

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

Seventh Meeting of the Conference of the Parties

Lausanne (Switzerland), 9 to 20 October 1989

Interpretation and Implementation of the Convention

Consideration of Criteria and Applications for Inclusion of New  
Species in the "Register of Operations which Breed Specimens of  
Species Included in Appendix I in Captivity for Commercial Purposes"

FORMAT AND CRITERIA FOR PROPOSALS TO REGISTER THE FIRST COMMERCIAL  
CAPTIVE BREEDING OPERATION FOR AN APPENDIX I ANIMAL SPECIES

In adopting Resolution Conf. 6.21 on "Control Procedures for Commercial Captive-Breeding Operations" at its sixth meeting (Ottawa, 1987), the Conference of the Parties recommended:

"that, excepting species for which one commercial captive breeding operation is included in the Secretariat's Register on 24 July 1987, the first commercial captive breeding operation for an Appendix I species be included in the Secretariat's Register only by approval of two-thirds majority vote of the Parties at a meeting of the Conference of the Parties or by postal vote procedures prescribed by Article XV of the Convention to ensure compliance with Resolution Conf. 2.12, Resolution Conf. 4.15 and Resolution Conf. 5.16".

The attached draft resolution (Annex), prepared by Canada and the United States of America who both submitted it separately for consideration by the Conference of the Parties, aims to establish a format and criteria for presentation of proposals to register the first commercial captive-breeding operation for an Appendix I animal species in the Register mentioned in the title of this document and for consideration of such proposals by the Conference of the Parties.

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

Format and Criteria for Proposals to Register the First Commercial  
Captive-Breeding Operation for an Appendix I Animal Species

RECOGNIZING that Article VII, paragraph 4, of the Convention provides that specimens of Appendix I animal species "bred in captivity" can be traded commercially as Appendix II specimens;

NOTING that import of wild-caught Appendix I specimens for purposes of establishing a commercial captive-breeding operation is precluded by Article III, paragraph 3(c), of the Convention.

RECALLING that Resolution Conf. 2.12 adopted at the second meeting of the Conference of the Parties (San José, 1979) establishes the definition of "bred in captivity" and specifies that the parental breeding stock must be (1) established in a manner not detrimental to the survival of the species in the wild; (2) maintained without augmentation from the wild, except where necessary to prevent deleterious inbreeding; and (3) managed in a manner designed to maintain the breeding stock indefinitely;

RECALLING that Resolution Conf. 4.15 adopted at the fourth meeting of the Conference of the Parties (Gaborone, 1983) requires the Secretariat to compile and update a register of operations breeding Appendix I species in captivity for commercial purposes and that Parties with such operations provide the Secretariat with "appropriate information" on these operations;

RECOGNIZING that Resolution Conf. 6.21 adopted at the sixth meeting of the Conference of the Parties (Ottawa, 1987) specifies that the first commercial captive-breeding operation for an Appendix I species can be included in the Secretariat's Register only by a two-thirds majority vote of the Parties;

RECOGNIZING further that Resolution Conf. 6.21 requires that the first commercial captive-breeding operation for an Appendix I species be in compliance with Resolutions Conf. 2.12 and Conf. 4.15 before it can be included in the Secretariat's Register;

CONCERNED that Resolution Conf. 6.21 offers no specific requirements for presentation and no standards for approval of the first commercial captive-breeding operation for an Appendix I species;

CONCERNED further that there is a need to further interpret the bred in captivity criteria of Resolution Conf. 2.12 in the context of registering the first commercial captive-breeding operation for an Appendix I species;

NOTING that the following recommendations are offered as guidance to the Parties in deciding whether to accept the first commercial captive-breeding operation for an Appendix I species as recommended in Resolution Conf. 6.21, recommendation b);

## THE CONFERENCE OF THE PARTIES TO THE CONVENTION

### RECOMMENDS

- a) that no species whose entire wild population is determined by the Parties to be in imminent danger of extinction should be accepted for registration as bred in captivity for commercial purposes unless that species has an IUCN-approved (or equivalent) captive-breeding programme for conservation purposes;
- b) that the parental breeding stock for a commercial captive-breeding operation for a species in imminent danger of extinction in the wild can be obtained only from captive specimens that are surplus to an IUCN-approved or equivalent captive-breeding programme;
- c) that, to avoid depletion of the wild population from which specimens are taken to establish the parental breeding stock, the number of specimens taken must not exceed 10 percent of the average annual natural mortality of the age class from which the specimens are to be removed;
- d) that, to minimize the need for augmentation from the wild, the operation's initial parental breeding stock must consist of at least 5 males and 5 females, all unrelated; 4 males and 4 females from this group must actually breed (founders) and produce viable first generation (F1) offspring;
- e) that augmentation with (1) wild specimens provided by competent authorities because they are unsuitable for return to the wild as a result of injuries or tameness, (2) captive-bred specimens, or (3) gametes or embryos collected without detriment to the wild population be authorized by the Management Authority at any time;
- f) that the marking and inspection of specimens in the operation be undertaken in such a manner that unauthorized augmentation with wild specimens cannot occur without detection;
- g) that, to provide evidence that the species can be reliably bred in captivity, at least 50 percent of the breeding age portion of the operation's specimens of this species have bred and produced viable offspring in captivity;
- h) that evidence of "deleterious inbreeding" be defined as a decline of 20 percent or more in the (1) average litter or brood size, or (2) the average percent survival of young to breeding age when compared with the average from previous generations;
- i) to ensure that the operation is managed in a manner to "maintain the breeding stock indefinitely", the operation must demonstrate that it has bred the species to a second generation (F2); at least 75 percent of the founders must have some genetic representation in the second generation;
- j) that proposals submitted by a Party to register the first commercial captive-breeding operation for an Appendix I species should specifically address the following points:

#### Operation Strategy

- 1) Description of the management of breeding stock and offspring, specifically:

- A) anticipated production of offspring for next 5 years of operation;
  - B) description of anticipated strategy to add offspring to the captive-breeding population as future replacement stock and/or to expand the breeding population; and
  - C) description of breeding performance of each generation held in captivity, including records that document that at least 50 percent of the breeding age portion of the operation's specimens have bred and produced viable offspring, that 100 percent of the minimum founder stock bred and produced viable first generation offspring and that 75 percent of the founder stock is represented in the F<sub>2</sub> generation.
- ii) Assessment of any perceived need for augmentation of breeding stock from source other than from parental stock with identification of the anticipated source.

#### Parental Breeding Stock

Description of the number of males and females to be used as founder stock, their origins, and their genetic similarity or likely relationship with one another.

#### Husbandry and Breeding Methods

- i) Review of the species' breeding performance in captivity in general.
- ii) Description of the method used by the operation to breed the species to the level of the second generation (F<sub>2</sub>).
- iii) Description of the operations's strategy to minimize inbreeding and the need for augmentation from the wild.

#### Marking and Inspection

- i) Description of the marking methods to be used for breeding stock and offspring, and for specimens furnished for export [noting the direction of Resolution Conf. 6.21 to comply with provisions of Resolution Conf. 5.16 adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985)].
  - ii) Description of the inspection procedures to be used by CITES Management Authority to confirm identity of breeding stock and offspring and detect the presence of unauthorized specimens held at the operation or provided for export; and
- k) that proposals should follow the format in Annex.

FORMATA. PROPOSAL

Species to be registered as bred in captivity for commercial purposes.

B. PROPONENT

1. Party.

2. Name and address of captive-breeding operation to be registered.

C. SUPPORTING STATEMENT1. Taxonomy

11. Class
12. Order
13. Family
14. Genus, species, and subspecies, when applicable, including author and year
15. Common name(s), when applicable
16. Code numbers (e.g., ISIS), when applicable

2. Biological Data

21. Distribution (current and historical)
22. Wild Population (population size estimate, trends, annual recruitment and mortality estimates for important age classes, and threats to wild population)
23. Captive population
  231. Description of founder stock (including genetic similarity or likely relationship to one another)
  232. General breeding performance in captivity
  233. Methods to achieve second generation stock
  234. Description of breeding performance of population at operation to be registered
24. Management of breeding stock and offspring
  241. Anticipated production
  242. Augmentation strategy
  243. Strategy to minimize inbreeding
  244. Marking methods for breeding stock and offspring
  245. Inspection procedures to detect unauthorized specimens

3. Trade Data

31. Illegal trade and potential benefits of bred in captivity registration for species covered by proposal
32. Potential trade threats (including potential that bred in captivity registration could stimulate or mask trade in this or a related species)

4. Protection Status

41. National
42. International

5. Comments from Countries of Origin

6. Additional Information