

# Conf. 12.10 (Rev. CoP15)\*

## Registration of operations that breed Appendix-I animal species in captivity for commercial purposes

RECALLING Resolution Conf. 8.15, adopted by the Conference of the Parties at its eighth meeting (Kyoto, 1992) and Resolution Conf. 11.14, adopted at its 11th meeting (Gigiri, 2000);

RECOGNIZING that Article VII, paragraph 4, of the Convention provides that specimens of Appendix-I animal species bred in captivity for commercial purposes shall be deemed to be specimens of species included in Appendix II;

RECOGNIZING also that the provisions of Article III of the Convention remain the basis for permitting trade in specimens of Appendix-I species of animals that do not qualify for the exemptions of paragraphs 4 and 5 of Article VII;

NOTING that import of wild-caught specimens of Appendix-I species for purposes of establishing a commercial captive-breeding operation is precluded by Article III, paragraph 3 (c), as explained further in Resolution Conf. 5.10 (Rev. CoP15), adopted by the Conference of the Parties at its fifth meeting (Buenos Aires, 1985) and amended at its 15th meeting (Doha, 2010);

RECALLING that Resolution Conf. 10.16 (Rev.), adopted by the Conference of the Parties at its 10th meeting (Harare, 1997) and amended at its 11th meeting, establishes the definition of 'bred in captivity' and provides the basis for determining whether or not an operation is eligible to be considered for registration;

NOTING that, in accordance with Article VII, paragraph 5, the import of specimens of Appendix-I species bred in captivity not for commercial purposes that are covered by a certificate of captive breeding does not require the issuance of an import permit and may therefore be authorized whether or not the purpose is commercial;

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. DETERMINES that the term 'bred in captivity for commercial purposes', as used in Article VII, paragraph 4, shall be interpreted as referring to any specimen of an animal bred to obtain economic benefit, whether in cash or otherwise, where the purpose is directed toward sale, exchange or provision of a service or any other form of economic use or benefit;
2. AGREES that the exemption of Article VII, paragraph 4, should be implemented through the registration by the Secretariat of operations that breed specimens of Appendix-I species in captivity for commercial purposes;
3. AGREES to the following procedure to register a captive-breeding operation for each Appendix-I listed animal species bred for commercial purposes;
4. AGREES also that determination of whether or not to apply the exemptions in Article VII, paragraph 4, for the export of specimens of Appendix-I animals bred in captivity for commercial purposes remains the responsibility of the Management Authority of the exporting Party on the advice of the Scientific Authority that each operation complies with the provisions of Resolution Conf. 10.16 (Rev.);
5. RESOLVES that:
  - a) an operation may only be registered according to the procedure in this Resolution if specimens produced by that operation qualify as 'bred in captivity' according to the provisions of Resolution Conf. 10.16 (Rev.);
  - b) the first and major responsibility for approving captive-breeding operations under Article VII, paragraph 4, shall rest with the Management Authority of each Party, in consultation with the Scientific Authority of that Party;

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\* Amended at the 13th, 14th and 15th meetings of the Conference of the Parties.

- c) the Management Authority shall provide the Secretariat with appropriate information to obtain, and to maintain, the registration of each captive-breeding operation as set out in Annex 1;
- d) the Secretariat shall notify all Parties of each application for registration following the procedure set out in Annex 2;
- e) Parties shall implement the provisions of Article IV of the Convention with respect to specimens of species included in Appendix I originating from operations that breed such specimens in captivity for commercial purposes;
- f) registered captive-breeding operations shall ensure that an appropriate and secure marking system is used to clearly identify all breeding stock and specimens in trade, and shall undertake to adopt superior marking and identification methods as these become available;
- g) the Management Authority, in collaboration with the Scientific Authority, shall monitor the management of each registered captive-breeding operation under its jurisdiction and advise the Secretariat in the event of any major change in the nature of an operation or in the type(s) of products being produced for export;
- h) any Party within whose jurisdiction an operation is registered may unilaterally request the removal of that operation from the Register without reference to other Parties by so notifying the Secretariat, and, in this case, the operation shall be removed immediately;
- i) any Party believing that a registered operation does not comply with the provisions of Resolution Conf. 10.16 (Rev.) may, after consultation with the Secretariat and the Party concerned, propose to the Standing Committee that this operation be deleted from the Register. At its following meeting, the Standing Committee shall, considering the concerns raised by the objecting Party and any comments from the Registering Party and the Secretariat, determine whether the operation should be deleted from the register. If so deleted, such an operation may only be reinstated in the Register by satisfying the procedure outlined in Annex 2; and
- j) the Management Authority shall satisfy itself that the captive-breeding operation will make a continuing meaningful contribution according to the conservation needs of the species concerned;

6. URGES that:

- a) Parties, prior to the establishment of captive-breeding operations for exotic species, undertake an assessment of the ecological risks, in order to safeguard against any negative effects on local ecosystems and native species;
- b) Management Authorities work closely with captive-breeding operations to prepare the information required in Annex 1 of this Resolution, or establish a support group with members representing breeders and government in order to facilitate the procedure; and
- c) Parties provide incentives to their captive-breeding operations to register, such as faster processing of permit applications, issuance of a formal certificate of approval as an internationally registered breeding operation, or possibly reduced export permit fees;

7. ENCOURAGES:

- a) Parties to provide simple application forms and clear instructions to operations that wish to be registered (a sample application form is provided in Annex 3); and
- b) importing countries to facilitate import of Appendix-I species from registered captive-breeding operations;

8. AGREES further that:

- a) Parties shall restrict imports for primarily commercial purposes, as defined in Resolution Conf. 5.10 (Rev. CoP15), of captive-bred specimens of Appendix-I species to those produced by operations included in the Secretariat's Register and shall reject any document granted under Article VII, paragraph 4, if the specimens concerned do not originate from such an operation and if the document does not describe the specific identifying mark applied to each specimen; and

- b) comparable documentation granted in accordance with the Convention by States that are not Parties to the Convention shall not be accepted by Parties without prior consultation with the Secretariat; and
9. REPEALS the Resolutions listed hereunder:
- a) Resolution Conf. 8.15 (Kyoto, 1992) – *Guidelines for a procedure to register and monitor operations breeding Appendix-I animal species for commercial purposes*; and
  - b) Resolution Conf. 11.14 (Gigiri, 2000) – *Guidelines for a procedure to register and monitor operations that breed Appendix-I animal species for commercial purposes*.
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## **Annex 1**

### **Information to be provided to the Secretariat by the Management Authority on operations to be registered**

1. Name and address of the owner and manager of the captive-breeding operation.
2. Date of establishment.
3. Appendix-I species proposed for registration.
4. Numbers and ages (if known or appropriate) of males and females that comprise the parental breeding stock.
5. Evidence that the parental stock has been obtained in accordance with relevant national measures and the provisions of the Convention (e.g. dated capture permits or receipts, CITES documents, etc.).
6. Current stock (numbers, by sex and age, held in addition to the parental breeding stock above).
7. Information on the percentage mortalities, if possible reported by age and sex.
8. Documentation showing either:
  - a) that the operation has bred at least two generations of the species and a description of the method used; or
  - b) if the operation has only bred one generation of the species, that the husbandry methods used are the same as, or similar to, those that have resulted in second-generation offspring in other operations.
9. Past, current and expected annual production of offspring and, where possible, information on:
  - a) the number of females producing offspring each year; and
  - b) unusual fluctuations in the annual production of offspring (including an explanation of the probable cause).
10. An assessment of the anticipated need for, and source of, additional specimens to augment the breeding stock to increase the genetic pool of the captive population in order to avoid any deleterious inbreeding.
11. Type of product exported (e.g. live specimens, skins, hides, other body parts, etc.).
12. Detailed description of the marking methods (e.g. bands, tags, transponders, branding, etc.) used for the breeding stock and offspring and for the types of specimens (e.g. skins, meat, live animals, etc.) that will be exported.
13. Description of the inspection and monitoring procedures to be used by the CITES Management Authority to confirm the identity of the breeding stock and offspring and to detect the presence of unauthorized specimens held at or exported by the operation, or being exported.

14. Description of the facilities to house the current and expected captive stock, including security measures to prevent escapes and/or thefts. Detailed information should be provided on the number and size of breeding and rearing enclosures, tanks, ponds, egg incubation capacity, food production or supply, availability of veterinary services and record-keeping.
  15. Description of the strategies used or activities conducted by the breeding operation to contribute to the conservation of wild population(s) of the species.
  16. Assurance that the operation shall be carried out at all stages in a humane (non-cruel) manner.
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## **Annex 2      Procedure to be followed by the Secretariat before registering new operations**

1. For all applications:
    - a) review each application for registration to verify that it meets the requirements of Annex 1;
    - b) notify all Parties of each application for registration and provide full information (specified in Annex 1) on the operation to any Party that requests it; and
    - c) publish with the Notifications to the Parties proposing new captive-breeding operations to be added to the Register, details of the specific marking method (and the identifying codes or prefixes, where possible) used by the captive-breeding operation.
  2. Any Party wishing to do so must object to the registration of an operation within a period of 90 days from the date of notification by the Secretariat. Objections may be made if they are directly related to the application or species under consideration, and if they are fully documented and include the supporting evidence that has given rise to concerns.
  3. If any Party objects to the registration, the Secretariat shall refer the documentation to the Animals Committee to review the objection. The Animals Committee shall comment on the objection within 60 days. The Secretariat shall forward the comments made by the Animals Committee to the Parties concerned and allow a further 30 days for resolution of the identified problem(s).
  4. If the objection is not withdrawn or the identified problem(s) not resolved within the 30-day period, the application shall be submitted to the Standing Committee at its following regular meeting.
    - a) If the Committee considers the objection trivial or ill-founded, it shall reject it and the application shall be accepted.
    - b) If the Committee considers the objection justified, it shall review the response of the applying Party and decide whether or not to accept the application.
  5. When satisfied that an application meets all requirements in Annex 1, the Secretariat shall publish the name and other particulars of the operation in its Register.
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**1. CONTACT DETAILS**

Indicate the name and address of the owner and manager of the captive-breeding operation.

<b>Name of owner:</b>		
<b>Name of manager (if different from owner):</b>		
<b>Name of captive-breeding operation:</b>		
<b>Street and number:</b>		
<b>City:</b>	<b>Postcode:</b>	<b>State / province:</b>
<b>Country:</b>		
<b>Tel.:</b>	<b>Fax:</b>	<b>Email:</b>
<b>Website:</b>		

**2. DATE OF ESTABLISHMENT: .....****3. SPECIES BRED**

Indicate the Appendix-I species proposed for registration.

Scientific name	Common name (if applicable)

**4. PARENTAL BREEDING STOCK**

Indicate the numbers and ages (if known or appropriate) of males and females that comprise the parental breeding stock.

Species	Name of specimen (if applicable)	Identification number of specimen (band, tag, microchip. etc.)	Sex	Age (if known or appropriate)
<b>Total number(s):</b>				

**5. PROOF OF LEGAL ACQUISITION**

Provide evidence that the parental stock has been obtained in accordance with relevant national measures and the provisions of the Convention (e.g. dated capture permits or receipts, CITES documents, etc.).

*(Attach copies of supporting documents to the application form)*

**6. OTHER STOCK**

Indicate the current stock (numbers, by sex and age, held in addition to the parental breeding stock above).

Species (only list those proposed for registration)	Name of specimen (if applicable)	Identification number of specimen (band, tag, microchip. etc.)	Sex	Age
<b>Total number(s):</b>				

**7. MORTALITY RATE**

Provide information on the mortality rate, if possible reported by age and sex.

Year	Mortality rate (%)	Age or age group	Sex

**8. REPRODUCTION**

Provide documentation showing either:

a) that the operation has bred at least two generations of the species and a description of the method used; <b>or</b>	
b) if the operation has only bred one generation of the species, that the husbandry methods used are the same as, or similar to, those that have resulted in second-generation offspring in other operations.	

*(Attach supporting documentation to the application form as necessary)*

## 9. ANNUAL PRODUCTION

Indicate the past, current and expected annual production of offspring and, where possible, information on:

- a) the number of females producing offspring each year; and
- b) unusual fluctuations in the annual production of offspring (including an explanation of the probable cause).

Year	Number of offspring (including expected annual production)	Number of females producing offspring	Explanation for unusual fluctuations

## 10. NEED FOR ADDITIONAL SPECIMENS

Provide an assessment of the anticipated need for, and source of, additional specimens to augment the breeding stock to increase the genetic pool of the captive population in order to avoid any deleterious inbreeding.	
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## 11. TYPE OF PRODUCT EXPORTED

Indicate the type of product exported (e.g. live specimens, skins, hides, other body parts, etc.).	
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## 12. MARKING METHODS

Describe in detail the marking methods (e.g. bands, tags, transponders, branding, etc.) used for the breeding stock and offspring and for the types of specimens (e.g. skins, meat, live animals, etc.) that will be exported.

Specimens	Marking methods
Breeding stock	
Offspring	
Exported specimen (one line per type of specimen)	

### 13. INSPECTION AND MONITORING PROCEDURES

Describe the inspection and monitoring procedures to be used by the CITES Management Authority to confirm the identity of the breeding stock and offspring and to detect the presence of unauthorized specimens held at or exported by the operation, or being exported.	
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### 14. FACILITIES

Describe the facilities to house the current and expected captive stock, including security measures to prevent escapes and/or thefts. Provide detailed information on the number and size of breeding and rearing enclosures, tanks, ponds, egg incubation capacity, food production or supply, availability of veterinary services and record-keeping.

<b>Facilities to house the current and expected captive stock</b>	
<b>Security measures</b>	
<b>Number and size of breeding and rearing enclosures, tanks or ponds</b>	
<b>Egg incubation capacity (if applicable)</b>	
<b>Food production or supply</b>	
<b>Availability of veterinary services</b>	
<b>Record-keeping</b>	

### 15. CONSERVATION

Describe the strategies used or activities conducted by the breeding operation to contribute to the conservation of wild population(s) of the species.	
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### 16. ANIMAL TREATMENT

Describe how the operation is carried out at all stages to ensure that animals are treated in a humane (non-cruel) manner.	
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