

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES  
OF WILD FAUNA AND FLORA



Sixty-fifth meeting of the Standing Committee  
Geneva (Switzerland), 7-11 July 2014

Interpretation and implementation of the Convention

Exemptions and special trade provisions

Implementation of the Convention relating to captive-bred and ranched specimens

REPORT OF THE ANIMALS COMMITTEE

1. This document has been submitted by the Animals Committee\*.
2. At its 16th meeting (CoP16, Bangkok, 2013), the Conference of the Parties adopted a suite of Decisions on Implementation of the Convention relating to captive-bred and ranched specimens, as follows:

**Directed to the Secretariat**

16.63 *The Secretariat shall:*

- a) *contingent on the availability of external funds, contract an appropriate expert or experts to:*
  - i) *evaluate the concerns identified in the examples in document SC62 Doc. 26, Annex, regarding trade in specimens claimed to be derived from captive breeding or ranching;*
  - ii) *review CITES annual report data for specimens recorded using source codes C, D, F and R;*
  - iii) *identify problems with CITES implementation associated with these examples;*
  - iv) *consider ways to more effectively share available information on captive-breeding and ranching operations;*
  - v) *evaluate the utility of a captive-breeding database (including wider application of the existing UNEP-WCMC Captive-Breeding Database being developed for the European Union);*
  - vi) *prepare a report on its findings and recommendations, taking into consideration the report and recommendations of the working group on implementation of the Convention relating to captive-bred and ranched specimens presented at the 62nd meeting of the Standing Committee; and*
  - vii) *develop draft checklists or guides for the inspection of captive-breeding and ranching facilities and review of permit applications for captive-bred and ranched specimens;*
- b) *provide a draft of this report and additional materials to the Animals Committee at its 27th meeting, for review; and*

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\* The geographical designations employed in this document do not imply the expression of any opinion whatsoever on the part of the CITES Secretariat or the United Nations Environment Programme concerning the legal status of any country, territory, or area, or concerning the delimitation of its frontiers or boundaries. The responsibility for the contents of the document rests exclusively with its author.

- c) *distribute final report and materials to the Parties if endorsed by the Animals and Standing Committees.*

**Directed to the Animals Committee**

16.65 *The Animals Committee, at its 27th meeting, shall review the report and provide recommendations to the Standing Committee.*

**Directed to the Standing Committee**

16.66 *The Standing Committee, at its 65th meeting, shall:*

- a) *review the report and the recommendations of the Animals Committee and make its own recommendations to the Parties concerned and the Conference of the Parties; and*
- b) *consider proposing amendments to Resolution Conf. 12.8 (Rev. CoP13) or Resolution Conf. 14.3, or proposing a new resolution to provide a process for reviewing the implementation of CITES for specific examples of trade in specimens that are claimed to be produced via captive breeding or ranching.*

3. In addition, CoP16 decided that the following two decisions should remain in effect:

**Directed to the Secretariat**

15.52 *The Secretariat shall:*

- a) *contingent on the availability of external funds, contract an appropriate expert to prepare a guide to advise the Parties on the appropriate use of source codes;*
- b) *provide a draft of this guide to the Animals and Plants Committees for review and comment; and*
- c) *prepare and distribute the final product, incorporating the feedback of the Animals and Plants Committees, to inform the Parties on the appropriate use of source codes.*

**Directed to the Animals and Plants Committees**

15.53 *The Animals and Plants Committees shall review and provide feedback to the Secretariat on the draft guide to advise the Parties on the appropriate use of source codes.*

4. The background relating to the work undertaken in relation to Decision 16.63 has been presented by the Secretariat in document SC65 Doc. 34.1.
5. The Animals Committee discussed the implementation of the Convention relating to captive-bred and ranched specimens and the implementation of Decision 16.65 at its 27th meeting (Veracruz, 2014) and it:
- a) endorsed the conclusions of the TRAFFIC report in Annex 1 of AC27 Doc. 17 and noted that the reports of both TRAFFIC and UNEP-WCMC [Annex 2 of AC27 Doc. 17] identify many of the common themes and challenges with respect to trade in specimens derived from captive-production systems.
  - b) noted that the issues identified in the reports might have a range of implications for conservation of wild populations but that these issues require greater analysis.
  - c) recognized that in considering mechanisms to mitigate the issues identified, there were two separate issues: i) where source codes were being incorrectly applied and ii) where source codes were being deliberately mis-used to enable trade in specimens which might not otherwise be permitted. As these are separate issues, they call for separate and distinct actions.

i) Incorrect application of source codes

The Committee:

1. agreed that, with respect to Decision 15.52, there is no need to seek to modify the number or definitions of the source codes currently available;

2. emphasised, therefore, that implementation of Decision 15.52 remains a high priority to help Parties to determine the correct source code to apply to specimens derived from captive production systems.
3. advised the Secretariat, when commissioning the report required under Decision 15.52, that it should ensure that the guide commissioned under this Decision should provide examples of the full range of different captive production systems and advise on the correct source code which should be applied to each;
4. noted that the implementation of other Decisions related to captive breeding and other production systems (such as Decisions 16.63 a) vii) and Decision 16.102 f) i) would also assist Parties in interpreting and applying source codes for such systems.

ii) Deliberate mis-use of source codes

The Committee agreed:

1. that a mechanism is required, under the Convention, to enable concerns regarding the potential mis-use of source codes for specimens derived from captive production systems to be investigated and for measures to be taken in a timely manner to ensure compliance with the Convention;
  2. that revision of existing mechanisms should be considered as well as new mechanisms;
- d) established an inter-sessional working group in order to complete the tasks directed to it under Decision 16.65 i.e. to:
- i) consider in more detail the conservation implications of the concerns identified with respect to specimens claimed to be derived from captive production systems;
  - ii) consider and review additional outputs arising from Decision 16.63 as they become available;
  - iii) liaise with, and take account of, the outcome of other Animals Committee working groups also addressing issues related to captive production systems;
  - iv) consider means and criteria by which regular monitoring and analysis of trade data can be used to identify cases where trade in specimens reported to be produced in captive production systems suggests there are concerns which require further analysis and consideration;
  - v) consider possible mechanisms to address concerns identified with deliberate mis-use of source codes for specimens reported to be derived from captive production systems and suggest options to address these, noting that the emphasis should be, where feasible, on using or amending existing mechanisms available under the Convention rather than creating new mechanisms; and
  - vi) provide a report to the 28th Animals Committee detailing the conclusion of their work.
6. The Animals Committee advises the Standing Committee that it:
- a) has not been able to complete its tasks in full under Decision 16.65 as not all the outputs of Decision 16.63 were available to it at its 27th meeting;
  - b) will continue to work inter-sessionally to complete the tasks required of it in order to conclude its work by its 28th meeting and so provide a full report to the 66th meeting of the Standing Committee;
  - c) has concluded, in the interim, that a mechanism is required under the Convention to address concerns arising from the trade in specimens reported to be produced in captivity;
  - d) will provide recommendations to the Standing Committee on potential measures that could be adopted to identify and address issues of concern; and

- e) agreed that, with respect to Decision 15.52, there is no need to seek to modify the number or definition of the source codes currently available.

Recommendation

7. The Standing Committee is invited to note the progress made by the Animals Committee in the implementation of Decision 16.65.