

4.0 Additional guidance with applying Source Code R

CITES defines the term “*ranching*” as ***the rearing in a controlled environment of animals taken as eggs or juveniles from the wild, where they would otherwise have had a very low probability of surviving to adulthood***. Although already amended to be more specific ([Resolution, Conf. 11.16 \[Rev. Cop15\]](#)), the ranching definition still contains several ambiguous terms that are open to interpretation and mis-declaration of source if not well defined. This section provides further information to assist Parties in correctly applying source code “R”.

What constitutes a “very low probability of surviving to adulthood”?

Probability of surviving to adulthood is the most fundamental consideration when determining whether a specimen is of a species that can be ranched (as the term is currently defined by the Parties to CITES). Probability of survival relates to a species’ life-history strategy. Some species are r-selected: they have large numbers of offspring, only a small proportion of which survive to become adults. Other species are k-selected: they have a small number of offspring, with each individual having a high likelihood of surviving to adulthood. For example, sea turtles, crocodilians, bony fishes and most invertebrates are r-selected and produce large numbers of eggs, only a small proportion of which survive to become mature adults. On the other hand, juveniles of species such as elephants and big cats are k-selected and have a relatively high likelihood of surviving to become adults. Thus, removing juveniles of k-selected species from the wild for ranching is likely to have greater impact on wild populations than removing r-selected species. A ranching production system is, therefore, only applicable to eggs and juveniles of species where the vast majority of these individuals in the wild die from natural causes (e.g., predation, disease, environmental, etc).

What constitutes ‘rearing in a controlled environment’?

For the purpose of correctly applying source code “R”, the term “rearing” should be related to the degree of growth and/or development a specimen has undergone while under captive management and not necessarily to a length of time spent in captivity. This distinction is important because of the diversity of life histories among taxa. For example, some invertebrates may be considered ranched after only two weeks in a controlled environment because of their rapid rates of development. Conversely, some reptiles (e.g., slow-growing tortoises) may require substantially longer periods under captive management before they can be considered ranched. When determining what constitutes rearing in a controlled environment, Management Authorities, in consultation with the Scientific Authority, should determine whether:

- 1) The ranching facility actively provides conditions necessary for the growth and well-being of the specimen (e.g., adequate shelter, food, veterinary care, etc), or
- 2) Simply holds the specimen pending export.

If the Management Authority considers that the facilities provide the necessary conditions for growth and development, then the specimens derived from such facilities are likely to be ranched. However, if no such conditions are provided, then the specimen is likely to be wild. However, it should be noted that “rearing in a controlled environment” does not imply that individual animals must be managed in captivity until reaching adulthood in order to satisfy the definition of “ranched”

Understanding the market

Another useful piece of information for guiding the correct application of CITES source code “R” is to understand the nature and characteristics of the market that the specimen has been produced to supply. For example, specimens exported live for the pet trade are usually required to be juveniles or neonates. In general these specimens have not undergone significant development in a controlled environment before export and thus are not ranched. Conversely, species that are exported for the meat or skin trade are usually required to be larger and thus are more likely to have been reared in a controlled environment for a prolonged period in order to achieve body sizes required by the prevailing market.

5.0 Additional assistance with applying source code C

1. When evaluating an application to export specimen(s) of CITES-listed species claimed by the applicant to have been bred in captivity, the following considerations will assist in verifying whether or not the specimen(s) fulfil the CITES requirements for being “bred-in-captivity”.
 2. Having established that the specimen has been bred in captivity in accordance with the definition in [Resolution Conf. 10.16 \(Rev.\)](#), in order to ascribe the correct source code, it is necessary to determine:
 - i. in which Appendix the species is included; and
 - ii. the purpose of the export (commercial or non-commercial).
 3. If the specimen(s) is an Appendix-I species that has been bred in captivity, and the export is for commercial purposes - consult the CITES website to determine whether or not the specimen(s) have been derived from a breeding operation included in the Secretariat's Register of breeding operations <http://www.cites.org/eng/common/reg/cb/summary.html>.
 4. If there is no doubt that the specimen(s) have been derived from a CITES-registered breeding operation then APPLY source code D.
 5. If doubt exists, and the applicant is unable to provide adequate evidence to prove that the specimen(s) originated from a CITES-registered operation, DO NOT APPLY source code D. In this circumstance, it will be necessary to determine whether or not the specimen(s) have actually been bred in captivity, harvested from the wild or derived from another source.
 6. If no verifiable evidence exists that the specimen(s) in question have been bred in captivity in accordance with the definition in [Resolution Conf. 10.16 \(Rev.\)](#) then caution should be exercised and a more detailed evaluation undertaken.
 7. In this respect, information on the following questions will assist in determining whether or not a breeding operation satisfies the definition of “bred in captivity” in [Resolution Conf. 10.16 \(Rev.\)](#), thereby enabling the Management Authority to make an informed decision on whether to apply source code C, F or reject the application:
 - i. Are there any licensed breeding operations for the species in question? If no licensed operation for the species exists, no source code should be used and the legality of the export should be questioned.
 - ii. What date was each breeding operation first licensed or registered to operate?
 - iii. How many permits have been issued, over what period of time, to collect specimens from the wild, and how many individuals were collected, in order to establish the captive population?
 - iv. What are the annual production quantities and, based on independent scientific advice on the biological characteristics of the species, are these quantities feasible for the species concerned?
 - v. What is the total number of individuals of the species kept by the breeding operation and how many breeding adult male and female animals comprise the parental stock?
 - vi. Have the facilities been inspected by officials from the Scientific and Management Authorities, and are inspection reports available?
 8. In cases where there is doubt about the accuracy of a source code, the Management Authority of the importing country should, if necessary, consult the Scientific Authority of the exporting country (including other specialist scientific institutions) to determine whether the species is commonly bred in captivity within the jurisdiction of the Management Authority of the exporting country.
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6.0 Relevant Definitions

These definitions are taken from the CITES website. For explanation of additional terms please see the CITES Glossary: <http://www.cites.org/eng/resources/terms/glossary.php>

Artificially propagated (for plants)	<p>Plant specimens that have been:</p> <ul style="list-style-type: none"> • Grown under controlled conditions; and • Grown from seeds, cuttings, divisions, callus tissues or other plant tissues, spores or other propagules that either are exempt from the provisions of the Convention or have been derived from cultivated parental stock; • Or, for agarwood-producing taxa, grown from seeds, seedlings, saplings, cuttings, grafting, marcoting/air-layering, divisions, plant tissues or other propagules that have been derived from wild or cultivated parental stocks, according to the definition of 'cultivated parental stock' in Resolution Conf. 11.11 (Rev. CoP15).
Bred in captivity (for animals)	<p>Animals born or otherwise produced in a controlled environment only if:</p> <ol style="list-style-type: none"> i) the parents mated or gametes were transferred in a controlled environment (if reproduction is sexual), or the parents were in a controlled environment when development of the offspring began (if reproduction is asexual). ii) The breeding stock, to the satisfaction of the competent government authorities of the exporting country: <ol style="list-style-type: none"> a) was 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; b) is 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 as advised by the Scientific Authority; <ol style="list-style-type: none"> 1. to prevent or alleviate deleterious inbreeding, with the magnitude of such addition determined by the need for new genetic material; 2. to dispose of confiscated animals in accordance with Resolution Conf. 10.7 (Rev. CoP15); or 3. exceptionally, for use as breeding stock; and c) <ol style="list-style-type: none"> 1. has produced offspring of second generation (F2) or subsequent generation (F3, F4, etc.) in a controlled environment; 2. is managed in a manner that has been demonstrated to be capable of reliably producing second-generation offspring in a controlled environment.
Breeding Stock	<p>The ensemble of the animals used for reproduction in a captive-breeding operation</p>
Controlled environment (for animals) / Controlled conditions (for plants)	<p>For animals: an environment that is manipulated for the purpose of producing a particular species, that has boundaries designed to prevent animals, eggs or gametes of the species from entering or leaving it, and the general characteristics of which may include but are not limited to: artificial housing; waste removal; health care; protection from predators; and artificially supplied food. For plants: a non-natural environment that is intensively manipulated by human intervention for the purpose of plant production. General characteristics of controlled conditions may include but are not limited to tillage, fertilization, weed and pest control, irrigation, or nursery operations such as potting, bedding or protection from weather.</p>
Cultivated parental stock (for plants)	<p>The ensemble of plants grown under controlled conditions that are used for reproduction, and which must have been to the satisfaction of the designated CITES authorities of the exporting country:</p> <ul style="list-style-type: none"> • 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; and • maintained in sufficient quantities for propagation so as to minimize or eliminate the need for augmentation from the wild, with such augmentation occurring only as an exception and limited to the amount necessary to maintain the vigour and productivity of the cultivated parental stock.

7.0 Additional Guidance

Guidance on Permits and Certificates:

<http://www.cites.org/eng/disc/text.php#VI>

Guidance on Exemptions and Other Special Provisions Relating to Trade:

<http://www.cites.org/eng/disc/text.php#VII>

Guidance on Resolution Conf. 12.3 (Rev. CoP16) - Permits and Certificates:

<http://www.cites.org/eng/res/12/12-03R16.php>
