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

Thirty-first meeting of the Animals Committee
Geneva (Switzerland), 13-17 July 2020

Interpretation and implementation matters

Regulation of trade

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. Resolution Conf. 17.7 (Rev. CoP18) on Review of trade in animal specimens reported as produced in captivity concerns trade in specimens traded under source codes C, D, F or R, as defined in paragraph 3 j) of Resolution Conf. 12.3 (Rev. CoP18) 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 Resolution Conf. 17.7 (Rev. CoP18).

3. At its 18th meeting (CoP18, Geneva, August 2019), the Conference of the Parties adopted Decisions 18.176 and 18.177 on Review of the provisions of Resolution Conf. 17.7 (Rev. CoP18) as follows:

   **18.176 Directed to the Animals Committee**

   *With the assistance of the Secretariat and in the light of its experiences with its implementation, the Animals Committee shall review the provisions of Resolution Conf. 17.7 (Rev. CoP18) on Review of trade in animal specimens reported as produced in captivity and make any recommendations for improvements to the Standing Committee.*

   **18.177 Directed to the Standing Committee**

   *With the assistance of the Secretariat, taking account of any report from the Animals Committee and in the light of its experiences with its implementation, the Standing Committee shall review the provisions of Resolution Conf. 17.7 (Rev. CoP18) and make any recommendations for improvements to the 19th meeting of the Conference of the Parties.*

Review of ongoing cases

4. 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 this Resolution, taking into account the biology of the species. The review of the cases selected after CoP17, initiated in accordance with Resolution Conf. 17.7, will now proceed under the provisions of Resolution Conf. 17.7 (Rev. CoP18). In making the selection, the Committee was mindful of paragraph 2 f) of Resolution Conf. 17.7 (Rev. CoP18), 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 h), 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”.

AC31 Doc. 19.1 – p. 1
5. 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.

6. In accordance with paragraph 2 f) of the Resolution, the Secretariat, in August 2017, notified the countries concerned that certain species produced in captivity in their country had been selected for review, providing them with an overview of the review process and an explanation for the selection provided by the Animals Committee. Copies of the responses received can be found in Annex 2 of document AC30 Doc. 13.1 (Rev. 3) and its addendum. The Secretariat removed all personal details concerning the facilities/operations referred to in the replies and the names of inspectors who may have been cited as visiting them.

7. At its 30th meeting (AC30, Geneva, July 2018), the Animals Committee reviewed the report of the Secretariat (document AC30 Doc. 13.1), the responses to the questions received from countries [AC30 Doc. 13.1 A2 (Rev. 3) and AC30 Doc. 13.1 A (Rev. 3) add.], and the reviews of known information relating to breeding biology and captive husbandry and any impacts, if relevant, of removal of founder stock from the wild for species selected by AC29 (AC30 Doc. 13.1 Annex 3). It determined whether or not the trade in question is in compliance with Article III and Article IV of the Convention, as well as Article VII, paragraphs 4 and 5.

8. In some cases, the Animals Committee determined that the trade in specimens with source codes C, D, F or R was in compliance with Article III and Article IV of the Convention, as well as Article VII, paragraphs 4 and 5. In accordance with paragraph 2 g) of the Resolution, the following species-country combinations were therefore excluded from the review, and the countries concerned notified accordingly by the Secretariat in September 2018: Macaca fascicularis from Cambodia, Tridacna crocea from the Federated States of Micronesia, Ptyas mucosus from Indonesia, Trachyphyllia geoffroyi from Indonesia, Agalychnis calidryas from Nicaragua, Loris lory from South Africa and Varanus exanthematicus from Togo. The fifteen species/country combinations retained involve 10 Parties. For these, the Animals Committee formulated draft recommendations, in consultation with the Secretariat, and presented them for review and endorsement by the Standing Committee in document SC70 Doc.31.3, in accordance with paragraph 2 i) of the Resolution.

9. At its 70th meeting (SC70, Sochi, October 2018), the Standing Committee endorsed the Animals Committee’s detailed recommendations in relation to 12 species/country combinations, and revised recommendations to a further three species/country combinations. In accordance with paragraph 2 k) of the Resolution, the Secretariat conveyed these recommendations to the countries concerned in November 2018, inviting them to provide their responses by 1 February 2019.

10. At the 71st meeting of the Standing Committee (SC71, Geneva, August 2019), the Secretariat provided its own provisional evaluations of the implementation of the recommendations for the fifteen species/country combinations concerned. The rationale for these evaluations was presented in the Annex to document SC71 Doc. 13. The Standing Committee agreed to defer decisions on appropriate actions and recommendations to the ten countries concerned to provide the Animals Committee with the opportunity to evaluate the responses received. For the four countries that had not yet responded, the Standing Committee agreed to extend the deadline for responding to 31 December 2019. In the absence of response, the Standing Committee requested the Secretariat to publish an interim zero export quota for the specimens of the species under review. In this regard, zero quotas have been published on the CITES website for the following species/country combinations: captive bred and ranched specimens of Centrochelys sulcata and Varanus exanthematicus from Ghana; captive bred and ranched specimens of Hippocampus comes from Viet Nam.

11. The Secretariat continued to seek responses from the four countries which did not reply. Since SC71, additional responses have been received from Benin (concerning Centrochelys sulcata) and Panama (concerning Oophaga pumilio).

12. In accordance with paragraph 2 n) of the Resolution and the conclusions by the Standing Committee at its 71st meeting, the Secretariat will consult with the members of the Animals Committee and the Standing Committee, through their Chairs, to determine whether the recommendations to the ten countries referred to above have been implemented. These consultations will take place intersessionally. In accordance with paragraph n) i) of the Resolution, where the recommendations have been met, the Secretariat shall, following consultation with the Chair of the Standing Committee, notify the Parties that the species-country combination was removed from the review process. In accordance with paragraph 2 n) ii), in cases where the recommendations are not deemed to have been met, the Secretariat will, following consultation with the members of the Standing and Animals Committees through their Chairs, recommend to the Standing Committee appropriate action, which may include, as a last resort, a recommendation to suspend trade in the affected species with that State. In accordance with paragraph 2 o), the Secretariat will report on its evaluation of the implementation of the recommendations, including the rationale for its evaluation, and a
summary of the views expressed by the Animals Committee, to the Standing Committee, for consideration at its 73rd meeting.

Identification of new species-country combinations for review

13. Paragraph 2 a) of Resolution Conf. 17.7 (Rev. CoP18) states that:

   The Secretariat shall produce a summary from the CITES Trade Database of annual report statistics of species traded, derived from the five most recent years, under source codes C, D, F or R and will undertake, or appoint consultants to undertake, an analysis of such data to identify species-country combinations for review using the following criteria:

   i) significant increases in trade in specimens declared as captive-produced (source codes C, D, F and R);

   ii) trade in significant numbers of specimens declared as produced in captivity;

   iii) shifts and fluctuations between different captive-production source codes;

   iv) inconsistencies between source codes reported by exporting and importing Parties for specimens declared as produced in captivity;

   v) apparent incorrect application of captive production codes such as: ‘A’ for animal species or ‘D’ for Appendix-I species that have not been registered in compliance with the provisions of Resolution Conf. 12.10 (Rev. CoP15) on Registration of operations that breed Appendix-I animal species in captivity for commercial purposes; and

   vi) trade from non-range States of specimens declared as produced in captivity with no evidence of lawful acquisition of parental breeding stock (i.e. no recorded imports)

14. Thanks to funding from the United States of America, the Secretariat commissioned the World Conservation Monitoring Centre of the United Nations Environment Programme (UNEP-WCMC), to produce such a summary and analysis. The analysis can be found within the Annex to the present document, while the full summary of trade data upon which it is based is presented in an information document.

Other relevant information with respect to concerns about captive production

15. Paragraph 2 b) of Resolution Conf. 17.7 (Rev. CoP18) states that “the Secretariat shall also compile any other relevant information made available to it with respect to concerns about captive production, including any cases identified under Resolution Conf. 12.8 (Rev. CoP18) on Review of Significant Trade in specimens of Appendix-II species, referred to it by Parties or available in relevant reports, including the global conservation status by species published in the IUCN Red List of Threatened Species or noted as not evaluated”.

16. In the context of paragraph 2 b) of Resolution Conf. 17.7 (Rev. CoP18), no additional species-country combinations of possible concern have come to the attention of the Secretariat since AC29 when the first list of species/country combinations was selected, either through Resolution Conf. 12.8 (Rev. CoP18) or referred by Parties.

17. The Secretariat has not had the resources to undertake a literature review of possible cases in published reports or the IUCN Red List of Threatened Species. However, the global conservation status of species published in the IUCN Red List of Threatened Species has been taken into account in the trade analysis conducted by UNEP-WCMC (see paragraphs 14 and 15 above).

Selection process at the present meeting

18. In accordance with paragraph 2 c) of Resolution Conf. 17.7 (Rev. CoP18), the Animals Committee may select a limited number of species-country combinations for review, taking into account the biology of the species. Paragraph 2 c) is silent on the criteria to be used in the selection process. However, as stated in paragraph 4 above, paragraph 2 f) of the Resolution 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”. Paragraph 2 h) directs the Animals Committee 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. Paragraph 2 c) of the Resolution requires the Animals Committee to provide a brief explanation of the selection. In order to provide clarity, the Secretariat suggests that in this explanation the Committee specifies the Article of the Convention text and paragraph of any associated Resolution with which there is a lack of compliance.

19. For each species-country combination for review, paragraph 2 c) of the Resolution requires the Animals Committee to draft general or specific questions to be addressed by the Secretariat to the countries concerned. In drafting these questions, the Committee may wish to consider the outputs from AC30 Com 11 (Rev. by Sec). It may also be useful to ask more generally for a description of the production systems in use by particular countries, and how countries ensure there is no detriment to the species in the wild resulting from trade in captive-bred specimens.

20. To facilitate the selection process, the Secretariat will work closely with UNEP-WCMC, Species360 and the Animals Committee, through its Chair, to propose a shortlist of a limited number of potential candidate species/country combinations with a brief explanation of the criteria used to justify their selection, in advance of the present meeting, based on the outputs contained in the Annex to the present document. Draft questions to be transmitted to the countries concerned will also be prepared in advance of the meeting. The proposed shortlist and draft questions will be published in advance of the meeting as an addendum to the present document. Countries included in the shortlist will be notified in advance to give them an opportunity to respond. Comments and inputs from Parties and observers will, to the extent possible, be collected and made available in advance in an information document.

21. Paragraph 2 g) of the Resolution directs the Animals 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. The Committee is asked to note that the number of such reviews that can be commissioned will depend on the external funding available and, for that reason, the Secretariat requests the Committee to list such requests in order of priority.

22. Any urgent enforcement matters identified in the course of the review at the present meeting should be referred to the Secretariat and the country concerned, in accordance with paragraph 2 e) of the Resolution, and subsequently reported to the Standing Committee.

Next steps following the present meeting

23. Following the activities to be undertaken at the present meeting and described in paragraphs 18 to 22, paragraph 2 f) of the Resolution directs the Secretariat, within 30 days, to notify the country or countries concerned that species produced in captivity in their country have been selected for review, provide them with an overview of the review process and an explanation for the selection provided by the Committee and convey to them the Committee’s questions.

Implementation of Decision 18.176

24. Regarding the implementation of Decision 18.176 and the review of Resolution Conf. 17.7 (Rev. CoP18), the Animals Committee and the Secretariat presented their preliminary observations and recommendations to the Standing Committee in document SC70 Doc. 31.4. The Standing Committee concurred with their view that as a complete review cycle under Resolution Conf. 17.7 had yet to be completed, it would be premature to make significant changes to provisions of the Resolution, or too soon to assess whether harmonisation with the process in Resolution Conf. 12.8 (Rev. CoP18) on Review of Significant Trade in specimens of Appendix-II species would be advisable.

25. In support of the implementation of Decision 18.176, the Secretariat suggests that the Animals Committee consider establishing an intersessional working group to work with the Secretariat to update the review of the provisions of Resolution Conf. 17.7 (Rev. CoP18) presented in SC70 Doc. 31.4, and develop draft recommendations for improvements that can be considered at the 32nd meeting of the Animals Committee before submission to the 74th meeting of the Standing Committee. In this regard, the Secretariat welcomes further observations from Animals Committee members, Parties or observers which could contribute to such a revision.
Recommendations

25. The Animals Committee is invited to:

a) note the update on the review of ongoing cases provided in paragraphs 4 to 12;

b) taking into account the results of the consultations outlined in paragraph 22 above and presented in the addendum to this document,
   i) select a limited number of species-country combinations for review,
   ii) prepare a brief explanation of the criteria used to justify each selection; and
   iii) draft general or specific questions for the countries selected for review;

c) determine and prioritize for which species a request should be made for the commissioning of a short review of the breeding biology, captive husbandry and any impacts, if relevant, of removal of founder stock from the wild as described in paragraph 20 of the present document;

d) identify any urgent enforcement matters which need the attention of the Secretariat, the country concerned and/or the Standing Committee; and

e) establish an intersessional working group to work with the Secretariat with terms of reference that would include the review of the provisions of Resolution Conf. 17.7 (Rev. CoP18) and drafting recommendations for improvements for consideration at the 32nd meeting of the Animals Committee.
SELECTION OF SPECIES FOR INCLUSION IN THE REVIEW OF CAPTIVE TRADE IN ANIMAL SPECIMENS

Report following CoP18
Selection of species for inclusion in the Review of captive trade in animal specimens: Report following CoP18

Prepared for
CITES Secretariat

Published
May 2020

Citation

Cover Photo: Red-Eyed Leaf Frog (*Agalychnis callidryas*) by Chris, Adobe Stock

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Appendix 1: Considerations for improvements to Resolution Conf. 17.7 (Rev. CoP18) ........................................... 32
1 Overview

To support the implementation of paragraph 2 a) i) to iv) of Resolution Conf. 17.7 (Rev. CoP18), the UN Environment Programme World Conservation Monitoring Centre (UNEP-WCMC) has produced two outputs of trade in animal specimens reported as produced in captivity.

The two outputs produced to support the selection of species-country combinations are:

1. A **species selection analysis** applying the six selection criteria to the trade in captive-bred and ranched specimens for 2014-2018 (sources C, D, F and R) (see Section 2 for data used, methods and detailed results); and

2. A **full output from the CITES Trade Database of annual report statistics** of relevant trade in captive-bred and ranched specimens for 2014-2018, sources C, D, F and R (see Section 3 for details and an information document for the summary output in Excel). This output provides an opportunity for Parties to examine trade levels for any species reported as captive produced in recent years, including taxa that did not meet the selection criteria in the analysis above.

In total, the selection analysis resulted in **135 species** and **238 species/country combinations** meeting at least one of the six criteria in paragraph 2 a) of Resolution Conf. 17.7 (Rev. CoP18) based on the methodologies presented. Results of the analysis can be found in Section 2 (Tables 3-5).

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Number selected</th>
</tr>
</thead>
<tbody>
<tr>
<td>i) Significant increase</td>
<td>100 species and 121 species/country combinations met a least one of these criteria (Table 3, p. 9)</td>
</tr>
<tr>
<td>ii) Significant numbers</td>
<td></td>
</tr>
<tr>
<td>iii) Shifts in source codes</td>
<td></td>
</tr>
<tr>
<td>iv) Reporting inconsistencies</td>
<td>17 species and 66 species/country combinations met criteria iv) and v) (Table 4, p. 22)</td>
</tr>
<tr>
<td>v) Incorrect application of source codes</td>
<td></td>
</tr>
<tr>
<td>vi) Legal acquisition</td>
<td>34 species and 52 species/country combinations met criteria vi) (Table 5, p. 28)</td>
</tr>
<tr>
<td>Total (all criteria combined)</td>
<td>135 species and 238 species/country combinations</td>
</tr>
</tbody>
</table>

It is hoped that these outputs will assist the Animals Committee with their work in selecting a limited number of species/country combinations of potential concern for inclusion in the Review of trade in animal specimens reported as produced in captivity following CoP18.
2 Species selection analysis

Introduction and scope
Based on the criteria specified in paragraph 2 a) of Resolution Conf. 17.7 (Rev. CoP18) and applying the methodology developed following CoP17 (see AC29 Doc. 14.1 Annex), an output of data from the CITES Trade Database was produced to assist the Animals Committee with the selection of cases. Additional feedback provided by the Animals Committee at AC29 in relation to the previous output were considered (see Appendix I on Considerations for improvement), but following consultation with the Secretariat, no changes to the methodology were applied for this second iteration.

The six selection criteria defined in paragraph 2 a) of Resolution Conf. 17.7 (Rev. CoP18) form the basis of the selection analysis; these are as follows, with abbreviated terms in bold used throughout this report for ease of reference:

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>i) Significant increase</td>
<td>Significant increases in trade in specimens declared as captive-produced (source codes C, D, F and R)</td>
</tr>
<tr>
<td>ii) Significant numbers</td>
<td>Trade in significant numbers of specimens declared as produced in captivity</td>
</tr>
<tr>
<td>iii) Shifts in source codes</td>
<td>Shifts and fluctuations between different captive-production source codes</td>
</tr>
<tr>
<td>iv) Reporting inconsistencies</td>
<td>Inconsistencies between source codes reported by exporting and importing Parties for specimens declared as produced in captivity</td>
</tr>
<tr>
<td>v) Incorrect application of source codes</td>
<td>Apparent incorrect application of captive production codes such as: ‘A’ for animal species or ‘D’ for Appendix-I species that have not been registered in compliance with the provisions of Resolution Conf. 12.10 (Rev. CoP15) on Registration of operations that breed Appendix-I animal species in captivity for commercial purposes</td>
</tr>
<tr>
<td>vi) Legal acquisition</td>
<td>Trade from non-range States of specimens declared as produced in captivity with no evidence of lawful acquisition of parental breeding stock (i.e. no recorded imports)</td>
</tr>
</tbody>
</table>

Data included
Details of the data used (e.g. year range, Appendix, trade data output type, etc.) in the selection process for each criterion are provided in Table 1.

While the focus of each criterion was on captive-produced trade (source codes C, D, F and R), wild-sourced trade (source codes W, U and trade reported without a source specified) was also considered in the context of criterion iii) relating to shifts between source codes and criterion vi) relating to reporting inconsistencies.
Data were extracted from the CITES Trade Database (trade.cites.org) on 11th May 2020.

**Table 1: Data included for the criteria in paragraph 2 a) of Res. Conf. 17.7 (Rev. CoP18).**

<table>
<thead>
<tr>
<th>CITES Trade Database report type</th>
<th>Criteria i), ii) and iii)</th>
<th>Criteria iv) and v)</th>
<th>Criterion vi)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct trade only (re-exports are excluded)</td>
<td>Direct trade only (re-exports are excluded)</td>
<td>Direct and indirect trade into the focal country, but species/country combinations were selected on the basis of direct trade from the focal country. Gross exports were analysed for Criterion vi)</td>
<td></td>
</tr>
</tbody>
</table>
| Report type is dependent on the criterion:  
• Criteria i) & ii): Gross exports¹  
• Criterion iii): Exporter-reported data only | Report type is dependent on the criterion:  
• Criterion iv): Exporter- and importer-reported data;  
• Criterion v): Exporter-reported data only |  |

<table>
<thead>
<tr>
<th>Appendix</th>
<th>Year range</th>
<th>Source codes³</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appendix I &amp; II</td>
<td>2014-2018 provided in the output</td>
<td>Criteria i) – iv) &amp; vi): C, D, F, R</td>
</tr>
<tr>
<td></td>
<td>[Data from 2011-2018 used in the analysis/selection process]</td>
<td>Criteria v): D only</td>
</tr>
<tr>
<td></td>
<td></td>
<td>[For Criteria iii) and vi), trade in wild specimens (W= wild, U = unknown, and no source reported) was also used in the analysis in order to assess shifts or differences in reporting between wild to captive-produced sources.]</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Purpose codes³</th>
<th>Terms included</th>
<th>Units of measure</th>
</tr>
</thead>
<tbody>
<tr>
<td>All Purpose codes</td>
<td>Selected terms⁴: baleen, bodies, bones, carapaces, carvings, caviar, cloth, eggs, egg (live), fins, gall and gall bladders, horns and horn pieces, ivory pieces, ivory carvings, live, meat, musk, plates, raw corals, scales, shells, skin pieces, skins, skeletons, skulls, teeth, trophies, and tusks.</td>
<td>Number (unit = blank)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>[Trade in other units of measure (e.g. kilograms, metres, etc.) were excluded]</td>
</tr>
</tbody>
</table>

¹ Gross exports: the quantities reported by the exporter and importer were compared and the larger quantity was used in the analysis.
² On the basis that Parties do not report consistently on imports of Appendix II species (in relation to importer-exporter discrepancies for criteria iv), and on the basis that criteria v) relates to the use of source code D (which is applicable only to specimens of Appendix I species).
³ A full list and description of source and purpose codes is specified in Resolution Conf. 12.3 (Rev. CoP18).
⁴ Note that when applying the individual criteria, the analysis is conducted on the combined values for all the terms outlined above, but that quantities for each individual trade term have been included in the outputs in order to provide a more complete picture of the trade. A full list of “terms” (i.e. descriptions of specimens in trade) traded is available in the CITES Trade Database interpretation guide, see: https://trade.cites.org/cites_trade_guidelines/en-CITES_Trade_Database_Guide.pdf
Methodology

To produce a list of species/country combinations of relevance for consideration by the Animals Committee ("Selection Analysis" output), the CITES trade data were filtered using a set of criteria to extract the species showing noteworthy patterns of trade in accordance with paragraph 2 a) of Res. Conf. 17.7 (Rev. CoP18). Details of the methodology applied to select species/country combinations for each of the six criteria are described below (Table 2).

Table 2: Overview of methods for producing the Selection Analysis in order to select candidate species/country combinations for consideration based on the six criteria defined in paragraph 2 a) of Res. Conf. 17.7 (Rev. CoP18).

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Aim</th>
<th>Methods</th>
<th>Illustration / Remarks</th>
</tr>
</thead>
</table>
| Criterion i) Significant increase | To detect significant increases in trade in the most recent year with near-complete data. | The most recent year of trade data was compared to average trade levels over the previous five years, with the aim of identifying potential emerging trends towards higher volumes of captive-produced trade in species/country combinations. Species/country combinations met this criterion if:  
  • The volume of direct gross exports for the most recent year of data (2018) was >4 times the mean of the preceding five years (2013-2017); and  
  • Threshold: Average annual trade over the most recent five years (2014-2018) was >200 (or >50 if the species is considered CR, EN by IUCN, or endemic according to Species+). Including a minimum threshold was necessary to produce a manageable output.  
  This methodology aligns with the “sharp increase” criterion of the Review of Significant Trade process, although here the selection is at the level of species/country combination. |
| Criterion ii) Significant numbers | To detect captive-produced species that were being exported at significant volumes. | To identify representative species traded at high volumes across taxonomic groups, the most highly traded species/country combinations within each order were selected. Species/country combinations met this criterion if:  
  • Average annual trade (based on gross exports) over the most recent five years was >50 (or >12.5 if the species is considered CR, EN or endemic); and  
  • Threshold: It was within the top 5% of species/country combinations traded within the order over the five most recent years or within the top 1% (after adjusting for globally threatened species) if the number of species/country combinations within the order was >200. For globally threatened species, a more precautionary approach was taken, with the average trade volume for species considered globally threatened first multiplied by 10 before the 5% or 1% thresholds were applied. Inclusion of only the top 5% of trade by order and a minimum threshold for trade was necessary to produce a manageable output.  
  This methodology aligns with the “high volume” criterion of the Review of Significant Trade process, although here the selection is at the level of species/country combination. |
| Criteria | Aim | Methods | Illustration / Remarks |

5 Defined as species classified in the IUCN Red List of Threatened Species as Critically Endangered, Endangered, and Vulnerable. For this criterion, species considered Near Threatened and Data Deficient have also been included.
### Criteria

#### Criterion iii) Shifts in source codes

**Aim**

To identify notable shifts in source codes over time as reported by countries of export.

**Methods**

Volumes of trade from different source codes were compared to identify instances where there was a substantial change ("shift") in the reported source code over time. This methodology focuses specifically on shifts from wild sources to captive-produced sources, as follows:

- Wild (W, U, source unreported) → captive-produced/ranched (C, D, F, R combined)
- Ranched (R) → captive-produced (C, D, F combined).

Species/country combinations met this criterion if:

- Exporter-reported trade in one source code or a set of source codes in a focal year (2016-2018) increased to more than double the mean of the previous 5 years;
- There was a corresponding decrease in trade in another set of sources for the same focal year; and
- **Threshold**: Average annual trade over the most recent five years for both sets of source codes >50 (or >12.5 if the species is considered CR, EN or endemic). Including a minimum threshold was necessary to produce a manageable output for the AC.

#### Criterion iv) Reporting inconsistencies

**Aim**

To identify notable discrepancies in reported source codes between countries of export and import.

**Methods**

Reported volumes of trade in Appendix I species from different source codes were compared between importers and exporters to identify instances where overall volumes of trade were similar (<25% difference), but source codes differed between reporting Parties (exporter vs importer) for the same species. Species/country combinations met this criterion if:

- The sums of total exporter- and importer-reported trade in the most recent three years (2016-2018) differed by <25% (for wild and captive source codes combined);
- Trade in one set of sources differed by >10% between exporter and importer in the most recent three years;
- There was a corresponding difference of >10% in another set of source codes between importer and exporter; and
- **Threshold**: Sum of trade over the most recent three years for both sets of source codes >20.

Inconsistencies in reporting were checked between the following source code pairings:

- Wild (W, U, source unreported) and captive-produced/ranched (C, D, F, R combined)
- Ranched (R) and captive-produced (C, D, F combined).

Instances where importers and/or exporters had not submitted annual reports in some years were removed to avoid false positives. For the output, only trade data for 2014-2018 included.

#### Illustration / Remarks

In this illustration, total volumes are similar, but importers primarily reported the trade as ranched, whereas exporters reported as captive-produced.

**Note:** Some discrepancies may be accounted for by differences in reporting (e.g. actual trade or permits issued); or "year-end trade" (trade that is reported on by an exporter in one year, and an importer in the following year).
<table>
<thead>
<tr>
<th>Criteria</th>
<th>Aim</th>
<th>Methods</th>
<th>Illustration / Remarks</th>
</tr>
</thead>
</table>
| **Criterion v) Incorrect application of source codes** | To detect the potential for incorrect application of codes by countries of export (e.g. 'D' without a registered facility). | Species/country combinations met this criterion if direct trade was reported as source code 'D' in the most recent three years (2016-2018) for an Appendix I species with no current CITES registered facility in the country of export. There was no threshold applied for this criterion. For this criterion, exporter-reported trade [Appendix I / source D] was cross-checked with the list of CITES Registered breeding operations downloaded from the CITES website:


With respect to the first part of this criterion, as reflected in the Resolution (relating of misreporting source code ‘A’ for animals), it is not possible to undertake an informative analysis on trade reported for animals using source code ‘A’ within the CITES Trade Database. CITES annual reports are checked for errors by UNEP-WCMC before they are entered into the database and any non-compatible taxon-term codes such as ‘A’ for animals are corrected to source code ‘C’ as part of the quality assurance process. In general, this discrepancy does not arise often in the data checking process. |

| **Criterion vi) Legal acquisition** | To detect cases where there may be concerns about whether the founder stock was legally acquired. | Where species were being exported from non-range States at high volumes, the CITES trade data were searched for evidence of a founder stock being either directly or indirectly imported into that country/territory from a range State. Species/country combinations met this criterion if exports reported from non-range States during the most recent three years exceeded a threshold of 1000 units (based on gross exports) and either:

(a) There was no evidence of any live imports (of any source) into the country from any range State for the species since 1975; and

No evidence of any indirect imports from a non-range State (this accounts for imports into the EU28 as a regional economic integration organisation) since 1975; or

(b) The first live imports from a range State, were reported after the first reported export from the non-range State. |

It is important to note that this criterion is based only on CITES trade data, and there are many reasons why there may be no evidence of the original import in the CITES Trade Database. For example:

- Founder stock may have been acquired prior to CITES coming into force, prior to the species being listed in the Appendices to the Convention, or prior to the accession of the relevant Parties;
- Annual reports may be missing; and
- Whilst nomenclature changes have been accounted for where possible, some species may be selected if they were previously listed under a different taxonomic name |

---

6 Only the current record of CITES Registered breeders is available on the CITES website. The methods did not account for historical records for facilities that were previously included on the CITES register but have subsequently been removed from the list.
Results – Species Selection

In total, 135 species and 238 species/country combinations met at least one of the six criteria in paragraph 2 a) of Resolution Conf. 17.7 (Rev. CoP18) based on the methodologies applied. Where possible, criteria sharing similar data requirements (e.g. i, ii and iii) were combined in order to minimise the number of tables and to ease with decision-making by showing cases where multiple criteria were met. The results of the analysis showing which species/country combinations met each criteria are included in Tables 3-5, as follows:

Overview of results of the Selection Analysis

<table>
<thead>
<tr>
<th>Table No.</th>
<th>Criteria</th>
<th>Number selected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Table 3 (p. 9)</td>
<td>i) Significant increase</td>
<td>100 species and 121 species/country combinations met at least one of these criteria (including an indication of whether the species also met criterion vi)</td>
</tr>
<tr>
<td></td>
<td>ii) Significant numbers</td>
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</tr>
<tr>
<td></td>
<td>ii) Shifts in source codes</td>
<td></td>
</tr>
<tr>
<td>Table 4 (p. 22)</td>
<td>iv) Reporting inconsistencies</td>
<td>17 species and 66 species/country combinations met at least one of these criteria</td>
</tr>
<tr>
<td></td>
<td>v) Incorrect application of source codes</td>
<td></td>
</tr>
<tr>
<td>Table 5 (p. 28)</td>
<td>vi) Legal acquisition</td>
<td>34 species and 52 species/country combinations met criteria vi) (only)</td>
</tr>
<tr>
<td>Total (all criteria combined)</td>
<td></td>
<td>135 species and 238 species/country combinations</td>
</tr>
</tbody>
</table>

To assist the CITES Animals Committee with the task of selecting species, the following contextual information is provided in each table, where applicable:

- The **criterion met**: i) = “significant increase”, ii) = “significant number”, iii) = “shift source”, iv) = “reporting inconsistencies”, v) = “incorrect source code” and vi) = “legal acquisition”;
- The **Percentage of trade** that was reported over the five years for each captive-produced source (C, D, F, R), based on gross exports (Tables 3 and 5) and exporter-reported trade (Table 4);
- The Global **conservation status** of the species, if assessed, as published in The IUCN Red List of Threatened Species; 7
- Whether the species is **endemic**, according to the distribution records within Species+; 8
- Whether the country of export is considered a **range State** for the species (“native”) according to the distribution records within Species+, or is not a range State (“non-native”);
- If not a range State, whether the country is defined as a **neighbouring State** (i.e. country shares a border with a range State), according to the distribution records within Species+;
- An indication of species where there is **no evidence of any exports from any range State** (only applicable to exports from non-range States); 10
- The **year of first listing** in the CITES Appendices;
- Any year a **quota** has been in place during 2014-2020; and
- Whether a current Standing Committee **recommendation to suspend trade** is in place.

---

7 [www.iucnredlist.org](http://www.iucnredlist.org) Data downloaded on 23rd March 2020
8 Species+ is a database maintained by UNEP-WCMC and accessible from [speciesplus.net](http://speciesplus.net).
10 Based only on the CITES trade data.
11 Full quota details provided in an information document to AC31
Criteria i), ii) and iii)

Due to the similarities in the data requirements, the results for criteria i), ii) and iii) have been combined into one output. Table 3 provides details of all those species/country combinations that meet at least one of these criteria.

These criteria are defined as:

i) **Significant increase**: significant increases in trade in specimens declared as captive-produced (source codes C, D, F and R);

ii) **Significant numbers**: trade in significant numbers of specimens declared as produced in captivity;

iii) **Shifts in source codes**: shifts and fluctuations between different captive-production source codes;

Where relevant, it is also indicated in the table if criterion vi) (relating to legal acquisition) was also met. Where multiple criteria are met, the results are provided in bold.

In total, 100 species and 121 species/country combinations met at least one of these three criteria and are included in Table 3.

Key

**Exporter**: see Appendix 2 for ISO codes and country and territory names

**Term**: see Appendix 3 for term codes and descriptions

**IUCN Red List**: NE = Not Evaluated, LC = Least Concern, NT = Near Threatened, VU = Vulnerable, EN = Endangered, CR = Critically Endangered, EW = Extinct in the Wild, DD = Data Deficient.

**Criteria met**: species/country combinations meeting multiple criteria are in bold.

vi) **legal acquisition**<sup>a</sup> = no evidence of imports into the focal exporting country, vi) **legal acquisition**<sup>b</sup> = first year of import reported after first year of export from the focal exporting country, * = no evidence of exports from any range State(s)

**Exporter distribution tag**: native = exporter falls within taxon’s natural range; non-native = exporter considered to be outside of the species natural range; introduced = taxon has established wild populations in a non-native range State due to accidental or deliberate release. † = neighbouring a range State

**% trade by source**: C = captive-bred, D = Appendix I captive-bred in a registered breeding facility, F = captive-born, R = ranched.
Table 3: Species/country combinations that met criteria i), ii) or iii) based on direct trade in captive-produced (C, D, F, and R) specimens, with an indication if criteria vi) was also met. Quantities are in gross exports and rounded to the nearest whole number, when applicable. Data extracted from the CITES Trade Database on 11th May 2020. See Key on p. 8.

<table>
<thead>
<tr>
<th>Family</th>
<th>Species</th>
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<th>2015</th>
<th>2016</th>
<th>2017</th>
<th>2018</th>
<th>Criteria met</th>
<th>IUCN Red List</th>
<th>Endemic</th>
<th>Exporter dist.</th>
<th>Tag</th>
<th>Year</th>
<th>Quotas</th>
<th>Suspensions</th>
<th>% trade by source</th>
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</table>

*Percentage calculated using source shifts (W-CDFR 2016) for *Kobus leche*.
† Non-native without legal trade data available.
<table>
<thead>
<tr>
<th>Family</th>
<th>Species</th>
<th>Exporter Term</th>
<th>2014</th>
<th>2015</th>
<th>2016</th>
<th>2017</th>
<th>2018</th>
<th>Criteria met</th>
<th>IUCN Red List</th>
<th>Exporter dist. Tag</th>
<th>Year CITES listed</th>
<th>Quotas</th>
<th>Suspensions</th>
<th>% trade by source</th>
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<td>1975</td>
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<td>C(100%)</td>
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<td>C(74.8%); F(7.1%); R(18.1%)</td>
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<p>| Amphibians       | Anura                     |               |      |      |      |      |      |                                           |                 |                                 |                  |                          |             |
| Bufonidae        | <em>Nectophrynoides asperginis</em> (I) | US            | 0    | 1500 | 2100 | 600  | 2800  | 2 met: ii) significant volume; vi) legal acquisition (a) | EW ✓           | non-native                         | 1975             | F(100%)                    |             |</p>
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<td>2014-19</td>
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<td>VN BOD 200 150 0 0 0</td>
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<td>Hippocampus ingens (II)</td>
<td>MX BOD 0 0 0 700 0</td>
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<td>2004</td>
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<td>Invertebrates</td>
<td>Araneae Brachypelma albopilosum (II)</td>
<td>NI LIV 0 1900 1416 4735 8233</td>
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<td>LC distribution uncertain</td>
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<td>2016; 2017; 2019</td>
<td>C(100%)</td>
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Hippocampus ingens (II)
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Criteria iv) and v)

Given the commonalities across the datasets considered for these two criteria (e.g. both considering Appendix I species), the output for criteria iv) and v) are combined.

Table 4 provides an overview of those species that met criteria iv) and v); these criteria relate to:

iv) Reporting inconsistencies: inconsistencies between source codes reported by exporting and importing Parties for specimens declared as produced in captivity;

v) Incorrect application of source codes: apparent incorrect application of captive production codes such as: ‘A’ for animal species or ‘D’ for Appendix-I species that have not been registered in compliance with the provisions of Resolution Conf. 12.10 (Rev. CoP15) on Registration of operations that breed Appendix-I animal species in captivity for commercial purposes;

In total, 17 species and 66 species/country combinations met criteria iv) and v) and are included in Table 4.

Key

Exporter: see Appendix 2 for ISO codes and country and territory names
Term: see Appendix 3 for term codes and descriptions
Exp. Quantity & Imp. Quantity: represents the exporter and importer reported quantities summed across the captive source codes (C, D, F and R) for the most recent five years of trade (2014-2018).
Criterion iv reporting inconsistency: inconsistencies in reported source between exporter-reported (E) and importer-reported (I), with the two source code pairings in parentheses after each: wild (W) and captive-sourced (CDFR); and captive-sourced (CDF) and ranched (R) (see Table 2 for further details).
Exporter distribution tag: native = exporter falls within taxon’s natural range; non-native = exporter considered to be outside of the species natural range; introduced = taxon has established wild populations in a non-native range State due to accidental or deliberate release. † = neighbouring a range State
% trade by Source: C = captive-bred, D = Appendix I captive-bred in a registered breeding facility, F = captive-born, R = ranched.
Table 4: Appendix I species/country combinations that met criteria iv) and v) based on direct trade in captive-produced (C, D, F, and R) specimens, 2014-2018. Quantities rounded to the nearest whole number, when applicable. Data extracted from the CITES Trade Database 11th May 2020. See Key on p. 21.

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Criterion vi) only

Criterion vi) focuses on using the trade data to check whether there is any evidence of legal acquisition of the founder breeding stock for species that are traded as captive-produced by non-range States.

In total, **34 species and 52 species/country combinations** met criterion vi) only and are included in Table 5. An additional 11 species and 13 species/country combinations met this criterion in conjunction with criteria i), ii), or iii) and are included in Table 3.

It is important to note that legal acquisition can only be partially addressed by using the CITES trade data, and there are many reasons why there may be no evidence of the import of the founder breeding stock within the CITES Trade Database. A few examples of possible reasons for no evidence of legal acquisition within the CITES Trade Database include:

- Founder stocks could have been acquired prior to CITES coming into force, prior to the species being listed in the Appendices to the Convention, or prior to the accession of the relevant Parties;
- Missing annual reports may account for the lack of evidence of legal acquisition;
- Where possible, nomenclature changes have been accounted for, however some species may be selected if they were previously traded under a different taxonomic name.

In relation to concerns over legal acquisition, the Animals Committee may wish to consider whether any of these species/country combinations would merit referral to the Standing Committee.

**Key**

- **Exporter:** see Appendix 2 for ISO codes and country and territory names
- **Term:** see Appendix 3 for term codes and descriptions
- **Criteria vi:** * = no evidence of exports from any range State(s)
- **IUCN Red List:** NE = Not Evaluated, LC = Least Concern, NT = Near Threatened, VU = Vulnerable, EN = Endangered, CR = Critically Endangered, EW = Extinct in the Wild, DD = Data Deficient.
- **% trade by Source:** C = captive-bred, D = Appendix I captive-bred in a registered breeding facility, F = captive-born, R = ranched.
Table 5: Species/country combinations that met criteria vi) (legal acquisition) only, based on direct trade in captive-produced (C, D, F, and R) specimens from non-native exporting range States. Quantities are in gross exports and rounded to the nearest whole number, when applicable. Data extracted from the CITES Trade Database 11th May 2020. No species/country combinations in this table were subject to quotas or to current Standing Committee recommendations to suspend trade. See Key on p. 27.

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### Reptiles

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<td><em>Acropora natalensis</em> (II)</td>
<td>ID</td>
<td>COR</td>
<td>3 no import *</td>
<td>DD</td>
<td></td>
<td></td>
<td></td>
<td>1985</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>LIV</td>
<td>2367</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><em>Montipora peltiformis</em> (II)</td>
<td>MH</td>
<td>LIV</td>
<td>1273 no import</td>
<td>NT</td>
<td></td>
<td></td>
<td></td>
<td>1990</td>
<td>C(95.3%); F(4.7%)</td>
</tr>
</tbody>
</table>
3 Full trade data output

To support decision making by the Animals Committee, an output of all reported direct trade in captive-bred and ranched animal specimens (sources C, D, F and R) was also produced from trade data extracted from the CITES Trade Database on 11th May 2020 (and will be available as an information document). This full trade data output is provided in Excel format, with filterable columns, to enable data exploration. Details of the data included in this full output are provided in Table 6.

Table 6: Data included for the full trade data output of ‘captive-produced’ trade.

<table>
<thead>
<tr>
<th>Category</th>
<th>Data included</th>
</tr>
</thead>
<tbody>
<tr>
<td>CITES Trade Database report type</td>
<td>Gross exports; Direct trade only (re-exports are excluded)</td>
</tr>
<tr>
<td>Appendix</td>
<td>Appendix I and II only</td>
</tr>
<tr>
<td>Source codes12</td>
<td>Captive-bred (‘C’), Appendix I captive-bred in a registered breeding facility (‘D’), captive-born (‘F’) and ranched (‘R’).</td>
</tr>
<tr>
<td>Purpose codes12</td>
<td>All</td>
</tr>
<tr>
<td>Terms included</td>
<td>Selected terms13: baleen, bodies, bones, carapaces, carvings, caviar, cloth, eggs, egg (live), fins, gall and gall bladders, horns and horn pieces, ivory pieces, ivory carvings, live, meat, musk, plates, raw corals, scales, shells, skin pieces, skins, skeletons, skulls, teeth, trophies, and tusks.</td>
</tr>
<tr>
<td>Units of measure</td>
<td>Number (unit = blank)</td>
</tr>
<tr>
<td></td>
<td>[Trade in other units of measure (e.g. kilograms, metres, etc.) were excluded]</td>
</tr>
<tr>
<td>Year range</td>
<td>2014-201814</td>
</tr>
<tr>
<td>Contextual information</td>
<td>• Percentage of captive-produced trade by source code (C, D, F, R);</td>
</tr>
<tr>
<td></td>
<td>• Global conservation status of the species as published in the IUCN Red List of Threatened Species15;</td>
</tr>
<tr>
<td></td>
<td>• An indication of whether the country of export is a range State or a neighbouring State to a range State;</td>
</tr>
<tr>
<td></td>
<td>• An indication of whether the species is endemic to a single country, according to Species+16;</td>
</tr>
<tr>
<td></td>
<td>• An indication of where there is no evidence of any exports from any range State (only applicable to exports from non-range States)17;</td>
</tr>
<tr>
<td></td>
<td>• The year of first listing in the CITES Appendices;</td>
</tr>
<tr>
<td></td>
<td>• Species/country combinations subject to quotas between 2014 and 2020; and</td>
</tr>
<tr>
<td></td>
<td>• Species/country combinations that are subject to current Standing Committee recommendations to suspend trade.</td>
</tr>
</tbody>
</table>

---

12 A full list and description of source and purpose codes is specified in Res. Conf. 12.3 (Rev. CoP18).
13 A full list of “terms” (i.e. descriptions of specimens in trade) traded is available in the CITES Trade Database interpretation guide, see: [https://trade.cites.org/cites_trade_guidelines/en-CITES_Trade_Database_Guide.pdf](https://trade.cites.org/cites_trade_guidelines/en-CITES_Trade_Database_Guide.pdf)
14 Trade data for 2018 may appear lower than other years due to missing annual reports; 60% of Parties had submitted an annual report for 2018 that could be included for this analysis (as of 11th May 2020).
16 Species+ is a database maintained by UNEP-WCMC and accessible from [speciesplus.net](http://speciesplus.net).
17 Based only on the CITES trade data.
Appendix 1: Considerations for improvements to Resolution Conf. 17.7 (Rev. CoP18)

This section aims to assist the Animals Committee with implementation of Decision 18.76, which directs the Committee to review the provisions of Resolution 17.7 (Rev. CoP18) and make recommendations for improvements to the Standing Committee. Here we highlight lessons learned in relation to the methodology and some potential future revisions to the methods for selecting cases under Resolution Conf. 17.7 (Rev. CoP18).

Background

At AC29, as a result of the first iteration of the process, 23 species/country combinations were selected to progress to Stage 2 of the review of trade in animal specimens reported as produced in captivity. Of these, 14 cases were selected directly from the analysis of data outlined in AC29 Doc. 14.1 Annex, and a further nine cases were included in the process based on either referral from the Review of Significant Trade Working Group at AC29, previously identified cases of concern that had been referred to the Secretariat, or they were based on suggestions from the Parties/observers present at the meeting (Table 7). See also AC29 Com. 11 for further details.

Table 7: Basis of selection for 23 cases selected under Resolution Conf. 17.7, and the number selected within each criterion of Stage 1 paragraph a).

<table>
<thead>
<tr>
<th>Species/countries included and IUCN Red List*</th>
<th>Criteria met</th>
<th>Basis of selection</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vulpes zerda (Sudan) LC</td>
<td>✓</td>
<td>AC29 Doc. 14.1 Annex</td>
</tr>
<tr>
<td>Cacatua alba (Indonesia) EN</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Varanus exanthematicus (Ghana) LC</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Varanus exanthematicus (Togo) LC</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Varanus timorensis (Indonesia) LC</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Ptyas mucosus (Indonesia) NE</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Testudo hermanni (FYROM) NT</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Oophaga pumilio (Nicaragua) LC</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Oophaga pumilio (Panama) LC</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Agalychnis callidryas (Nicaragua) LC</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Hippocampus comes (Viet Nam) VU</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Tridacna crocea (Federated States of Micronesia) LC</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Lorius lory (South Africa) LC</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Ornithoptera croesus (Indonesia) NT</td>
<td>✓ ✓</td>
<td></td>
</tr>
</tbody>
</table>

Sub-total 3 6 5 0 0 2 [14 cases]

Centrochelys sulcata (Benin, Ghana, Guinea, Mali, Sudan, Togo) VU 9 additional species/country combinations added that did not meet the selection criteria. Referral from RST WG

Geochelone elegans (Jordan) VU Macaca fascicularis (Cambodia) LC Cases compiled by the Secretariat based on concerns about captive production

Trachyphyllia geoffroyi (Indonesia) NT AC29 Party/Observer suggestions

*Key: IUCN Red List: LC = Least Concern, EN = Endangered, NE = Not Evaluated, NT = Near Threatened, VU = Vulnerable.
Of the 23 cases that were selected, more than half were reptiles (12), with three amphibians and invertebrates selected each, as well as two mammal taxa, two birds and one fish. Whilst nine cases were for species that are globally threatened (1 EN and 8 VU), 14 cases were selected for species that are not globally threatened (3 NT, 10 LC and 1 not evaluated).

**Lessons learned**

1) Some criteria may be more relevant than others

It is notable that of the six criteria, the majority of species selected at AC29 related to criteria i), ii), and iii), which directly link to the biological feasibility of captive breeding; two criteria did not lead to the selection of any species. Specifically, no species were selected under criteria iv) *(reporting inconsistencies)* or v) *(incorrect application of source code)* at AC29. As these criteria relate to reporting discrepancies, they may be considered of lower priority to the Animals Committee.

In document AC30 Doc. 13.2, which outlined observations and recommendations on the first iteration of Resolution Conf. 17.7 (Rev. CoP18), the Secretariat recognised the lack of selected cases for criteria, iv) and v), and noted that “should a similar situation arise in future reviews, it may be worth reconsidering the inclusion of these selection criteria”.

➢ **Recommendation:** On this basis, if no species are selected under these criteria following CoP18, the Animals Committee should consider deletion of criteria iv) and v) from paragraph a) of the Resolution.

2) Additional datasets may strengthen the selection process

Of the 23 species/country combinations selected by Parties at AC29, nine did not feature in the selection analysis and instead were proposed by Parties or the Secretariat. Several related to concerns in relation to captive production or questions over the feasibility of breeding these species in captivity. On this basis, it appears that there may be a gap within the criteria and an increased focus on breeding biology within the methods may be warranted.

**Incorporation of breeding biology in the selection process**

For Resolution Conf. 17.7 (Rev. CoP18), taxa of high risk include those that are particularly difficult to breed in captivity or difficult to breed to second generation, as well as those that are particularly slow growing or slow to reproduce (as these may be more likely to be laundered). It would therefore be beneficial to take into account the breeding biology of a species when assessing whether the volume of trade for a particular taxon is “significant” or not.

At AC30, the Animals Committee concluded that “the current criteria focus on species that are traded in significant numbers, or where there are significant increases in trade, but might overlook species that are difficult to breed in captivity for which trade occurs at relatively low levels. The breeding biology of species is a key consideration that ideally should be factored into the selection process to further identify species of concern” (AC30 Com 7. (Rev by Sec.); also outlined in SC70 Doc 31.4 Annex 1).

There is currently no definitive or comprehensive list of “hard to breed” taxa, and, as new breeding techniques and technologies develop, it may mean that the ease of captive breeding of a particular taxon can change, and such lists could become out of date over time. Nevertheless, there is scope
to explore further how aspects of breeding biology or prevalence in captivity could be incorporated within the selection criteria, or at least added as supporting contextual information in the outputs produced from the CITES Trade Database. Some examples of existing datasets that could be utilised include the Demographic Species Knowledge Index18 for digitised life history traits and demographic data, and the Zoological Information Management Software (ZIMS) managed by Species 360, which holds data on the number of individuals held within over 1000 zoos globally. Information gaps could potentially be filled through specific workshops with taxonomic experts.

➢ **Recommendation:** The Animals Committee further consider how additional data on breeding biology could be compiled and factored into the selection process when implementing Decision 18.76.

### 3) Alignment of methods for CITES processes

At AC29, the Animals Committee recommended that efforts should be made to harmonise the methodology used to select species for Resolution 17.7 with that of the Review of Significant Trade (RST) especially relating to the multiplication factors used for the IUCN Red List categories” (AC29 Com. 11).

Parallels do exist between the selection criteria for the Review of Significant Trade and the Review of animals reported as produced in captivity, at least for some criteria (see Methods within Section 2 of this document for captive breeding process and Table 8 below for RST). In particular, both processes select cases where trade is considered to be “high volume” or where there has been a “sharp increase” in trade.

**Table 8:** Criteria for the selection of taxa within the Review of Significant Trade Process (Extended Analysis)

<table>
<thead>
<tr>
<th>Criterion</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>i)</td>
<td><strong>Endangered Species:</strong> Species categorized as Critically Endangered (CR) or Endangered (EN) according to The IUCN Red List of Threatened Species (any species-country combinations with trade meet the criteria)</td>
</tr>
<tr>
<td>ii)</td>
<td><strong>Sharp Increase (Global):</strong> Taxa showing a sharp increase in global trade in 2015, in comparison to the average over the preceding five-year period</td>
</tr>
<tr>
<td>iii)</td>
<td><strong>Sharp Increase (Country):</strong> Taxa showing a sharp increase in trade in 2015 at the country level (for countries of export) in comparison to the average over the preceding five-year period</td>
</tr>
<tr>
<td>iv)</td>
<td><strong>High Volume:</strong> Taxa traded at levels considered to be high compared to other taxa in their order over the most recent five year period</td>
</tr>
<tr>
<td>v)</td>
<td><strong>High Volume (Globally Threatened):</strong> Globally threatened, Near Threatened (NT) and Data Deficient (DD) taxa traded at relatively high volumes for their Order over the most recent five year period. Trade data are multiplied by 10 for species that are Critically Endangered (CR), Endangered (EN), Vulnerable (VU), Near Threatened (NT) or Data Deficient (DD) in the IUCN Red List.</td>
</tr>
</tbody>
</table>

At AC29, the Committee suggested that for the RST process, the weighting applied to individual species according to their threat status for the calculation of the “High Volume (globally threatened)” criterion should be refined; rather than using a general “x10” multiplier, it should be stratified by Red List status (AC29 Summary Record). To test the effect of different weightings within the RST process, two methods were compared (See Appendix 1 of AC31 Doc. 13.4 Annex 2).

---

The stratified multiplier method resulted in more taxa at the extremes being selected (i.e. CR or EN and LC). As CR and EN species are already selected in the RST under a separate criterion, it was decided, in consultation with the Secretariat, to retain the original method of weighting all globally threatened species (including NT and DD) equally. It should also be noted that some IUCN assessments are outdated and need re-assessment, and that the IUCN Red List guidelines indicate that IUCN Red List status should not be used for setting priorities. As multiplication factors were not changed within the RST process, they were not altered for the “High volume” criterion of the Review of animal specimens reported as bred in captivity.

It should be recognised that of the cases selected in the captive-breeding process following CoP17, 14 of the 23 were species that are not globally threatened according to the Red List, which may imply that the Red List perhaps has less relevance for this process than for the trade in wild specimens as scrutinised by the RST.

---

19 Section 2.4 of the IUCN Guidelines for Using the IUCN Red List Categories and Criteria (Version 14). Available at https://www.iucnredlist.org/resources/redlistguidelines
## Appendix 2: ISO codes and country and territory names

<table>
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<th>Code</th>
<th>Name</th>
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</thead>
<tbody>
<tr>
<td>AD</td>
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<tr>
<td>AE</td>
<td>United Arab Emirates</td>
</tr>
<tr>
<td>AF</td>
<td>Afghanistan</td>
</tr>
<tr>
<td>AG</td>
<td>Antigua and Barbuda</td>
</tr>
<tr>
<td>AI</td>
<td>Anguilla</td>
</tr>
<tr>
<td>AL</td>
<td>Albania</td>
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<td>AM</td>
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<td>AO</td>
<td>Angola</td>
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<td>Brunei Darussalam</td>
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<tr>
<td>BO</td>
<td>Bolivia, Plurinational State of</td>
</tr>
<tr>
<td>BQ</td>
<td>Bonaire, Saint Eustatius and Saba</td>
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<tr>
<td>BR</td>
<td>Brazil</td>
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<td>Bahamas</td>
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<td>Canada</td>
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<tr>
<td>CC</td>
<td>Cocos (Keeling) Islands</td>
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A dispute exists between the Governments of Argentina and the United Kingdom of Great Britain and Northern Ireland concerning sovereignty over the Falkland Islands (Islas Malvinas).
<table>
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<td>Saint Pierre and Miquelon</td>
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<td>Singapore</td>
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<tr>
<td>SH</td>
<td>Saint Helena, Ascension and Tristan da Cunha</td>
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<tr>
<td>SI</td>
<td>Slovenia</td>
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<tr>
<td>SJ</td>
<td>Svalbard and Jan Mayen</td>
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<td>ST</td>
<td>Sao Tome and Principe</td>
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<td>El Salvador</td>
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<td>TC</td>
<td>Turks and Caicos Islands</td>
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<td>TD</td>
<td>Chad</td>
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<td>TF</td>
<td>French Southern Territories</td>
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<td>Trinidad and Tobago</td>
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<td>TV</td>
<td>Tuvalu</td>
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38
<table>
<thead>
<tr>
<th>Code</th>
<th>Name</th>
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<tbody>
<tr>
<td>TW</td>
<td>Taiwan, Province of China</td>
</tr>
<tr>
<td>TZ</td>
<td>United Republic of Tanzania</td>
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<tr>
<td>UA</td>
<td>Ukraine</td>
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<tr>
<td>UG</td>
<td>Uganda</td>
</tr>
<tr>
<td>UM</td>
<td>United States Minor Outlying Islands</td>
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<tr>
<td>US</td>
<td>United States of America</td>
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<tr>
<td>UY</td>
<td>Uruguay</td>
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<tr>
<td>UZ</td>
<td>Uzbekistan</td>
</tr>
<tr>
<td>VA</td>
<td>Holy See</td>
</tr>
<tr>
<td>VC</td>
<td>Saint Vincent and the Grenadines</td>
</tr>
<tr>
<td>VE</td>
<td>Venezuela, Bolivarian Republic of</td>
</tr>
<tr>
<td>VG</td>
<td>Virgin Islands, British</td>
</tr>
<tr>
<td>VI</td>
<td>Virgin Islands, United States</td>
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<tr>
<td>VN</td>
<td>Viet Nam</td>
</tr>
<tr>
<td>VU</td>
<td>Vanuatu</td>
</tr>
<tr>
<td>WF</td>
<td>Wallis and Futuna Islands</td>
</tr>
<tr>
<td>WS</td>
<td>Samoa</td>
</tr>
<tr>
<td>YE</td>
<td>Yemen</td>
</tr>
<tr>
<td>YT</td>
<td>Mayotte</td>
</tr>
<tr>
<td>ZA</td>
<td>South Africa</td>
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### Appendix 3: Term codes and descriptions (see Notification to the Parties No. 2019/072)

<table>
<thead>
<tr>
<th>Trade term code</th>
<th>Description</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>BAL</td>
<td>Baleen</td>
<td>Whalebone</td>
</tr>
<tr>
<td>BOD</td>
<td>Bodies</td>
<td>Substantially whole dead animals, including fresh or processed fish, stuffed turtles, preserved butterflies, reptiles in alcohol, whole stuffed hunting trophies, etc.</td>
</tr>
<tr>
<td>BON</td>
<td>Bones</td>
<td>Bones, including jaws</td>
</tr>
<tr>
<td>CAP</td>
<td>Carapaces</td>
<td>Carved products other than ivory, bone or horn – for example coral and wood (including handicrafts). N.B. Ivory carvings should be specified as such (see below – “IVC”). Also, for species from which more than one type of product may be carved (e.g. horn and bone), the trade term code should indicate the type of product in trade (e.g. bone carving “BOC” or horn carving – “HOC”), where possible.</td>
</tr>
<tr>
<td>CAR</td>
<td>Carving</td>
<td>Carved products other than ivory, bone or horn – for example coral and wood (including handicrafts). N.B. Ivory carvings should be specified as such (see below – “IVC”). Also, for species from which more than one type of product may be carved (e.g. horn and bone), the trade term code should indicate the type of product in trade (e.g. bone carving “BOC” or horn carving – “HOC”), where possible.</td>
</tr>
<tr>
<td>CAV</td>
<td>Caviar</td>
<td>Unfertilized dead processed eggs from all species of Acipenseriformes; also known as roe.</td>
</tr>
<tr>
<td>CLO</td>
<td>Cloth</td>
<td>Cloth – if the cloth is not made entirely from the hair of a CITES species, the weight of hair of the species concerned should instead, if possible, be recorded under ‘HAI’</td>
</tr>
<tr>
<td>COR</td>
<td>Raw corals</td>
<td>Raw or unworked coral and coral rock (also live rock and substrate) [as defined in Resolution Conf. 11.10 (Rev. CoP15)]. Coral rock should be recorded as ‘Scleractinia spp.’ NB: the trade should be recorded by number only if the coral specimens are transported in water. Live rock (transported moist in boxes) should be reported in kg; coral substrate should be reported as number of pieces (since these are transported in water as the substrate to which non-CITES corals are attached).</td>
</tr>
<tr>
<td>EGG</td>
<td>Eggs</td>
<td>Whole dead or blown eggs (see also ‘caviar’)</td>
</tr>
<tr>
<td>EGL</td>
<td>Egg (live)</td>
<td>Live fertilized eggs – usually birds and reptiles but includes fish and invertebrates</td>
</tr>
<tr>
<td>FIN</td>
<td>Fins</td>
<td>Fresh, frozen or dried fins and parts of fins (including flippers)</td>
</tr>
<tr>
<td>GAB</td>
<td>Gall bladders</td>
<td>Gall bladders</td>
</tr>
<tr>
<td>GAL</td>
<td>Gall</td>
<td>Gall</td>
</tr>
<tr>
<td>HOP</td>
<td>Horn pieces</td>
<td>Pieces of horn, not manufactured – includes scrap</td>
</tr>
<tr>
<td>HOR</td>
<td>Horns</td>
<td>Horns – includes antlers</td>
</tr>
<tr>
<td>IVC</td>
<td>Ivory carvings</td>
<td>Ivory carvings, including e.g. smaller worked pieces of ivory (knife handles, chess sets, marjoram sets etc). N.B. Whole carved tusk should be reported as tusks (“TUS”). Jewellery made from carved ivory should be reported as ‘jewellery – ivory’ (“IJW”).</td>
</tr>
<tr>
<td>IVP</td>
<td>Ivory pieces</td>
<td>Ivory pieces, not manufactured – includes scrap</td>
</tr>
<tr>
<td>LIV</td>
<td>Live</td>
<td>Live animals and plants</td>
</tr>
<tr>
<td>MEA</td>
<td>Meat</td>
<td>Meat, including flesh of fish if not whole (see ‘body’), fresh or unprocessed meat as well as processed meat (e.g. smoked, raw, dried, frozen or tinned)</td>
</tr>
<tr>
<td>MUS</td>
<td>Musk</td>
<td>Musk</td>
</tr>
<tr>
<td>PLA</td>
<td>Plate</td>
<td>Plates of fur skins – includes rugs if made of several skins</td>
</tr>
<tr>
<td>SCA</td>
<td>Scale</td>
<td>Scales – e.g. of turtle, other reptiles, fish, pangolin</td>
</tr>
<tr>
<td>SHE</td>
<td>Shell</td>
<td>Raw or unworked shell of molluscs</td>
</tr>
<tr>
<td>SKE</td>
<td>Skeleton</td>
<td>Substantially whole skeletons</td>
</tr>
<tr>
<td>SKI</td>
<td>Skin</td>
<td>Substantially whole skins, raw or tanned, including crocodilian Tinga frames, external body lining, with or without scales</td>
</tr>
<tr>
<td>SKP</td>
<td>Skin piece</td>
<td>Skin pieces – including scraps, raw or tanned</td>
</tr>
<tr>
<td>SKU</td>
<td>Skull</td>
<td>Skull</td>
</tr>
<tr>
<td>TEE</td>
<td>Tooth</td>
<td>Teeth – e.g. of whale, lion, hippopotamus, crocodile, etc.</td>
</tr>
<tr>
<td>TRO</td>
<td>Trophy</td>
<td>Trophy – all the trophy parts of one animal if they are exported together: e.g. horns (2), skull, cape, backskin, tail and feet (i.e. ten specimens) constitute one trophy. But if, for example, the skull and horns are the only specimens of an animal that are exported, then these items together should be recorded as one trophy. Otherwise the items should be recorded separately. A whole stuffed body is recorded under ‘BOD’. A skin alone is recorded under ‘SK’. Trade in ‘full mount’, ‘shoulder mount’ and ‘half mount’, along with any corresponding parts of the same animal exported together on the same permit, should be reported as ‘1 TRO’</td>
</tr>
<tr>
<td>TUS</td>
<td>Tusk</td>
<td>Substantially whole tusks, whether or not worked. Includes tusks of elephant, hippopotamus, walrus, narwhal, but not other teeth</td>
</tr>
</tbody>
</table>