

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



Seventy-eighth meeting of the Standing Committee
Geneva (Switzerland), 3–8 February 2025

Regulation of trade

Exemptions and special trade provisions

Resolution Conf. 12.10 (Rev. CoP15) on
Registration of operations that breed Appendix-I species in captivity for commercial purposes

REVIEW OF RESOLUTION CONF. 12.10 (REV. CoP15)

1. This document has been submitted by the United States of America as Chair of the Standing Committee intersessional working group on *Review of Resolution Conf. 12.10 (Rev. CoP15) on Registration of operations that breed Appendix-I animal species in captivity for commercial purposes.**

Background

2. At its 19th meeting (CoP19; Panama City, 2022), the Conference of the Parties adopted Decision 19.181 directed to the Standing Committee on *Review of Resolution Conf. 12.10 (Rev. CoP15) on Registration of operations that breed Appendix-I animal species in captivity for commercial purposes*, as follows:

The Standing Committee shall, taking into consideration document CoP19 Doc. 55, review the application of Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes*, for situations where there is a change in the nature of the operation, or in the types of products being produced for export, and other matters raised in document CoP19 Doc. 55 as appropriate, and provide its recommendations to the 20th meeting of the Conference of the Parties.

3. At its 76th meeting, the Standing Committee established an intersessional working group (see Document SC76 SR) with the following mandate:

Taking into consideration document CoP19 Doc. 55, review the application of Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes*, for situations where there is a change in the nature of the operation, or in the types of products being produced for export, and other matters raised in document CoP19 Doc. 55 as appropriate, and provide its recommendations to the Standing Committee.

4. The membership of the working group comprises:

Parties: Armenia, Bahrain, Benin, Botswana, Brazil, Canada, China, Colombia, Czech Republic, Democratic Republic of the Congo, European Union, Georgia, Germany, Ghana, India, Indonesia, Israel, Kenya, Liberia, Malaysia, Mexico, Namibia, Peru, Slovakia, South

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.

Africa, Spain, Togo, Tonga, United Kingdom of Great Britain and Northern Ireland, United States of America (Chair), Zimbabwe

Observers: World Conservation Monitoring Centre of the United Nations Environment Programme (UNEP-WCMC); International Union for Conservation of Nature (IUCN); Animal Welfare Institute (AWI), Association of Zoos and Aquariums (AZA), Born Free Foundation, Center for Biological Diversity, China Biodiversity Conservation and Green Development Foundation, IWMC-World Conservation Trust, Lewis & Clark – Global Law Alliance, Natural Resources Defense Council (NRDC), Panthera, Parrot Breeders Association of Southern Africa (PASA), Pet Industry Joint Advisory Council Canada (PIJAC Canada), Sustainable Use Coalition, Southern Africa, TRAFFIC, Wildlife Conservation Society (WCS), Wildlife Ranching South Africa (WRSA), World Wide Fund for Nature (WWF), Zoo and Aquarium Association Australasia

Interim report to SC77

5. The working group Chair solicited and received initial views of the members of the working group, and based on the initial consultations with the working group, the Chair prepared an interim report that provided an update on the progress of the working group for consideration by the Standing Committee at its 77th meeting (SC77; Geneva, November 2023), as described in detail in document SC77 Doc. 59.
6. Document SC77 Doc. 59 noted that a variety of views were expressed, including additional reflections and perspectives from those raised at CoP19. Working group members generally supported clarifying what constitutes a major change in the nature of an operation. Working group members generally also agreed that the particulars of a registered operation published by the Secretariat in the *Register* on the CITES website should include the type of product(s) being produced for export as specified in the application, in addition to other details the Secretariat currently includes in the *Register*. There was little support among working group members for, and some opposition to, a re-registration process, some support for a new Annex and amendment process for major changes, and one Party that supported an approval period timeframe (perhaps 6 years) after which all registered operations would automatically expire unless renewed. Instead, discussions had begun over simpler alternatives to increase the transparency of changes to products produced for export and other major changes, while avoiding substantial revisions to the Annexes to Resolution Conf. 12.10 (Rev. CoP15) or adding additional Animals Committee review processes. Discussions had also begun over whether certain products may be excluded from the registration by the Management Authority of the exporting country or by the Standing Committee, rather than the *Register* listing products produced for export. Regarding paragraph 5. j), a simpler phrasing was also suggested to consider the effects of a captive breeding operation on enforcement of the Convention, while the original phrasing proposed in document CoP19 Doc. 55 received limited support and some opposition.

The Committee was invited to note the interim report of the working group and provide any advice or comments on the document or process to date.

7. At SC77, several Committee members and Parties expressed support for streamlining and simplifying the process initially recommended in document CoP19 Doc. 55 related to major changes in the nature of operations or in the type(s) of products being produced for export, to avoid unnecessary disturbance on trade. The European Union reiterated its position that a re-registration process should only be required if changes to an operation could undermine the operation's ability to meet the requirements of Resolution Conf. 12.10 (Rev. CoP15). Several non-Party observers recommended that the Standing Committee emphasize the importance of identifying the specific species, specimens or products approved for export in the *Register*; develop and agree to a comprehensive definition of what is understood by 'major changes;' and enact safeguards to ensure that trade from registered operations will not negatively affect efforts to address illegal trade. The Committee noted the interim report contained in document SC77 Doc. 59 and the comments made during the plenary discussions.

Further discussions following SC77

8. Following SC77, the Chair sought additional feedback from working group members on what constitutes a major change in the nature of an operation; information to be included in the *Register*; process relating to major changes in the nature of an operation or in the type(s) of products being produced for export; and continuing meaningful contribution according to the conservation needs of the species concerned.

9. Responses were received from 8 Parties (Canada, the European Union, Germany, Israel, Mexico, Spain, United Kingdom, and United States) and non-Party observer members AZA, Lewis & Clark (on behalf of Born Free Foundation, Animal Welfare Institute, Center for Biological Diversity, Environmental Investigation Agency, Natural Resources Defense Council, and Lewis & Clark), Parrot Breeders Association of Southern Africa, WCS, and WWF.
10. In the feedback received, the working group members generally supported including a narrow illustrative list of what constitutes a major change in the nature of an operation and agreed that Resolution Conf. 12.10 (Rev. CoP15) should note the information to be included in the *Register* as provided by the Management Authority of the Party within whose jurisdiction an operation is registered. The perspectives of working group members diverged regarding any process to be followed relating to major changes in the nature of an operation or in the type(s) of products being produced for export. Additionally, working group members noted that the Standing Committee at SC77 directed the Secretariat to prepare draft elements of guidance on standardized and objective criteria to implement the requirement stated in paragraph 5 j) of Resolution Conf. 12.10 (Rev. CoP15) to assist Management Authorities in making the findings about the continuing meaningful contribution that the captive-breeding operation will make to the conservation needs of the species concerned and report to its 78th meeting (SC78; Geneva, February 2025).
11. In an effort to conclude the working group's deliberations and develop a set of reasonable proposed amendments to Resolution Conf. 12.10 (Rev. CoP15), the Chair initiated a final consultation with working group members to solicit feedback on three outstanding issues from the prior rounds of discussions, as follows:
 - whether, like a Management Authority, the Standing Committee should expressly have the ability to consider concerns about types of products produced for export, while also providing the Standing Committee the express authority to take a lesser action than deletion of an entire operation, when appropriate;
 - whether the Standing Committee should be able to consider whether a facility registered under Resolution Conf. 12.10 continues to meet Resolution Conf. 12.10; and
 - whether to address matters of illegal trade and enforcement in paragraph 5. j) and further guidance on current paragraph 5. j).
12. The Chair also sought working group feedback on several specific suggested amendments to Resolution Conf. 12.10 (Rev. CoP15), based on previous contributions and recommendations from working group members, as follows:
 - regarding paragraph 5. g), include an illustrative list of examples of what constitutes a major change in the nature of an operation;
 - a new subparagraph under paragraph 5., directing the Secretariat to note in the *Register* updated information received pursuant to paragraph 5. g).;
 - a new subparagraph under paragraph 5 directing the Secretariat to publish details of each registered breeding operation in the *Register*, including contact details and types of products as reported to it by the Management Authority; any products excluded from the registration by the Management Authority or Standing Committee, origin of breeding stock, and marking methods.
 - several amendments to clarify that an initial registration request may exclude specific products from export for the operation, and the process by which a registered operation may be amended to amend or exclude certain products from the registration.
13. In response to the Chair's request for reactions and feedback, responses were received from 5 Parties (Canada, the European Union, Germany, Mexico, and the United States), and non-Party observer members AZA, Born Free Foundation (on behalf of Born Free Foundation, Animal Welfare Institute, Center for Biological Diversity, and Lewis & Clark), Parrot Breeders Association of Southern Africa, TRAFFIC, WCS, and WWF.

Overview

14. Working group members generally supported the suggested text amendments to Resolution Conf. 12.10 (Rev. CoP15), with some amendments. As with the previous round of discussions, working group members supported suggestions to improve the application of the Resolution for the benefit of Appendix-I animals, while also balancing administrative burden with efficacy. Two working group members expressed concern regarding any further consideration of an amendment to the products produced for export by an already registered operation. Specifically, the concern was that once a registered operation demonstrates that it can legally, sustainably, and traceably breed species in captivity in accordance with CITES requirements, and demonstrates its contribution to the conservation of the species, it should be allowed to trade any specimens derived from the species, except those determined by the registering Party as ineligible for export. Other working group members noted certain types of products might pose a greater enforcement risk or risk of laundering.
15. It was recalled that trade in different types of specimens of the same species can have different implications for the conservation of the species, as the Conference of the Parties has found a variety of specific products of Appendix-I species that are particular drivers of poaching and illegal trade in certain Appendix-I species, and the Parties have expended significant effort and resources over the years to combat trafficking in and reducing demand for such products. Without effective controls, such products can raise specific concerns relating to legality and sustainability. In the case of some of these products, effective traceability mechanisms and controls have been established. However, for others, effective traceability mechanisms and controls have not been developed to ensure wild specimens and specimens bred in captivity for commercial purposes are readily distinguishable. At the same time, a number of valid concerns were raised as to what the scope of any challenge to a product might be, and whether there would be any threshold applied to ensure the robustness of any challenge and reduce the risk of challenges with little merit. Consequently, clearer criteria were recommended for the type of concerns that merit a challenge either to an entire registration or to specific products. It was emphasized that any challenge only occurs after consultation with both the Party concerned and the Secretariat, and thus in most cases there should be opportunities to address any issues without need for intervention by the Standing Committee, but the process in paragraph 5. i) exists for exceptional cases. It was suggested that relevant information may be considered (for example, from other Parties or scientific experts to help resolve questions of the legality of breeding stock; detrimental or beneficial effects of the trade on the species in the wild; the capacity to distinguish certain specimens; the capacity to produce certain quantities of specimens with existing breeding stock without offtake from the wild; etc.). Several working group members emphasized the need for an evidence-based approach to registration and the process in paragraph 5. i).
16. There also continued to be divergence among members over whether the Standing Committee should be able to consider concerns about whether a facility registered under Resolution Conf. 12.10 (Rev. CoP15) continues to meet Resolution Conf. 12.10 (Rev. CoP15) in the paragraph 5 i) process. A compromise was suggested to address concerns that referring to the Resolution in its entirety could be open to differing interpretations of Article VII.4 and the Resolution that are still under discussion through other processes, and not specifically linked to the original registration requirements as outlined in the Resolution.
17. While there was not unanimous support among the working group members, the working group agreed to the compromise suggested amendments outlined below (with suggested new text shown underlined).

Concerning proposed amendments to paragraph 5. g)

18. While there was generally broad support from working group members to the Chair's suggested edits to paragraph 5. g), there were some concerns raised. In particular, some members again reiterated their position that a "major change in the nature of an operation" should be limited to a change that results in the operation no longer meeting the criteria for registration. Noting that the suggested amendments did not receive unanimous support from working group members, based on a consideration of all working group comments and perspectives, the working group proposes the following compromise text to amend paragraph 5. g):

5. *RESOLVES that:*

- 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 (e.g., major change in*

breeding stock; change in marking methods; major change in breeding methods; etc.) or in the type(s) of products being produced for export;

Concerning a new subparagraph under paragraph 5. regarding updates to the Register

19. Working group supported a new subparagraph under paragraph 5. as follows:

5. *RESOLVES that:*

#) the Secretariat shall note in the Register updated information received from a Management Authority pursuant to paragraph 5 g).

Concerning a new subparagraph under paragraph 5. to clarify information published in the Register

20. The working group agreed to specify the information the Secretariat should include in the Register. In doing so, working group members emphasized that contact details for a registered operation shared with the Secretariat for publication should comply with domestic law and recommend the following new subparagraph under paragraph 5:

5. *RESOLVES that:*

#) the Secretariat shall publish the Register of operations that breed Appendix-I animal species in captivity for commercial purposes on the CITES website including the following information: code; name of operation; contact details reported by the Management Authority consistent with domestic law; date of establishment; date of CITES registration for each Appendix-I species registered; Appendix-I species registered; type(s) of products being produced for export reported by the Management Authority; any exclusions of products from the registration for the operation by the Management Authority or Standing Committee; origin of breeding stock; and marking methods.

However, the working group did not reach consensus on whether the Standing Committee has the authority to decide on less than complete inclusion of or less than complete removal of a registered operation, with respect to specific types of products of an Appendix-I species a registered facility may or may not export under the exception for commercial trade.

Regarding Annex 1 Question 11

21. The working group agreed to suggest a revision to Question 11 in Annex 1 (Information to be provided to the Secretariat by the Management Authority on operations to be registered) to request Parties specify any products excluded from export for the operation, where applicable, as follows:

Question 11: Type of product exported (e.g. live specimens, skins, hides, other body parts, etc.) and any products specifically excluded from export for the operation.

Regarding paragraph 5. h) to amend a registered operation

22. The working group agreed to acknowledge the authority of a Party within whose jurisdiction an operation is registered to amend a registration to reduce its scope, by suggesting the following amendment to paragraph 5. h):

5. *RESOLVES that:*

h) any Party within whose jurisdiction an operation is registered may unilaterally request the removal of that operation from the Register or amendment to exclude products from the registration for that operation without reference to other Parties by so notifying the Secretariat, and, in this case, the operation shall be removed or amended immediately;

Regarding paragraph 5. i)

23. The working group agreed to compromise language to amend paragraph 5. i) to ensure a transparent, evidence-based set of standards in the exceptional case where a Party has reason to believe a registered operation does not comply with the provisions of Resolution Conf. 10.16 (Rev. CoP19) or the original

conditions for registration, and also to allow a Party to propose less than complete removal of a registered operation, following consultation with the Secretariat and the Party concerned, as follows:

5. *RESOLVES that:*

- i) *any Party believing that a registered operation does not comply with the provisions of Resolution Conf. 10.16 (Rev. CoP19) or the original conditions for registration of the operation may, after consultation with the Secretariat and the Party concerned, propose to the Standing Committee that the operation be deleted from the Register or amended to exclude or amend the type(s) of products from the registration for the operation, based on documented, evidence-based concerns. At its following meeting, the Standing Committee shall, considering the concerns raised by the objecting Party, any other relevant information (documented evidence), and any comments from the Registering Party and the Secretariat, determine whether the operation should be deleted from the register or amended to exclude or amend the type(s) of products from the registration for the operation, if the objection is justified; or whether to reject the objection. If so deleted or amended, such an operation may only be reinstated in the Register or re-amended by satisfying the procedure outlined in Annex 2; and*

However, the working group did not reach consensus on whether the Standing Committee has the authority to decide on less than complete inclusion of or less than complete removal of a registered operation, with respect to specific types of products of an Appendix-I species a registered facility may or may not export under the exception for commercial trade. Additionally, some working group members expressed a preference for including language to clarify that concerns regarding an operation's compliance with the provisions of Resolution Conf. 10.16 (Rev. CoP19) or the original conditions for registration of the operation may relate to legality, sustainability, or traceability, but there was not consensus on this point in the working group.

24. The working group notes that the Animals Committee at its 33rd meeting (AC33; Geneva, July 2024), considered the Secretariat's Document AC33 Doc. 26, and that AC33 supported a draft amendment to paragraph 5 j) of Resolution Conf. 12.10 (Rev. CoP15) to be submitted to the Standing Committee for its consideration:

5. *RESOLVES that:*

- j) *the Management Authority, in collaboration with the Scientific Authority, shall satisfy itself that the captive-breeding operation will make a continuing meaningful contribution according to the conservation needs of the species concerned;*

The working group anticipates that the draft amendment will be submitted to SC78 by the Secretariat, as directed by the Animals Committee, and that any amendments or guidance relating to paragraph j) would be most likely to be informed by those discussions.

Recommendations

25. The Standing Committee is invited to:

- a) note this report of the working group;
- b) consider whether the work under Decision 19.181 is complete;
- c) consider the amendments to Resolution Conf. 12.10 (Rev. CoP15) as contained in paragraphs 18-23 to the present document (and in the Annex to the present document for ease of reference); and
- d) submit its recommendations to the Conference of the Parties for consideration at its 20th meeting.

PROPOSED AMENDMENTS TO RESOLUTION CONF. 12.10 (REV. COP15) ON
*REGISTRATION OF OPERATIONS THAT BREED APPENDIX-I ANIMAL SPECIES
IN CAPTIVITY FOR COMMERCIAL PURPOSES*

New text is underlined and deleted text is in ~~strike through~~

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. CoP19)¹, adopted by the Conference of the Parties at its fifth meeting (Buenos Aires, 1985) and amended at its 15th and 19th meetings (Doha, 2010; Panama City, 2022);

RECALLING that Resolution Conf. 10.16 (Rev. CoP19)², adopted by the Conference of the Parties at its 10th meeting (Harare, 1997) and amended at its 11th and 19th meetings (Gigiri, 2000; Panama City, 2022), 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. CoP19);
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. CoP19);

¹ Corrected by the Secretariat following the 19th meeting of the Conference of the Parties.

² Corrected by the Secretariat following the 19th meeting of the Conference of the Parties.

- 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;
- 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 (e.g., major change in breeding stock; change in marking methods; major change in breeding methods; etc.) or in the type(s) of products being produced for export;
- h) the Secretariat shall publish the Register of operations that breed Appendix-I animal species in captivity for commercial purposes on the CITES website including the following information: code; name of operation; contact details reported by the Management Authority consistent with domestic law; date of establishment; date of CITES registration for each Appendix-I species registered; Appendix-I species registered; type(s) of products being produced for export reported by the Management Authority; any exclusions of products from the registration for the operation by the Management Authority or Standing Committee; origin of breeding stock; and marking methods;
- hi) any Party within whose jurisdiction an operation is registered may unilaterally request the removal of that operation from the Register or amendment to exclude products from the registration for that operation without reference to other Parties by so notifying the Secretariat, and, in this case, the operation shall be removed or amended immediately;
- j) the Secretariat shall note in the Register updated information received from a Management Authority pursuant to paragraph 5 g);
- ik) any Party believing that a registered operation does not comply with the provisions of Resolution Conf. 10.16 (Rev. CoP19) or the original conditions for registration of the operation may, after consultation with the Secretariat and the Party concerned, propose to the Standing Committee that the operation be deleted from the Register or amended to exclude or amend the type(s) of products from the registration for the operation, based on documented, evidence-based concerns. At its following meeting, the Standing Committee shall, considering the concerns raised by the objecting Party, any other relevant information (documented evidence), and any comments from the Registering Party and the Secretariat, determine whether the operation should be deleted from the register or amended to exclude or amend the type(s) of products from the registration for the operation, if the objection is justified; or whether to reject the objection. If so deleted or amended, such an operation may only be reinstated in the Register or re-amended by satisfying the procedure outlined in Annex 2; and
- jl) 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. CoP19), 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*.
-

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.) and any products specifically excluded from export for the operation.
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.

[NO CHANGES PROPOSED TO ANNEX 2]

1. CONTACT DETAILS

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

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

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)
Total number(s):				

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
Total number(s):				

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; 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.	

(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

<p>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.</p>	
--	--

11. TYPE OF PRODUCT EXPORTED

<p>Indicate the type of product exported (e.g. live specimens, skins, hides, other body parts, etc.) <u>and any products specifically excluded from export for the operation.</u></p>	
---	--

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.	
--	--

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.

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

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.	
--	--

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.	
--	--