

GN11 (November 2009)

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

Guidance on Fees applicable from 6th April 2009

These notes are for guidance only and are not a full statement of the law. If you need points of law to be explained, you should get independent legal advice.

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FEES

1. Import and export¹ permits (issued under Articles 4 and 5 of Regulation EC338/97)

£59

A fee of £59 is required for each application to import or export a single specimen or any number of specimens as long as they:

- (a) are of the same species (in the case of animals other than corals) or genus (in the case of plants and corals), **and**
- (b) have the same source code and purpose code, **and**
- (c) are to be transported between the same importer and exporter.

2. Re-export permit² (issued under Article 5 of Regulation EC338/97)

£47

A fee of £47 is required for each application to re- export a single specimen or any number of specimens as long as they:

- (a) are of the same species (in the case of animals other than corals) or genus (in the case of plants and corals), **and**
- (b) have the same source code and purpose code, **and**
- (c) are to be transported between the same importer and exporter.

3. EC Certificate for commercial use³ (issued under Article 8 of Regulation EC338/97)

£25

A fee of £25 is required for each application to commercially use a single specimen or any number of specimens as long as they:

¹ An **export** permit can be applied for only for specimens which originated in the European Union either by taking from the wild or breeding/artificial propagation.

² A **re-export** permit has to be applied for where the specimens cannot be shown to have originated in the European Union.

³ **known as an Article 10 certificate**

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- (a) are of the same species (in the case of animals other than corals) or genus (in the case of plants and corals), **and are either-**
- (b) included together on a single previously issued commercial use certificate, **or**
- (c) were imported into a member state on a single import permit, **or**
- (d) have been bred from the same parents in the same breeding season⁴.

4. EC movement Certificate (issued under Article 9 of Regulation EC338/97)

£70

A fee of £70 is required for each application to move a single specimen or any number of specimens as long as:

- (a) the specimens are of the same species (in the case of animals other than corals) or genus (in the case of plants and corals), **and**
- (b) the application is to move all the specimens—
 - (i) from the same location indicated in a single import permit or other permit or certificate previously issued under the Council Regulation for the same specimens, **and**
 - (ii) to the same destination.

5. EC Certificate of origin (issued under Article 5 of Regulation EC338/97)

£25

A fee of £25 is required for each application for a certificate of origin for a single specimen or any number of specimens as long as:

- (a) they are of the same species (in the case of animals other than corals) or genus (in the case of plants and corals), **and**
- (b) the specimens either –
 - (i) have the same source code and country of origin,
 - (ii) are included together on a single commercial use certificate **or**
 - (iii) were imported into a member state on a single import permit.

⁴ Point (d) does not apply to plants.

6. EC Certificates for zoological & scientific institutions (issued under Article 60 of Regulation EC865/2006)

£177

This certificate may be granted to those scientific institutions where specified specimens held at one particular site are intended for breeding or artificial propagation which will benefit the conservation of the species, or for research or education aimed at the preservation or conservation of the species.

Specialist applications:

7. Personal ownership certificate (issued under Article 37 of EC865/2006)

£59

A fee of £59 is required for each captive bred specimen. Specimens should be permanently marked.

8. Semi-complete export applications (issued under Article 18⁵, 19⁶ and 29⁷ of Regulation EC865/2006. Not issued for live animals)

£59

A fee of £59 is required for each application to export a single specimen or any number of specimens as long as they:

- (a) are of the same species (in the case of animals other than corals) or genus (in the case of plants and corals), **and**
- (b) the information which will be specified by the issuing authority on each of the semi-complete permits or certificates is the same.

9. Semi-complete re- export permit (issued under Article 18⁵, 19⁶ and 29⁷ of Regulation EC865/2006)

£47

A fee of £47 is required for each application to re- export a single specimen or any number of specimens as long as:

⁵ Biological samples

⁶ Annex B and C dead specimens

⁷ Registered Nurseries

- (a) they are of the same species (in the case of animals other than corals) or genus (in the case of plants and corals), **and**
- (b) the information which will be specified by the issuing authority on each of the semi-complete permits or certificates is the same.

10. Semi-complete EC Certificate for commercial use (issued under Article 63⁸ of Regulation EC865/2006)

£25

A fee of £25 is required for each application to commercially use a single specimen or any number of specimens as long as they:

- (a) are of the same species (in the case of animals other than corals) or genus (in the case of plants and corals), **and**
- (b) the information which will be specified by the issuing authority on each of the semi-complete certificates is the same.

11. Travelling exhibition certificate (issued under Article 30 of Regulation EC865/2006)

£59

A fee of £59 is required for each application for a single live animal or any number of specimens as long as they:

- (a) are of the same species (in the case of animals other than corals) or genus (in the case of plants and corals), **and**
- (b) form part of one travelling exhibition.

12. Sample collection certificate (issued under Article 44a of Regulation EC100/2008)

£59

A fee of £59 is required for each application for a sample collection certificate for a single specimen or any number of specimens as long as:

- (a) they are of the same species (in the case of animals other than corals) or genus (in the case of plants and corals), **and**
- (b) the specimens either:
 - (i) have the same source code and country of origin,
 - (ii) are included together on a single commercial use certificate **or**
 - (iii) were imported into a member state on a single import permit.

⁸ Semi-complete Article 10 certificates

13. Registration as a CITES registered breeder or nursery:

£177

Where a request is received to become a CITES registered breeder or nursery, all the Appendix I specimens held by the captive-breeding or nursery operation to which that registration is to relate may be included together in one application.

14. Reduced Fees:

A reduced fee is applicable where:

- (a) a person wishes to obtain 50 or more import permits, export permits or re-export certificates, and
- (b) the specimens are of the same species (in the case of animals other than corals) or genus (in the case of plants and corals), and
- (c) the specimens have the same source code and purpose code, and
- (d) the specimens are to be exported (or re-exported) by the same exporter, but to different importers.

The fee which must be paid to apply for the permits or certificates is:

<u>Import and Export permits</u>	<u>Re-export certificates</u>
£88 (50 - 100 permits)	£76 (50 – 100 certificates)
£117 (101 - 200 permits)	£105 (101 – 200 certificates)
£146 (201 – 300 permits)	£134 (201 – 300 certificates)

and for each successive higher band of 100 permits or certificates, the additional sum increases by a further £29.

15. Waiving Fees

The Agency may waive the fee payable for import and re-export applications which are non commercial and where the import, export or re-export would bring conservation benefits to the species. Please see the Agency's General Guidance Note for the waiving of fees (GN 21) for details.

16. Method of payment:

All fees need to be paid at the point of application and are payable whether the application is refused or granted. Applications without a fee will not be

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processed unless they meet the derogation set out under the “conservation waiver”.

You should pay in pounds sterling. **Please do not send cash.** Postal order counterfoils should be retained.

Please make Cheques/Postal Orders payable to **Animal Health.**

Please send your application and payment to:

Animal Health
Wildlife Licensing and Registration Service (WLRS)
Floor 1, Zone 17
Temple Quay House
2 The Square
Bristol
BS1 6EB

17. Enquiries desk and application forms

Phone: 0117 372 8774

Fax: 0117 372 8206

E-mail: wildlife.licensing@animalhealth.gsi.gov.uk

Website: <http://www.defra.gov.uk/animalhealth/cites/>

Annex to GN11

CITES Fees – Minimising application costs

This document should be read in conjunction with GN11 and is an informal guide to how you can ensure you are paying no more than necessary under the revised CITES fee structure.

If you are in any doubt about what fee is applicable in your circumstances please telephone our enquiries desk given in GN11 or your case officer direct.

Options for minimising application costs

The principal of the charging structure is that a fee is payable per application, not per permit. There are therefore several steps that you can take which will help to reduce the fees you pay.

A. Grouping specimens

An application will be treated as a single application where it contains specimens which are all the same species (in the case of animals other than corals) or genus (in the case of plants and corals). It may therefore be possible to reduce your costs if you are able to bulk order single species or genus and group them together in a single application.

Other conditions will apply subject to the type of licence you are applying for which may limit your ability to reduce costs in this way and you should refer to Guidance Note GN11 for further details.

B. Export or re-export of specimens to a single country outside the EU

Businesses that deal in large numbers of the same items of specimens which they sell in a single country outside the EU may be able to reduce their costs by applying for a number of permits or certificates under a single application providing they are being transported to the same importer and have the same source code and purpose code.

If the final destination of the goods is a number of different addresses in that country it might be possible to reduce costs by the appointment of an agent or the adoption of a common forwarding address.

You may apply for as many permits as you need in any single application providing they will all be used within a six month period.

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C. Bulk imports or exports to different addresses

If you intend to:

- (a) import 50 or more CITES specimens of the same species or genus from outside the EU to different addresses within the UK, or
- (b) (re-)export 50 or more CITES specimens of the same species or genus to different addresses outside the EU,

then providing all the specimens have the same source code and purpose code you will find it cheaper to use the bulk application facility (see para 14 above).

For example, an importer wishing to import 50 specimens to 50 different individuals within the UK would normally pay $50 \times £59 = £2,950$ for separate import permits.

However, under the bulk import scheme they would pay a one-off fee of £59 plus an administration fee of £29 for up to 100 permits or certificates, a total of £88.

For each successive band of 100 permits or certificates a further £29 administration fee would be applied.

D. Importers

The regulations allow Annex A import permits to be used as certificates for commercial purposes in certain circumstances. Thus if you are importing 10 specimens and intending to use them commercially (e.g. sell them on to one recipient or display them to the public) you can apply for an import permit which also allows commercial use – there is no need to separately apply for EC Certificates (Art 10 certificates) unless they are to be sold to different recipients. Having made the request you will need to make sure that the import permit you receive has a special condition on it exempting the importer from the prohibitions contained in the EU regulations, otherwise onwards sale or commercial use is not permitted. Please note that the import permit can only be used once as it is transaction specific. Therefore if you sell less than the total imported you will need to apply for separate certificates in order to sell the remainder.

You should try not make applications that are bound to be refused by doing some research first. For example if there is already an EU ban in place for a particular species or country destination and you make an application you will be charged and the application refused. Always check on <http://www.defra.gov.uk/animalhealth/CITES/species.htm#2> or if you remain unsure ring up your case officer for advice.

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E. Exports of dead Annex B specimens – e.g. luxury leather goods made from crocodile & alligator skins

EU Regulations allow Management Authorities to pre-issue (re-)export permits/certificates (commonly known as 'semi-complete') in certain circumstances. Exporters of, for example, luxury leather goods made from crocodile or alligator skin, or exporters of biological samples from Annex B listed species, may be able to take advantage of this procedure to reduce their costs.

Under these procedures you may apply for as many permits or certificates as you need in any single application providing they will all be used within a six month period.

You should ask WLRS if these procedures apply to your business or to the specimens which you deal in.

You should however note the conditions relating to the definition of a single application outlined in Guidance Note GN11.

Remember if an overseas visitor buys an Annex B product and takes it out of the country as part of their personal possessions they may qualify under the personal effects derogation and may not need a permit. If in doubt check.

F. Applications for conservation activities

Zoos, research and academic institutions, and similar organisations should be aware of the conservation waiver scheme.

Applications which qualify under this scheme are free of charge but require the prior approval of the Management Authority. Please see Guidance Note GN17 for further information

If you believe that your project qualifies for a waiver you should submit your application together with the supporting information to the Management Authority as early as possible.

Applications for a waiver must be made **prior** to making an application to import or export.

If you receive approval for your particular project you will be issued with an approval note which lists a six digit alpha/numeric code. The waiver will apply to all subsequent applications which directly relate to an approved project or programme. You should ensure that all subsequent application forms relating to that approval are clearly marked with the approval reference number.

G Breeders and semi-complete certificates

Breeders can reduce their costs by applying for Article 10 certificates for a number of specimens at the same time. This can be for semi-complete certificates where offspring have not yet been produced, or for full Article 10

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certificates after offspring have been produced and (where appropriate) marked.

Applications will count as one application as long as they are for live animals bred from the same parents and applied for at the same time (or, in the case of semi-complete certificates for bird species, applications will be counted as one application per female bird).

“The same parents” may be defined in one of the following ways:

- **one pair:** two individuals only (one identified male and one identified female) = one charge
- or
- **artificial insemination (AI):** one female plus a number of males = one charge
- or
- **multi-specimen breeding situation:** one or more of a stated number of males plus more than one of a stated number of females = one charge per male

Notes:

1. In all cases applicants must supply full details, including individual certificate numbers and markings, of all the potential parents.
2. Applicants must keep full breeding records for each season, noting parent ring or microchip numbers used for each offspring.

H. Applications for certificates for specimens moving into the UK from another EU country

For those applicants who are moving a number of specimens from another EU Member State to the UK these animals may well move on one EC Certificate or a number of sequential certificates with, for example 50 specimens on one certificate. An application to replace such certificate(s) with transaction specific certificates in the UK will still constitute one application – please ensure therefore if you are obtaining a certificate from another Management Authority you ensure that they put as many of the specimens as possible onto one certificate

I. Taxidermy specimens

Taxidermists can reduce their costs by making applications for pre-issued certificates for keeping dead common RTA species in the freezer. Thus if, on average a taxidermist keeps 10 Tawny Owls in their freezer at any one time which have been handed in after they have been killed on the roads, then one application can be made for 10 pre-issued certificates. If one of those Tawny Owls is then mounted and sold, and another carcass of the same species is handed in to the taxidermist then the original transaction certificate can be used for the newly acquired specimen. The certificate necessary to keep dead specimens in the freezer can also be used to sell unmounted specimens to other taxidermists.

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To qualify under this scheme the following conditions should be met:

- Accurate records of all transactions carried out under this scheme should be kept. Guidance on record keeping is available at (website address to be provided shortly). Wildlife Inspectors may well carry out checks on taxidermists. If they find specimens which are kept without adequate records then the Management Authority will withdraw this privilege from the applicant who will be required to apply separately for each specimen in future.
- Applicants should specify on their application the number of specimens that they would reasonably expect to hold at any one time.
- Specimens should be kept together in their freezer(s).

Specimens which are mounted for sale cannot be sold on the original transaction specific certificate (TSC) as there has been a change to the specimen included on the original permit/certificate. Therefore, a new application for a commercial use certificate will need to be made (costing £25). However an unaltered carcass/specimen can be sold using the original TSC.

The species that are considered 'common RTA species' are:

Falco tinnunculus, Common kestrel
Asio flammeus, Short-eared owl
Asio otus, Long-eared owl
Athene noctua, Little owl
Strix aluco, Tawny owl
Tyto alba, Barn owl

Rarer species which are not commonly found dead in the wild such as Ospreys, otters etc will still require to be the subject of individual applications and will therefore cost £25 per specimen

We will ensure that you are given the correct advice as to which fee applies and will aim to ensure that you do not pay more than you need to.

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