IsoCountryCode element defines the partner country with which communication is to be set up.
- The ConfirmQuantities element contains the confirmed goods quantities for each position on the CITES certificate.

XML attribute	Data type	Cardinality
CertificateNumber	String	1
Token	String	1
IsoCountryCode	String	1
ConfirmedQuantities	CitesPositionType	1

#### CitesPositionType



CitesPositionType contains the ID of the CITES position and the quantity that is yet to be confirmed.

- The ID element identifies the CITES position.
- The InspectedUnitQuantity element contains the quantity that is to be confirmed.

XML attribute	Data type	Cardinality
ID	IDType	1
InspectedUnitQuantity	QuantityType	1

**Commented [MP2]:** Switzerland: Maybe also mention the UnitCode, which is a required attribute of the InspectedUnitQuantity-Tag.

### Response

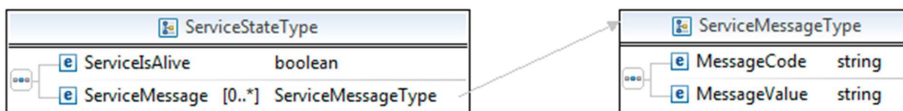
The ConfirmQuantities web service returns a blank ConfirmQuantitiesResponseType. If the request contains incorrect parameter values, this is reported in a SOAP fault.

### 3.1.4 ServiceState

#### Request parameters

The ServiceState web service does not have any request parameters.

#### Response parameters



#### ServiceStateType

ServiceStateType contains information about the availability of the DataExchange interface.

- The ServiceIsAlive element contains the general status, indicating if the service is available
- The ServiceMessage element contains additional information about the service.

XML attribute	Data type	Cardinality
ServiceIsAlive	Boolean	1
ServiceMessage	ServiceMessageType	0..n

#### ServiceMessageType

ServiceMessageType contains messages about the state of the service.

- The MessageCode element contains the code of the message.
- The MessageValue element contains the actual message.

XML attribute	Data type	Cardinality
MessageCode	String	1
MessageValue	String	1

The following service messages are currently planned:

MessageCode	MessageValue
VERSION	1.0

### 3.2 The eCITES XML Schema

The CITESPermitType represents a CITES certificate. The structure used in this element is defined and described in the *CITES electronic permitting toolkit Version 2.0*<sup>6</sup>. This specification has been built by adapting the UN/CEFACT eCERT standard to the specific data requirements of CITES. As such the CITES toolkit is a sub-data model of the eCERT standard.

Note that for EPIX exchange CITES uses the XML Schema based on the ePermit Core Component Data Model V2.0 of UN/CEFACT and not the mapping to the WCO Data Model. This mapping is described in Chapter 4.2 of the toolkit. The XML Schema<sup>7</sup> of the UN/CEFACT mapping can be downloaded from the CITES Website.

The three main data structures of the CITESPermitType are shown below.

**Commented [MP3]:** Aruna/Amelia: the title should be one tab to the left

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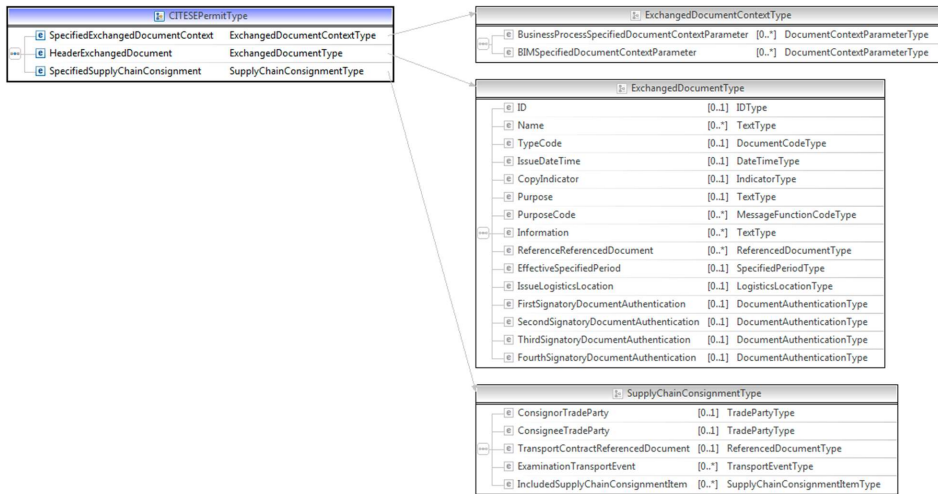
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**Field Code Changed**

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<sup>6</sup> [https://cites.org/sites/default/files/eng/prog/e/cites\\_e-toolkit\\_v2.pdf](https://cites.org/sites/default/files/eng/prog/e/cites_e-toolkit_v2.pdf)

<sup>7</sup> [https://cites.org/sites/default/files/eng/prog/e/CITESPermit\\_2p0\\_xsd.zip](https://cites.org/sites/default/files/eng/prog/e/CITESPermit_2p0_xsd.zip)



The CITESEPermitType element contains all the information about a CITES certificate.

- The SpecifiedExchangedDocumentContext element contains general information about the data exchange format used.
- The HeaderExchangedDocument element contains the main details of a CITES certificate.
- The SpecifiedSupplyChainConsignment contains the individual positions of a CITES certificate.

XML attribute	Data type	Cardinality
SpecifiedExchangedDocumentContext	-	0..1
HeaderExchangedDocument	-	0..1
SpecifiedSupplyChainConsignment	-	0..1

### 3.3 Validation and Error Messages

#### 3.3.1 Error Messages

Each web service method can return an error message in the form of a CitesDataExchangeFault.



#### CitesDataExchangeFaultType

CitesDataExchangeFaultType contains the details of an error that has occurred.

- The ErrorNumber element contains the error number.
- The ErrorMessage element contains the error description.

XML attribute	Data type	Cardinality
ErrorNumber	Integer	1
ErrorMessage	String	1

#### Error messages

The web services use only English error messages. We assume that these error messages will not be directly visible to the end user.

ErrorNumber	ErrorMessage
1000	Cites not available
1001	Cites already used
1002	Position on Cites not found
1003	Inspected quantity has wrong unit code

1004	Inspected quantity too high
1005	Invalid token
1006	Confirm quantities has already been sent
1007	Inspected quantity is negative
1008	The number of positions does not match

Error code 1006:

Inspection has not yet been standardised; multiple quantity adjustments should generally be allowed.

### 3.3.2 Sequence of validations in the national system

General note: All Parties should use a standardise approach to permit validation. At this stage the internal validation steps are still under discussion. This chapter describes the validation steps used in the Swiss system. The statuses mentioned “[CITES] ready for collection”, “[CITES] collected” etc. are internal CITES certificate status in the Swiss CITES system.

In the following, a distinction is made at the time of rule checking between countries that

- a) only retrieve information about a CITES certificate (“country is **only** granted read access”): these countries are only permitted to use the ‘GetNonFinalCitesCertificate’ command and
- b) countries that are also permitted to change the status in the country of origin, (“country has **write** access”; may mark the CITES certificate as retrieved, adjust quantities): these countries may run all the commands

~~For this, however, the service request needs to be extended (e.g. Requesting Country). The Swiss system uses the SSL certificate to identify the calling country.~~

**Commented [MP4]:** Switzerland: Unique authentication-certificates might be a better solution. Adding simply a "Requesting Country" tag in the soap request, requires trusting the country for using their own country code and not another one. Thus we can also use the destination country of the requested cites-certificate.

#### 3.3.2.1 GetFinalCitesCertificate

1. Is there a CITES certificate with the requested certificate number and the status “ready for collection”?
  - a. If not -> CITES certificate is not available
2. If the CITES certificate exists: Already collected?
  - a. -> Cites already used
3. If everything applies: Is the token correct?
  - a. If not -> Invalid token
4. The CITES certificate is returned by the web service



### 3.3.2.2 GetNonFinalCitesCertificate

A) The country has **only** read access:

1. Is there a CITES certificate with the requested certificate number?
  - a. If not -> CITES certificate is not available
2. Is the token correct?
  - a. If not -> Invalid token
3. Is the status “Valid“ (i.e. ready to print, completed, ready for collection or collected)?
  - a. If not -> CITES certificate is not available
4. The CITES certificate is returned by the web service

B) The country has **write** access:

1. Is there a CITES certificate with the requested certificate number?
  - a. If not -> CITES certificate is not available
2. If the CITES certificate exists: Already collected?
  - a. -> Cites already used
3. If everything applies: Is the token correct?
  - a. If not -> Invalid token
4. Is the status of the CITES certificate ‘ready for collection’?
  - a. If already collected -> Cites already used
  - b. If not yet ready for collection -> CITES certificate is not available
5. The CITES certificate is returned by the web service

### 3.3.2.3 ConfirmQuantities

1. Is there a CITES certificate with the requested certificate number?
  - a. If not -> CITES certificate is not available
2. Is the token correct?
  - a. If not -> Invalid token
3. Is the status “CITES collected”?
  - a. If not -> CITES certificate is not available
4. Has ConfirmQuantities been run before?
  - a. If yes -> Confirm quantities has already been sent<sup>8</sup>
5. Was the “confirm” request sent for the correct number of positions?
  - a. If not -> The number of positions does not match

---

<sup>8</sup> As mMultiple ConfirmQuantities should be allowed.-At present, the Swiss system can only issue a single ConfirmQuantity message did not implement this step.

The following checks are performed for each position on the CITES certificate:

1. Does the position number match?
  - a. If not -> Position on Cites not found
2. Does the unit code match?
  - a. If not -> Inspected quantity has wrong unit code
3. Does the quantity exceed what is available on the CITES certificate?
  - a. If yes -> Inspected quantity too high
4. Is the quantity negative?
  - a. If yes -> Inspected quantity is negative

### 3.4 Type Codes

#### 3.4.1 OriginAssociatedReferencedDocument (Box 12)

Code	Description
E	Export

#### 3.4.2 ReExportAssociatedReferencedDocument (Box 12a)

Code	Description
R	Re-Export

### 3.5 .SOAP Examples

#### 3.5.1 GetFinalCitesCertificate

The following is an example request and response for the GetFinalCitesCertificate web service

GetFinalCitesCertificateRequestType
<pre>&lt;soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/" xmlns:v1="urn:CitesDataExchange/v1/" xmlns:urn="urn:CitesDataExchange"&gt;   &lt;soapenv:Header/&gt;   &lt;soapenv:Body&gt;     &lt;v1:GetFinalCitesCertificateRequest&gt;       &lt;CertificateNumber&gt;14CH000067&lt;/CertificateNumber&gt;       &lt;Token&gt;c6e8&lt;/Token&gt;       &lt;IsoCountryCode&gt;CH&lt;/IsoCountryCode&gt;     &lt;/v1:GetFinalCitesCertificateRequest&gt;   &lt;/soapenv:Body&gt; &lt;/soapenv:Envelope&gt;</pre>

```

</soapenv:Body>
</soapenv:Envelope>

```

#### GetFinalCitesCertificateResponseType

```

<env:Envelope xmlns:env="http://schemas.xmlsoap.org/soap/envelope/">
  <env:Header/>
  <env:Body>
    <ns4:GetNonFinalCitesCertificateResponse
xmlns:ns2="urn:un:unece:uncefact:data:draft:ReusableAggregateBusinessInformationEntity:1"
xmlns:ns3="urn:un:unece:uncefact:data:standard:CITSESEPermit:2"
xmlns:ns4="urn:CitesDataExchange/v1/">
      <CITSESEPermit>
        <ns3:SpecifiedExchangedDocumentContext>
          <ns2:BusinessProcessSpecifiedDocumentContextParameter>
            <ns2:Value>CITES PERMITTING</ns2:Value>
            <ns2:SpecifiedDocumentVersion>
              <ns2:ID>1</ns2:ID>
            </ns2:SpecifiedDocumentVersion>
          </ns2:BusinessProcessSpecifiedDocumentContextParameter>
          <ns2:BIMSpecifiedDocumentContextParameter>
            <ns2:ID>09A</ns2:ID>
            <ns2:SpecifiedDocumentVersion>
              <ns2:ID>1</ns2:ID>
              <ns2:IssueDateTime>2009-07-14T00:00:00.000+02:00</ns2:IssueDateTime>
            </ns2:SpecifiedDocumentVersion>
          </ns2:BIMSpecifiedDocumentContextParameter>
        </ns3:SpecifiedExchangedDocumentContext>
        <ns3:HeaderExchangedDocument>
          <ns2:ID>14CH000067</ns2:ID>
          <ns2:TypeCode>R</ns2:TypeCode>
          <ns2:IssueDateTime>2014-01-06T12:03:52.000+01:00</ns2:IssueDateTime>
          <ns2:CopyIndicator>>false</ns2:CopyIndicator>

```

```

<ns2:PurposeCode>T</ns2:PurposeCode>
  <ns2:Information>For live animals, this permit is only valid if the transport
  conditions conform to the Guidelines for Transport of Live Animals or, in the case of air
  transport, to the IATA Live Animals Regulations</ns2:Information>
  <ns2:EffectiveSpecifiedPeriod>
    <ns2:StartDateTime>2014-01-06T12:03:52.000+01:00</ns2:StartDateTime>
    <ns2:EndDateTime>2014-07-05T12:03:52.000+02:00</ns2:EndDateTime>
  </ns2:EffectiveSpecifiedPeriod>
  <ns2:FirstSignatoryDocumentAuthentication>
    <ns2:ProviderTradeParty>
      <ns2:Name>Federal Food Safety and Veterinary Office (FSVO) Cites MA of
      Switzerland and Liechtenstein</ns2:Name>
      <ns2:PostalTradeAddress>
        <ns2:PostcodeCode>3003</ns2:PostcodeCode>
        <ns2:StreetName>Schwarzenburgstrasse 155</ns2:StreetName>
        <ns2:CityName>Bern</ns2:CityName>
        <ns2:CountryID>CH</ns2:CountryID>
      </ns2:PostalTradeAddress>
    </ns2:ProviderTradeParty>
  </ns2:FirstSignatoryDocumentAuthentication>
</ns3:HeaderExchangedDocument>
<ns3:SpecifiedSupplyChainConsignment>
  <ns2:ConsignorTradeParty>
    <ns2:Name>The Swatch Group Europa SA, 2504 Biel/Bienne</ns2:Name>
    <ns2:PostalTradeAddress>
      <ns2:PostcodeCode>2504</ns2:PostcodeCode>
      <ns2:StreetName>Längefeldweg 119</ns2:StreetName>
      <ns2:CityName>Biel/Bienne</ns2:CityName>
      <ns2:CountryID>CH</ns2:CountryID>
      <ns2:CountryName>Switzerland</ns2:CountryName>
    </ns2:PostalTradeAddress>
  </ns2:ConsignorTradeParty>
  <ns2:ConsigneeTradeParty>
    <ns2:Name>The Swatch Group Europa AG, Biel</ns2:Name>

```

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```

<ns2:PostalTradeAddress>
  <ns2:PostcodeCode>0902</ns2:PostcodeCode>
  <ns2:StreetName>Stalfjaera 26</ns2:StreetName>
  <ns2:CityName>Oslo</ns2:CityName>
  <ns2:CountryID>NO</ns2:CountryID>
  <ns2:CountryName>Norway</ns2:CountryName>
</ns2:PostalTradeAddress>
</ns2:ConsigneeTradeParty>
<ns2:IncludedSupplyChainConsignmentItem>
  <ns2:ID>A</ns2:ID>
  <ns2:OriginTradeCountry>
    <ns2:ID>US</ns2:ID>
    <ns2:Name>United States</ns2:Name>
  </ns2:OriginTradeCountry>
  <ns2:ExportTradeCountry>
    <ns2:ID>FR</ns2:ID>
    <ns2:Name>France</ns2:Name>
  </ns2:ExportTradeCountry>
  <ns2:AssociatedReferencedDocument>
    <ns2:IssueDateTime>2007-07-09T00:00:00.000+02:00</ns2:IssueDateTime>
    <ns2:TypeCode>E</ns2:TypeCode>
    <ns2:ID>07US160204/4</ns2:ID>
  </ns2:AssociatedReferencedDocument>
  <ns2:AssociatedReferencedDocument>
    <ns2:IssueDateTime>2012-02-23T00:00:00.000+01:00</ns2:IssueDateTime>
    <ns2:TypeCode>R</ns2:TypeCode>
    <ns2:ID>FR1202501030-R</ns2:ID>
  </ns2:AssociatedReferencedDocument>
  <ns2:TransportLogisticsPackage>
    <ns2:ItemQuantity unitCode="PCS">5</ns2:ItemQuantity>
  </ns2:TransportLogisticsPackage>
  <ns2:IncludedSupplyChainTradeLineItem>
    <ns2:TypeCode>II</ns2:TypeCode>

```

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```

<ns2:TypeExtensionCode>W</ns2:TypeExtensionCode>
<ns2:SpecifiedTradeProduct>
  <ns2:Description>watchstraps</ns2:Description>
  <ns2:TypeCode>LPS</ns2:TypeCode>
  <ns2:CommonName>American Alligator</ns2:CommonName>
  <ns2:ScientificName>Alligator mississippiensis</ns2:ScientificName>
</ns2:SpecifiedTradeProduct>
</ns2:IncludedSupplyChainTradeLineItem>
</ns2:IncludedSupplyChainConsignmentItem>
</ns3:SpecifiedSupplyChainConsignment>
</CITESPermit>
<Attachments>
  <AttachmentName>Test.pdf</AttachmentName>
  <AttachmentContent>cid:743649304233</AttachmentContent>
</Attachments>
<Composite>>false</Composite>
</ns1:GetFinalCitesCertificateResponse>
</env:Body>
</env:Envelope>

```

### 3.5.2 ConfirmQuantities

#### ConfirmQuantitiesRequestType

```

<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
xmlns:v1="urn:CitesDataExchange/v1/">
  <soapenv:Header/>
  <soapenv:Body>
    <v1:ConfirmQuantitiesRequest>
      <CertificateNumber>14CH000067</CertificateNumber>
      <Token>c6e8</Token>
      <IsoCountryCode>CH</IsoCountryCode>
      <ConfirmedQuantities>
        <CitesPosition>

```

```

<ID>E</ID>
<InspectedUnitQuantity unitCode="LPS">4</InspectedUnitQuantity>
</CitesPosition>
</ConfirmedQuantities>
</v1:ConfirmQuantitiesRequest>
</soapenv:Body>
</soapenv:Envelope>

```

#### ConfirmQuantitiesResponseType

```

<env:Envelope xmlns:env="http://schemas.xmlsoap.org/soap/envelope/">
  <env:Header/>
  <env:Body>
    <env:Fault>
      <faultcode>env:Server</faultcode>
      <faultstring>see in detail</faultstring>
      <detail>
        <ns4:CitesDataExchangeFault
xmlns:ns2="urn:un:unece:uncefact:data:draft:ReusableAggregateBusinessInformationEntity:1"
xmlns:ns3="urn:un:unece:uncefact:data:standard:CITSESEPermit:2"
xmlns:ns4="urn:CitesDataExchange/v1/">
          <ErrorNumber>1002</ErrorNumber>
          <ErrorMessage> Position on Cites not found </ErrorMessage>
        </ns4:CitesDataExchangeFault>
      </detail>
    </env:Fault>
  </env:Body>
</env:Envelope>

```

### 3.5.3 ServiceState

#### ServiceStateType

```

<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
xmlns:v1="urn:CitesDataExchange/v1/" xmlns:urn="urn:CitesDataExchange">

```

```
<soapenv:Header/>
<soapenv:Body>
  <v1:ServiceStateRequest/>
</soapenv:Body>
</soapenv:Envelope>
```

#### ServiceStateResponseType

```
<env:Envelope xmlns:env="http://schemas.xmlsoap.org/soap/envelope/">
  <env:Header/>
  <env:Body>
    <ns1:ServiceStateResponse
xmlns:ns2="urn:un:unece:uncefact:data:draft:ReusableAggregateBusinessInformationEntity:1"
xmlns:ns3="urn:un:unece:uncefact:data:standard:CITSESEPermit:2"
xmlns:ns1="urn:CitesDataExchange/v1/">
      <ServiceState>
        <ServiceIsAlive>true</ServiceIsAlive>
        <ServiceMessage>
          <MessageCode>VERSION</MessageCode>
          <MessageValue>1.0</MessageValue>
        </ServiceMessage>
      </ServiceState>
    </ns1:ServiceStateResponse>
  </env:Body>
</env:Envelope>
```



## Annex 1 Example Switzerland: EPIX Import clearance process<sup>9</sup>

### Definitions, acronyms and abbreviations

Term / abbreviation	Description
FSVO	Swiss Federal Food Safety and Veterinary Office
e-CITES	FSVO application for the management of electronic CITES certificates
i-CITES	Application of the French Endangered Species Protection Board for the management of electronic CITES certificates

### Process for imports from France

When CITES-controlled goods are imported from France we assume that the following processes will take place.

#### Phase 1: CITES not yet “used”

If **GetFinalCitesCertificate** has not yet been (successfully) run for this certificate or if CITES is not yet “used”, the process is as follows:

1. The customs application sends customs declarations or update declarations to e-CITES (not part of this interface description)
2. e-CITES retrieves the CITES certificate from i-CITES by means of **GetNonFinalCitesCertificate**
3. e-CITES checks the type and quantity of the goods and the date
4. e-CITES saves/updates the customs declaration if necessary
5. e-CITES delivers the result of the validation to the customs application

This process may be performed multiple times.

---

<sup>9</sup> As of June 2020 Switzerland is still implementing some of the described functions in the new version of its eCITES system

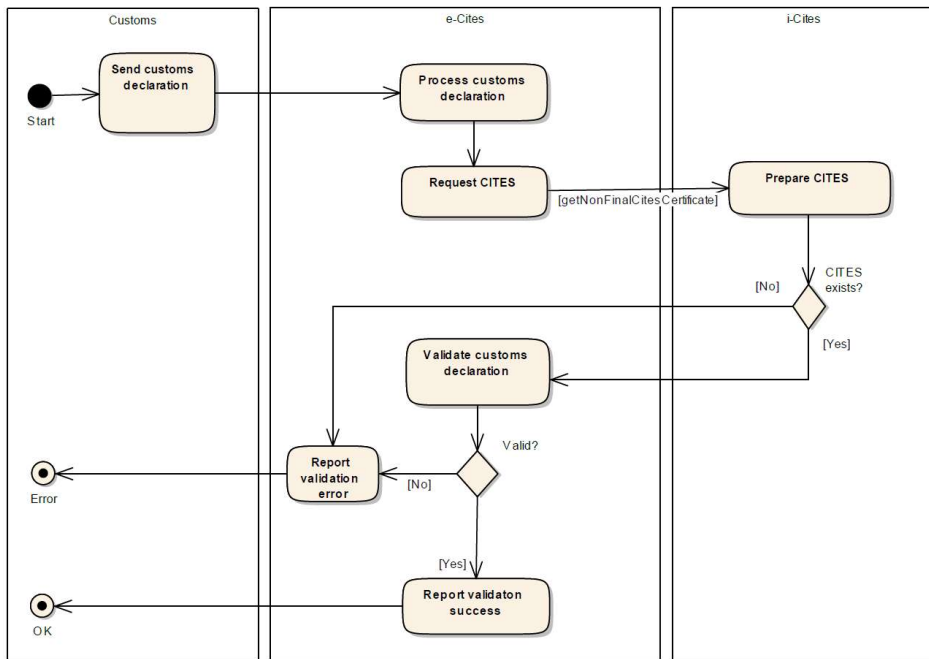


Figure 1: Import process - CITES not yet in use

## Phase 2: FSVO checks the incoming goods

On the Swiss side, the FSVO finalises the process with an inspection:

1. FSVO checks the goods
2. e-CITES retrieves the CITES certificate from i-CITES using **GetFinalCitesCertificate**
3. i-CITES marks the CITES certificate as "used"
4. e-CITES uses **ConfirmQuantities** to transfer the actual quantity of goods to i-Cites
5. e-CITES saves the CITES certificate in a local database

See point of discussion: **ConfirmQuantities** before or after **GetFinalCitesCertificate**;  $\theta$   
**ConfirmQuantities****ConfirmQuantities**

After this process, i-CITES is not permitted to deliver the certificate a second time in response to a **GetFinalCitesCertificate** request.

Under discussion: A **GetNonFinalCitesCertificate** request should still be permitted.

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(United Kingdom)

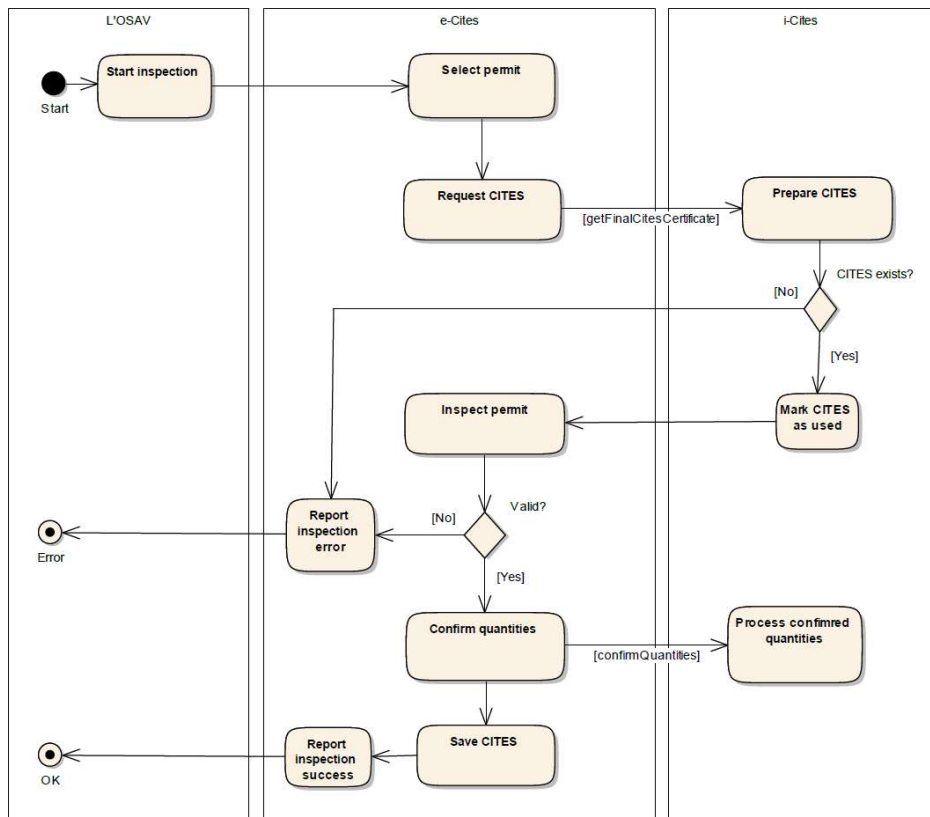


Figure 2: Import process – FSVO checks the imported goods; version in which **ConfirmQuantities** is permitted after **GetFinalCitesCertificate** (under discussion).

### Phase 3: CITES certificate has already been “used”

Implementation recommendation based on experience made in Switzerland; the process takes place only “inside the country”.

Customs sends corrections for the declaration. It is important that the CITES certificate can no longer be retrieved once it has finalised. If allowance is to be made for this case, the certificate that was retrieved at the time of finalisation must therefore be stored locally.

1. The Swiss customs application sends update declarations to e-CITES
2. e-CITES reads the CITES certificate from the local database
3. e-CITES checks the type and quantity of the goods and the date
4. e-CITES delivers the result of the validation to the Swiss customs application

This process may be performed multiple times.

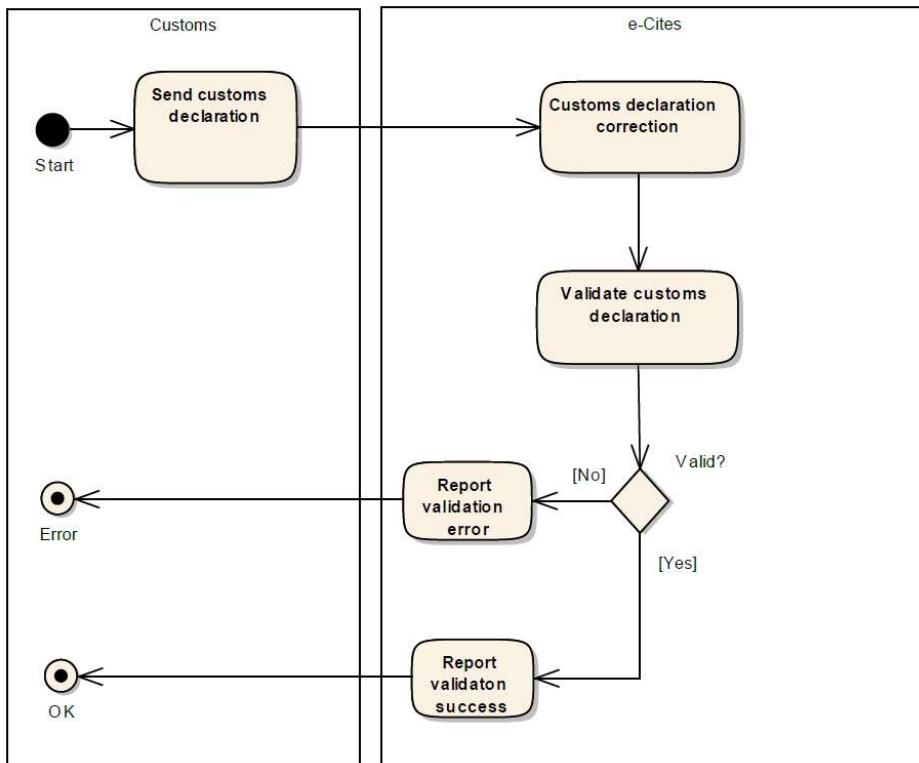


Figure 3: Import process - CITES already used

## Annex 2 Example Switzerland: EPIX Export clearance process

### Definitions, acronyms and abbreviations

Term / abbreviation	Description
FSVO	Swiss Federal Food Safety and Veterinary Office
e-CITES	FSVO application for the management of electronic CITES certificates
i-CITES	Application of the French Endangered Species Protection Board for the management of electronic CITES certificates

### Process for exports to France

When CITES-controlled goods are exported to France we assume that the following processes will take place.

#### Phase 1: CITES certificate not yet “used”

If **GetFinalCitesCertificate** has not yet been (successfully) run for the certificate or if the CITES certificate is not yet “used“, the process for an export on the Swiss side is as follows: This use case is again “internal” and only listed below for the sake of completion.

1. The customs application sends customs declarations and update declarations to e-CITES
2. e-CITES checks the type and quantity of the goods and the date
3. e-CITES saves/updates the customs declaration if necessary
4. e-CITES delivers the result of the validation to the customs application

This process may be performed multiple times.

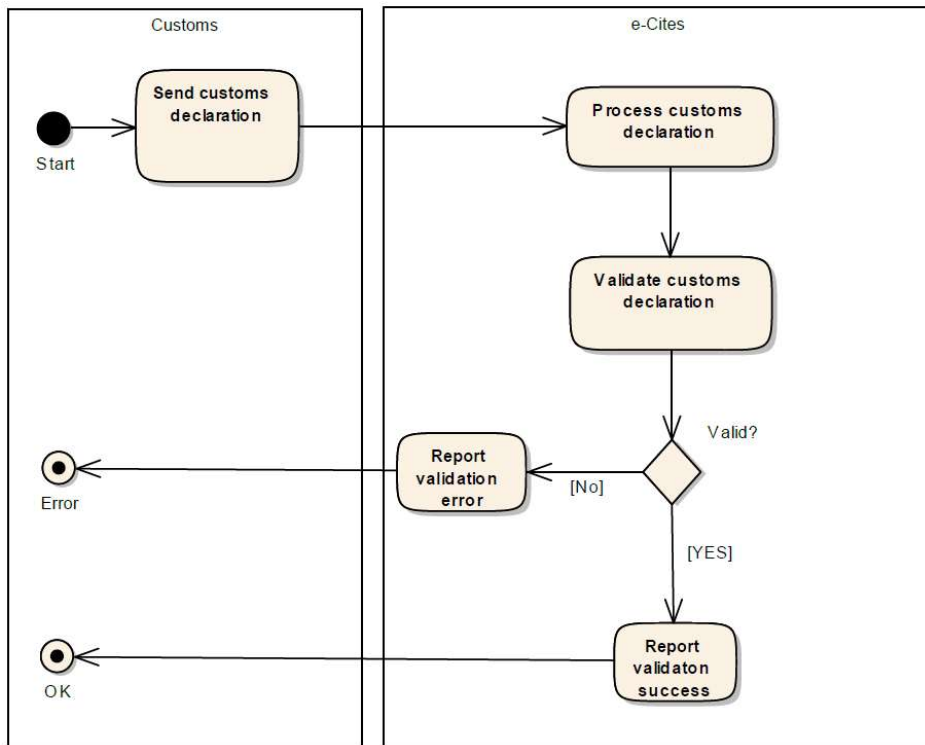


Figure 4: Export process - CITES not yet used

#### Phase 2: Request from i-CITES (non-final)

Next, i-CITES requests the certificate from the French side (as in [Section Phase 1 Phase 10](#)):

Field Code Changed

1. i-CITES sends a request to e-CITES using **GetNonFinalCitesCertificate**
2. e-CITES transmits the electronic CITES certificate to i-CITES

This process may be performed multiple times.

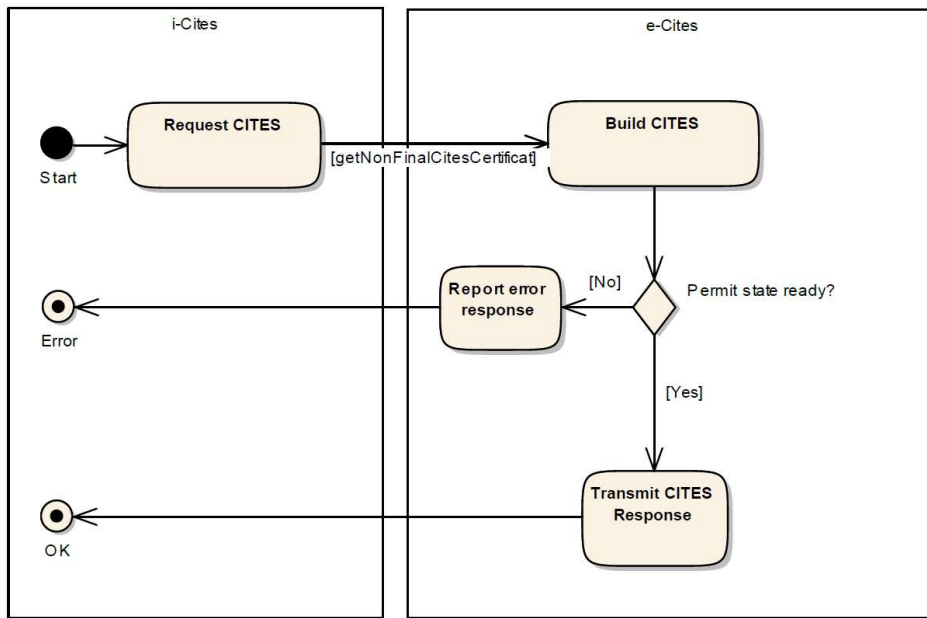


Figure 5: Export process - request from i-CITES (non-final)

### Phase 3: Request from i-CITES (final)

The following steps are envisaged for the finalisation:

1. i-CITES sends a request to e-CITES using **GetFinalCitesCertificate**
2. e-CITES checks if a corresponding certificate exists
3. e-CITES checks if a customs declaration exists
4. e-CITES marks the certificate as “used”
5. e-CITES transmits the electronic CITES certificate to i-CITES

After this process, e-CITES will no longer deliver this certificate.

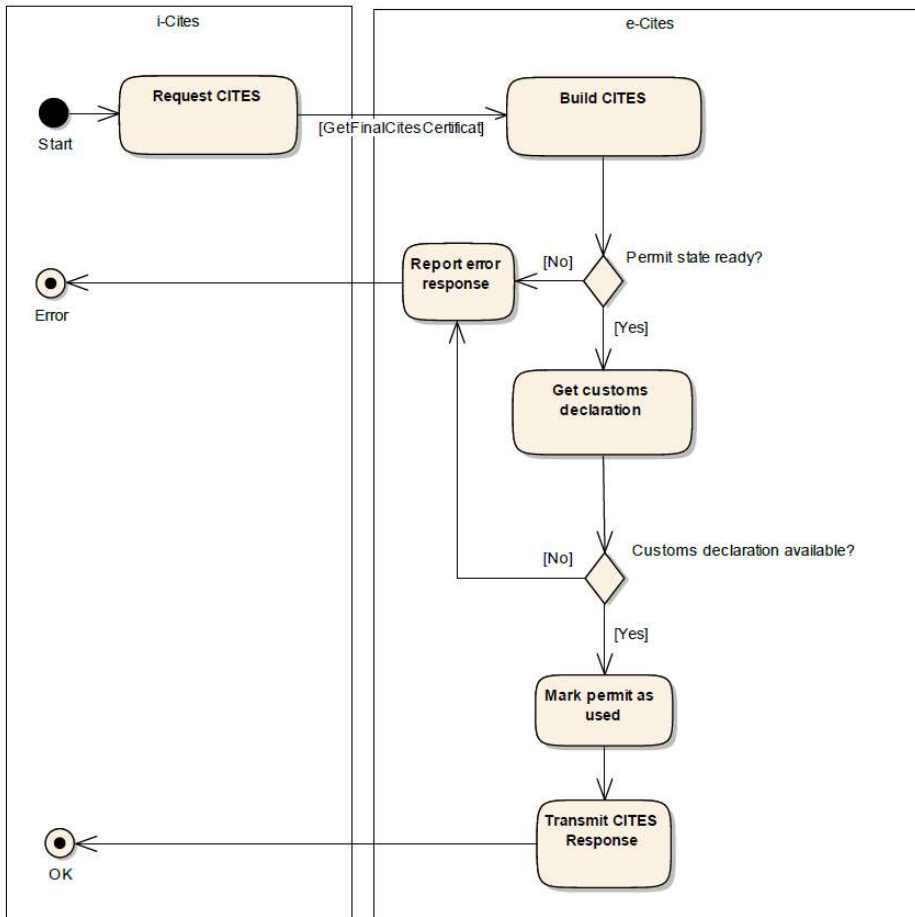


Figure 6: Export process – request from i-CITES (final)

Note regarding diagram: The checking step “Get customs declaration” is a Switzerland-internal process and is currently not used.



#### Phase 4: Transmit the actual goods quantity

The actual quantity used on a CITES certificate is reported back to the issuing authority as follows:

See earlier discussion whether **ConfirmQuantities** can be sent before and/or after **GetFinalCitesCertificate**

Important: The following process does not correspond to the one that Switzerland wishes to implement.

1. i-CITES uses **ConfirmQuantities** to transfer the actual quantity of goods to e-CITES
2. e-CITES checks if the certificate has already been used
3. e-CITES saves the confirmed quantities for each position on the certificate

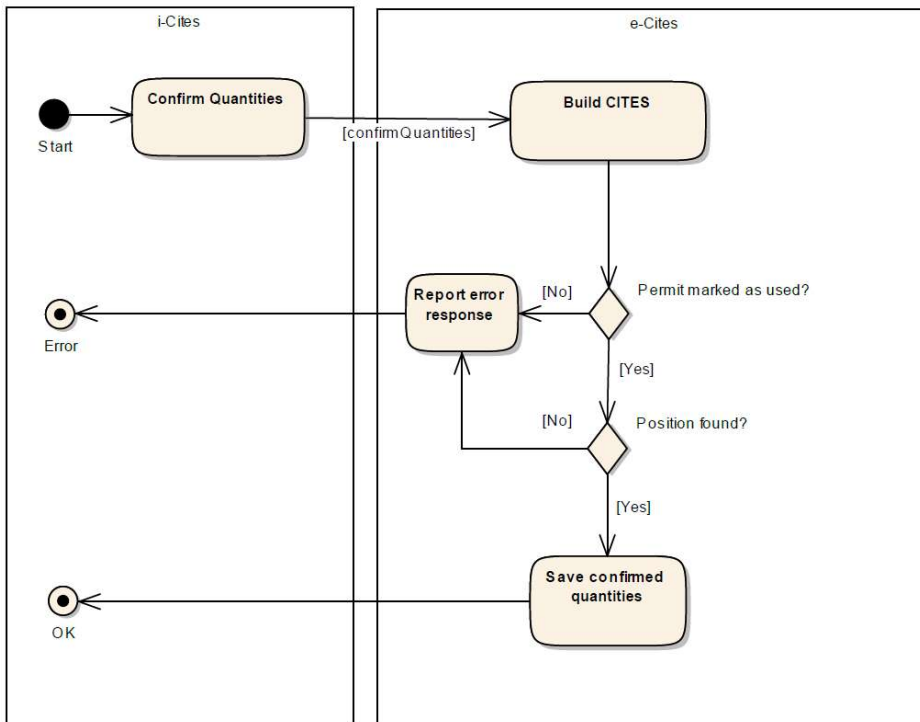


Figure 7: Export process – transmission of the actual goods quantity; version in which **ConfirmQuantities** is permitted after **GetFinalCitesCertificate** (under discussion).

### Phase 5: CITES has already been “used”

Implementation suggestion based on experience made in Switzerland; the process takes place only “inside the country”.

The Swiss customs authorities can also report (multiple) corrections to the declaration for an export.

1. The Swiss customs application sends update declarations to e-CITES
2. e-CITES checks the type and quantity of the goods and the date
3. e-CITES delivers the result of the validation to the customs application

This process may be performed multiple times.

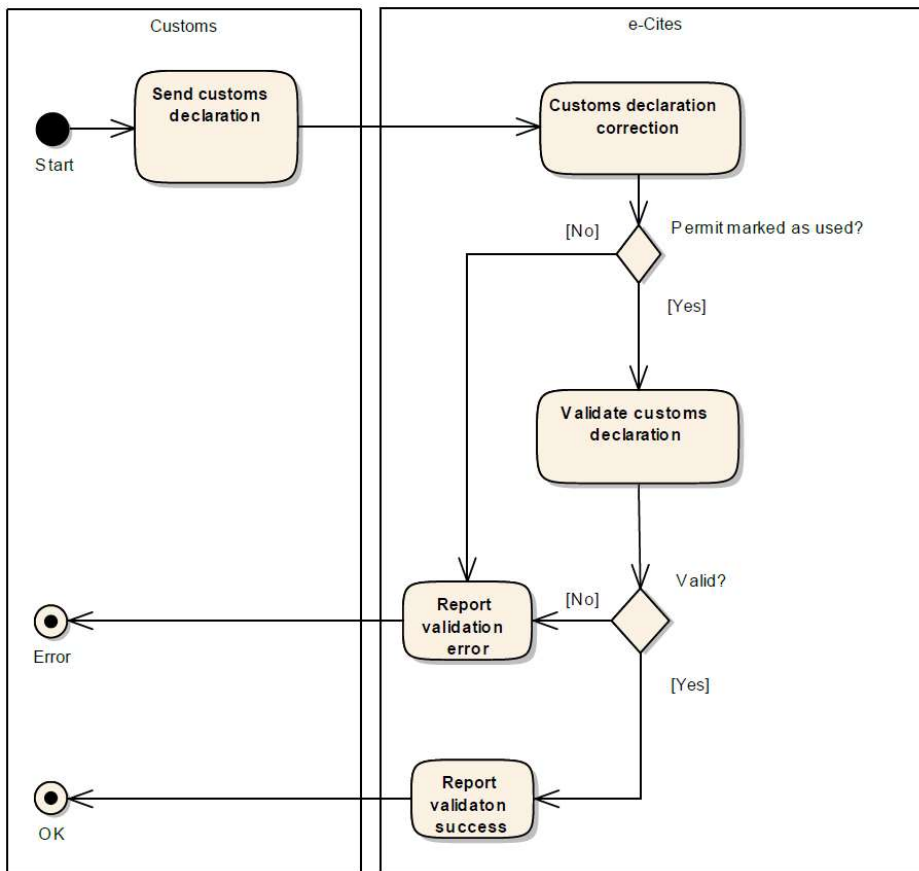


Figure 8: Export process - CITES already used

