

**INTERNATIONAL DOLPHIN CONSERVATION PROGRAM
PERMANENT WORKING GROUP ON TUNA TRACKING**

42ND MEETING

San Diego, California (USA)
22 October 2018

DOCUMENT TT-42-01

**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 June 2018 through 31 August 2018. It also includes an overview of the historical rates of compliance of TTF submissions to the Secretariat since 2008 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

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, the Secretariat has received 225 original TTFs from the 227 trips completed during the period of 1 June 2018 through 31 August 2018. For reference, Table 1 also shows the corresponding percentages presented at the Working Group’s previous three meetings (39 through 41).

Table 2 shows the historical percentages of original TTFs received by the Secretariat since 2008, and reflects the total number of TTFs received. The percentage in this table does not reflect the timing required in the section of the STVT cited above, and only includes original TTFs received at any time.

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

Between 4 July 2018 and 3 October 2018, the Secretariat received 255 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- A¹, and the recorded scale weight for each TTF included in the 255 dolphin-safe certificates. The certified tonnage (12,776 t) represents 9.6% of the total of 133,233 t recorded as dolphin-safe on the TTFs of the 227 trips completed during the reporting period.

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, the certified weight exceeded the estimate in the corresponding RSA.

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. During its 37th meeting in June 2016, the Working Group discussed a case in which catches shared between two vessels were not documented on the TTF.

The current situation regarding these cases is as follows:

a) CASE TTF-30, fishing trip 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—Venezuela and Costa Rica, respectively—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. The discrepancy was with the copy obtained by the national authority of Costa Rica, 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 Costa Rica, in late March 2013, indicated unofficially to the Secretariat that an investigation had started ([Document TT-32-04](#)). At the time this report was posted (8 October 2018), the Secretariat has not received any further information.

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

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 vessels are Venezuelan flagged. Trip TTF-31a unloaded completely in Costa Rica, while TTF-31b 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.

In late 2013, the national authority of Costa Rica indicated to the Secretariat unofficially that an investigation had started. At the time of publication of this document (8 October 2018), 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](#), [TT-39-04](#), [TT-40-04](#) and [TT-41-01](#), and at the time of publication of this document, the Secretariat has not received any further information from the national authority of Costa Rica which sent the presumably altered copy. During the 41st meeting of the Working Group, several delegations expressed that these cases have been discussed at great length; they also expressed concern over the amount of time invested in solving them and the progress made. The Chair of the meeting said that it is not advisable to keep investigations open indefinitely, so scenarios should be developed in order to decide how to handle them in the future and not keep them open forever.

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

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

Two vessels of different flags, Panama and Ecuador, 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 questioned by staff of their respective programs. 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 Secretariat received a response from the Ecuadorian national authority informing that this case was still under investigation. No response has been received from Panama. Both observers have been suspended 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 ²		% of originals received, reported by meeting			
		Trips	TTFs received	TT-42 Oct 2018	TT-41 Aug 2018	TT-40 Oct 2017	TT-39 Jul 2017
Colombia	COL	10	10	100	100	100	96
Costa Rica	CRI	5	4	80	100	60	67
Ecuador	ECU	134	133	99	94	96	98
El Salvador	SLV	5	5	100	100	100	89
European Union	EUR	0	-	-	100	100	100
Guatemala	GTM	3	3	100	88	50	87
Mexico	MEX	57	57	100	100	100	87
Nicaragua	NIC	0	-	-	-	100	-
Panama	PAN	0	-	-	-	100	-
Peru	PER	4	4	100	60	88	86
United States	USA	9	9	100	91	75	88
Venezuela	VEN	0	-	-	-	-	-
Total		227	225	99	94	96	94

² Trips that ended from 1 June 2018 through 31 August 2018.

TABLE 2. Number of original TTFs received by the Secretariat since 2008, 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 (%)										
		2017	2016	2015	2014	2013	2012	2011	2010	2009	2008	
Bolivia	BOL	-	-	-	-	-	-	-	-	-	-	-
Colombia	COL	36 (100)	35 (95)	44 (92)	40 (100)	45 (96)	43 (100)	54 (100)	44 (100)	46 (90)	59 (87)	
Costa Rica	CRI	16 (94)	16 (89)	12 (86)	20 (95)	16 (94)	18 (95)	18 (100)	7 (41)	2 (17)	20 (87)	
Ecuador	ECU	550 (99)	463 (99)	474 (97)	420 (99)	409 (99)	385 (99)	360 (99)	307 (100)	352 (100)	399 (100)	
El Salvador	SLV	21 (88)	22 (100)	13 (100)	19 (90)	21 (91)	24 (92)	28 (97)	16 (70)	35 (92)	37 (97)	
European Union	EUR	1 (25)	1 (100)	5 (63)	9 (64)	5 (71)	17 (100)	5 (50)	3 (60)	4 (100)	5 (100)	
Guatemala	GTM	6 (50)	19 (95)	15 (100)	17 (100)	18 (95)	16 (94)	14 (100)	25 (100)	16 (94)	7 (70)	
Mexico	MEX	218 (100)	238 (100)	227 (100)	188 (100)	187 (100)	207 (99)	205 (100)	180 (100)	189 (100)	192 (97)	
Nicaragua	NIC	-	-	-	-	-	-	-	-	1 (50)	0 (0)	
Panama	PAN	-	-	-	1 (50)	-	-	1 (100)	2 (100)	3 (75)	3 (100)	
Peru	PER	37 (88)	40 (87)	12 (48)	12 (100)	10 (100)	2 (100)	9 (90)	9 (82)	4 (67)	0 (0)	
United States	USA	9 (69)	27 (100)	9 (90)	1 (100)	-	2 (100)	3 (100)	-	2 (100)	1 (100)	
Venezuela	VEN	-	2 (29)	7 (100)	6 (100)	11 (92)	20 (100)	28 (82)	31 (100)	35 (92)	21 (62)	
Total		896 (97)	863 (98)	818 (96)	733 (98)	722 (98)	734 (99)	725 (98)	624 (97)	689 (96)	744 (95)	

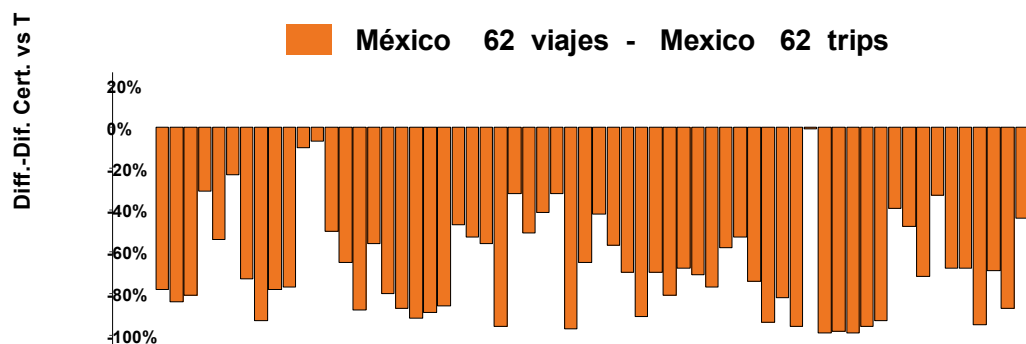


FIGURE 1. Comparison of the estimated weights recorded by observers on the TTF-A and the scale weight recorded for each TTF included in the dolphin-safe certificates received. Updated to 8 October 2018.