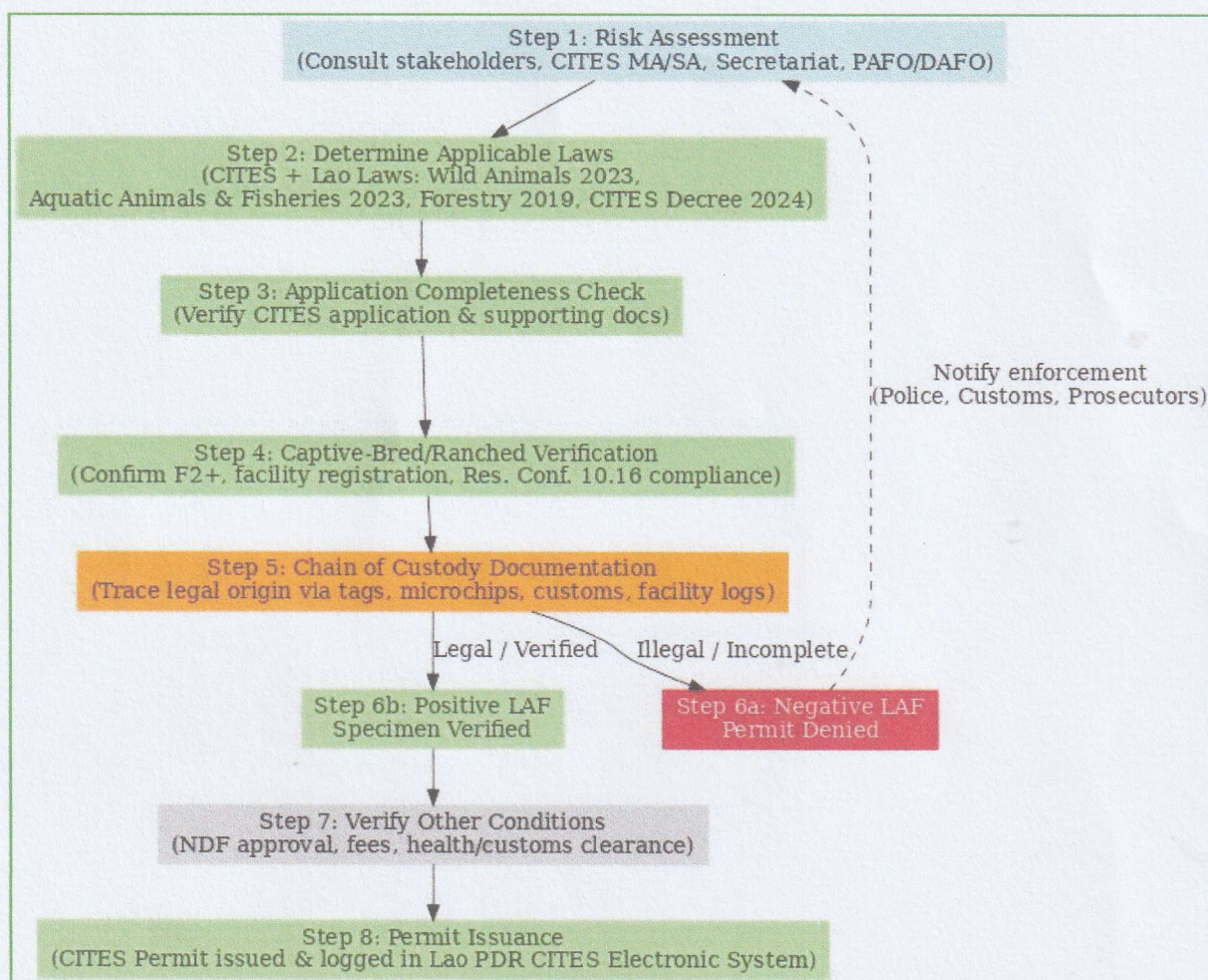




LEGAL ACQUISITION FINDINGS

National Guidelines on Legal Acquisition Findings (LAF) for Captive-Bred Specimens of CITES-Listed Wildlife Species



Prepared by:

Department of Forestry, Ministry of Agriculture and Environment

September 2025

ABOUT DEPARTMENT OF FORESTRY

Department of Forestry uses the abbreviation 'DOF' to refer to the agency responsible for managing forest resources. Forest resources refer to forests, wildlife, forestland, and forest products, including timber and non-timber forest products. These include protection forests, conservation forests, and production forests and wildlife conservation.

These guidelines primarily apply to captive-bred terrestrial wildlife species listed under CITES, ensuring consistent procedures for verifying legal acquisition prior to export. While similar processes may be adapted for other species or sources, including flora, they are not covered here due to differing documentation and procedural requirements"

CITES MA (CITES Management Authority) refers to the unit under the Department of Forestry, Ministry of Agriculture and Environment appointed by the Minister of Agriculture and Forestry to implement the CITES; 

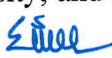
PREFACE

The effective regulation of international wildlife trade requires not only rigorous scientific assessments of sustainability but also robust assurance that specimens are of legal origin. Within the framework of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), Legal Acquisition Findings (LAFs) are a fundamental safeguard to ensure that specimens entering trade chains fully comply with both national legislation and international obligations.

For the Lao People's Democratic Republic, where biodiversity represents both a national treasure and a foundation for sustainable development, strengthening the transparency, consistency, and credibility of LAF procedures is a national priority. These Guidelines have been developed by the Department of Forestry, Ministry of Agriculture and Environment, in close collaboration with the CITES Scientific Authority, development partners, and international experts. They are anchored in Resolution Conf. 18.7 (Rev. CoP19) on Legal Acquisition Findings, the Rapid Guide for Making LAFs, and reflect the updated legislative framework of Lao PDR, including the Law on Wild Animals (2023), Law on Aquatic Animals and Fisheries (2023), Forestry Law (2019), and the CITES Decree (2024).

The Guidelines serve as an operational reference for the Lao CITES Management Authority (CITES MA) and its partners in verifying the legal origin of captive-bred specimens, particularly mammals, birds, and reptiles. They set out minimum procedures, risk-assessment factors, chain-of-custody requirements, and documentation standards, in order to harmonize national practice with international commitments. This strengthens traceability, facilitates enforcement, and reinforces Lao PDR's compliance with Article III–V of the Convention and the latest guidance adopted at CoP20 (Doc. 49).

The development of these Guidelines was made possible through technical and financial support from the Government of Lao PDR and other development partners, complemented by the valuable contributions of national experts, academic institutions, and enforcement agencies. This collaboration has ensured that the Guidelines are both internationally consistent and nationally applicable.

It is expected that this document will function as a living tool—supporting consistent decision-making, improving inter-agency coordination, and building confidence among international partners in Lao PDR's commitment to combatting illegal wildlife trade. Its implementation represents a further step toward fulfilling Lao PDR's CITES obligations, conserving biodiversity, and safeguarding the country's reputation as a responsible steward of its natural heritage. 

Director General, Department of Forestry
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Date:

22 SEP 2025

ACKNOWLEDGEMENTS

We extend our sincere gratitude to the CITES Scientific Authority of Lao PDR for their invaluable support in the development of these Guidelines on Legal Acquisition Findings (LAF) for Captive-Bred CITES-Listed Wildlife Species.

We deeply appreciate the ongoing technical and financial contributions provided by our development partners, whose commitment has been essential to this work.

We also wish to acknowledge with gratitude the important contributions of Prof. Dr. Sithong Thongmanivong and Dr. Thananh Khotpathoom of the Lao CITES Scientific Authority, whose leadership and expertise greatly enriched the preparation of these Guidelines.

Finally, we thank all contributors for their dedication, expertise, and continued support in advancing the effective implementation of CITES in Lao PDR. 

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Signature

ABBREVIATIONS

Abbreviation	Full Term
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CITES MA	Lao PDR CITES Management Authority (Department of Forestry, Ministry of Agriculture and Environment)
CITES SA	Lao PDR CITES Scientific Authority (National University of Laos – Faculty of Forestry Science)
CoP	Conference of the Parties
DoF	Department of Forestry
DNEI	Department of Natural Resources and Environment Inspection
EnPD	Environmental Police Department
FAO	Food and Agriculture Organization of the United Nations
ICCWCT	International Consortium on Combating Wildlife Crime Toolkit
LAF	Legal Acquisition Finding
MAE	Ministry of Agriculture and Environment
NDF	Non-Detriment Finding
Res.	Resolution of the CITES Conference of the Parties
Lao PDR	Lao People's Democratic Republic
NTFP	Non-Timber Forest Product
PFES	Payment for Forest Environmental Services
SC	CITES Standing Committee
CoP20 Doc. 49	Document on Legal Acquisition Findings submitted to the 20th Meeting of the Conference of the Parties (2025)
CITES Decree (2024)	Decree No. 299/GOV on Management of International Trade in Endangered Species of Aquatic Animals, Wild Animals and Wild Plants

1 DEVELOPMENT OF LAF GUIDELINES

1.1 INTRODUCTION

Verification of legal acquisition is a fundamental requirement for the issuance of CITES export permits. Articles III, IV, and V of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) require that Management Authorities be satisfied that specimens were not obtained in contravention of national laws for the protection of fauna and flora. While the Convention establishes this obligation, it does not prescribe a uniform methodology for how Parties should determine legal acquisition. The responsibility rests with each Party, taking into account its legal and institutional framework.

Recognizing that the absence of standardized procedures could undermine the credibility of the CITES permitting system and the evidence of legal and sustainable trade, the Conference of the Parties, at its 18th meeting (CoP18, Geneva 2019), adopted **Resolution Conf. 18.7 on Legal Acquisition Findings**, subsequently revised at CoP19 (Panama 2022). Building on this, **CoP20 (Samarkand 2025, Doc. 49)** further strengthened guidance by introducing draft decisions, amendments to the Rapid Guide, and new provisions on verifying the **chain of custody for parental or breeding stock**, including cases where founder stock pre-dates CITES listing or the accession of a Party.

Resolution Conf. 18.7 (Rev. CoP19) provides Parties with structured guidance for assessing legal acquisition, including recommended steps for evaluating compliance with national legislation prior to issuing CITES export or re-export permits. It encourages Parties to develop national LAF procedures and apply them systematically as part of their permitting process, supported by practical tools such as the **Rapid Guide for Making LAFs** and the **CITES-LEX database**.

In this context, the **CITES Management Authority of Lao PDR**, under the Department of Forestry, Ministry of Agriculture and Environment, has developed these **National Guidelines on Legal Acquisition Findings**. They draw upon:

- Resolution Conf. 18.7 (Rev. CoP19) and CoP20 draft decisions;
- International resources, including the Handbook on Legal Acquisition Findings (Forest Trends and the Center for International Environmental Law); and
- The updated Lao PDR legislative framework, including the **Law on Wild Animals (2023)**, the **Law on Aquatic Animals and Fisheries (2023)**, the **Forestry Law (2019)**, and the **CITES Decree (2024)**.

These Guidelines focus primarily on **captive-bred terrestrial wildlife species** listed in the CITES Appendices—particularly mammals, birds, and reptiles. Although the same verification principles may be applicable to other taxa, such as aquatic animals and plants, those are subject to separate laws and procedural requirements.

This document serves as **internal operational guidance** for the Lao PDR CITES Management Authority in assessing permit applications, verifying supporting documents, and making LAF determinations. The **CITES Scientific Authority of Lao PDR** will continue to play a central role in species-specific verification, ensuring that LAF decisions are scientifically sound, legally robust, and fully consistent with CITES obligations and national legislation.



1.2 OBJECTIVES OF THE GUIDELINES

The primary objective of these Guidelines is to establish a **structured and nationally consistent framework** for the Lao PDR CITES Management Authority (CITES MA) when conducting **Legal Acquisition Findings (LAFs)** prior to issuing CITES export or re-export permits. In accordance with **Resolution Conf. 18.7 (Rev. CoP19)** and the draft decisions of **CoP20 Doc. 49**, the Guidelines ensure that LAFs are evidence-based, transparent, and fully compliant with both national laws and CITES obligations.

Specifically, the Guidelines provide a framework for:

- **Defining and applying standardized procedures** for LAFs relating to captive-bred wildlife species listed in the CITES Appendices.
- **Conducting risk assessments** to evaluate the likelihood of non-compliance with national and international laws and regulations.
- **Establishing a checklist of required documentation** to accompany CITES export and re-export permit applications, as mandated under the **CITES Decree (2024)**.
- **Assessing and verifying chain-of-custody documentation** to confirm the legal origin of specimens, including recognition of cases where founder stock predates CITES listing or Lao PDR's accession, consistent with the **draft guidance adopted for consideration at CoP20**.
- **Facilitating inter-agency cooperation** with enforcement bodies (DNEI, Environmental Police, Customs, and Prosecutors) to ensure credibility and consistency of decision-making.

These measures aim to enhance **traceability, legality, transparency, and sustainability** in the trade of CITES-listed species, while reinforcing Lao PDR's compliance with both the Convention and domestic law.

1.3 SCOPE OF THE GUIDELINES

These Guidelines apply **exclusively** to **captive-bred fauna listed in the CITES Appendices**, with a focus on **terrestrial wildlife** (e.g., mammals, birds, and reptiles). They serve as an internal operational tool for the Lao PDR CITES MA in assessing applications, verifying documentation, and determining legal acquisition.

Exclusions:

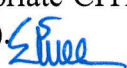
- Marine and aquatic species, except where explicitly provided under the **Law on Aquatic Animals and Fisheries (2023)** and relevant CITES provisions.
- Flora and non-timber forest products, which are subject to the **Forestry Law (2019)** and separate regulatory procedures.
- Species or transactions covered under **exemptions and special provisions** of CITES and national law (see Section 1.6).

This defined scope ensures alignment with Lao PDR's **conservation priorities, legal framework, and international obligations**, while maintaining clarity and enforceability in the verification process.

1.4 DEFINITIONS AND TERMINOLOGY

The following key terms are drawn from the **CITES Convention**, relevant **Resolutions** of the Conference of the Parties, and applicable provisions of Lao PDR's legislative framework. For authoritative and complete definitions, reference should be made to the original instruments.

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- **Applicant:** Any individual or legal entity submitting an application to the CITES Management Authority of Lao PDR for a permit or certificate to export, import, re-export, or introduce from the sea a specimen of a CITES-listed species.
- **Bred in Captivity:** Refers to specimens born or otherwise produced in a **controlled environment** consistent with the provisions of **Resolution Conf. 10.16 (Rev. CoP19)** and relevant Lao laws. This applies when:
 - i. Parents mated or gametes were transferred in a controlled environment (sexual reproduction), or parents were in a controlled environment when offspring development began (asexual reproduction); and
 - ii. The breeding stock meets the following criteria, verified by the CITES MA and CITES SA of Lao PDR:
 - **Legal Establishment:** Stock legally established in compliance with CITES provisions and Lao PDR legislation, without detrimental impact on wild populations.
 - **Sustainable Maintenance:** Stock maintained without routine reliance on wild-sourced specimens, except for limited additions permitted under the **CITES Decree (2024)** and other relevant regulations, including:
 - prevention of inbreeding (numbers justified by genetic need);
 - incorporation of confiscated animals in accordance with **Resolution Conf. 17.8 (Rev. CoP19)**; or
 - exceptional additions expressly authorized for genetic or demographic management.
 - **Reproductive Criteria:** Stock must either:
 - regularly produce **second or subsequent generations (F2, F3, F4, etc.)** in a controlled environment; or
 - be managed under a demonstrably reliable system that ensures production of F2 offspring. This definition applies to **Appendix I, II, and III** specimens, irrespective of whether the intended trade is commercial or non-commercial.
- **Certificate:** An official document issued by the CITES Management Authority of Lao PDR authorizing trade in CITES-listed specimens, as prescribed under the **CITES Decree on International Trade in Endangered Species of Aquatic Animals, Wild Animals, and Wild Plants (No. 299/GOV, 05 June 2024)**.
- **Chain of Custody:** The chronological documentation of all steps in the acquisition, ownership, transfer, and use of a specimen—beginning with its removal from the wild (if applicable) through captive breeding and subsequent trade. This is essential to confirm legal origin and traceability, consistent with the **CoP20 draft guidance on parental/breeding stock verification (Doc. 49)**.
- **Controlled Environment:** An environment outside natural habitats, created and maintained by humans for the breeding, rearing, or propagation of aquatic animals, wild animals, and plants. Controlled environments must be **legally registered**, secure, and managed in accordance with Lao PDR law.
- **Hunting Trophy:** A whole animal or a readily recognizable part or derivative thereof, obtained legally by a hunter for personal, non-commercial use. Trophies may be raw, processed, or manufactured and may only be imported, exported, or re-exported with appropriate CITES permits or certificates, in compliance with the **Law on Wild Animals (2023)**. 

- **Legal Acquisition Finding (LAF):** The process by which the CITES Management Authority of Lao PDR verifies that CITES-listed specimens (including live animals, carcasses, parts, and derivatives) were obtained in full compliance with national legislation and CITES provisions prior to the issuance of a permit.
- **Non-Detriment Finding (NDF):** A scientific assessment conducted by the CITES Scientific Authority of Lao PDR to determine that trade in CITES-listed specimens is not detrimental to the survival of the species in the wild.
- **Personal or Household Effects:** Specimens that are personally owned, legally acquired, and used for non-commercial purposes, which at the time of import, export, or re-export are: (i) worn, carried, or included in personal baggage, or (ii) part of a household relocation, in accordance with applicable CITES exemptions.
- **Ranching:** The rearing of animals in a controlled environment after collection as eggs or juveniles from the wild, where survival to adulthood would otherwise have been low. Under CITES, ranching typically applies to certain Appendix I populations downlisted to Appendix II (e.g., crocodilians) under **Resolution Conf. 11.16 (Rev. CoP15)**. Trade in ranched specimens requires documentation and use of a recognized **marking system** approved by the Conference of the Parties.
- **Risk Assessment:** A structured evaluation of the probability that a specimen was obtained illegally. Risk assessment is a core component of the LAF process, as emphasized in **Resolution Conf. 18.7 (Rev. CoP19)** and operationalized under Lao PDR's legal framework.
- **Marking and Tracing System:**
All active captive-breeding facilities in Lao PDR are required to implement an **individual animal identification system** to ensure verifiable and traceable management of breeding stock. At present, all registered breeding animals are identified using **neck tags with unique identifiers**, issued and supervised by the CITES MA.

In accordance with **Standing Committee recommendations on government-supervised marking systems (SC74 Doc. 30.1)**, Lao PDR is progressively adopting **permanent identification technologies**, including **ISO-compliant microchipping**. While not universally required under CITES for live Appendix-II primates, **Resolution Conf. 8.13 (Rev. CoP17)** recognizes microchipping as the internationally preferred method of secure identification, and it is already systematically applied by several Parties.

The phased adoption of internationally recognized marking technologies will:

- enhance the **credibility, security, and traceability** of captive-bred specimens;
- strengthen the **LAF process** and compliance with CITES provisions; and
- provide increased confidence to trading partners regarding the **legal origin and authenticity** of specimens.

1.5 OVERVIEW OF NATIONAL LEGISLATION AND REGULATIONS

Lao PDR has established a comprehensive legal framework governing wildlife conservation and trade, aligned with CITES. The following table summarizes relevant laws and key provisions.

The table 2 below serves as a **compliance roadmap** by aligning each step of the Legal Acquisition Finding (LAF) process with both Lao PDR's updated legislative framework and relevant CITES provisions. It demonstrates how the procedural requirements for applications, verification of legal origin, risk assessment, chain of custody documentation, facility inspection, marking and identification, and permit issuance are firmly grounded in national law and international obligations. By showing these connections, the matrix provides legal certainty for the CITES Management Authority (MA), Scientific Authority (SA), and enforcement agencies,

ensuring that decisions on CITES permits are transparent, legally defensible, and internationally recognized.

Table 1. National Legislation Relevant to Wildlife Trade and Conservation

Legislation / Regulation	Key Provisions
Law on Wild Animals (2023)	Articles 10–20, 53, 62–63: Species classification, registration, management, hunting restrictions, trade, movement, breeding, business regulation, and enforcement.
Forestry Law (2019)	Articles 27–37, 98, 104: Regulation of NTFPs, timber harvesting and trade, business licensing, export restrictions, and compliance with international treaties.
Law on Aquatic Animals and Fisheries (2023)	Articles 10–19: Species classification, registration, trade, import/export controls, aquaculture, transport, and CITES-listed species management.
CITES Decree No. 299 (2024)	Articles 6, 8–16, 18–19: Establishes CITES MA mandate, registration requirements, LAF/NDF procedures, permit issuance, and trade controls.
Decree No. 644 (2024)	Articles 6–21: Movement and transport of animals and aquatic species, including health certificates, origin certificates, and biosecurity controls.
Ministerial Directives No. 2340/2341 (2024)	Establishes electronic licensing and permit systems under a single-window framework for transparency and accountability.

Table 2. Matrix Linking LAF Procedures with Lao PDR Legislation and CITES Provisions

LAF Procedural Step	Relevant Lao PDR Legislation	Relevant CITES Provisions	Purpose / Notes
Application Submission	Law on Wild Animals (2023), Art. 15; Law on Aquatic Animals (2023), Art. 15; Forestry Law (2019), Arts. 31, 34; CITES Decree (2024), Art. 8, 15	Res. Conf. 18.7, paras. 4–5; CoP20 Doc. 49 Annex 1	Applicants must submit species, source, quantity, facility registration, and documents.
Verification of Legal Origin	Law on Wild Animals (2023), Arts. 10–14; Law on Aquatic Animals (2023), Arts. 10–13; CITES Decree (2024), Art. 10	Res. Conf. 18.7, paras. 6–8; CoP20 Doc. 49 Annex 2	Ensures founding stock complies with national classifications.
Risk Assessment	Law on Wild Animals (2023), Art. 16; Law on Aquatic Animals (2023), Art. 16; CITES Decree (2024), Art. 10	Res. Conf. 18.7, para. 9; CoP20 Doc. 49	Assesses likelihood of illegal acquisition based on risks.

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Beyond being a reference tool, the matrix also functions as a **practical enforcement guide** for inspectors, prosecutors, and policy makers. It highlights the precise legal articles under the **Law on Wild Animals (2023)**, **Law on Aquatic Animals and Fisheries (2023)**, **Forestry Law (2019)**, and the **CITES Decree (2024)** that must be applied at each stage of the process. At the same time, it anchors these procedures in **Resolution Conf. 18.7 (Rev. CoP19)** and the latest **CoP20 Doc. 49 guidance**, ensuring that Lao PDR's system is harmonized with international best practice. This strengthens the credibility of LAFs, supports traceability of captive-bred specimens, and reassures trading partners of the country's commitment to legality and sustainability. 

1.6 EXEMPTIONS AND OTHER SPECIAL PROVISIONS

Article VII of the CITES Convention provides exemptions from the standard permitting process for specific categories of specimens under clearly defined conditions. These include personal or household effects, non-commercial loans, donations or exchanges between scientific institutions, travelling exhibitions, pre-Convention specimens, and other recognized categories. While such exemptions reduce administrative burden, they do not remove the obligation of the CITES Management Authority (MA) to verify that the specimens were **legally acquired**.

In Lao PDR, the CITES MA—under the Department of Forestry, Ministry of Agriculture and Environment (MAE)—is empowered under the **CITES Decree No. 299 (2024)** to issue exemption certificates in accordance with Article VII of the Convention. In all cases, the MA must ensure compliance with the **Law on Wild Animals (2023)**, **Law on Aquatic Animals and Fisheries (2023)**, and related legislation, as well as with CITES Resolutions.

1.6.1 Trade in Bred-in-Captivity Specimens

For Appendix I, II, or III specimens bred in captivity for non-commercial purposes, exemptions may be granted under Article VII(5). In Lao PDR, a **Legal Acquisition Finding (LAF)** remains mandatory prior to the issuance of any certificate to ensure that parental stock was legally sourced and registered.

Consistent with **Resolution Conf. 10.16 (Rev. CoP19)**, the CITES MA, supported by the Scientific Authority (SA), must verify:

- lawful acquisition of breeding stock;
- complete records of hatch/birth date, sex, source code, and unique identification (tags/microchips); and
- breeding and husbandry conditions consistent with CITES provisions and Lao legislation.

1.6.2 Pre-Convention Specimens

Specimens acquired before CITES applied to a species are exempt from standard permits under Article VII(2). Following **Resolution Conf. 13.6 (Rev. CoP18)**, the Lao CITES MA must verify that:

- the specimen was acquired before listing or before Lao PDR acceded to CITES (25 May 2004);
- documentation (e.g., customs records, receipts, breeding logs, photos) supports the claim; and
- dates of acquisition are clearly recorded.

Under **Decree No. 258/PM (Articles 26–27)**, Lao PDR operates a **pre-Convention certification system**. The DOF assesses applications and issues certificates for specimens lawfully obtained prior to listing or accession.



1.6.3 Personal and Household Effects

Article VII(3) exempts personal and household effects from CITES permits if they are legally acquired and non-commercial. In Lao PDR, the MA must confirm that:

- the specimens are genuinely personal/household property;
- they accompany the owner; and
- there is no commercial intent.

Verification must comply with **Resolution Conf. 18.7 (Rev. CoP19)** and **Resolution Conf. 13.7 (Rev. CoP17)**, using supporting documents such as receipts, travel papers, or personal declarations.

1.6.4 Personally-Owned Live Animals

In line with **Resolution Conf. 10.20**, certificates for frequent cross-border movements of personally-owned live animals may only be issued if:

- the animal is legally possessed; and
- its acquisition did not contravene CITES or Lao law.

The MA must review ownership records, veterinary certificates, and customs documentation before issuing any such certificates.

1.6.5 Hunting Trophies

Exports of hunting trophies from Appendix I or II species may only be authorized under **Resolution Conf. 17.9** if the MA verifies that:

- the specimen was legally acquired;
- hunting was conducted in compliance with wildlife and firearms laws; and
- the trophy is retained for personal, non-commercial use.

Supporting documents include hunting licenses, export requests from the original hunter, and compliance records under the **Law on Wild Animals (2023)**.

1.6.6 Non-Commercial Scientific Exchange

Article VII(6) and **Resolution Conf. 11.15 (Rev. CoP18)** exempt non-commercial exchanges of specimens between registered scientific institutions (e.g., museums, herbaria, forensic labs). In Lao PDR, the MA, in collaboration with the **National University of Laos** and other institutions, must:

- verify institutional registration;
- confirm scientific/educational purpose; and
- review inventory lists, donation records, or prior permits.

Exemptions are limited to legally acquired specimens and officially recognized institutions.



1.6.7 Travelling Exhibitions

Travelling Exhibition Certificates under Article VII(7) and **Resolution Conf. 12.3 (Rev. CoP18)** may be issued for CITES specimens in circuses, zoos, or cultural displays if:

- specimens were legally acquired;
- they remain the property of the exhibition; and
- they return to Lao PDR after temporary export.

The MA must verify acquisition date, ownership, and intended return, supported by documents such as animal passports, invoices, or microchip records.

1.6.8 Musical Instruments

Under **Resolution Conf. 16.8 (Rev. CoP17)**, non-commercial, frequent cross-border movement of musical instruments containing CITES-listed materials (e.g., rosewood, ivory) may be authorized with a Musical Instrument Certificate (MIC).

In Lao PDR, the MA may issue such certificates only if:

- the instrument was lawfully acquired;
- CITES-listed components were not sourced illegally; and
- provenance is documented via purchase records, manufacturer declarations, or permits.

Coordination with range States may be required to verify raw material origin.

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2 PROCESS OF MAKING LEGAL ACQUISITION FINDINGS

2.1 STEPS FOR MAKING LAF

The **Legal Acquisition Findings (LAF)** process in Lao PDR constitutes a structured verification framework to ensure that all CITES-listed specimens subject to trade originate from lawful sources. It is administered by the **CITES Management Authority** under the Department of Forestry, Ministry of Agriculture and Environment, and is grounded in the **CITES Convention (Articles III–VII)**, **Resolution Conf. 18.7 (Rev. CoP19)**, **CoP20 Doc. 49**, the **Law on Wild Animals (2023)**, the **Law on Aquatic Animals and Fisheries (2023)**, the **Forestry Law (2019)**, and the **CITES Decree No. 299/GOV (2024)**.

The process follows a **stepwise verification approach** (Figure 1):

1. **Risk Assessment** – Authorities review potential red flags, including species vulnerability, inconsistencies in documentation, and trafficking risks. Consultations may involve the CITES Secretariat, importing country MAs, the Lao PDR Scientific Authority, and PAEO/DAEO.
2. **Legal and Regulatory Check** – Officials identify which provisions apply, distinguishing between wild-sourced (requiring harvest permits and registration under the Wildlife and Aquatic Animals Laws) and captive-bred/ranched specimens (requiring compliance with Resolution Conf. 10.16 (Rev. CoP19), including F2 or later production and registration of facilities).
3. **Application Review** – Authorities verify that the CITES permit application is complete, with all supporting evidence (e.g., breeding logs, pre-Convention certificates, NDFs).
4. **Specific Checks for Captive-breeding and Ranching** – Evaluation of breeding conditions, parental stock legality, and compliance with Lao regulations and CITES standards.
5. **Chain of Custody Verification** – Examination of all documentation (e.g., veterinary certificates, customs declarations, transport permits) to ensure lawful origin and traceability.
6. **Determination** – If requirements are met, a **positive LAF** is issued, allowing permit processing (subject to NDF approval and fee payment). If requirements are not met, a **negative LAF** is issued, and the permit is denied.

In the event of a negative LAF, authorities notify relevant enforcement agencies (police, customs, prosecutors, anti-corruption units), and the applicant may be blacklisted pending investigation.

Finally, all LAF outcomes—positive or negative—are recorded in the **Lao PDR CITES Electronic System**, ensuring transparency, accountability, and traceability in compliance with national and international obligations.

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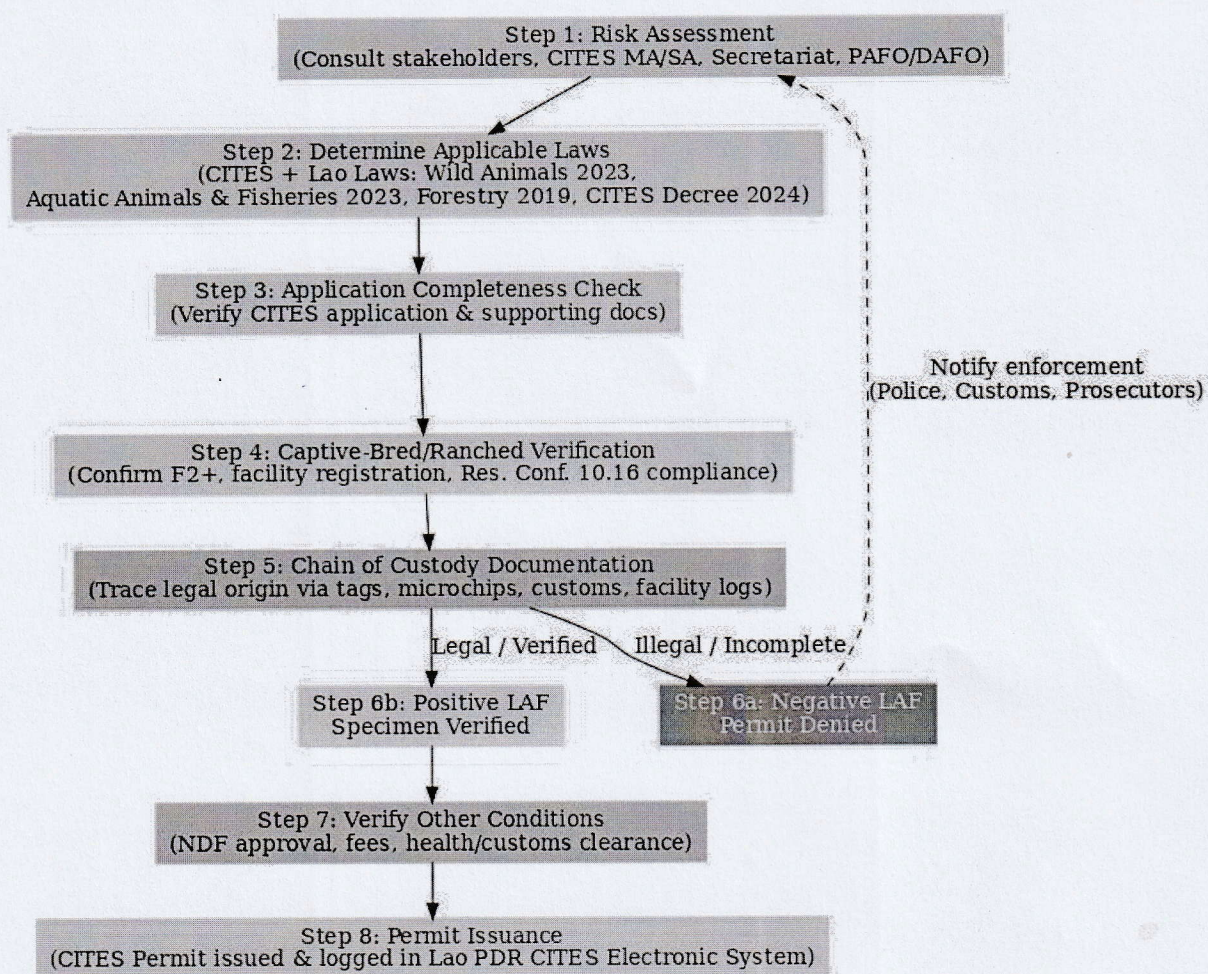


Figure 1: Steps to follow when making a LAF

2.2 INSTRUCTIONS TO EACH STEP

2.2.1 Conducting a Risk Assessment in the Context of Lao PDR

In line with **Resolution Conf. 18.7 (Rev. CoP19)** and the guidance in **CoP20 Doc. 49**, the Lao PDR national guidelines adopt a structured, risk-based methodology for verifying the legal acquisition of CITES-listed specimens. This approach ensures that wildlife trade is sustainable, legal, and traceable, while upholding the integrity of the CITES permitting system and ensuring alignment with national legislation, including the **Law on Wild Animals (2023)**, the **Law on Aquatic Animals and Fisheries (2023)**, the **Forestry Law (2019)**, and the **CITES Decree No. 299/GOV (2024)**.

A **risk assessment** forms the first stage of the Legal Acquisition Findings (LAF) process. It enables the CITES Management Authority, in close collaboration with the CITES Scientific Authority, enforcement agencies, and provincial/district offices (PAEO/DAEO), to identify red flags such as species-specific vulnerability, inconsistencies in supporting documents, or suspicious trading patterns. This risk-based system is designed to prevent fraud, ensure compliance, and maintain the credibility of Lao PDR's wildlife trade regulatory framework.

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Table 3. Indicative Risk Assessment Factors and Relevant Considerations for Lao PDR

Factors in Resolution Conf. 18.7, Annex 1	Considerations in the Context of Lao PDR
i) Species vulnerability	Is the species listed in Appendix I, II, or III? Does the species face high levels of threat (e.g., overexploitation, habitat loss, or small wild populations) requiring stricter controls under Articles 11–13 of the Law on Wild Animals (2023) or Articles 11–13 of the Law on Aquatic Animals and Fisheries (2023) ?
ii) Trade patterns	Are there unusual or suspicious trade dynamics, such as sudden increases in exports, repeated applications for high-risk species, or patterns linked to known trafficking routes in the Mekong region? Does trade align with reporting obligations under the CITES Decree (2024) ?
iii) Established quota	Has the Scientific Authority approved a species-specific export quota? Is the proposed trade within quota limits and supported by a valid Non-Detriment Finding (NDF) in accordance with Article 11 of the Law on Wild Animals (2023) or Article 12 of the Law on Aquatic Animals and Fisheries (2023) ?
iv) Domestic legal measures	Is the species subject to stricter national measures (e.g., prohibitions, licensing, or additional permits) under Lao legislation, such as Articles 10–18 of the Law on Wild Animals (2023) , Articles 10–17 of the Law on Aquatic Animals and Fisheries (2023) , or relevant provisions of the Forestry Law (2019) ?
v) Traceability mechanisms	Are traceability tools in place (e.g., microchipping, electronic registration, databases, or the Lao PDR CITES e-Permit system) that comply with international best practices and ensure verifiable monitoring of legal origin, ownership, and movement of specimens?

Source: Adapted from Resolution Conf. 18.7 (Rev. CoP19) and CoP20 Doc. 49, contextualized for Lao PDR's CITES implementation framework.

2.2.2 Assess and Determine the Legality of the Specimen

At this stage, the Lao PDR CITES Management Authority (CITES MA), under the Department of Forestry, Ministry of Agriculture and Environment, must review and assess all submitted documents against the applicable national laws and regulations governing the protection, management, and trade of wild fauna and flora. The purpose is to verify whether the specimens in question were lawfully acquired and are eligible for authorization under both domestic and CITES provisions. This assessment includes, inter alia, compliance with the **Law on Wild Animals (2023)**, **Law on Aquatic Animals and Fisheries (2023)**, **Forestry Law (2019)**, and the **CITES Decree No. 299/GOV (2024)**, as well as subsidiary legislation such as Prime Minister's Orders, ministerial instructions, and relevant customs, veterinary, and transport regulations.

Signature

The CITES MA must also ensure cross-agency consultation with other competent authorities holding relevant mandates. This includes the **CITES Scientific Authority**, the **Department of Natural Environment Inspection (DNEI)**, the **Department of Livestock and Fisheries (DLF)**, the **Department of Agriculture (DOA)**, the **Department of Customs**, and Provincial/District Agriculture and Forestry Offices (**PAFO/DAFO**). Where necessary, consultation with law enforcement agencies, such as the Environmental Police or Anti-Corruption authorities, may be undertaken to confirm the legality of acquisition, particularly in high-risk or sensitive cases.

Table 4. Principal Documents Required for Review and Verification

Internal Process	Fauna (terrestrial wildlife)
Pre-stage – An applicant must attach the required documents	A. CITES Export Permit: • Approval letter from relevant authorities (DOF/DAFO/PAFO) confirming legality of source; • Certificate of business registration, latest tax clearance, and relevant permits (e.g., VAT, Wildlife Farm Registration Certificate); • Proof of legal origin or breeding: Letter of guarantee, certificate of origin, farm registration, etc.; • Veterinary certificate or health certificate issued by DLF; • Invoice and packing list; • Purchase contract between exporter and importer; • CITES permit from importing country; • Bill of lading or transport documents. B. CITES Import Permit (where applicable): Letter of guarantee and/or health certification; import license and any additional permits required under Lao law. C. CITES Re-export Permit (if applicable): All of the above, plus evidence of prior legal import.

Table 5. Verification and Review Process

Step	Internal Process	Fauna (terrestrial wildlife)
Step 1: Applicant consults CITES MA	• Consult with the CITES Scientific Authority; • Engage other relevant ministries/provincial agencies where necessary.	Review, verify, and consult: • Ensure the species is not prohibited from export under Lao law; • Confirm source and legality: verify farm registration, import/export licenses, health and veterinary certificates; • Cross-check details against internal CITES databases and DOF records.

Signature

Step	Internal Process	Fauna (terrestrial wildlife)
Step 2: Further process and issuance	• Submit complete CITES permit set to DOF for review; • Forward to Customs and other relevant departments for clearance; • Attach Animal Health Certificate, Transportation Permit (for live specimens), and proof of tax compliance.	Review, verify, and issue: • Ensure compliance with Forestry Law, Wildlife Law, and CITES requirements; • Consult internal databases to verify consistency with previous permits; • Finalize and issue the permit once all legal and technical conditions are satisfied. Note: If live animals are involved, DLF and PAFO/DAFO must inspect, certify, and verify origin before transport.

2.2.3 Review the Fulfillment of CITES Permit Application

The permit application form must be duly and fully completed by the applicant. The Lao PDR CITES Management Authority (CITES MA) reserves the right to request any additional or supplemental information necessary to verify the legality of acquisition of the specimen.

Applicants are required to submit supporting documentation to demonstrate both the legality and traceability of the specimen. Such documentation may include, but is not limited to:

- Chain of custody records;
- Captive-breeding or ranching registration certificates;
- Farm or facility registration and legal possession records;
- Transport, trade, and export documentation;
- Veterinary and health certificates;
- Customs clearance documents and invoices.

The specific documentation submitted must substantiate the claimed CITES source code and must be sufficient to confirm that the specimen was lawfully acquired under Lao legislation.

Where necessary, the CITES MA may consult with technical departments under the Ministry of Agriculture and Environment (e.g., Department of Forestry, Department of Livestock and Fisheries, Department of Agriculture) as well as with provincial and district Agriculture and Forestry Offices (PAFO/DAFO). If further verification is needed, the CITES Scientific Authority or external technical experts may be engaged.

The applicant bears the legal responsibility to provide adequate evidence demonstrating that the specimen was lawfully acquired. False declarations, forged documents, or other misrepresentations are punishable under Lao PDR's legal framework, including criminal penalties for fraud, in line with Articles 49–53 of the Law on Wild Animals (2023) and relevant provisions of the Penal Code.

Signature

2.2.4 Requirement for Legal Acquisition Findings (LAF) for Specimens Bred in Captivity and Ranches

Verification of the legal acquisition of specimens—particularly those claimed as **bred in captivity** or **ranches**—is a critical safeguard under CITES and Lao law. A valid Legal Acquisition Finding (LAF) must demonstrate a clear, documented chain of custody from the parental stock to the point of intended export. This requirement ensures that all CITES-listed specimens are legally acquired and traceable throughout the supply chain.

In accordance with **Resolution Conf. 18.7 (Rev. CoP19)** and national legislation, an LAF is required for:

- Appendix I specimens bred in captivity for non-commercial purposes (source code “D”), in line with Article VII, paragraph 4 of the Convention;
- Appendix I, II, or III specimens bred in captivity or ranches for commercial purposes (source code “C”), unless exempted under Article VII, paragraph 5.

The **Lao PDR CITES Management Authority**, in coordination with the **CITES Scientific Authority**, must verify that the facility and specimens comply with the criteria for “bred in captivity” or “ranches” as defined in **Resolution Conf. 10.16 (Rev. CoP19)** and national provisions under the **Law on Wild Animals (2023)** and **CITES Decree (2024)**.

To prevent misuse of source codes, the CITES MA applies strict due diligence measures, including traceability inspections and facility audits, particularly where the following risk indicators are observed:

- Sudden increases in the number of specimens declared as captive-bred or ranches;
- Large volumes of trade in captive-bred specimens of species with long maturation periods and low reproductive rates;
- Trade from non-range states without proof of parental stock acquisition from range states;
- Discrepancies between export and import source codes, or inconsistent documentation;
- Newly established facilities producing volumes beyond plausible reproductive capacity;
- Claims of breeding inconsistent with species’ biology (e.g., gestation length, growth rates);
- Ranching practices inconsistent with ecological or Resolution Conf. 11.16 criteria;
- Production levels exceeding biological plausibility based on declared breeding stock;
- Anomalies in size or condition of specimens suggesting mixing of wild and captive stock;
- Any red flags indicating laundering of wild specimens as captive-bred.

Where concerns arise, the CITES MA must consult with enforcement authorities (e.g., Department of Forest Inspection, Department of Livestock and Fisheries, Customs, Anti-Corruption Units), and where necessary, seek support from the CITES Secretariat, partner Management Authorities, or external experts (e.g., DNA profiling, forensic auditing).

This approach ensures that only **legally acquired** and **genuinely captive-bred or ranches specimens** are authorized for export, thereby strengthening species conservation and safeguarding the credibility of Lao PDR’s CITES implementation framework.



2.2.5 Review and Assessment of Legal Acquisition through Chain of Custody Documentation

To ensure that specimens of CITES-listed species are lawfully acquired, the Lao PDR CITES Management Authority must verify the **entire chain of custody documentation** from the point of origin (e.g., collection, breeding, ranching, confiscation, or re-export) through to the point of intended export. This step is critical to ensure traceability, transparency, and compliance with CITES and Lao PDR's domestic laws.

The Lao PDR CITES Management Authority, in close consultation with the **CITES Scientific Authority** (e.g., Department of Forestry, Department of Livestock and Fisheries), shall ensure that every specimen has been legally acquired in line with:

- Forestry Law (2019);
- Law on Wild Animals (2023);
- Law on Aquatic Animals and Fisheries (2023);
- Decree No. 299/GOV on CITES Implementation (2024);
- Relevant ministerial instructions, national wildlife lists, and implementing regulations.

During the review of CITES export permit applications, the Management Authority must confirm:

- Whether the specimen was legally obtained, bred, ranched, confiscated, or imported;
- Whether ownership and transfer have been lawfully documented;
- Whether the specimen is being lawfully prepared and transported for export;
- Whether documentation is complete, consistent, and verifiable.

If questions arise regarding authenticity, sourcing legality, or possible prior infractions, the Management Authority may seek consultation with the **CITES Secretariat**, **foreign CITES Management Authorities**, or domestic enforcement bodies (e.g., Forest Inspection, Customs, Environmental Police).

Table 6: Lao PDR-Specific Evidence of Legal Acquisition along the Chain of Custody

Activity Stage	Type of Specimen	Required Finding	Examples of Documentation
1. Sourcing	Wild-sourced	LAF	Harvest permits, licenses, quota approvals, capture location records, evidence of lawful removal under national wildlife/forestry laws.
	Ranched	LAF	Harvest permits, facility rearing records, marking system (tags, microchips), signed declarations by facility managers, photos/videos of facility.
	Confiscated	LAF	Legal settlement, remission/disposal orders, official custody transfer documentation.

Activity Stage	Type of Specimen	Required Finding	Examples of Documentation
	Bred in captivity	Must meet Res. Conf. 10.16 (Rev. CoP19) and Decree 299/GOV	Facility breeding permits, registration, birth/hatch records, microchip/tag identifiers.
	Captive-born (F)	Facility records verifying on-site birth	Birth data, identification tags, photo/video evidence.
	Re-exported	Re-export finding	Original foreign CITES permit, re-export documentation, legal proof of prior import.

| **2. Ownership/Transfer** | All types | Ownership chain verification | Contracts, receipts, internal handover records, CITES MA registration of transfers. |

| **3. Transport** | All types | Transport authorization | Movement permits, CITES transport permits, transfer logs, customs clearance, secure transit records. |

Verification Techniques for Lao PDR Authorities

To strengthen traceability and prevent fraudulent documentation, the Lao PDR CITES Management Authority shall:

- Authenticate original signatures, seals, and stamps;
- Confirm validity of species identification numbers and registration;
- Examine facility records and internal breeding logs;
- Review microchip/tag identifiers and photographic evidence;
- Consult Customs, Forest Inspection, DAEO/PAEO, and veterinary authorities;
- Cross-check with foreign or regional CITES Management Authorities when applicable;
- Apply risk-profiling tools for high-risk species or facilities;
- Engage independent experts (e.g., DNA profiling, forensics) when necessary.

2.2.6 Positive or Negative Legal Acquisition Finding (LAF)

Following a comprehensive evaluation of all stages of the supply chain—supported by documentation review and consultations with relevant authorities—the Lao PDR CITES Management Authority shall determine whether a specimen qualifies as legally acquired.

A **Positive LAF** shall be issued where:

- All required documentation is complete, consistent, and verifiable;
- The acquisition complies with the Forestry Law (2019), the Law on Wild Animals (2023), the Law on Aquatic Animals and Fisheries (2023), and the CITES Decree (2024); and
- No outstanding concerns remain regarding authenticity or legality.

A **Negative LAF** must be issued if:

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- Required information is incomplete or missing;
- Clarifications or supplementary evidence cannot be obtained;
- Discrepancies or unresolved doubts remain regarding the legality of acquisition; or
- Supporting documentation fails to satisfy the requirements of national legislation or CITES provisions.

Where a negative LAF is issued, the specimen is ineligible for a CITES export permit or certificate. This determination must be consistent with **Resolution Conf. 18.7 (Rev. CoP19)** and national compliance procedures to safeguard legal, transparent, and credible wildlife trade.

2.2.7 Notification of Relevant Authorities in Cases of Legal Contravention

If a specimen is determined to have been unlawfully acquired, the Lao PDR CITES Management Authority must refuse the issuance of a CITES permit or certificate. In such cases, the Authority shall notify relevant enforcement agencies, including the:

- Department of Natural Resources and Environmental Inspection (DNEI);
- Environmental Police Department;
- Customs Department; and
- Provincial and District Agriculture and Forestry Offices (PAFO/DAFO).

Violations may trigger administrative, civil, or criminal penalties under Lao law, including confiscation, transport, or destruction of specimens, or their transfer to designated zoological parks or rescue centers.

Offenders may be prohibited from participating in CITES-related activities for a period of three (3) to five (5) years, with stricter sanctions possible for repeat or severe offenses. These actions align with national legal provisions and relevant **CITES Resolutions on enforcement and compliance**. Timely reporting and coordinated inter-agency enforcement are essential to deter illegal trade and uphold CITES credibility.

2.2.8 Ensuring Other Preconditions for Trade Authorization

In addition to a positive LAF, all other **CITES-mandated preconditions** must be satisfied prior to the issuance of an export permit. These include:

- **Non-Detriment Findings (NDFs):** Required for all Appendix I and II species. The Lao PDR CITES Scientific Authority must confirm in writing that the proposed export will not be detrimental to the survival of the species in the wild, consistent with Articles III and IV of the Convention and **Resolution Conf. 16.7 (Rev. CoP17)**.
- **Quota Compliance:** For species subject to national, bilateral, or multilateral quotas, exports must not exceed established limits. The Lao PDR CITES Management Authority must ensure strict monitoring of quota usage, consistent with **Resolution Conf. 14.7 (Rev. CoP15)**.
- **Appendix I Exports:** Exports of Appendix I specimens must be restricted to non-commercial purposes (e.g., scientific research, conservation, education), unless explicitly authorized under exceptional conditions permitted by CITES.

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Failure to meet these preconditions requires the refusal of a CITES export permit, even where a positive LAF has been issued.

2.2.9 Issuance of CITES Export Permit or Certificate

Once all criteria have been met—including a positive LAF, a valid NDF where applicable, quota compliance, and verification against relevant provisions—the Lao PDR CITES Management Authority may issue the appropriate CITES export permit or certificate.

The decision must be based on an independent, evidence-based assessment consistent with:

- Forestry Law (2019);
- Law on Wild Animals (2023);
- Law on Aquatic Animals and Fisheries (2023);
- CITES Decree No. 299/GOV (2024); and
- Relevant CITES Resolutions, including **Resolution Conf. 18.7 (Rev. CoP19)**.

Special Considerations:

- **Source Code “U” (Unknown):** Applications citing “U” must be treated with extreme caution. Commercial exports with unverifiable sources shall be categorically rejected. In rare non-commercial cases, approval may only be considered following a rigorous risk-based assessment.
- **Record-Keeping and Transparency:** The CITES Management Authority must maintain comprehensive records of:
 - All permits and certificates issued;
 - All documentation used in the LAF determination process; and
 - Corresponding decisions under CITES Article VIII(6) and Resolution Conf. 18.7.

In accordance with **Resolution Conf. 11.3 (Rev. CoP19)**, the Lao PDR CITES Management Authority shall also provide, upon request, the documentation underpinning its LAF determination to importing countries or the CITES Secretariat, ensuring transparency and international confidence in Lao PDR’s permitting system.



3 REFERENCES

National Legislation and Regulations (Lao PDR)

1. Forestry Law (Amended 2019), Lao PDR.
2. Law on Wild Animals (2023), Lao PDR.
3. Law on Aquatic Animals and Fisheries (2023), Lao PDR.
4. Decree No. 299/GOV (2024) on the Implementation of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES).
5. Land Law (2019), Lao PDR.
6. Ministerial Instruction No. 0960/MAF (2022) on the Management and Monitoring of Wildlife Breeding and Captive Facilities.
7. Ministerial Instruction No. 1822/MAF (2024) on the Registration and Reporting of Wildlife Stocks.
8. Decision No. 3776/MAF (2016) on the Establishment of CITES Scientific and Management Authorities in Lao PDR.
9. Prime Minister's Order No. 05/PM (2018) on Strengthening Wildlife and Timber Trade Enforcement in Lao PDR.

CITES Resolutions

10. Resolution Conf. 10.16 (Rev. CoP19) – Specimens of animal species bred in captivity.
11. Resolution Conf. 10.20 (Rev. CoP20) – Frequent cross-border movements of personally owned live animals.
12. Resolution Conf. 11.3 (Rev. CoP19) – Compliance and Enforcement.
13. Resolution Conf. 11.15 (Rev. CoP18) – Non-commercial loan, donation or exchange of museum, herbarium, diagnostic, and forensic research specimens.
14. Resolution Conf. 11.16 (Rev. CoP15) – Ranching and trade in ranched specimens.
15. Resolution Conf. 12.3 (Rev. CoP20) – Permits and Certificates.
16. Resolution Conf. 13.6 (Rev. CoP18) – “Pre-Convention” specimens.
17. Resolution Conf. 13.7 (Rev. CoP17) – Personal and Household Effects.
18. Resolution Conf. 14.7 (Rev. CoP15) – Management of export quotas.
19. Resolution Conf. 16.7 (Rev. CoP17) – Non-detriment findings.
20. Resolution Conf. 16.8 (Rev. CoP17) – Musical instruments, non-commercial cross-border movements.
21. Resolution Conf. 17.7 (Rev. CoP20) – Review of animal specimens reported as produced in captivity.
22. Resolution Conf. 17.9 (Rev. CoP19) – Hunting trophies.
23. Resolution Conf. 18.6 (Rev. CoP19) – Designation and Role of Management Authorities.
24. Resolution Conf. 18.7 (Rev. CoP19) – Legal acquisition findings.

Other Resources

25. AC32 Com. 4 – Compliance: Captive-Bred and Ranched Specimens, pp. 8–9.



26. Convention Text – Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES).
27. CoP20 Doc. 49 – Legal Acquisition Findings. 

ANNEX 1. FACILITY INSPECTION DATA COLLECTION FORM

(Adapted for compliance monitoring of captive-bred and ranched specimens under Lao PDR's Decree No. 299/GOV and CITES Resolution Conf. 10.16)

1. GENERAL INFORMATION ON THE FACILITY

- **Date of inspection:** _____
- **Name of senior inspecting officer:** _____
- **Facility name (as registered with CITES MA):** _____
- **Name(s) and position(s) of all inspecting officer(s) present:**
 1. _____
 2. _____

Type of inspection:

☐ Initial ☐ Routine ☐ Follow-up (if discrepancies from prior inspection remain unresolved)

- **Date of last inspection:** _____
- **Facility trading name(s):** _____
- **Facility owner(s):** _____
- **Facility address and contact information:** _____
- **Year facility established:** _____
- **Number of staff currently employed:** Full-time: ____ Part-time: ____
- **Staff accompanying the inspection (name & job title):**

Veterinary Services

☐ Yes ☐ No If yes, provide name and address of registered veterinarian:

Other Registered Locations (branch, satellite, etc.)

☐ Yes ☐ No If yes, specify location(s): _____
(Note: If animals are kept off-site, separate verification visits are mandatory.)

2. SPECIES-SPECIFIC DATA COLLECTION FORM

(To be completed separately for each CITES-listed species kept at the facility)

INSPECTION DETAILS

- **Date of inspection:** _____
- **Name of senior inspecting officer (CITES MA/DAEO/DNEI):**

- **Facility name (as registered with CITES MA):** _____
- **Species (scientific and common name):** _____

3. ORIGIN OF SPECIMENS

- **Date species was first acquired:** _____
- **Source and life stage of initial stock:** ☐ Wild-caught ☐ Captive-bred ☐ Ranched ☐ Unknown 

- **Number of individuals acquired:** ♂ ____ ♀ ____
- **Additional specimens acquired since initial stock?** ☐ Yes ☐ No
If yes, specify source(s), location(s), and CITES reference (if any):

4 BREEDING RECORDS

- Does this facility breed this species in captivity? ☐ Yes ☐ No
- Year breeding began: _____
- Average number of litters/clutches per year: _____
- Average offspring per litter/clutch: _____
- Total offspring produced in previous year: _____

5 ADULT BREEDING STOCK

<i>Description</i>	<i>Facility Record</i>	<i>Inspector Count (where feasible)</i>
Number of adult animals	_____	_____
Number of males	_____	_____
Number of females	_____	_____
Estimated % of breeding females per year	_____	_____
Adult diet (feed formula or prey items)	_____	_____

6 REARING STOCK (CAPTIVE-BRED & RANCHED)

<i>Description</i>	<i>Facility Record</i>	<i>Inspector Count (where feasible)</i>
Number of juveniles present	_____	_____
Age at sexual maturity (years)	_____	_____
Size/mass at sexual maturity (cm/g)	_____	_____
Size/mass at sale or transfer (cm/g)	_____	_____
% survival of juveniles beyond 2 weeks (incl. unhatched eggs)	_____	_____
Juvenile diet (feed formula or prey items)	_____	_____

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ANNEX 2. SPECIMEN-LEVEL DATA VERIFICATION CHECKLIST

(To be completed for each individual or batch of CITES-listed specimens subject to inspection and/or permit application)

1. GENERAL INFORMATION

- **Date of inspection:** _____
- **Inspection reference number:** _____
- **Facility name (as registered with CITES MA):** _____
- **Species (scientific and common name):** _____
- **CITES Appendix:** ☐ I ☐ II ☐ III
- **Source code:** ☐ C ☐ D ☐ F ☐ R ☐ W ☐ U (unknown – requires justification)
- **Purpose code:** ☐ T (commercial trade) ☐ S (scientific) ☐ Q (circus/zoo) ☐ E (education) ☐ Other: _____

2. IDENTIFICATION & TRACEABILITY

Item	Facility Record	Inspector Verification	Notes
Unique ID number (tag, ring, tattoo, or microchip)	_____	_____	_____
Microchip compliance (ISO 11784/11785 standard)	☐ Yes ☐ No	☐ Yes ☐ No	_____
Photographic record maintained (Yes/No)	☐ Yes ☐ No	☐ Yes ☐ No	_____
Genetic/DNA record available (if applicable)	☐ Yes ☐ No	☐ Yes ☐ No	_____

3. ORIGIN & LEGAL ACQUISITION

- **Was the specimen legally acquired under Lao law?** ☐ Yes ☐ No
- **If captive-bred/ranched:** confirm F2 generation or reliable system to produce F2.
- **If wild-sourced:** confirm legal harvest permit under Law on Wild Animals (2023) or Law on Aquatic Animals and Fisheries (2023).
- **If confiscated:** confirm transfer documented under Decree No. 299/GOV (2024).
- **Supporting documents verified:**
 - ☐ Harvest permit ☐ Breeding permit ☐ Veterinary/health certificate
 - ☐ Chain-of-custody log ☐ Customs clearance documents ☐ Other: _____

4. HEALTH AND WELFARE STATUS

- **Veterinary certificate issued by DLF (or recognized authority):** ☐ Yes ☐ No
- **Signs of disease or poor welfare:** ☐ None ☐ Observed (details: _____) 

- Quarantine compliance (if applicable): ☐ Yes ☐ No

5. CHAIN OF CUSTODY

Transfer Stage	Date	From/To	Documentation Verified (Yes/No)	Inspector Notes
Initial acquisition	_____	_____	☐ Yes ☐ No	_____
Ownership transfer(s)	_____	_____	☐ Yes ☐ No	_____
Transport stage	_____	_____	☐ Yes ☐ No	_____
Export preparation	_____	_____	☐ Yes ☐ No	_____

6. FINAL INSPECTOR DETERMINATION

- Specimen legally acquired and traceable? ☐ Yes ☐ No
- All supporting documentation complete? ☐ Yes ☐ No
- Eligible for positive LAF determination? ☐ Yes ☐ No

Inspector Name & Signature: _____

Date: _____

