

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



Fifteenth meeting of the Conference of the Parties  
Doha (Qatar), 13-25 March 2010

**Committee II**

Draft revision of Resolution Conf. 12.10 (Rev. CoP14)

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

*This document has been prepared by the United States of America as Chair of the Working Group on "Guidelines for a procedure to register and monitor operations that breed Appendix-I animal species for commercial purposes" established in the fourth session of Committee II, and is based on document CoP15 Doc. 18 Annex 12.*

***NB:** the left column contains the text that was proposed by the Secretariat in document CoP15 Doc. 18 Annex 12.c) with proposed new text underlined and deletions struck out. New text being proposed by the Working Group is in **bold**. The right column contains an explanation of the proposed amendments.*

<b>Resolution Conf. 12.10 (Rev. CoP14)*</b>	
* Amended at the 13th and 14th meetings of the Conference of the Parties.	
<del>Guidelines for a procedure to register and monitor</del> <b>Registration of operations that breed Appendix-I animal species in captivity for commercial purposes</b>	Changes made by the Secretariat in original proposed version.
RECALLING Resolution Conf. 8.15, adopted by the Conference of the Parties at its eighth meeting (Kyoto, 1992) and Resolution Conf. 11.14, adopted at its 11th meeting (Gigiri, 2000);	
RECOGNIZING that Article VII, paragraph 4, of the Convention provides that specimens of Appendix-I animal species bred in captivity for commercial purposes shall be deemed to be specimens of species included in Appendix II;	
RECOGNIZING also that the provisions of Article III of the Convention remain the basis for permitting trade in specimens of Appendix-I species of animals that do not qualify for the exemptions of paragraphs 4 and 5 of Article VII;	
NOTING that import of wild-caught specimens of Appendix-I species for purposes of establishing a commercial captive-breeding operation is precluded by Article III, paragraph 3 (c), as explained further in Resolution Conf. 5.10, adopted by the Conference of the Parties at its fifth meeting (Buenos Aires, 1985);	
RECALLING that Resolution Conf. 10.16 (Rev.), adopted by the Conference of the Parties at its 10th meeting (Harare, 1997) and amended at its 11th meeting,	

establishes the definition of 'bred in captivity' and provides the basis for determining whether or not an operation is eligible to be considered for registration;	
NOTING that, in accordance with Article VII, paragraph 5, the import of specimens of Appendix-I species bred in captivity not for commercial purposes that are covered by a certificate of captive breeding does not require the issuance of an import permit and may therefore be authorized whether or not the purpose is commercial;	
THE CONFERENCE OF THE PARTIES TO THE CONVENTION	
DETERMINES that the term 'bred in captivity for commercial purposes', as used in Article VII, paragraph 4, shall be interpreted as referring to any specimen of an animal bred to obtain economic benefit, <del>including profit</del> , whether in cash or <del>kind</del> otherwise, where the purpose is directed toward sale, exchange or provision of a service or any other form of economic use or benefit;	Changes made by the Secretariat in original proposed version (this amendment is the same amendment already accepted in Comm. II with revisions of Resolution Conf. 5.10.
AGREES that the exemption of Article VII, paragraph 4, should be implemented through the registration by the Secretariat of operations that breed specimens of Appendix-I species <u>in captivity</u> for commercial purposes;	Changes made by the Secretariat in original proposed version.
AGREES to the following procedure to register a captive-breeding operation for each Appendix-I listed animal species bred for commercial purposes;	
AGREES also that determination of whether or not to apply the exemptions in Article VII, paragraph 4, for the export of specimens of Appendix-I animals bred in captivity for commercial purposes remains the responsibility of the Management Authority of the exporting Party on the advice of the Scientific Authority that each operation complies with the provisions of Resolution Conf. 10.16 (Rev.);	
RESOLVES that:	
a) an operation may only be registered according to the procedure in this Resolution if specimens produced by that operation qualify as 'bred in captivity' according to the provisions of Resolution Conf. 10.16 (Rev.);	
b) the first and major responsibility for approving captive-breeding operations under Article VII, paragraph 4, shall rest with the Management Authority of each Party, in consultation with the Scientific Authority of that Party;	
c) the Management Authority shall provide the Secretariat with appropriate information to obtain, and to maintain, the registration of each captive-breeding operation as set out in Annex <del>1 or 2, as appropriate</del> .	The underlined text was originally included by the Secretariat. However, as a result of the working group, this language is struck out.
d) the Secretariat shall notify all Parties of each application for registration following the procedure set out in Annex <del>2</del> <u>3</u> .	Due to the Secretariat's proposed addition of a new annex, the annexes were renumbered. Since the working group did not adopt the Secretariat's proposed addition, the numbering of annexes remains as it was in the original resolution.
e) Parties shall <del>strictly</del> implement the provisions of Article IV of the Convention with respect to specimens of species included in Appendix I originating from	Changes made by the Secretariat in original proposed version.

<p>operations that breed such specimens in captivity for commercial purposes;</p>	
<p>f) registered captive-breeding operations shall ensure that an appropriate and secure marking system is used to clearly identify all breeding stock and specimens in trade, and shall undertake to adopt superior marking and identification methods as these become available;</p>	
<p>g) the Management Authority, in collaboration with the Scientific Authority, shall monitor the management of each registered captive-breeding operation under its jurisdiction and advise the Secretariat in the event of any major change in the nature of an operation or in the type(s) of products being produced for export, <del>in which case the Animals Committee shall review the operation to determine whether it should remain registered;</del></p>	<p>Changes made by the Secretariat in original proposed version.</p>
<p>h) any Party within whose jurisdiction an operation is registered may unilaterally request the removal of that operation from the Register without reference to other Parties by so notifying the Secretariat, and, in this case, the operation shall be removed immediately;</p>	
<p>i) any Party believing that a registered operation does not comply with the provisions of Resolution Conf. 10.16 (Rev.) may, after consultation with the Secretariat and the Party concerned, propose <del>that</del> <u>to the Conference of the Parties Standing Committee that this <del>delete the operation</del> be deleted from the Register. by a two third vote of the Parties as described in Article XV of the Convention; and once, <b>The Standing Committee shall, considering the concerns raised by the objecting Party and and any comments from the Registering Party and the Secretariat, determine whether the operation should be deleted from the register.</b> If so deleted, such an operation may only be reinstated in the Register by satisfying the procedure outlined in Annex 2 3; and</u></p>	<p>The normal text changes were made by the Secretariat in original proposed version.</p> <p><b>Bold text was added by the working group.</b></p>
<p>j) the Management Authority shall satisfy itself that the captive-breeding operation will make a continuing meaningful contribution according to the conservation needs of the species concerned;</p>	<p>The changes made by the Secretariat in original proposed version (deletion of the words “according to” and “needs” were recommended to be retained).</p>
<p>URGES that:</p> <p>a) Parties, prior to the establishment of captive-breeding operations for exotic species, undertake an assessment of the ecological risks, in order to safeguard against any negative effects on local ecosystems and native species;</p>	
<p>b) Management Authorities work closely with captive-breeding operations to prepare the information required in Annex 1 of this Resolution, or establish a support group with members representing breeders and Government in order to facilitate the procedure; and</p>	
<p>c) Parties provide incentives to their captive-breeding operations to register, such as faster processing of permit applications, issuance of a formal certificate of approval as an internationally registered breeding</p>	

operation, or possibly reduced export permit fees;	
ENCOURAGES: a) Parties to provide simple application forms <del>(such as the one used by the Management Authority of Canada)</del> and clear instructions to operations that wish to be registered <b>(a sample application form is provided in Annex 3)</b> ; and	Changes made by the Secretariat in original proposed version. <b>Bold text was added by the working group.</b>
b) importing countries to facilitate import of Appendix-I species from registered captive-breeding operations;	
AGREES further that: a) Parties shall restrict imports for primarily commercial purposes, as defined in Resolution Conf. 5.10, of captive-bred specimens of Appendix-I species to those produced by operations included in the Secretariat's Register and shall reject any document granted under Article VII, paragraph 4, if the specimens concerned do not originate from such an operation and if the document does not describe the specific identifying mark applied to each specimen; and	
b) comparable documentation granted in accordance with the Convention by States that are not Parties to the Convention shall not be accepted by Parties without prior consultation with the Secretariat; and	
REPEALS the Resolutions listed hereunder: a) Resolution Conf. 8.15 (Kyoto, 1992) – <i>Guidelines for a procedure to register and monitor operations breeding Appendix-I animal species for commercial purposes</i> ; and b) Resolution Conf. 11.14 (Gigiri, 2000) – <i>Guidelines for a procedure to register and monitor operations that breed Appendix-I animal species for commercial purposes</i> .	
<b>Annex 1</b>	
<b>Information to be provided to the Secretariat by the Management Authority on operations to be registered</b>	
1. Name and address of the owner and manager of the captive-breeding operation.	
2. Date of establishment.	
3. <del>Appendix-I</del> Species proposed for registration <del>breed</del> (Appendix I only).	Changes made by the Secretariat in original proposed version.
4. <del>Details of the n</del> Numbers and ages (if known or appropriate) of males and females that comprise the parental breeding stock. <del>—Evidence of legal acquisition of each male and female, including receipts, CITES documents, capture permits, etc.</del>	Changes made by the Secretariat in original proposed version.
5. <del>Operations located within range States must produce evidence that the parental stock was obtained in accordance with the relevant national laws (e.g. capture permits, receipts, etc.), or, if imported, in accordance with the provisions of the Convention (e.g. receipts, CITES documents, etc.).</del>	Changes made by the Secretariat in original proposed version.
6. <del>Operations located in non-range States must produce</del>	

<p>evidence that the animals comprising the parental stock:</p> <ul style="list-style-type: none"> <li><del>a) are pre-Convention specimens (e.g. relevant dated receipts or other acceptable proof of lawful acquisition);</del></li> <li><del>b) have been derived from pre-Convention specimens (e.g. relevant dated receipts or other acceptable proof of lawful acquisition); or</del></li> <li><del>c) were acquired from the range State(s) in accordance with the provisions of the Convention (e.g. receipts, CITES documents, etc.).</del></li> </ul> <p>5. <u>Evidence that the parental stock has been obtained in accordance with relevant national legislation and the provisions of the Convention (e.g. dated capture permits or receipts, CITES documents, etc.)</u></p>	
<p><del>76.</del> Current stock (numbers, by sex and age, of progeny held in addition to parental breeding stock above).</p>	<p>Changes made by the Secretariat in original proposed version.</p>
<p><del>87.</del> Information on the percentage mortalities <del>and, where possible, on the percentage mortalities in the different age groups and between males and females, if possible reported by age and sex.</del></p>	<p>Changes made by the Secretariat in original proposed version.</p>
<p><del>98.</del> Documentation showing either:</p> <ul style="list-style-type: none"> <li><del>a) that the operation has bred at least two generations of the species (e.g. F1 and F2) has been bred to second-generation offspring (F2) at the facility and a description of the method used; or</del></li> </ul>	<p>Most changes in 8. a) made by the Secretariat in original proposed version. <b>The working group deleted “(e.g. F1 and F2)”.</b></p>
<p><del>10.b)</del> If the operation has only bred <u>one generation of the species to the first generation (whether F1 or beyond)</u>, documentation showing that the husbandry methods used are the same as, or similar to, those that have resulted in second-generation offspring <del>elsewhere in other operations.</del></p>	<p>Most changes in 8. b) made by the Secretariat in original proposed version. <b>The working group deleted “(whether F1 or beyond)”.</b></p>
<p><del>119.</del> Past, current and expected annual production of offspring and, where possible, information on:</p> <ul style="list-style-type: none"> <li>a) the number of females producing offspring each year; and</li> <li>b) unusual fluctuations in the annual production of offspring (including an explanation of the probable cause).</li> </ul>	
<p><del>102.</del> An assessment of the anticipated need for, and source of, additional specimens to augment the breeding stock to increase the genetic pool of the captive population in order to avoid any deleterious inbreeding.</p>	

113. Type of product exported (e.g. live specimens, skins, hides, <del>and/or</del> other body parts, etc.).	Changes made by the Secretariat in original proposed version.
124. Detailed description of the marking methods (e.g. bands, tags, transponders, branding, etc.) used for the breeding stock and offspring and for the types of specimens (e.g. skins, meat, live animals, etc.) that will be exported.	
135. Description of the inspection and monitoring procedures to be used by the CITES Management Authority to confirm the identity of the breeding stock and offspring and to detect the presence of unauthorized specimens held at or <del>exported by</del> <u>incorporated within the operation, or being provided for exported.</u>	Changes made by the Secretariat in original proposed version.
146. Description of the facilities to house the current and expected captive stock, including security measures to prevent escapes and/or thefts. Detailed information should be provided on the number and size of breeding and rearing enclosures, <u>tanks, ponds,</u> egg incubation capacity, food production or supply, availability of veterinary services and record-keeping.	Changes made by the Secretariat in original proposed version.
157. Description of the strategies used <u>or activities conducted</u> by the breeding operation, <del>or other activities, that to</del> contribute to <del>improving the</del> conservation <del>status</del> of wild population(s) of the species.	Changes made by the Secretariat in original proposed version.
168. Assurance that the operation shall be carried out at all stages in a humane (non-cruel) manner.	
<b><u>Annex 2</u></b> <b><u>Accelerated registration procedure</u></b>	
<p><del>The following operations may benefit from an accelerated registration procedure:</del></p> <p><del>a) Operations that have already been registered for a species and that wish to register another species bred with similar husbandry methods and for similar ends (e.g. two crocodile species).</del></p> <p><del>b) Operations that have a <b>proven</b> record of activities that contribute directly to the conservation of wild population(s) of the species (e.g. participation in release programmes, capacity building activities, conservation projects, educational activities, etc.).</del></p> <p><del>Operations that fall into either of the above categories need only submit an application containing the information requested under paragraphs 1-4, 8, 11-12 and 15 above. Furthermore, only the provisions of Annex 3, paragraphs 1, 5 and 6 would apply.</del></p>	<p><b>The working group rejected the inclusion of a new Annex 2 and the concept of an accelerated registration procedure</b></p>
<b>Annex 2 <u>3</u></b> <b>Procedure to be followed by the Secretariat before registering new operations</b>	
<p>1. For all applications:</p> <p>a) review each application for registration to verify that it meets the requirements of Annex 1;</p> <p>b) notify all Parties of each application for</p>	<p>– <del>Option A: If the Conference agrees to leave the registration process to the applying Party and the Secretariat, subparagraphs 1. b) and c), and paragraphs 3-4 should be deleted;</del></p>

<p>registration and provide full information (specified in Annex 1) on the operation to any Party that requests it; and</p> <p>c) <del>disseminate</del>publish, with the Notifications to the Parties proposing new captive-breeding operations to be added to the Register, details of the specific marking method (and the identifying codes or prefixes, where possible) used by the captive-breeding operation.</p>	<p><del>paragraph 2 should remain unmodified; and paragraphs 5 and 6 should be adopted. Option A was rejected by the working group</del></p> <p>Changes made by the Secretariat in original proposed version.</p>
<p>2. Any Party wishing to do so must <del>comment on</del><u>object to</u> the registration of an operation within a period of 90 days from the date of notification by the Secretariat. <del>Objections may be made if they are directly related to the species and application</del> <u>application or species under consideration, and if they are fully documented and include the supporting evidence that has given rise to concerns.</u></p>	<p>Most changes made by the Secretariat in original proposed version.</p> <p><b>The working group reversed the order of species and application to reflect the fact that Parties could object to any aspects of the application, not just the species involved.</b></p>
<p>3. If any Party objects to the registration, <del>or expresses concern about the application,</del> the Secretariat shall refer the documentation to the <del>Chair of the Animals Committee, who shall decide whether this Committee is the appropriate forum to review the objection. If so,</del> <u>The Animals Committee which shall comment on respond to these objections within 360 60 days.</u></p> <p>a) <del>If the Animals Committee does not review the objection, the Secretariat shall facilitate a dialogue between the applying and objecting Parties and allow 30 days for resolution of the identified problem(s).</del></p> <p>b) <del>If the Animals Committee reviews the objection, Then, The Secretariat shall forward its</del> <u><b>comments from the Animals Committee</b> facilitate a dialogue between the Management Authority of the Party submitting the application and the Party or to the Parties concerned objecting to the registration, and shall provide the recommendations of the Animals Committee, and allow a further 360 30 days for resolution of the identified problem(s).</u></p>	<p><b>The working group revised the language to have the Secretariat refer any objects to the Animals Committee for consultation. After a 60 day period to consider the matter, the Animals Committee will provide their comments to the Secretariat. The Secretariat will provide the AC's comments to the Parties involved and give them 30 days in order to resolve the objection.</b></p>
<p>4. If the objection is not withdrawn or the identified problem(s) not resolved within the 30-day period, the application shall be <del>postponed until it is submitted to the Standing Committee at its following regular meeting decided by a two-thirds majority vote at the following meeting of the Conference of the Parties, or by postal procedures equivalent to those set forth in Article XV.</del></p> <p>a) <del>If the Committee considers the objection trivial or ill-founded, it shall reject it and the application shall be accepted.</del></p> <p>b) <del>If the Committee considers the objection justified, it shall review the response of the applying Party and decide whether or not to accept the application.</del></p>	<p>Changes made by the Secretariat in original proposed version.</p>
<p><del>5. For applications involving species already on the Secretariat's Register, refer such applications to experts for advice on their suitability only in cases where there are significant new aspects or other</del></p>	<p>Changes made by the Secretariat in original proposed version.</p>

<del>reasons for concern.</del>	
65. When satisfied that an application meets all requirements in Annex 1, <b>the Secretariat</b> shall publish the name and other particulars of the operation in its Register.	
<del>7. When an operation is not accepted for registration, provide the relevant Management Authority with a full explanation of the reasons for rejection and indicate the specific conditions that must be met before it can be resubmitted for further consideration.</del>	Changes made by the Secretariat in original proposed version.
<del>6. If an application has been rejected, any resubmission shall be made directly to the Standing Committee with an explanation of why it should be reconsidered.</del>	<b>The working group rejected the inclusion of this new paragraph.</b>



[Clean version of the proposed revisions to the Resolution]

**Draft revision of Resolution Conf. 12.10 (Rev. CoP14)**

***Registration of operations that breed Appendix-I animal species in captivity for commercial purposes***

RECALLING Resolution Conf. 8.15, adopted by the Conference of the Parties at its eighth meeting (Kyoto, 1992) and Resolution Conf. 11.14, adopted at its 11th meeting (Gigiri, 2000);

RECOGNIZING that Article VII, paragraph 4, of the Convention provides that specimens of Appendix-I animal species bred in captivity for commercial purposes shall be deemed to be specimens of species included in Appendix II;

RECOGNIZING also that the provisions of Article III of the Convention remain the basis for permitting trade in specimens of Appendix-I species of animals that do not qualify for the exemptions of paragraphs 4 and 5 of Article VII;

NOTING that import of wild-caught specimens of Appendix-I species for purposes of establishing a commercial captive-breeding operation is precluded by Article III, paragraph 3 (c), as explained further in Resolution Conf. 5.10, adopted by the Conference of the Parties at its fifth meeting (Buenos Aires, 1985);

RECALLING that Resolution Conf. 10.16 (Rev.), adopted by the Conference of the Parties at its 10th meeting (Harare, 1997) and amended at its 11th meeting, establishes the definition of 'bred in captivity' and provides the basis for determining whether or not an operation is eligible to be considered for registration;

NOTING that, in accordance with Article VII, paragraph 5, the import of specimens of Appendix-I species bred in captivity not for commercial purposes that are covered by a certificate of captive breeding does not require the issuance of an import permit and may therefore be authorized whether or not the purpose is commercial;

**THE CONFERENCE OF THE PARTIES TO THE CONVENTION**

DETERMINES that the term 'bred in captivity for commercial purposes', as used in Article VII, paragraph 4, shall be interpreted as referring to any specimen of an animal bred to obtain economic benefit, whether in cash or otherwise, where the purpose is directed toward sale, exchange or provision of a service or any other form of economic use or benefit;

AGREES that the exemption of Article VII, paragraph 4, should be implemented through the registration by the Secretariat of operations that breed specimens of Appendix-I species in captivity for commercial purposes;

AGREES to the following procedure to register a captive-breeding operation for each Appendix-I listed animal species bred for commercial purposes;

AGREES also that determination of whether or not to apply the exemptions in Article VII, paragraph 4, for the export of specimens of Appendix-I animals bred in captivity for commercial purposes remains the responsibility of the Management Authority of the exporting Party on the advice of the Scientific Authority that each operation complies with the provisions of Resolution Conf. 10.16 (Rev.);

RESOLVES that:

- a) an operation may only be registered according to the procedure in this Resolution if specimens produced by that operation qualify as 'bred in captivity' according to the provisions of Resolution Conf. 10.16 (Rev.);
- b) the first and major responsibility for approving captive-breeding operations under Article VII, paragraph 4, shall rest with the Management Authority of each Party, in consultation with the Scientific Authority of that Party;
- c) the Management Authority shall provide the Secretariat with appropriate information to obtain, and to maintain, the registration of each captive-breeding operation as set out in Annex 1;
- d) the Secretariat shall notify all Parties of each application for registration following the procedure set out in Annex 2;

- e) Parties shall implement the provisions of Article IV of the Convention with respect to specimens of species included in Appendix I originating from operations that breed such specimens in captivity for commercial purposes;
- f) registered captive-breeding operations shall ensure that an appropriate and secure marking system is used to clearly identify all breeding stock and specimens in trade, and shall undertake to adopt superior marking and identification methods as these become available;
- g) the Management Authority, in collaboration with the Scientific Authority, shall monitor the management of each registered captive-breeding operation under its jurisdiction and advise the Secretariat in the event of any major change in the nature of an operation or in the type(s) of products being produced for export;
- h) any Party within whose jurisdiction an operation is registered may unilaterally request the removal of that operation from the Register without reference to other Parties by so notifying the Secretariat, and, in this case, the operation shall be removed immediately;
- i) any Party believing that a registered operation does not comply with the provisions of Resolution Conf. 10.16 (Rev.) may, after consultation with the Secretariat and the Party concerned, propose to the Standing Committee that this operation be deleted from the Register. The Standing Committee shall, considering the concerns raised by the objecting Party and any comments from the Registering Party and the Secretariat, determine whether the operation should be deleted from the register. If so deleted, such an operation may only be reinstated in the Register by satisfying the procedure outlined in Annex 2; and
- j) the Management Authority shall satisfy itself that the captive-breeding operation will make a continuing meaningful contribution according to the conservation needs of the species concerned;

URGES that:

- a) Parties, prior to the establishment of captive-breeding operations for exotic species, undertake an assessment of the ecological risks, in order to safeguard against any negative effects on local ecosystems and native species;
- b) Management Authorities work closely with captive-breeding operations to prepare the information required in Annex 1 of this Resolution, or establish a support group with members representing breeders and Government in order to facilitate the procedure; and
- c) Parties provide incentives to their captive-breeding operations to register, such as faster processing of permit applications, issuance of a formal certificate of approval as an internationally registered breeding operation, or possibly reduced export permit fees;

ENCOURAGES:

- a) Parties to provide simple application forms and clear instructions to operations that wish to be registered (a sample application form is provided in Annex 3); and
- b) importing countries to facilitate import of Appendix-I species from registered captive-breeding operations;

AGREES further that:

- a) Parties shall restrict imports for primarily commercial purposes, as defined in Resolution Conf. 5.10, of captive-bred specimens of Appendix-I species to those produced by operations included in the Secretariat's Register and shall reject any document granted under Article VII, paragraph 4, if the specimens concerned do not originate from such an operation and if the document does not describe the specific identifying mark applied to each specimen; and
- b) comparable documentation granted in accordance with the Convention by States that are not Parties to the Convention shall not be accepted by Parties without prior consultation with the Secretariat; and

REPEALS the Resolutions listed hereunder:

- a) Resolution Conf. 8.15 (Kyoto, 1992) – *Guidelines for a procedure to register and monitor operations breeding Appendix-I animal species for commercial purposes*; and
- b) Resolution Conf. 11.14 (Gigiri, 2000) – *Guidelines for a procedure to register and monitor operations that breed Appendix-I animal species for commercial purposes*.

**Annex 1**  
**Information to be provided to the Secretariat by the Management Authority**  
**on operations to be registered**

1. Name and address of the owner and manager of the captive-breeding operation.
2. Date of establishment.
3. Appendix-I species proposed for registration.
4. Numbers and ages (if known or appropriate) of males and females that comprise the parental breeding stock.
5. Evidence that the parental stock has been obtained in accordance with relevant national legislation and the provisions of the Convention (e.g. dated capture permits or receipts, CITES documents, etc.).
6. Current stock (numbers, by sex and age, held in addition to parental breeding stock above).
7. Information on the percentage mortalities, if possible reported by age and sex.
8. Documentation showing either:
  - a) that the operation has bred at least two generations of the species and a description of the method used; or
  - b) If the operation has only bred one generation of the species, documentation showing that the husbandry methods used are the same as, or similar to, those that have resulted in second-generation offspring in other operations.
9. Past, current and expected annual production of offspring and, where possible, information on:
  - a) the number of females producing offspring each year; and
  - b) unusual fluctuations in the annual production of offspring (including an explanation of the probable cause).
10. An assessment of the anticipated need for, and source of, additional specimens to augment the breeding stock to increase the genetic pool of the captive population in order to avoid any deleterious inbreeding.
11. Type of product exported (e.g. live specimens, skins, hides, other body parts, etc.).
12. Detailed description of the marking methods (e.g. bands, tags, transponders, branding, etc.) used for the breeding stock and offspring and for the types of specimens (e.g. skins, meat, live animals, etc.) that will be exported.
13. Description of the inspection and monitoring procedures to be used by the CITES Management Authority to confirm the identity of the breeding stock and offspring and to detect the presence of unauthorized specimens held at or exported by the operation, or being exported.
14. Description of the facilities to house the current and expected captive stock, including security measures to prevent escapes and/or thefts. Detailed information should be provided on the number and size of breeding and rearing enclosures, tanks, ponds, egg incubation capacity, food production or supply, availability of veterinary services and record-keeping.
15. Description of the strategies used or activities conducted by the breeding operation to contribute to the conservation of wild population(s) of the species.
16. Assurance that the operation shall be carried out at all stages in a humane (non-cruel) manner.

## **Annex 2**

### **Procedure to be followed by the Secretariat before registering new operations**

1. For all applications:
  - a) review each application for registration to verify that it meets the requirements of Annex 1;
  - b) notify all Parties of each application for registration and provide full information (specified in Annex 1) on the operation to any Party that requests it; and
  - c) publish with the Notifications to the Parties proposing new captive-breeding operations to be added to the Register, details of the specific marking method (and the identifying codes or prefixes, where possible) used by the captive-breeding operation.
2. Any Party wishing to do so must object to the registration of an operation within a period of 90 days from the date of notification by the Secretariat. Objections may be made if they are directly related to the application or species under consideration, and if they are fully documented and include the supporting evidence that has given rise to concerns.
3. If any Party objects to the registration, the Secretariat shall refer the documentation to the Animals Committee to review the objection. The Animals Committee shall comment on the objection within 60 days. The Secretariat shall forward the comments made by the Animals Committee to the Parties concerned and allow a further 30 days for resolution of the identified problem(s).
4. If the objection is not withdrawn or the identified problem(s) not resolved within the 30-day period, the application shall be submitted to the Standing Committee at its following regular meeting.
  - a) If the Committee considers the objection trivial or ill-founded, it shall reject it and the application shall be accepted.
  - b) If the Committee considers the objection justified, it shall review the response of the applying Party and decide whether or not to accept the application.
5. When satisfied that an application meets all requirements in Annex 1, the Secretariat shall publish the name and other particulars of the operation in its Register.

## **Annex 3**

### **Sample Application Form**

[this form will be modelled after the Canadian form provided in CoP15 Doc. 18 Annex 12]