

**INTERNATIONAL DOLPHIN CONSERVATION PROGRAM**  
**PERMANENT WORKING GROUP ON TUNA TRACKING**  
**40<sup>TH</sup> MEETING**  
**La Jolla, California (USA)**  
**23 October 2017**

**DOCUMENT TT-40-04**

**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 May 2017 through 31 August 2017. It also includes an overview of the historical rates of compliance of TTF submissions to the Secretariat since 2007, 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.

No other information is provided about the contents of the TTF.

**2. ORIGINAL TTFs RECEIVED BY THE SECRETARIAT**

Table 1 reflects compliance by national authorities with the deadline for the submission of TTFs to the Secretariat, established in the [\*System for Tracking and Verifying Tuna\*](#) (STVT), as amended in June 2015, which states that “*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*”.

As indicated in the ‘Trips’ column in Table 1, at the time of drafting this report, the Secretariat has received 314 original TTFs from the 327 trips completed during the period of 1 May 2017 through 31 August 2017.

For reference, Table 1 also shows the corresponding percentages presented at the working group's previous three meetings (37 through 39).

Table 2 shows the historical percentages of original TTFs received by the Secretariat since 2007, and reflects the total number of TTFs received. The percentage in this table does not reflect compliance with the timing required in the section cited above, and only includes original TTFs received at any time.

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

Between 1 May 2017 and 5 October 2017, the Secretariat received 291 copies of dolphin-safe certificates. All the certificates, corresponding to 62 TTFs completed during 62 fishing trips, were considered valid. Figure 1 shows the comparison of estimated weights, as recorded by observers on the TTF-A<sup>1</sup>, and the recorded scale weight for each TTF included in the 291 dolphin-safe certificates. The certified tonnage (9,255 t) represents 4.8% of the total of 191,174 t recorded as dolphin-safe on the TTFs of the 327 completed trips.

According to the [Procedures for AIDCP Dolphin Safe Tuna Certification](#), the national authority is notified of cases where the scale weight recorded for each TTF included in the dolphin safe certificates exceeds the estimated weight recorded by the observer in the RSA by 10% or more. In none of the 62 trips with a certification did the certified weight exceed the estimate on the corresponding TTF.

### **4. MONITORING OF SPECIAL CASES**

During its 31<sup>st</sup> meeting in October 2012, the Working Group discussed three cases of apparent forgery of TTFs. One of these cases was presented at the 30<sup>th</sup> meeting in June 2012, and the other two at the 31<sup>st</sup> meeting in October 2012. During its 37<sup>th</sup> meeting in June 2016, the Working Group discussed a case in which catches shared between two vessels were not documented on the TTF. At its 39<sup>th</sup> meeting in July 2017, based on the precise and detailed information provided by the Secretariat, the Working Group agreed to recommend that cases TTF-32 and TTF-34, which were presented at the 36<sup>th</sup> and 38<sup>th</sup> meetings, respectively, be considered closed.

The current situation regarding the special cases is as follows:

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

##### **Information presented at the 30<sup>th</sup> meeting of the Working Group**

In April and May 2012, letters were sent to both national authorities involved, the vessel's flag State (Venezuela) and the port State where the relevant catches were unloaded (Costa Rica), indicating that the TTFs received differed in that one included non-dolphin safe fish and the other did not. During the meeting, Venezuela 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, as was corroborated by the Secretariat. The discrepancy was with the copy obtained by the national authority of Costa Rica, and Venezuela therefore had no elements to continue an investigation because the documentation presented by the observer and retained by the Venezuelan authority were congruent.

The national authority of Costa Rica has not answered formally, but in March 2013 it indicated unofficially that an investigation has started (Document TT-32-04). At the time of preparation of this document, 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 31<sup>st</sup> meeting of the Working Group**

Both cases involve Venezuelan vessels. Trip TTF-31a unloaded completely in Costa Rica, while TTF-31b

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

landed only part of the catch in Costa Rica and the rest in Venezuela. In July 2012, a letter was sent to both national authorities involved, indicating that the TTFs received differed because one included non-dolphin safe fish and the other did not.

The national authority of Costa Rica has not answered formally, but in late March 2013 it indicated to the Secretariat unofficially that an investigation has started. At the time of preparation of this document, the Secretariat has not received any further information.

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

In none of these 3 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, TT-36-05, TT-37-04, TT-38-04 and TT-39-04, and at the time of preparation of this document, the Secretariat has not received any further information from the national authority of Costa Rica which sent the presumably altered copy.

### c) CASE TTF-33, no documentation of catch sharing

#### Information presented at the 37<sup>th</sup> meeting of the Permanent Working Group on Tuna Tracking and at the 59<sup>th</sup> meeting of the International Review Panel.

Two vessels, one with Panama flag and the other one with Ecuadorian flag, both with an observer aboard, shared the catch from a set, but this was not documented in either observer's records or on a TTF. The event was recorded in the logbooks of both vessels. In June 2016, the Secretariat informed the national authorities of both vessels, and the observers were interviewed by IATTC program staff. One observer said that a vessel officer asked him not to document the event to avoid problems with the owner of the vessel, but that there was no intimidation or attempted bribe, while the other observer denied that the event occurred.

In February 2017, the Ecuadorian national authority informed the Secretariat that this case is still under investigation. No response has been received from Panama. The contract of both observers has not been renewed while the investigation by the competent authorities is pending, and both TTFs were declared invalid.

## 5. TABLES AND FIGURES

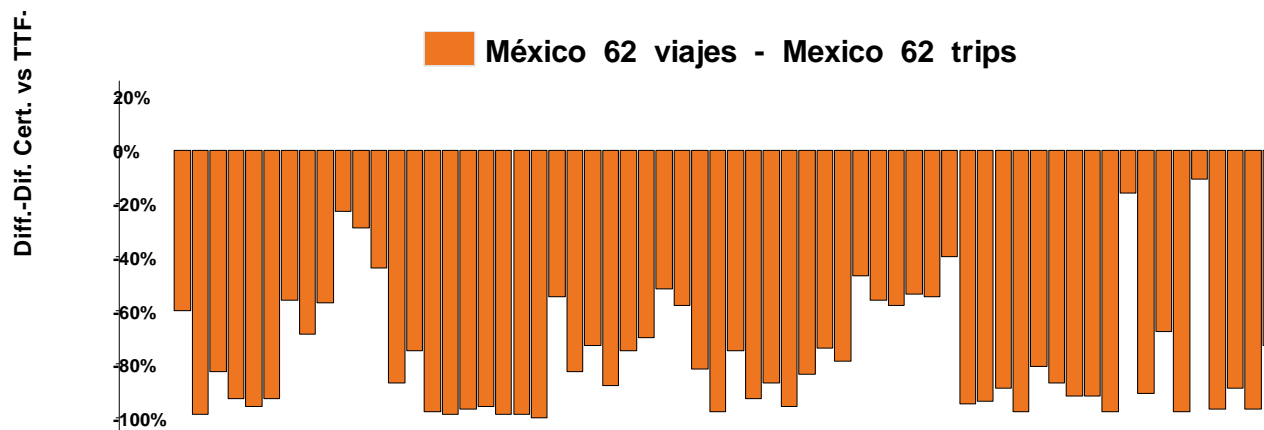
**TABLE 1.** Original TTFs received by the Secretariat, in accordance with paragraph 3.6 of the System for Tracking and Verifying Tuna, by national authority:

National Authority	Trips <sup>2</sup>		% of originals received, reported by meeting				
	Trips	TTF received	TT-40 Oct 2017	TT-39 Jul 2017	TT-38 Oct 2016	TT-37 Jun 2016	
Colombia	COL	14	14	100	96	100	100
Costa Rica	CRI	5	3	60	67	100	86
Ecuador	ECU	182	175	96	98	91	95
El Salvador	SLV	9	9	100	89	100	100
Unión Europea	EUR	1	1	100	100	-	-
Guatemala	GTM	4	2	50	87	86	75
México	MEX	98	98	100	87	100	100
Nicaragua	NIC	1	1	100	-	-	-
Panamá	PAN	1	1	100	-	-	-
Perú	PER	8	7	88	86	91	54
Estados Unidos	USA	4	3	75	88	100	94
Venezuela	VEN	0	-	-	-	67	50
<b>Total</b>		<b>327</b>	<b>314</b>	<b>96</b>	<b>94</b>	<b>94</b>	<b>94</b>

<sup>2</sup> Trips that ended between May 1, 2017 and August 31, 2017

**TABLE 2.** Number of original TTFs received by the Secretariat since 2007, 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 (%)									
		2016	2015	2014	2013	2012	2011	2010	2009	2008	2007
Bolivia	BOL	-	-	-	-	-	-	-	-	-	-
Colombia	COL	35 (95)	44 (92)	40 (100)	45 (96)	43 (100)	54 (100)	44 (100)	46 (90)	59 (87)	66 (99)
Costa Rica	CRI	16 (89)	12 (86)	20 (95)	16 (94)	18 (95)	18 (100)	7 (41)	2 (17)	20 (87)	30 (100)
Ecuador	ECU	463 (99)	474 (97)	420 (99)	409 (99)	385 (99)	360 (99)	307 (100)	352 (100)	399 (100)	338 (100)
El Salvador	SLV	22 (100)	13 (100)	19 (90)	21 (91)	24 (92)	28 (97)	16 (70)	35 (92)	37 (97)	41 (98)
European Union	EUR	1 (100)	5 (63)	9 (64)	5 (71)	17 (100)	5 (50)	3 (60)	4 (100)	5 (100)	1 (100)
Guatemala	GTM	19 (95)	15 (100)	17 (100)	18 (95)	16 (94)	14 (100)	25 (100)	16 (94)	7 (70)	14 (100)
Mexico	MEX	238 (100)	227 (100)	188 (100)	187 (100)	207 (99)	205 (100)	180 (100)	189 (100)	192 (97)	201 (100)
Nicaragua	NIC	-	-	-	-	-	-	-	1 (50)	0 (0)	0 (0)
Panama	PAN	-	-	1 (50)	-	-	1 (100)	2 (100)	3 (75)	3 (100)	4 (67)
Peru	PER	40 (87)	12 (48)	12 (100)	10 (100)	2 (100)	9 (90)	9 (82)	4 (67)	0 (0)	3 (100)
United States	USA	27 (100)	9 (90)	1 (100)	-	2 (100)	3 (100)	-	2 (100)	1 (100)	2 (100)
Venezuela	VEN	2 (29)	7 (100)	6 (100)	11 (92)	20 (100)	28 (82)	31 (100)	35 (92)	21 (62)	26 (100)
<b>Total</b>		<b>863 (98)</b>	<b>818 (96)</b>	<b>733 (98)</b>	<b>722 (98)</b>	<b>734 (99)</b>	<b>725 (98)</b>	<b>624 (97)</b>	<b>689 (96)</b>	<b>744 (95)</b>	<b>726 (99)</b>



**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. Updated to 5 October, 2017.