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Application of CITES Source Codes - Key 2

IUCN

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1.0 Background and Introduction

The role of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) is to regulate international trade in CITES-listed animals and plants to ensure their survival in the wild is not threatened. To achieve this, it is important that management systems used to produce specimens for international trade are clearly defined and understood, and the impact of each regime on wild populations is appropriately assessed. Each system should have an associated source code to be used on CITES permits and certificates, which informs Parties about the management system used to produce specimens and thus which provisions of the Convention apply. For example, an animal that is born in the wild has the source code “W” for wild. There are ten source codes currently used to signify the origin of specimens of CITES-listed species in trade (explained in detail in Section 2.0). However, a diverse range of management systems are used by Parties, many of which are tailored to suit the biological characteristics of a particular species or environment, and source codes are subject to varying interpretations by Parties.

To assist Parties with the task of correctly applying source codes for exports of CITES species, Decision 15.52(a) from the Fifteenth Meeting of the CITES Conference of the Parties (Doha, Qatar, 13-25 March 2010) requested the CITES Secretariat to:

“...contract an appropriate expert to prepare a guide to advise the Parties on the appropriate use of source codes...to be provided to the Animals and Plants Committee for review and comment”.

<http://www.cites.org/sites/default/files/eng/cop/16/doc/E-CoP16-48.pdf>

The CITES Secretariat in turn commissioned the IUCN to carry out this task. This report is the result of this work and aims to guide CITES Parties in the appropriate application of source codes for specimens entering international trade.

2.0 Current source codes and production systems

The source code definitions used here are taken from the CITES website. For further explanation of terms please see the CITES Glossary: <http://www.cites.org/eng/resources/terms/glossary.php>

Source code	Description	CITES Appendix	Definition
W	Wild	I, II, III	Specimens taken from the wild.
X	Marine environment	I, II, III	Specimens taken from “ <i>the marine environment not under the jurisdiction of any State</i> ”.
R	Ranched animal	I, II, III	Specimens of animals reared in a controlled environment, taken as eggs or juveniles from the wild, where they would otherwise have had a very low probability of surviving to adulthood.
D	Captive-bred animal or artificially propagated plant	I	Appendix-I animals bred in captivity for commercial purposes in operations included in the Secretariat's Register, in accordance with Resolution Conf. 12.10 (Rev. CoP15) , and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions Article VII, paragraph 4 , of the Convention.
A	Artificially propagated plant	I, II, III	Plants that are artificially propagated in accordance with Resolution Conf. 11.11 (Rev. CoP15) , as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III).
C	Bred in captivity	I, II, III	Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.) , as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5.
F	Born in captivity	I, II, III	Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of ‘bred in captivity’ in Resolution Conf. 10.16 (Rev.) , as well as parts and derivatives thereof.
U	Unknown	I, II, III	Source of the specimen is unknown, but must be justified.
I	Confiscated or seized	I, II, III	Specimens that have been confiscated or seized, this source code must be used in conjunction with another source code.
O	Pre-Convention	I, II, III	Specimen acquired before the provisions of the Convention applied to it. If a certificate is issued by a Management Authority, then no other permit or certificate is required under the Convention to authorise export, import or re-export.

3.0 Source code dichotomous key

A source code dichotomous key was developed to assist Parties in correctly applying source codes for exports of CITES-listed specimens. Instructions on how to use the key are as follows:

1. For international trade in both plants and animals, including their parts and derivatives, begin at the bold “**question 1**” below on this page.
2. For each question answer either the “yes” or “no” to proceed to the next question box or until finishing with a source code.
3. Some boxes feature an asterisk that direct the user to further guidance (found in Sections 4.0 to 7.0) for determining source codes.
4. If still unsure which source code should be used for a particular specimen, consult the Chairs of the CITES Animals and Plants Committees and/or the CITES Chief of Scientific Services.
5. Also note there are several exemptions and special provisions that apply to CITES-listed specimens – **links to exemptions and special provisions are provided in Section 7.0 of this guidance.**

1. Is the species listed in the CITES Appendices (I, II or III)?

Yes go to question 2

No CITES export permit not required

2. Was the specimen acquired before the provisions of the Convention applied to it?

Yes SOURCE CODE O

No go to question 3

3. Was the animal confiscated OR seized? Exports subject to compliance with [Res. Confs. 10.7 \(Rev. CoP15\)](#) and [9.10 \(Rev. CoP15\)](#)

Yes SOURCE CODE I

No go to question 4

4. Is there sufficient information about the specimen to determine its source?

Yes go to question 5

No **SOURCE CODE U**

5. Was the specimen taken from the marine environment and not under the jurisdiction of any State?

Yes **SOURCE CODE X**

No go to question 6

6. Is the specimen a plant OR animal?

Animal go to question 7

Plant go to question 21

7. Was the specimen taken from the wild?

Yes go to question 8

No go to question 13

8. * Was the specimen taken from the wild as an egg or juvenile that had a very low probability of surviving to adulthood?

Yes go to question 9

No **SOURCE CODE W**

9. * Was the specimen reared in a controlled environment?

Yes go to question 10

No **SOURCE CODE W**

10. Has the specimen been transferred to Appendix II and marked in accordance with [Res. Conf. 11.16](#)?

Yes SOURCE CODE R

No go to question 11

11. Is the specimen listed in CITES Appendix II or III?

Yes SOURCE CODE R

No go to question 12

12. Does the specimen fulfil the requirements under [Article III](#) of the Convention?

Yes SOURCE CODE W

No Export should NOT proceed

13. Was the specimen derived from parents that mated or otherwise transferred gametes in a controlled environment (sexual reproduction) OR were the parents in a controlled environment when development of the offspring began (asexual reproduction)?

Yes go to question 15

No go to question 14

14. Was the specimen born in captivity, in a controlled environment?

Yes SOURCE CODE F

No SOURCE CODE W

15. Was the breeding stock established in accordance with the provisions of CITES and relevant national laws AND in a manner not detrimental to the survival of the species in the wild?

Yes go to question 16

No **SOURCE CODE F**

16. Is the breeding stock maintained without the introduction of specimens from the wild, except for the occasional addition of animals, eggs or gametes, in accordance with the provisions of CITES and relevant national laws AND in a manner not detrimental to the survival of the species in the wild?

Yes go to question 17

No **SOURCE CODE F**

17. Has the breeding stock produced offspring of second generation (F2) or subsequent generations (F3, F4, etc.) in a controlled environment OR is managed in a manner that has been demonstrated to be capable of reliably producing second-generation offspring in a controlled environment?

Yes, the specimen was bred in captivity go to question 18

No **SOURCE CODE F**

18. In which CITES Appendix is the specimen listed?

Appendix I go to question 19

Appendix II or III **SOURCE CODE C**

19. Has the specimen been bred for commercial purposes?

Yes go to question 20

No **SOURCE CODE C**

20. Was the specimen bred at a CITES-registered breeding operation?

Yes SOURCE CODE D

No Export should NOT proceed

21. Was the specimen grown under controlled conditions?

Yes go to question 21

No SOURCE CODE W

22. Was the specimen grown from seeds, cuttings, divisions, callus tissues or other plant tissues, spores or other propagules that were derived from cultivated stock?

Yes go to question 26

No go to question 23

23. Was the specimen grown from wild collected seeds or spores in accordance with exemptions in [Res. Conf. 11.11 \(Rev. CoP15\)](#)?

Yes go to question 26

No go to question 24

24. Was the specimen grown from a cutting or division?

Yes go to question 25

No SOURCE CODE W

25. Was the cutting or division taken from a wild plant that is NOT considered cultivated parental stock?

Yes SOURCE CODE W

No go to question 26

26. In which CITES Appendix is the species listed?

Appendix I go to question 27

Appendix II or III..... SOURCE CODE A

27. Has the specimen been grown for commercial purposes?

Yes go to question 28

No SOURCE CODE A

28. Has the specimen been artificially propagated at a CITES-registered nursery?

Yes SOURCE CODE D

No Export should NOT proceed