

INTERNATIONAL DOLPHIN CONSERVATION PROGRAM

PERMANENT WORKING GROUP ON TUNA TRACKING

37TH MEETING

LA JOLLA, CALIFORNIA (USA)

20 JUNE 2016

DOCUMENT TT-37-04

**MATTERS RELATED TO THE TUNA TRACKING AND DOLPHIN SAFE
CERTIFICATION PROGRAMS**

This report provides information regarding the submission of Tuna Tracking Forms (TTFs) to the Secretariat as well as comparisons of dolphin safe certificates and their corresponding TTFs for trips that ended from 1 September 2015 through 30 April 2016. It also includes an overview of the historical rates of compliance of TTF submissions to the Secretariat since 2006, and provides updates regarding the special cases monitored by the Working Group.

1. SUMMARY OF THE DOLPHIN SAFE CERTIFICATION PROGRAM

The [Procedures for AIDCP dolphin safe tuna certification](#) establish the following criteria for issuing dolphin safe certificates:

1. The certificate is signed by a competent national authority whose signature is recognized by the Secretariat.
2. The certificate references a valid TTF (or TTFs) for dolphin safe tuna.
3. Tuna caught by vessels with DMLs is eligible for dolphin safe certification only if the fishing captain is on the List of Qualified Captains.
4. The competent national authority issuing the certificate has a tuna tracking system consistent with the AIDCP.

The Secretariat applies the following guidelines for queries about the authenticity of any dolphin safe certificate:

1. The Secretariat responds to questions about specific certificates from potential importing states or companies only.
2. If the certificate meets the four requirements above, the response is that the certificate is valid.
3. If the Secretariat does not have the information it needs to verify 1 or 2 above, it first asks the competent national authority to provide the information before replying.
4. Otherwise, the Secretariat replies that the certificate is not valid.
5. No other information is provided about the contents of the TTF.

2. ORIGINAL TTFs RECEIVED BY THE SECRETARIAT

Compliance by national authorities with respect to the timely submission of TTFs to the Secretariat for trips that ended between 1 September 2015 and 30 April 2016 is reflected in Table 1. As indicated in the ‘Trips’ column in the table, the Secretariat has received 512 original TTFs from the 544 trips completed during that period. Table 1 also shows the percentages of original TTFs received *versus* trips completed reported at this meeting and, for reference, the corresponding percentages presented at the working group’s previous three

meetings (34 through 36). The Parties should recall that Resolution A-15-01, adopted by the 31st Meeting of the Parties in June 2015, modified the rule governing the timing of the submission of TTFs. Paragraph 3.6 of the System for Tracking and Verifying Tuna reads as follows:

“Within ten days of receipt of a TTF, the competent national authority shall transmit an electronic copy of the TTF to the Secretariat. The original TTFs received during a calendar month shall be transmitted to the Secretariat by the competent national authority at the latest 15 days after the end of that month.”

Table 2 shows the historical percentages of original TTFs received by the Secretariat since 2006 and reflects the total number of TTFs received, regardless of whether they were submitted consistent with the timing requirements or at a later date.

3. COPIES OF DOLPHIN-SAFE CERTIFICATES RECEIVED BY THE SECRETARIAT

Between 1 September 2015 and 20 May 2016, the Secretariat received 251 copies of dolphin-safe certificates, corresponding to 101 TTFs prepared during 101 fishing trips. With the exception of two certificates invalidated by the competent national authority, all the certificates were considered valid. Figure 1 shows the comparison of estimated weights, as recorded by observers on the TTF-A¹, and the recorded scale weight for each TTF included in the 249 valid dolphin-safe certificates from that period. The certified tonnage (15,272 t) represents 4.4% of the total of 350,247 t recorded as dolphin-safe on the TTFs of the 544 completed trips.

4. MONITORING OF SPECIAL CASES

During its 31st meeting in October 2012, the working group discussed three cases of apparent forgery of TTFs. One of these cases was presented at the 30th meeting in June 2012, and the other two at the 31st meeting in October 2012. Subsequently, at the 36th meeting in October 2015, a fourth case of apparent forgery of TTFs, not previously discussed, was presented.

The current situation regarding these cases is as follows:

a) CASE TTF-30, fishing trip terminated in December 2011

Information presented at the 30th meeting of the working group

In April and May 2012, letters were sent to both national authorities involved, the vessel's flag State and the port State where the relevant catches were unloaded, indicating that the TTFs received differed in that one included non-dolphin safe fish and the other did not. During the meeting, Venezuela identified itself as the flag State, and indicated that it had received the original TTF and sent it to the Secretariat; there were no discrepancies with the document completed by the observer. The discrepancy was with the copy obtained by the national authority of the Party where the first partial unloading took place, and Venezuela therefore had no elements to continue an investigation because the guidelines for managing TTFs had been complied with in its territory.

The national authority of the Party where the catch was initially unloaded has not answered formally, but in late March 2013, it indicated unofficially that an investigation has started (Document TT-32-04). At the time this report was posted (9 June 2016), the Secretariat had not received any further information.

b) CASES TTF-31a, fishing trip terminated in July 2011; and TTF-31b, fishing trip terminated in November 2011

Information presented at the 31st meeting of the working group

As in the previous case, the flag of the vessels is different from the unloading flag. Trip TTF-31a unloaded completely, while TTF-31b landed only part of the catch. In July 2012, a letter was sent to both national

¹ Dolphin-safe tuna is recorded on the TTF-A, and non dolphin-safe tuna on the TTF-B

authorities involved, indicating that the TTFs received differed because one included non-dolphin safe fish and the other did not.

The national authority of the Party where the catch was unloaded has not answered formally, but in late March 2013 it indicated unofficially that an investigation has started. At the time this report was posted (9 June 2016), the Secretariat had not received any further information.

The national authority of the flag State also indicated informally that the records it sent to the Secretariat did not differ as regards the information recorded by the observer, and therefore an investigation was not required.

In none of these cases was a dolphin-safe certificate issued of which the Secretariat has a copy. These cases were included in Documents TT-32-04, TT-33-04, TT-34-04, TT-35-04 and TT-36-05 and, as of the date of posting this document, the Secretariat has not received any further information from the national authority of the Party where the catch was unloaded and that sent the presumably altered copy.

c) CASE TTF-32, fishing trip terminated in April 2010

Information presented at the 36st meeting of the working group

This case is similar to case TTF-31a. At the 36th meeting, the national authority of the Party where the catch was unloaded suggested to the national authority of the vessel's flag State a report of the investigation carried out on these cases of apparent forgery, and it was agreed that a letter asking for the updated information would be sent. As of the date of posting this document, the Secretariat has not received any further information in this regard.

5. TABLES AND FIGURES

TABLE 1. Original TTFs received by the Secretariat, in accordance with paragraph 3.6 of the System for Tracking and Verifying Tuna, by national authority:

National authority	Trips ²		% of originals received, reported by meeting				
	Trips	TTFs received	TT-37 Jun -20	TT-36 Oct-15	TT-35 Jul -15	TT-34 Jul-14	
Colombia	COL	28	28	100	95	65	81
Costa Rica	CRI	7	6	86	100	87	97
Ecuador	ECU	306	291	95	93	83	94
El Salvador	SLV	10	10	100	100	75	88
European Union	EUR	0	-	-	100	56	86
Guatemala	GTM	8	3	75	50	100	68
Mexico	MEX	141	141	100	100	99	99
Panama	PAN	0	-	-	-	50	-
Peru	PER	24	13	54	29	52	75
United States	USA	16	15	94	-	100	100
Venezuela	VEN	4	2	50	0	75	66
Total		544	512	94	93	85	93

²Trips that ended from 1 September 2015 through 30 April 2016, inclusive.

TABLE 2. Number of original TTFs received by the Secretariat since 2006, and the percentage (in parenthesis) of the total that it represents, by year in which the trip began.

National authority		Originals received from competent national authority in previous years (%)										
		2015	2014	2013	2012	2011	2010	2009	2008	2007	2006	
Bolivia	BOL	-	-	-	-	-	-	-	-	-	-	-
Colombia	COL	43 (90)	40 (100)	45 (96)	43 (100)	54 (100)	44 (100)	46 (90)	59 (87)	66 (99)	45 (92)	
Costa Rica	CRI	12 (86)	20 (95)	16 (94)	18 (95)	18 (100)	7 (41)	2 (17)	20 (87)	30 (100)	27 (100)	
Ecuador	ECU	474 (97)	420 (99)	409 (99)	385 (99)	360 (99)	307 (100)	352 (100)	399 (100)	338 (100)	391 (100)	
El Salvador	SLV	13 (100)	19 (90)	21 (91)	24 (92)	28 (97)	16 (70)	35 (92)	37 (97)	41 (98)	35 (97)	
European Union	EUR	5 (63)	9 (64)	5 (71)	17 (100)	5 (50)	3 (60)	4 (100)	5 (100)	1 (100)	-	
Guatemala	GTM	10 (67)	17 (100)	18 (95)	16 (94)	14 (100)	25 (100)	16 (94)	7 (70)	14 (100)	12 (80)	
México	MEX	227 (100)	188 (100)	187 (100)	207 (99)	205 (100)	180 (100)	189 (100)	192 (97)	201 (100)	168 (99)	
Nicaragua	NIC	-	-	-	-	-	-	1 (50)	0 (0)	0 (0)	0 (0)	
Panamá	PAN	-	1 (50)	-	-	1 (100)	2 (100)	3 (75)	3 (100)	4 (67)	4 (67)	
Perú	PER	11 (44)	12 (100)	10 (100)	2 (100)	9 (90)	9 (82)	4 (67)	0 (0)	3 (100)	2 (100)	
United States	USA	9 (90)	1 (100)	-	2 (100)	3 (100)	-	2 (100)	1 (100)	2 (100)	-	
Venezuela	VEN	4 (57)	6 (100)	11 (92)	20 (100)	28 (82)	31 (100)	35 (92)	21 (62)	26 (100)	38 (84)	
Total		808 (94)	733 (98)	722 (98)	734 (99)	725 (98)	624 (97)	689 (96)	744 (95)	726 (99)	722 (97)	

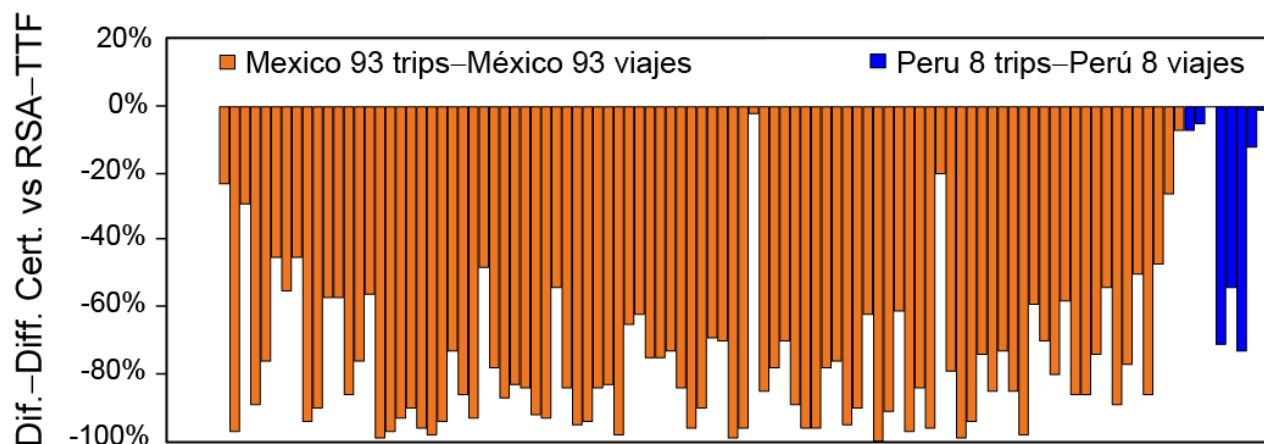


FIGURE 1. Comparison of the estimated weights recorded by observers on the TTF-A and the scale weight recorded for each TTF included in the dolphin-safe certificates received from 1 September 2015 to 20 May 2016.