

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



Thirtieth meeting of the Animals Committee  
Geneva (Switzerland), 16-21 July 2018

Interpretation and implementation matters

General compliance and enforcement

Captive-bred and ranched specimens

REVIEW OF TRADE IN ANIMAL SPECIMENS  
REPORTED AS PRODUCED IN CAPTIVITY

1. This document has been submitted by the Secretariat.

Background

2. At its 17th meeting (CoP17, Johannesburg, 2016), the Conference of the Parties adopted a new compliance procedure through Resolution Conf. 17.7 on *Review of trade in animal specimens reported as produced in captivity*. It concerns trade in specimens using the source codes C, D, F or R as defined in paragraph 3 i) of Resolution Conf. 12.3 (Rev. CoP17) on *Permits and certificates*. The Animals Committee, together with the Standing Committee and in cooperation with the Secretariat, is directed to play a key role in the implementation of this Resolution.

Selection of species-country combinations for review and responses from countries

3. At its 29th meeting (AC29, Geneva, July 2017), in accordance with paragraph 2 c) of Resolution Conf. 17.7, the Animals Committee selected a number of species-country combinations for review under the Resolution, taking into account the biology of the species. In making the selection, the Committee was mindful of paragraph 2 e) of the Resolution which refers to the need to “determine if the correct source codes have been used, under the applicable Resolutions, for specimens claimed to be produced in captivity” and of paragraph 2 g), which refers to the need to “determine if trade is in compliance with Article III and Article IV of the Convention, as well as Article VII, paragraphs 4 and 5”.
4. In accordance with paragraph 2 c) of the Resolution, for each species-country combination selected for review, the Animals Committee drafted general or specific questions to be addressed by the Secretariat to the Parties concerned. Full details of the rationale for the selections and the questions asked of the countries involved can be found in Annex 1 of the present document.
5. On 30 August 2017, the Secretariat notified the countries concerned that certain species produced in captivity in their country had been selected for review as well as providing them with an overview of the review process and an explanation for the selection provided by the Animals Committee. The species-country combinations selected for review by the Committee at AC29 are shown in the table below together with an indication of whether or not a response was received. The responses received are presented in Annex 2 of the present document in the language in which they were received.

Table 1. Species-country combinations selected for review at AC29 and responses received from countries.

Species	Country	Response
<i>Centrochelys sulcata</i>	Benin	Annex 2A of the present document
<i>Macaca fascicularis</i>	Cambodia	Annex 2B of the present document
<i>Tridacna crocea</i>	Federated States of Micronesia	Annex 2C of the present document
<i>Testudo hermanni</i>	the former Yugoslav Republic of Macedonia	Annex 2D of the present document
<i>Centrochelys sulcata</i>	Ghana	Annex 2E of the present document
<i>Varanus exanthematicus</i>	Ghana	Annex 2E of the present document
<i>Centrochelys sulcata</i>	Guinea	Annex 2F of the present document
<i>Cacatua alba</i>	Indonesia	Annex 2G of the present document
<i>Ornithoptera croesus</i>	Indonesia	Annex 2H of the present document
<i>Varanus timorensis</i>	Indonesia	Annex 2I of the present document
<i>Ptyas mucosus</i>	Indonesia	Annex 2J of the present document
<i>Trachyphyllia geoffroyi</i>	Indonesia	Annex 2K of the present document
<i>Geochelone elegans</i>	Jordan	Annex 2L of the present document
<i>Centrochelys sulcata</i>	Mali	Annex 2M of the present document
<i>Agalychnis callidryas</i>	Nicaragua	Annex 2N of the present document
<i>Oophaga pumilio</i>	Nicaragua	Annex 2O of the present document
<i>Oophaga pumilio</i>	Panama	Annex 2P of the present document
<i>Lorius lory</i>	South Africa	Annex 2Q of the present document
<i>Vulpes zerda</i>	Sudan	No response received
<i>Centrochelys sulcata</i>	Sudan	No response received
<i>Varanus exanthematicus</i>	Togo	Annex 2R of the present document
<i>Centrochelys sulcata</i>	Togo	Annex 2S of the present document
<i>Hippocampus comes</i>	Viet Nam	Annex 2T of the present document

#### Review of responses from countries

6. Under paragraph 2 g) of the Resolution, the Animals Committee is now directed to review the responses from countries, any review commissioned by the Secretariat and any additional relevant information, and determine if trade is in compliance with Article III and Article IV of the Convention, as well as Article VII, paragraphs 4 and 5.
7. If trade is in compliance with these provisions, the species-country combination will be excluded from the review and the Secretariat will inform the country or countries concerned of this outcome.
8. If this is not the case, and the Committee identifies concerns appropriately within its remit, the Committee shall, in consultation with the Secretariat, formulate draft recommendations directed to the relevant countries which are time-bound, feasible, measurable, proportionate, transparent and aimed at ensuring long-term compliance which, where appropriate, aim to promote capacity building and enhance the ability of the country to implement relevant provisions of the Convention. The Secretariat will transmit these draft recommendations and supporting information from the Animals Committee to the next meeting of the Standing Committee for their review, revision if necessary, and endorsement.
9. If the Committee identifies concerns that are more appropriately considered by the Standing Committee, the Secretariat shall refer these issues to the next meeting of the Standing Committee, including any observations from the Animals Committee.
10. The Secretariat anticipates that the Animals Committee will wish to form an in-session working group to review the responses received from the selected countries to the questions it prepared at AC29. The Secretariat will be fully prepared to assist the working group and the Committee in this exercise.

#### Review of known information relating to the breeding biology and captive husbandry and any impacts, if relevant, of removal of founder stock from the wild

11. Paragraph 2 f) of the Resolution directs the Committee to determine for which species it should request the Secretariat to commission short reviews of known information relating to the breeding biology and captive husbandry and any impacts, if relevant, of removal of founder stock from the wild. At AC29, the Committee requested that, subject to available funding, all species referred to in Table 1 of the present document should be so reviewed.

12. The Secretariat commissioned the non-profit organization *Species360* to undertake the species reviews in question. The resulting species information sheets can be found in Annex 3 of the present document. The Committee is invited to use them when undertaking the determinations referred to in paragraph 6 of the present document.
13. Due to lack of clarity about the exact nature of such work, the contractors for this work were not asked to assess the any impacts, if relevant, of removal of founder stock from the wild.

#### Conclusions

14. As described in paragraphs 6 to 9 of the present document, the Committee is invited to review the responses received from countries selected and, in consultation with the Secretariat, formulate draft recommendations and other advice for the consideration of the Standing Committee.
15. In order to inform the process for future reviews, the Secretariat would appreciate any comments from the Committee on the presentation and content of the species information sheets that are found in Annex 3 of the present document.

**Rationale for the selection of species-country combinations made under paragraph 2 c)  
of Resolution Conf. 17.7, and questions asked of the countries concerned**

1. Species/country combinations recommended for review and a brief explanation for selected species/country combinations:

	Family	Species	Countries	Criterion met	Native	Source code	Explanation for selection	Questions to be asked [see text in paragraph c) of the mandate]
<b>Referred from RST</b>								
1	Testudinidae	<i>Centrochelys sulcata</i>	Benin Ghana Guinea Mali Sudan Togo		Yes	C, R C, F, R C, F C, F C C, F, R	Not bred in captivity in conformity with Res. Conf. 10.16 (Rev.) or questionable use of source code "F" or "R" – as per source code.	Benin: C1-C6; R1-R3; Q2 Ghana: C1-C6; R1-R3; Q2 Guinea: F1-F4 Mali: F1-F4 Sudan: C1-C6 Togo: C1-C6; R1-R3; Q2
2	Papilionidae	<i>Ornithoptera croesus</i>	Indonesia	(ii) volume (iii) shift	Yes	C, F, R	Questionable use of source code "F" or "R"	<ul style="list-style-type: none"> <li>- How and at what life cycle stage are specimens collected to be introduced into the breeding/ production facility?</li> <li>- Is always the same stage collected or can different stages be collected and reared in the facility?</li> <li>- If different stages are used, are these kept separately at the breeding/ production facility?</li> <li>- Is there a book-keeping mechanism for incoming and outgoing specimens?</li> <li>- Is there a non-detriment finding (NDF) conducted for the offtake of specimens from the wild to supplement the breeding/ production facility? If yes please provide the details of the NDF.</li> <li>- In addition questions C1-C4</li> <li>- Q1</li> </ul>

	Family	Species	Countries	Criterion met	Native	Source code	Explanation for selection	Questions to be asked [see text in paragraph c) of the mandate]
<b>Table 3 (criteria (i), (ii), (iii) and (vi))</b>								
3	Canidae	<i>Vulpes zerda</i>	Sudan	(iii) shift	Yes	C	Not bred in captivity in conformity with Res. Conf. 10.16 (Rev.). Observed shift from W to C	C1-C6 Q1
4	Cacatuidae	<i>Cacatua alba</i>	Indonesia	(i) increase	Yes	C	Not bred in captivity in conformity with Res. Conf. 10.16 (Rev.).	C1-C6
5 6	Varanidae	<i>Varanus exanthematicus</i>	Ghana Togo	(iii) shift (ii) volume	Yes Yes	R/C? C, F, R	Ghana: Not "ranching" in conformity with Res. Conf.11.16 (Rev. CoP15) Togo: Not "ranching" in conformity with Res. Conf.11.16 (Rev. CoP15)	Ghana: R1-R3; Q1 Togo: R1-R3
7	Varanidae	<i>Varanus timorensis</i>	Indonesia	(ii)	Yes	C, F	Not bred in captivity in conformity with Res. Conf. 10.16 (Rev.).	C1-C6
8	Colubridae	<i>Ptyas mucosus</i>	Indonesia	(iii)	Yes	C, F	Not bred in captivity in conformity with Res. Conf. 10.16 (Rev.).	C1-C6; Q1
9	Testudinidae	<i>Testudo hermanni</i>	FYROM	(ii)	Yes	C, F, U	Not bred in captivity in conformity with Res. Conf. 10.16 (Rev.).	C1-C6
10 11	Dendrobatidae	<i>Oophaga pumilio</i>	Nicaragua Panama	(i) increase (ii) volume	Yes Yes	C C	Not bred in captivity in conformity with Res. Conf. 10.16 (Rev.).	Nicaragua: C1-C6; Q2 Panama: C1-C6; Q2
12	Hylidae	<i>Agalychnis callidryas</i>	Nicaragua	(ii)	Yes	C, F	Not bred in captivity in conformity with Res. Conf. 10.16 (Rev.).	C1-C6
13	Syngnathidae	<i>Hippocampus comes</i>	Viet Nam	(iii) shift	Yes	C, F	Other incorrect use of source codes (F)	F1-F4; Q1 - How and at what life cycle stage are specimens collected to be introduced into the breeding/ production facility? - Is always the same stage collected and reared in the facility or can different stages be collected?

	Family	Species	Countries	Criterion met	Native	Source code	Explanation for selection	Questions to be asked [see text in paragraph c) of the mandate]
								<ul style="list-style-type: none"> <li>- If different stages are collected, are these kept separately at the breeding/ production facility?</li> <li>- Is there a book-keeping mechanism for incoming and outgoing specimens?</li> <li>- Is there an NDF conducted for the offtake of specimens from the wild to supplement the breeding/ production facility? If yes can you provide the details of that NDF?</li> <li>- explain why you believe that source code 'F' is the most appropriate</li> <li>- In addition questions C1-C4</li> </ul>
14	Tridacnidae	<i>Tridacna crocea</i>	Federated states of Micronesia	(i), (vi)	No	F	Other incorrect use of source codes (F)	<ul style="list-style-type: none"> <li>- How and at what life cycle stage are specimens collected to be introduced into the breeding/ production facility?</li> <li>- Is always the same stage collected or can different stages be collected?</li> <li>- If different stages are collected, are these kept separately at the breeding/ production facility?</li> <li>- Is there a book-keeping mechanism for incoming and outgoing specimens?</li> <li>- Is there an NDF conducted for the offtake of specimens from the wild to supplement the breeding/ production facility? If yes please provide details of this NDF.</li> <li>- explain why you believe that source code 'F' is the most appropriate</li> <li>- In addition questions F1-F4</li> </ul>
15	Trachyphylliidae	<i>Trachyphyllia geoffroyi</i>	Indonesia		Yes	F, C	Other incorrect use of source codes (F)	<p>How many facilities in your country are producing specimens of the species concerned which are exported under source code F?</p> <ol style="list-style-type: none"> <li>1. Describe what monitoring or inspection of these mariculture facilities takes place, how regularly and by whom.</li> <li>2. Please provide a general description of the production methods employed by the facilities mentioned above and which element(s) of the definition of "bred in captivity" in Resolution Conf. 10.16 (Rev) on <i>Specimens of animal species bred in captivity</i> have not been met.</li> <li>3. Please explain the basis and justification for your non-detriment finding that has been made for the</li> </ol>

	Family	Species	Countries	Criterion met	Native	Source code	Explanation for selection	Questions to be asked [see text in paragraph c) of the mandate]
								<p>export of all specimens of the species concerned with the source code "F".</p> <p>4. Please provide a detailed description of the production methods used to produce <i>Trachyphyllia geoffroyi</i>, source code F, including, but not limited to, those outlined below, distinguishing where different methods are employed by different facilities and the proportion of specimens produced by the production method described.</p> <p>For example, if <i>Trachyphyllia geoffroyi</i> are produced by the <b>fragmentation technique</b>, 'fragging', where the parent coral (F<sub>0</sub>) is cut into pieces and subsequent fragments allowed to grow on:</p> <ol style="list-style-type: none"> <li>describe the cutting or fragging process for this species and maximum number of fragments produced per parent coral.</li> <li>state whether the fragments of <i>Trachyphyllia</i> are routinely attached to an artificial base?</li> <li>on average, how long are the corals grown on for before export?</li> <li>describe the conditions and facilities they are maintained during this growth stage</li> <li>provide photographic evidence of the various stages of fragmentation from parental coral to specimens ready for export.</li> </ol> <p>For example, if <i>Trachyphyllia geoffroyi</i> are produced by the <b>budding technique</b> (asexual reproduction):</p> <ol style="list-style-type: none"> <li>describe the facilities and production methods involved [including whether the 'parent' and juvenile corals produced by the 'budding technique' are maintained in tanks on land in a controlled environment?]</li> <li>what length of time are the juvenile corals maintained for before export?</li> <li>provide photographic evidence of all various stages of asexual reproduction.</li> <li>are the parent corals held permanently in captivity or how regularly are they replaced with new wild taken corals?</li> </ol>

	Family	Species	Countries	Criterion met	Native	Source code	Explanation for selection	Questions to be asked [see text in paragraph c) of the mandate]
								Describe any other 'production' techniques used, for example, other sexual reproduction spawning techniques.
<b>Table 4 (criteria (iv) and (v))</b>								
	No cases							
<b>Table 5 (criterion of Doc. AC29 Doc. 14.1 (vi) only)</b>								
16	Loriidae	<i>Lorius lory</i>	South Africa	(vi)	No	C, F	Questionable legal acquisition of breeding stock Doubts on how they are being bred based on knowledge about difficulties with breeding	C1-C6; F1-F4; Q1 Please provide information on the legality of the founder stock of these facilities: - When was the founder stock imported? - From where was it imported? - How much time was needed to build up the breeding population?
<b>Other sources (referred to the Secretariat by Parties (table on page 3))</b>								
17	Testudinidae	<i>Geochelone elegans</i>	Jordan		No	C	Not bred in captivity in conformity with Res. Conf. 10.16 (Rev.).	C1-C6 - What is the exact source code for the specimens exported without a source code indicated? - What is the source of the founder stock? - When was it imported? - From where was it imported? - How much time was needed to build up the breeding population?
18	Cercopithecidae	<i>Macaca fascicularis</i>	Cambodia		Yes	C, F	Not bred in captivity in conformity with Res. Conf. 10.16 (Rev.).	C1-C6; F1-F4; Q1; Q2



2. General or specific questions for the countries selected for review:

Text of questions to be asked to countries depending on the source code for which they were selected:

Source code "C"

Question code	Question
<b>C1</b>	How many facilities in your country are breeding specimens of the species concerned which are subsequently being exported? How does the breeding facility meet the criteria of a closed environment according to Resolution Conf. 10.16 (Rev.) on <i>Specimens of animal species bred in captivity</i> ?
<b>C2</b>	Have all of these facilities been inspected to ensure that the specimens produced comply with Resolution Conf. 10.16 (Rev.) on <i>Specimens of animal species bred in captivity</i> ? Please explain further any regulations or measures currently in place for monitoring facilities which claim to be captive breeding this species, for example whether facilities are required to keep records of the acquisition, maintenance or breeding of animals of this species, and whether authorities verify these records?
<b>C3</b>	Which authority carries out these inspections and how often are they undertaken?
<b>C4</b>	For each facility in question 1, either complete the Data Collection Form (document AC29 Inf. 1 may be of assistance), or provide the information on the form in a different way.
<b>C5</b>	How was it determined that the breeding stock 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>C6</b>	Has the breeding stock received additional specimens from the wild since establishment and if so, how many and when and how was it determined that they were obtained 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?

DATA COLLECTION FORM

**GENERAL INFORMATION ON THE FACILITY**

Date of inspection: _____	Name of senior inspecting officer: _____
Facility name: _____	

Name and position(s) of all inspecting officer(s) present:

1. \_\_\_\_\_

2. \_\_\_\_\_

Type of inspection:       Initial                      Date of last inspection: \_\_\_\_\_

Routine

Follow-up (*in cases where discrepancies or anomalies, detected during a previous inspection, remain outstanding*)

Facility trading name(s): \_\_\_\_\_

Facility owner(s): \_\_\_\_\_

Facility address and contact information: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Year the facility was established: \_\_\_\_\_

How many staff are currently employed at the facility?

    Full time                                          Part time   

Name and job title of facility staff accompanying inspecting officer(s):

\_\_\_\_\_

\_\_\_\_\_

Does the operation have access to professional veterinary services?    Yes                       No

If yes, what is the name and address of vet? \_\_\_\_\_

\_\_\_\_\_

Does this company keep animals at any other location(s)?                      Yes                       No

If yes, where? \_\_\_\_\_

***If yes, make arrangements to inspect the location(s) as soon as possible***

DATA COLLECTION FORM

**SPECIES INFORMATION** *(to be completed separately for each species held at the facility)*

Date of inspection: _____	Name of senior inspecting officer: _____
Facility name: _____	Species : _____

\*Date species first acquired? \_\_\_\_\_ Source and life-stage of initial stock? \_\_\_\_\_

Numbers of initial stock, and sexes, if known \_\_\_\_\_ Males?  Females?

\*Have additional animals been obtained since you acquired the initial stock? If so, from where?  
 \_\_\_\_\_

Do you **BREED** this species? Yes  No

When did you start breeding? \_\_\_\_\_

# litters/clutches per year? \_\_\_\_\_

# offspring/eggs in litter/clutch? \_\_\_\_\_

# produced in the previous year? \_\_\_\_\_

<b>ADULT BREEDING STOCK</b>	Facility information	Inspector count <i>(where possible)</i>
Number of adults present?	<input type="text"/>	<input type="text"/>
Number of males present?	<input type="text"/>	<input type="text"/>
Number of females?	<input type="text"/>	<input type="text"/>
What % of females breed each year?	<input type="text"/>	
What do you feed adult animals? _____		

<b>REARING STOCK (CAPTIVE BRED AND RANCHED COMBINED)</b>	Facility information	Inspector count <i>(where possible)</i>
Number of juveniles present?	<input type="text"/>	<input type="text"/>
Age at sexual maturity (years)?	<input type="text"/>	
Size or mass at sexual maturity (cm or g)?	<input type="text"/>	
Size at sale (cm or g)	<input type="text"/>	
What percentage of juveniles survive beyond 2 weeks? <i>Includes mortalities of eggs that didn't hatch.</i>	<input type="text"/>	
What do you feed rearing and juvenile animals? _____		

Source code “R”

Question code	Question
<b>R1</b>	In relation to all species that have been transferred from Appendix I to Appendix II under the provisions of Resolution Conf. 11.16 (Rev CoP15) on <i>Ranching and trade in ranched specimens of species transferred from Appendix I to Appendix II</i> , please provide any missing reports under paragraph 5 a) and the information specified under paragraph 5 b) of that Resolution.
<b>R2</b>	<p>1. In relation to all species that have <u>not</u> been transferred from Appendix I to Appendix II under the provisions of Resolution Conf. 11.16 (Rev CoP15) on <i>Ranching and trade in ranched specimens of species transferred from Appendix I to Appendix II</i>, please provide the following information [from paragraph 5 a) and b) of that Resolution]:</p> <ul style="list-style-type: none"> <li>i) the status of the wild population concerned established by monitoring at an appropriate frequency and with sufficient precision to allow recognition of changes in population size and structure owing to ranching;</li> <li>ii) the number of specimens (eggs, young or adults) taken annually from the wild and the percentage of this offtake used to supply ranching operations;</li> <li>iii) details of the annual production levels, and product types and quantity produced for export;</li> <li>iv) an estimate of the percentage of the annual wild production of eggs, neonates or other life stages taken for the ranching operation;</li> <li>v) the number of animals released and their survival rates estimated on the basis of surveys and tagging programs, if any;</li> <li>vi) the mortality rate in captivity and causes of such mortality;</li> <li>vii) conservation programs and scientific experiments carried out in relation to the ranching operation or the wild population concerned; and</li> <li>viii) an estimation of the percentage of the distribution area of the species where the ranching is operating</li> </ul>
<b>R3</b>	How many facilities in your country are ranching specimens of the species concerned which are subsequently being exported?

Source code “F”

Question code	Question
<b>F1</b>	For all exports of specimens of the selected species using source code “F”, please explain which element(s) of the definition of “bred in captivity” in Resolution Conf. 10.16 (Rev.) on <i>Specimens of animal species bred in captivity</i> have not been met.
<b>F2</b>	Please confirm that non-detriment findings have been made for the export of all specimens of the species concerned with the source code “F” and the way in such findings have been made, particularly for species not native to your country.
<b>F3</b>	How many facilities in your country are producing specimens of the species concerned which are subsequently being exported?
<b>F4</b>	Has the breeding stock received additional specimens from the wild since establishment and if so, how many and when and how was it determined that they were obtained 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?

Additional questions to be asked in specific circumstances:

<b>Question code</b>	<b>Circumstance</b>	<b>Question</b>
<b>Q1</b>	Shift in source codes	Please explain the changes over time in the quantities of different source codes used by your country for this species.
<b>Q2</b>	Mixed production systems	If different source codes apply to specimens in the same facility, please explain how it is ensured that the correct source codes can be attributed to each specimen upon export.