CONVENCIÓN SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES

Vigésimo quinta reunión del Comité de Flora
En línea, 2-4, 21 y 23 de junio de 2021

Cuestiones de interpretación y aplicación

Reglamentación del comercio

ADENDA AL DOCUMENTO SOBRE ORIENTACIÓN SOBRE LA EXPRESIÓN "REPRODUCIDO ARTIFICIALMENTE"

1. Este documento ha sido preparado por la Secretaría.

2. En el compendio PC25 Comp, la Secretaría informó de que, gracias al concurso financiero de Suiza, pudo iniciar la aplicación de la Decisión 18.178, sobre *Orientación sobre la expresión "reproducido artificialmente"*. Sin embargo, en el momento de redactar este documento, aún hay que conseguir fondos adicionales para garantizar la plena aplicación de la Decisión 18.178.

3. De conformidad con lo dispuesto en el párrafo a) de la Decisión 18.178, la Secretaría encargó al Centro de Monitoreo de la Conservación Mundial del Programa de las Naciones Unidas para el Medio Ambiente (PNUMA-CMCM) que preparase un proyecto de materiales de orientación para las Partes sobre los aspectos de la reproducción artificial, inclusive los términos 'en un medio controlado', 'plantel parental cultivado' y el nuevo código de origen Y, para completar la publicación *Guía para la aplicación de códigos de origen de la CITES*.

4. El proyecto de orientación se incluye en el Anexo a este Addendum para su consideración por el Comité de Flora en la presente reunión.

5. Pese a que la orientación aporta mucha claridad sobre varios aspectos de la reproducción artificial, podría mejorarse ampliando su alcance para incluir todos los términos en los Apéndices que están relacionados con la reproducción artificial, como los términos y regulaciones referentes a los 'cultivares', 'certificados fitosanitarios', y 'híbridos no anotados de especies del Apéndice I que se consideran reproducidos artificialmente'. Con esta finalidad, la Secretaría sugiere que el Comité de Flora considere proponer los siguientes proyectos de decisión a la Conferencia de las Partes:

19.AA Dirigida a la Secretaría

La Secretaría, sujeto a la disponibilidad fondos externos, deberá:

a) encargar la ampliación de la orientación para las Partes sobre los términos relacionados con la expresión 'reproducido artificialmente' para abarcar términos adicionales relativos a la reglamentación del comercio de plantas; e

b) informar al Comité Permanente sobre los progresos realizados en la aplicación de esta decisión.

19.BB Dirigida al Comité de Flora

El Comité de Flora deberá considerar los progresos comunicados por la Secretaría de conformidad con la Decisión 19.AA y formular recomendaciones al Comité Permanente y la Conferencia de las Partes, según proceda.

19.CC Dirigida al Comité Permanente

El Comité Permanente deberá considerar todo informe del Comité de Flora de conformidad con la Decisión 19.BB, inclusive las recomendaciones relacionadas con la publicación de la ampliación de la orientación sobre los términos relativos a la reglamentación del comercio de plantas en el sitio web de la CITES.

Recomendaciones revisadas

6. Se invita al Comité de Flora a:

   a) examinar y, según proceda, revisar el proyecto de orientación que figura en el Anexo a este Addendum;

   b) determinar la manera más adecuada de publicar una versión consolidada de la orientación sobre los términos relacionados con la expresión 'reproducido artificialmente', inclusive considerar la posibilidad de incorporarla en una nueva edición de la publicación *Guía para la aplicación de códigos de origen de la CITES*;

   c) considerar los proyectos de decisión que figuran en el párrafo 5 de este Addendum; e

   d) informar sobre los resultados de su labor a la Conferencia de las Partes para que los tome en consideración en su 19ª reunión.

UNEP-WCMC **technical report**

GUIDANCE ON TERMS RELATED TO THE ARTIFICIAL PROPAGATION OF CITES REGULATED PLANTS

UN environment programme

WCMC

Contents

Introduction

Recent meetings of the Conference of the Parties (CoP) have adopted a number of Decisions on issues relating to artificial propagation of CITES regulated plants. At its 18th meeting (CoP18, Geneva, 2019) the Conference of the Parties adopted Decision 18.178 on *Guidance on the term 'artificially propagated'* as follows:

> ***18.178 Directed to the Secretariat***
>
> *The Secretariat shall, subject to external funding:*
>
> *a) commission the preparation of guidance materials for the Parties on aspects of artificial propagation including the terms 'under controlled conditions', 'cultivated parental stock' and the new source code or such terms as may be adopted at CoP18, to supplement the publication* A Guide to the application of CITES source codes*;*
>
> *b) report to the Plants Committee at its 26th meeting on progress on paragraph a); and*
>
> *c) after review and revision by the Plants Committee, if directed by the Plants Committee, publish the final guidance on the CITES website.*

Current Resolutions that are core to issues relating to artificial propagations are Resolution Conf. 11.11 (Rev. CoP18) on *Regulation of trade in plants*, Resolution Conf. 10.13 (Rev. CoP18) on *Implementation of the Convention for tree species* and Resolution Conf. 16.10 on *Implementation of the Convention for agarwood-producing taxa*. The range of source codes are outlined in Resolution Conf. 12.3 (Rev. CoP18) on *Permits and Certificates*.

This guidance [which addresses paragraph a) of Decision 18.178], aims to explain the terminology used[1] in the Resolutions relevant to source codes A, D and Y and to help CITES Authorities understand how these Resolutions are applied to plants. *A Guide to the application of CITES source codes*[2] was produced by IUCN for CITES in 2017. The current guidance covers flora species only and updates, expands and complements the work carried out by IUCN.

Since the first formal definition of artificial propagation was adopted in Resolution Conf. 2.12 in 1979, the CoP have amended and expanded this text to adapt to new listings on the Appendices and new challenges in propagation techniques, and dealt with specific challenges by adopting new Resolutions. At its 24th meeting, the Plant Committee was invited to discuss options for a new source code and consolidate some definitions into Resolution Conf. 11.11 (Rev. CoP17) (PC 24 Doc. 16.1). An informative overview of the evolution of Resolution Conf. 11.11 (Rev. CoP18) on the *Regulation of trade in plants* is given in information document PC24 Inf.1 and on the discussions on plant productions systems in information document PC24 Inf.8. CoP18 Doc. 59.2 looked at *Source Codes for Plant Specimens in Trade* recommending a new intermediary source code between A and W to be termed Y to cover "assisted production" (the rationale beyond the development of a new source code and proposed the new source code and other changes which were, with some amendments, adopted in Resolution Conf. 11.11 (Rev. CoP18)). CoP18 Doc. 59.1 on *Guidance on the Term "Artificially Propagated"* explored a range of issues including the need for guidance to help Parties clearly understand and apply some of the requirements around the definition of artificial propagation, in particular in relation to the terms "cultivated parental stock" and "under controlled conditions" and also guidance on the new source code Y for assisted production.

[1] Terminology provided is for guidance only and does not represent a legal interpretation of these terms.
[2] https://cites.org/sites/default/files/eng/prog/captive_breeding/E-Souce%20codes%20booklet%20-%20April%2017.pdf

Terminology

The following terms and excerpts from key CITES Resolutions form the framework for understanding how CITES interprets artificial propagation. Text in *italics* indicates a direct excerpt from the relevant CITES Resolution. The Annex to this document provides a visual guide to terms and definitions.

'Artificially propagated'

Resolution Conf. 11.11 (Rev. CoP18), paragraph 2, determines that the term '*artificially propagated*' shall be interpreted to refer to plants specimens that are:

> *"a) grown under controlled conditions; and*
>
> *b) grown from seeds, cuttings, divisions, callus tissues or other plant tissues, spores or other propagules that are either exempt from the provisions of the Convention or have been derived from cultivated parental stock;"*

'Under controlled conditions'

Paragraph 1 a) of Resolution Conf. 11.11 (Rev. CoP18) adopts the following definition for the terms 'under controlled conditions':

> *"a) 'under controlled conditions' means in a non-natural environment that is intensively manipulated by human intervention for the purpose of plant production. General characteristics of controlled conditions may include but are not limited to tillage, fertilization, weed and pest control, irrigation, or nursery operations such as potting, bedding or protection from weather."*

The term '*under controlled conditions*' (Resolution Conf. 11.11 (Rev. CoP18), paragraph 2 a) refers to plants that are manipulated in a *non-natural environment* to promote prime growing conditions and exclude predators and pests (see Annex: Figures A, B). A well-managed traditional nursery or glasshouse is *controlled conditions.* Temporary annexation or appropriation of a piece of natural or semi-natural vegetation where wild plants occur is not *controlled conditions.* Such annexation might occur when a field boundary is moved to incorporate adjacent wild habitat in which the targeted species occurs; this area then receives little or no management until harvest occurs, after which the original field boundary is restored.

The key element of the term '*under controlled conditions*' is that there is a management regime in place for the cultivation of the plants involved in an environment which is clearly distinct from their natural habitat. Such a regime has in place clear boundaries from the natural environment; and the growing plants are isolated from nature, with procedures to enhance growth and prevent loss of plants to pests and diseases. Such conditions would probably create a relatively high maintenance environment, where the controls to enhance production are evident throughout the life cycle of the plants involved. Such management would be expected to have some level of record keeping in place, ensuring that the management regime is maintained to an adequate level and that the plants produced are of high quality.

! Wild-collected plants are considered wild even if they have been maintained in *controlled conditions* for some time, e.g., from several weeks to years, and this will be dependent on the plant group concerned.

'Cultivated parental stock'

Resolution Conf. 11.11 (Rev. CoP18), paragraph 1 b) adopts the following definition for the terms 'cultivated parental stock':

> *"b) 'cultivated parental stock' means the ensemble of plants grown under controlled conditions that are used for reproduction, and which must have been, to the satisfaction of the designated CITES authorities of the exporting country:*
>
> *i) established in accordance with the provisions of CITES and relevant national laws and in a manner not detrimental to the survival of the species in the wild; and*
> *ii) maintained in sufficient quantities for propagation so as to minimize or eliminate the need for augmentation from the wild, with such augmentation occurring only as an exception and limited to the amount necessary to maintain the vigour and productivity of the cultivated parental stock;"*

The term '*cultivated parental stock*' refers to the ensemble of plants grown under controlled conditions that are used for reproduction.

The *cultivated parental stock* must have been *established in accordance with the provisions of CITES and relevant national laws and in a manner not detrimental to the survival of the species in the wild*[3].

Simply stated, this stock must have been obtained legally in CITES terms and in terms of any national laws in the country of origin (see Annex: Figures A, B). There must be evidence that the plants have been acquired legally, for example, copies of permits or formal statements from the relevant authority. In addition, the term *established … in a manner not detrimental to the survival of the species in the wild* indicates that a non-detriment finding is required for the parental stock that is being set up (see Annex: Figure A).

The term '*cultivated parental stock*' is used in order to indicate that some addition of fresh wild collected plants is permissible following the establishment of the original parental stock. This should occur only *as "an exception and be limited to the amount necessary to maintain the [genetic] vigour and productivity* of the *cultivated parental stock".* Clearly, such addition of wild plants needs to be managed, limited, legal and not detrimental to the survival of the species in the wild if the plants are to be considered 'cultivated parental stock'.

Resolution Conf. 11.11 (Rev. CoP18) does not indicate what frequency of addition of fresh stock is appropriate, nor what level of addition is appropriate. Requirements can differ between the wide range of plant groups regulated by CITES, and it is left to the relevant Scientific Authority to give appropriate advice. In practical terms, the Scientific Authority can base their advice on information supplied by experts (such as horticulturalists from a botanic garden) on the plant group concerned and, for example, by liaising with other Parties that have addressed the same issues. Such addition of fresh stock should be *an exception and limited.*

Source codes applicable to artificially propagated plants: A and D

Codes 'A' and 'D' are used on permits and certificates to indicate the source of artificially propagated plant species. In both cases, plants are artificially propagated in accordance with the definitions contained in Resolution Conf. 11.11 (Rev. CoP18), paragraph 1 a) and b); however, the decision on applicability of the two source codes relies on an assessment of the purpose of the transaction (commercial or non-commercial), and is dependent on the CITES Appendix.

[3] Paragraph 1, b i) of Resolution Conf. 11.11 (Rev. CoP18).

Resolution Conf. 12.3 (Rev. CoP18), paragraph 3, j) recommends that codes A and D be used to indicate the following source of the plant specimens:

> **A** '*plants that are artificially propagated in accordance with Resolution Conf. 11.11 (Rev. CoP18), as well as parts and derivatives thereof, exported under the provision of Article VII, paragraph 5* (*specimens of species included in Appendix I that have been propagated artificially for 'non-commercial purposes', and specimens of species included in Appendix II and III)*';
>
> **D** *'Appendix-I plants artificially propagated 'for commercial purposes', as well as part and derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention'*.

In summary:

- **Source code D** should be used for artificially propagated plant specimens, their parts and derivatives, of Appendix I species that are traded for commercial purposes (purpose code T);
- **Source code A** should be used for all remaining artificially propagated plant specimens, their parts and derivatives, of Appendix I species traded for non-commercial purposes, and for all specimens of species included in Appendix II and III, irrespective of the purpose of the transaction.

Trees and artificial propagation

As the criteria for artificial propagation laid down in Resolution Conf. 11.11 (Rev. CoP18) were originally designed with horticultural plants in mind, problems with determining source codes arose when the first commercially traded timber trees were listed. Applying these "horticultural" criteria to trees and plantations posed problems for CITES Authorities.

The Conference of the Parties took a pragmatic approach to defining "artificially propagated" in Resolution Conf. 10.13 (Rev. CoP18) on *Implementation of the Convention for tree species* (see Annex: Figure C) stating that:

> *Timber or other parts or derivatives of trees grown in monospecific plantations be considered as being artificially propagated in accordance with the definition contained in* Resolution Conf. 11.11 (Rev. CoP18).

! Simply stated, in place of the definition of 'artificially propagated' outlined in Resolution Conf. 11.11 (Rev. CoP18), trees growing in monospecific (single species) plantations and their timber or other parts or derivatives are considered to be artificially propagated. This definition of artificial propagation applies only to tree species (source codes A or D apply).

Special cases and exceptions:

Araucaria araucana: The Monkey Puzzle or Puhúen tree is the national tree of Chile; it is an iconic and highly valued species for Chile's indigenous people. This tree produces large seeds – *piñones* - which are edible and an important food source. The trees are cultivated from wild-collected seeds in nurseries, and the resultant seedlings have been exported internationally for generations. As they were grown directly from wild seeds, the Appendix I seedlings could not be legally exported for trade because they did not fulfil the then definition of artificially propagated. The Parties therefore sought a solution to support sustainable harvest and trade of the species.

The original version of Resolution Conf. 11 was amended at CoP13 in 2004 based on document CoP13 Doc. 51, so that Appendix I material grown from wild collected *seeds* or *spores* (later changed to propagules) within a range State and deemed by the Management and Scientific Authorities to be legal and non-detrimental, could be considered artificially propagated. This is reflected in paragraph 4 of the current version, which is now Resolution Conf. 11.11 (Rev. CoP18).

Any range State using this exception is required to register the nurseries concerned with the CITES Secretariat and fulfil the criteria outlined in paragraph 4. of Resolution Conf. 11.11 (Rev. CoP18).

***Aquilaria* spp. and *Gyrinops* spp. (Agarwood):** Agarwood specimens are highly traded CITES non-timber forest products. Trade in agarwood specimens includes extract, oils, perfumes, chips, beads and powder. The origin of agarwood is fungi-infected tree heartwood.

Range States of agarwood-producing tree species proposed that cultivation of the trees is very different from that of conventional forestry, and that current CITES definitions were inadequate. As a result, at its sixteenth meeting (CoP16, Bangkok, 2013), the Conference of the Parties adopted Resolution Conf. 16.10 on *Implementation of the Convention for agarwood-producing taxa*, adopting a definition of "artificially propagated specimens" specifically for agarwood as follows:

Regarding artificially propagated specimens

1. *Agrees that:*
   a) *the current definition of 'artificially propagated' in Resolution Conf. 11.11 (Rev. CoP18) does not meet the circumstances of agarwood-producing taxa, due to the definition of the term 'under controlled conditions', and the source of parental stock is not suitable and fully complied with the plantation activities of agarwood-producing taxa; and*
   b) *the source of seeds or propagules for cultivation of agarwood-producing species may be obtained from the wild according to the definition of 'cultivated parental stock' in Resolution Conf. 11.11 (Rev. CoP18);*

2. *Adopts the following definition for terms used in this Resolution:*

   For agarwood-producing taxa, 'under controlled conditions' means in a tree plantation, including other non-natural environment, that is manipulated by human intervention for the purpose of producing plants of plant parts and derivatives;

3. *Determines that the term' artificially propagated' shall be interpreted to refer to plant specimens of agarwood as follow:*

   a) *grown under controlled conditions; and*
   b) *grown from seeds, seedlings, saplings, cuttings, grafting, marcotting/air-layering, divisions, plant tissues or other propagules that have been derived from wild or cultivated parental stocks, according to the definition of cultivated parental stock in Resolution Conf. 11.11 (Rev. CoP18).*

4. *Agrees that trees of agarwood-producing taxa grown in cultivation such as:*

   a) *gardens (home and/or community garden); and*
   b) *state, private or community production plantation, monospecific or mixed species,*
   shall be considered to be artificially propagated in accordance with the definition above.

These changes significantly extended the definition of artificial propagation for agarwood for example, allowing material grown in gardens and mixed species plantations to be considered artificially propagated.

Resolution Conf. 16.10 should be referred to when considering the issue of artificial propagation of agarwood, which is currently listed in CITES Appendix II as *Aquilaria* spp. and *Gyrinops* spp. (see Annex: Figure D).

Other plant tissues and other propagules

Paragraph 2 b) of Resolution Conf. 11.11 (Rev. CoP18) states that artificially propagated shall refer to plant specimens that are, *inter alia*, *"grown from seeds, cuttings, divisions, callus tissues or other plant tissues, spores or other propagules that are either exempt from the provisions of the Convention or have been derived from cultivated parental stock"*[4].

This list of terms has been interpreted by the Parties to embrace the range of plant parts used in propagation and the range of propagation techniques. The terms *other plant tissues* and *other propagules* are not formally defined. The use of *other propagules* in this text goes all the way back to the original Resolution Conf 2.12 on *Regulating trade in artificially propagated specimens under the Convention*, adopted in San Jose, Costa Rica, in 1979. The means by which plants can be propagated and the range of potential source material from which plants can be reproduced has expanded dramatically since that time. The terms *other plant tissues* and *other propagules*, in effect, have been interpreted by Parties to cater for such evolution. This seems practical, as any attempt to name the expanding range of source material and procedures would be an endless task.

In the case of CITES Appendix-I listed plants, the individual plant, "alive or dead" and "any readily recognizable part or derivative" is subject to regulation[5]. In effect, everything is covered. In the case of Appendix II and III-listed plant species, the regulation is confined to plants "alive or dead" and "any readily recognizable part or derivative thereof specified in Appendices II and III in relation to the species". The parts and derivatives covered are specified in the Appendices by an annotation to the relevant listing. For example, in the case of the Appendix II medicinal plant *Hydrastis canadensis* (Goldenseal or Yellow root), only trade in the underground parts of the plant, as specified in the Annotation #8 are regulated by CITES. All other parts and derivates are not specified in the example given of *Hydrastis canadensis* and are thus not covered by the Convention.

In accordance with paragraph 2 b), source material for artificial propagation should be either exempt from CITES or should *have been derived from cultivated parental stock.* This stock should be managed under the terms of Resolution Conf. 11.11 (Rev. CoP18).

'Plant obtained through assisted production' – Source Code Y

'*Plant obtained through assisted production*' refers to a plant that only partially fulfils the definition of artificial propagation and therefore does not qualify for the source code A. However, it is not a wild plant in the traditional sense due to the fact that there has been some human intervention in its cultivation or production.

Take, for example, bulbs grown in a hillside field in the Caucasus as a second crop under maize. In this situation, the parent stock has been originally sourced from the wild (exact timing unclear); there is some management by villagers; and harvest of the bulbs takes place after the maize has been cleared. There is limited record keeping, and the boundaries with nearby wild populations may not be fully clear. The bulbs reproduce very well in these partially managed cultivation fields and are harvested and sold to middlemen acting for bulb exporters. A similar situation may occur with a village garden of orchids in South-East Asia – where epiphytic orchid stock is collected from natural habitat and cultivated on trees and rocks adjacent to a village. In both the examples, the criterion of "controlled conditions" is not met.

In many cases, such *assisted production* is "low technology" cultivation being carried out by local communities where it may be a significant source of cash income.

[4] Paragraph 2, b of Res. Conf. 11.11 (Rev. CoP18).
[5] Article 1 (b) (iii) of the text of the CITES Convention.

CoP18 amended Resolution Conf. 11.11 (Rev. CoP18)[6] to cater for '*plants obtained through assisted production*' – these are defined as plants that:

i) *do not fulfil the definition of "artificially propagated", and*

ii) *are considered not to be "wild"* due to the levels of *human intervention;*

Propagation material can come from a range of sources, including from the wild, as long as that collection is legal and non-detrimental to the survival of the species in the wild.

The exact amount of human intervention to qualify for source code Y is not defined in Resolution Conf. 11.11 (Rev. CoP18) and the determination is left to the national Scientific Authority. In the examples given above on bulbs and orchids, the key element is the level of "controlled conditions" and the source of "cultivated parental stock". It is likely that these will also be key to any assessment of the use of source code Y. Referring back to the example given earlier of the temporary annexation of a portion of wild habitat to provide material for harvest at the end of one season, this is clearly source code W – there is no real management of this material. However, if the boundaries were made more permanent and some controlled conditions were put in place over a period of time, it might then be considered appropriate to attribute source code Y code to the stock.

In effect, the situation in relation to the application of source codes W and Y is a gradient or cline, and it is unlikely that hard boundaries can be identified as easily as those between source codes A and W. In effect, the source code Y was adopted by Parties to allow them to assess situations that fall within this cline and apply the new source code as they determine to be appropriate. Further examples of the suitability of source code Y are likely to be available in a few years' time when Parties have implemented its application more widely.

Export permits can be granted for specimens produced by assisted production methods if[7]:

a) *A Management Authority of the State of export is satisfied that the specimen to be exported was* obtained legally; and

b) *A Scientific Authority of the State of export has advised that the export will not be detrimental to the survival of the species.*

For this group of *assisted production* plants, the new source code "Y" can now be used. This allows Parties to permit "low technology" cultivation which produces plants which do not formally qualify as artificially propagated and the subsequent use of source code "A" which no longer need to be traded as wild (see Annex: Figure E).

[6] and accordingly, Resolution Conf. 12.3 (Rev. CoP18) on *Permits and Certificates*
[7] Paragraph 10 a) and b) of Res. Conf. 11.11 (Rev. CoP18)

Interpretation and application of source codes for plants

Source codes on CITES permits and certificates are reported as a one-letter code (see column 'Codes' in Table 1). According to Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*, there are seven options to indicate the original source in permits and certificates of the specimen of a plant species being traded (W, Y, D, A, U, I and O); all of these except the new source code Y are reflected in current version of '*A Guide to the application of CITES source codes*'[8].

When choosing a source code, careful consideration should be given to the origin of the species, the purpose of the transaction (e.g., specimens traded for commercial or non-commercial purpose, such as for a botanic garden) and to the CITES Appendix in which the taxon concerned is listed.

Descriptions of the range of sources of plant specimens and guidance on the use of source codes are provided in Table 1. If a non-detriment finding (NDF) is required, this is also indicated in Table 1 (see also Figure 1).

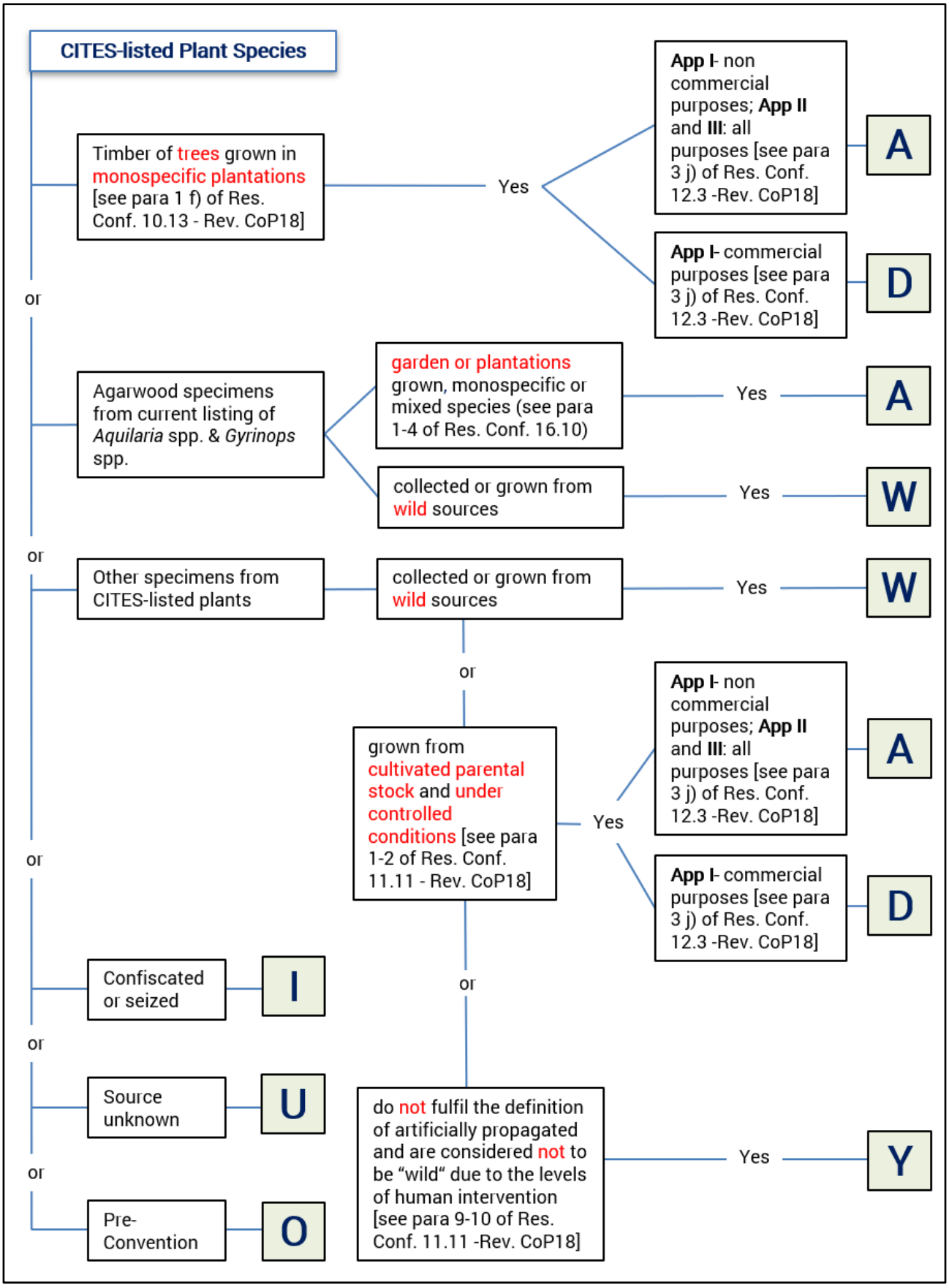
[8] The guidance provided herein complements and expands upon the guidance provided within the relevant Resolutions and the 2017 IUCN Guide to provide further clarity to Parties on the use of plant source codes.

Table 1. List of source codes for plants, their definition and application, and interpretation of the NDF requirements under the provisions of Articles III and IV of the Convention. Underlined text refers to the purpose of the transaction; **bold** text indicates the CITES Appendix. Unless otherwise indicated by a footnote, all definitions are sourced from Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*.

Source codes	Description	Definition	Application	Requirement for a non-detriment finding (NDF)
A	Artificially propagated plant	Plants that are artificially propagated in accordance with Resolution Conf. 11.11 (Rev. CoP18), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in **Appendix I** that have been propagated artificially for non-commercial purposes and specimens of species included in **Appendices II and III**).	To be used for: **App I** - non-commercial purposes **App II** and **III**: all purposes.	Yes: only for founder stock of **Appendix I and II** listed plants used to establish the cultivated parental stock in the propagation system involved[9].
D	Artificially propagated plant	**Appendix-I** plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention.	To be used only for: **App I** – commercial purposes.	Yes: for founder stock of **Appendix I** listed plants used to establish the cultivated parental stock in the propagation system involved[9].
I	Confiscated or seized	Specimens that were acquired illegally; imported or (re-)exported in violation of the Convention[10].	**All Appendices.**	Not applicable.
O	Pre-Convention	Specimens that were acquired before the provisions of the Convention applied to that specimen[11].	Source code O may be used with other source codes. To be used only in pre-Convention certificates. Date of acquisition is defined in Resolution Conf. 13.6 (Rev. CoP18). **All Appendices.**	Not applicable.
U	Unknown	Source code U must be justified.	**All Appendices.**	Not applicable.
W	Wild	Specimens taken from the wild.	**All Appendices.**	Yes: for exports of **Appendix I** and **II** listed plants[12]; Yes: for imports of **Appendix I** listed plants[13].
Y	Assisted production	Specimens of plants that fulfil the definition for 'assisted production' in Resolution Conf. 11.11 (Rev. CoP18) as well as parts and derivatives thereof.	**All Appendices.**	Yes: for exports of **Appendix I and II** listed plants. Yes: for imports of **Appendix I** listed plants.

[9] Resolution Conf. 11.11 (Rev. CoP18).
[10] Resolution Conf. 17.8 on Disposal of illegally traded and confiscated specimens of CITES-listed species.
[11] Article VII, paragraph 2 of the CITES Convention.
[12] Article III 2 (a) and Article IV 2 (a) of the CITES Convention.
[13] Article III 3 (a) of the CITES Convention.

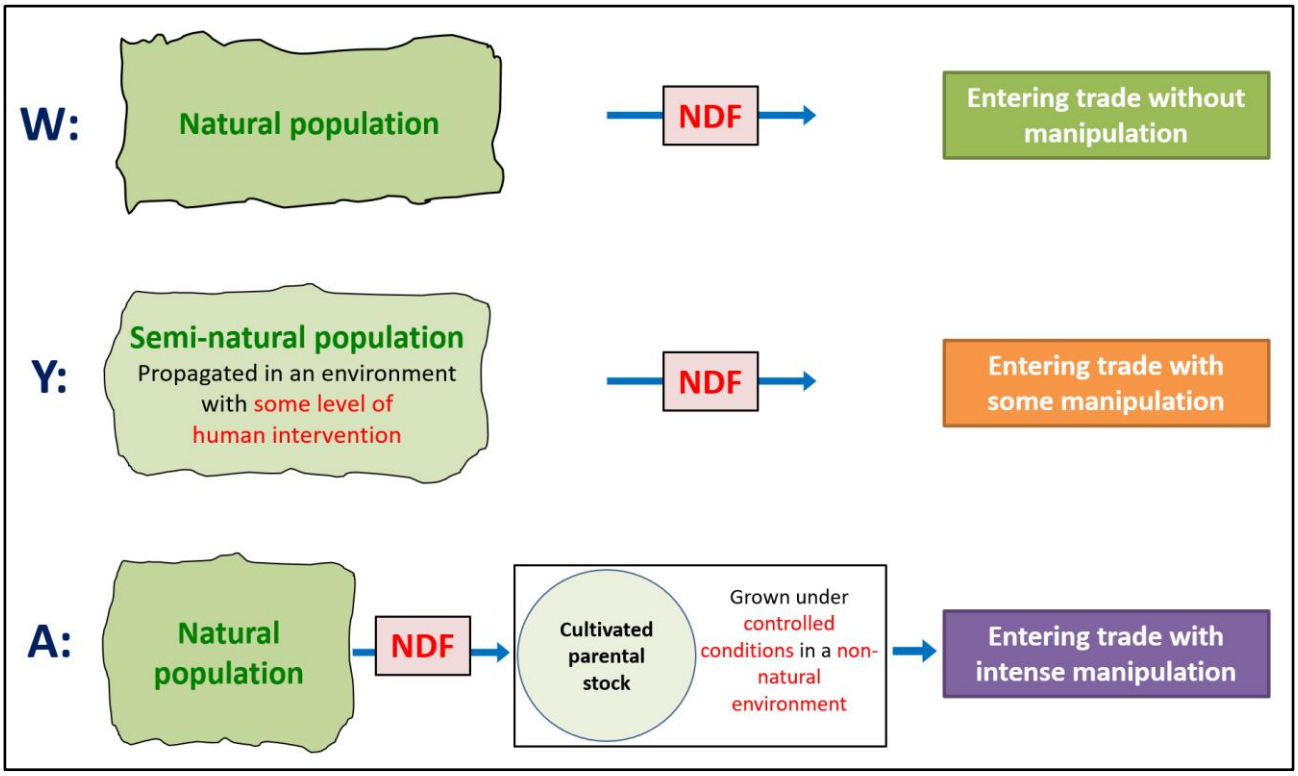
Figure 1. Flow chart differentiating the source codes that can be used for CITES-listed plants.



Annex

A visual guide to terms and definitions

Figure A: A visual overview of the differences between the source codes and the stage at which non-detriment findings (NDF) are required for trade in CITES-listed plants under source codes 'W', 'Y' and 'A'. Source codes reflect the diversity of cultivation of parental stock used to produce plant material for trade [Resolution Conf. 11.11 (Rev. CoP18)].



Note: The requirement for an NDF for the founder stock for source code A is equally applicable to source code D.

Figure B: The main terms underlying source code 'A' for "artificially propagated" plants are: 'under controlled conditions' and 'cultivated parental stock' [Resolution Conf. 11.11 (Rev. CoP18)].

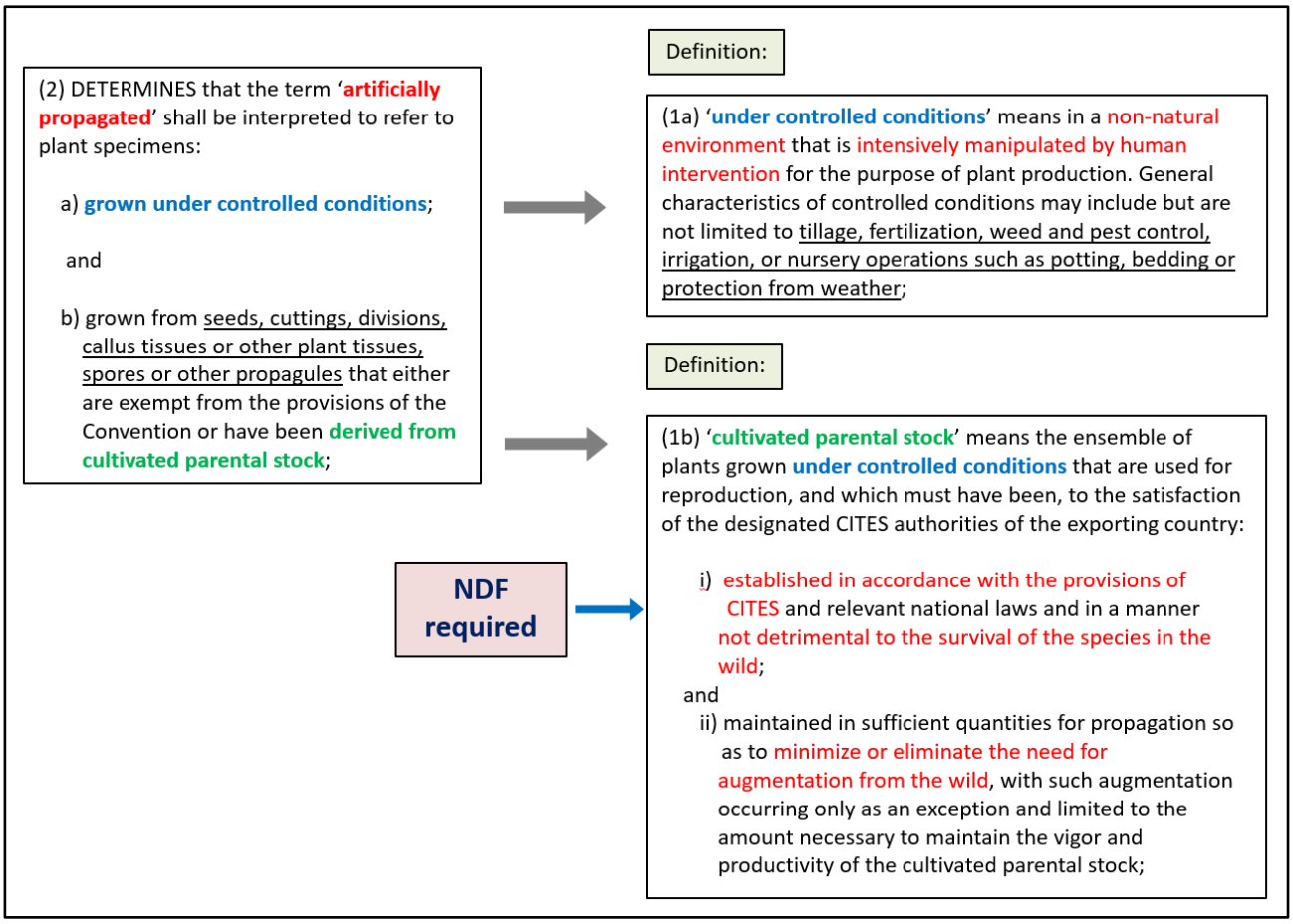


Figure C: Definition of "artificially propagated" for timber producing trees [Resolution Conf. 10.13 (Rev. CoP18)].

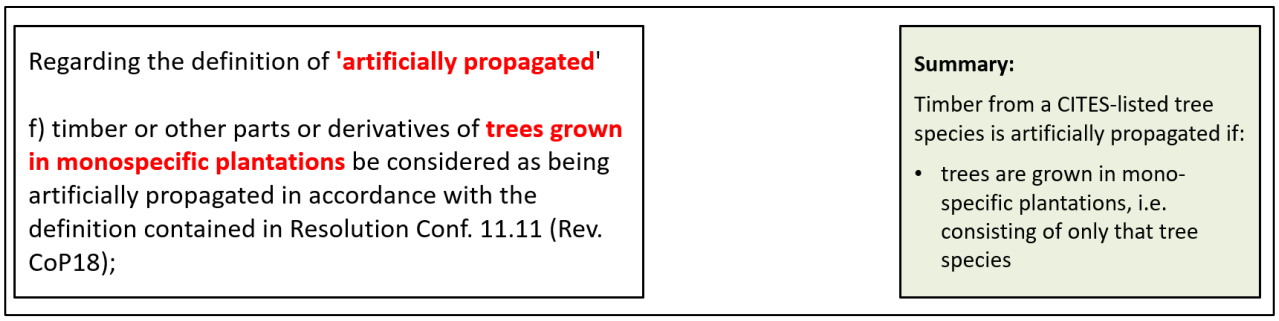


Figure D: Definition of "artificially propagated specimens" for agarwood-producing taxa of the genera *Aquilaria* and *Gyrinops* (Resolution Conf. 16.10).

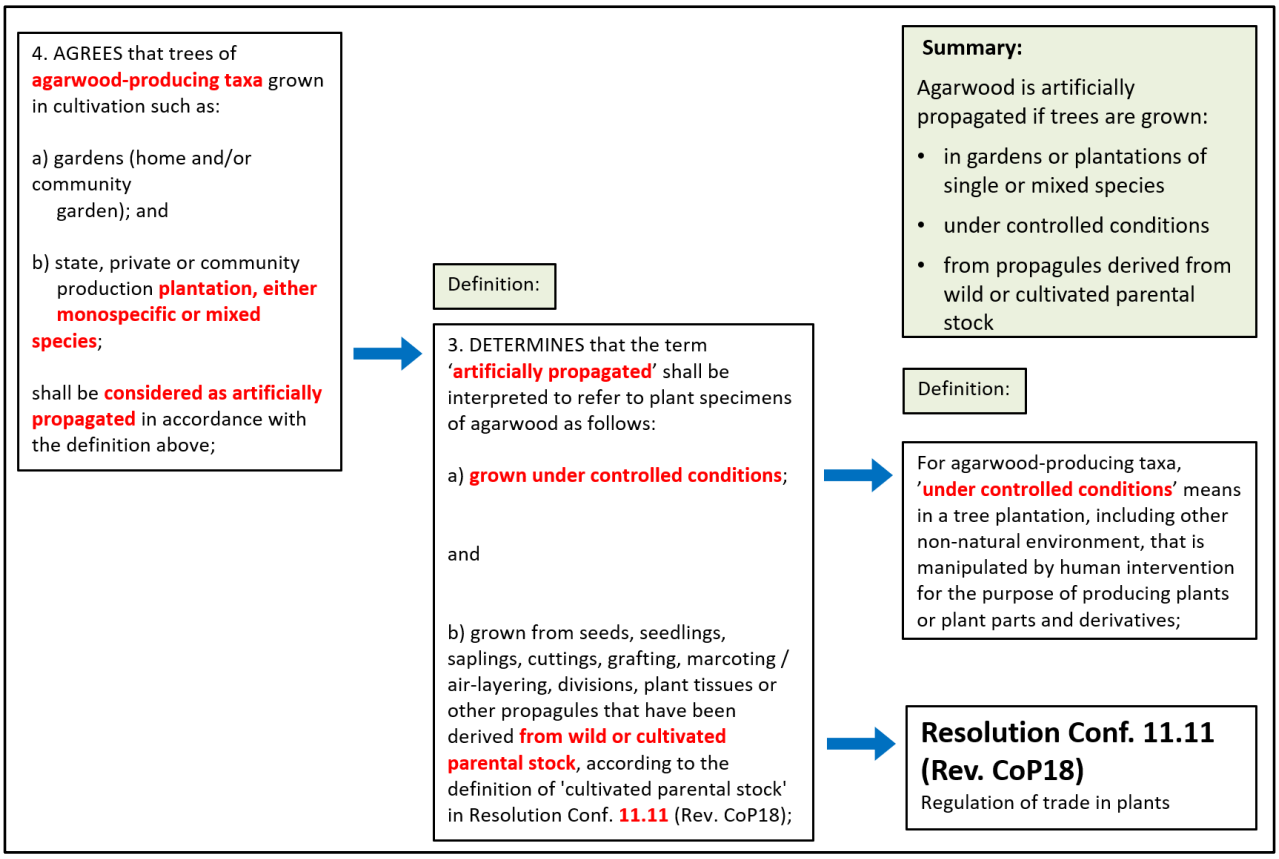


Figure E: Main criteria underlying source code Y for "assisted production" are that 'plants do not fulfil the definition of artificially propagated' and are 'not considered to be wild' [Resolution Conf. 11.11 (Rev. CoP18)].