

RECOMMENDATION BY ICCAT ESTABLISHING A SWORDFISH STATISTICAL DOCUMENT PROGRAM

RECALLING the *Recommendation by ICCAT on Establishing Statistical Document Program for Swordfish, Bigeye Tuna and Other Species Managed by ICCAT* adopted by the Commission in 2000 in which the full implementation of the program was required by 1 January 2002, or as soon as possible thereafter;

TAKING INTO ACCOUNT the efforts to maintain and rebuild Atlantic swordfish, consistent with the objectives of the Convention;

RECOGNIZING that the Statistical Document Program is an effective tool to assist the Commission's effort for the elimination of IUU fishing operations;

FURTHER RECOGNIZING the *Resolution by ICCAT Concerning an Action Plan to Ensure the Effectiveness of the Conservation Program for Atlantic Swordfish* adopted by the Commission in 1995, and recalling the 1999 Recommendation by ICCAT establishing trade measures pursuant to this Resolution;

AWARE that it is important to improve the reliability of statistical information on catches of Atlantic swordfish and that the availability of trade data would greatly assist in reducing such uncertainty;

RECOGNIZING that a considerable number of vessels fishing for Atlantic swordfish are registered to nations that are not members of ICCAT;

TAKING INTO ACCOUNT the significant efforts that have been undertaken by Contracting Parties to address the problems created by catches of Atlantic swordfish by non-contracting parties, entities, and fishing entities;

CONSIDERING that some of the non-contracting parties, entities, and fishing entities have great difficulty in providing information on the catches of their flag vessels;

ALSO BEING AWARE that this program may be adapted to the specific regulations established by ICCAT Contracting Parties, as well as in the framework of regional economic organizations;

RECOGNIZING the work of the Food and Agriculture Organization (FAO) with respect to statistical document programs, which could impact the programs of the Commission;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. Contracting Parties shall require that all swordfish, when imported into the territory of a Contracting Party be accompanied by an ICCAT Swordfish Statistical Document that meets the requirements described in **Attachment 1** or an ICCAT Swordfish Re-export Certificate that meets the requirements described in **Attachment 3**. The Commission and the Contracting Parties importing swordfish shall contact all the exporting countries to inform them of this program, particularly differentiation of treatment between catches of swordfish in the Convention Area and those outside of it, in advance of implementation of the program.
2. (1) The ICCAT Swordfish Statistical Document must be validated by a government official, or other authorized individual or institution, of the flag state of the vessel that harvested the swordfish, or, if the vessel is operating under a charter arrangement, by a government official or other authorized individual of the exporting state; (2) the ICCAT Swordfish Re-Export Certificate must be validated by a government official, or other authorized individual or institution, of the state that re-exported the swordfish; and (3) the substitutional measure described in paragraphs A-D of the *Resolution by ICCAT Concerning Validation by a Government Official of the Bluefin Tuna Statistical Document*, adopted by the Commission in 1993, may be applied to the above requirements for both validations in the Swordfish Statistical Document Program. The substitutional measure should also apply *mutatis mutandis*, to chartering arrangements as provided in section (1) of this paragraph

3. Each Contracting Party shall provide to the Executive Secretary sample forms of its statistical document and re-export certificate required with swordfish imports, and information on validation in the format specified in **Attachment 6** and inform him of any change in a timely fashion.
4. Contracting Parties that import or export swordfish shall compile the data collected through the Program.
5. Contracting Parties that import swordfish shall report the data collected by the Program to the Executive Secretary each year by April 1 for the period of July 1 through December 31 of the preceding year and October 1 for the period of January 1 through June 30 of the current year, which shall be circulated to all the contracting parties by the Executive Secretary. The formats of the reports are attached, as in **Attachment 5**.
6. Contracting Parties that export swordfish shall examine export data upon receiving the import data in Paragraph 5 above from the Executive Secretary, and report the results to the Commission in their National Reports.
7. Contracting Parties should exchange copies of statistical documents and re-export certificates to facilitate the examination mentioned in paragraph 6 consistent with domestic laws and regulations.
8. The Commission shall request Cooperating Non-Contracting Parties, entities, and fishing entities to take the measures described in the above paragraphs.
9. The Executive Secretary shall request all non-Contracting Parties, entities, and fishing entities fishing for and exporting swordfish to Contracting Parties to provide information on validation in the format specified in **Attachment 6** and to inform him in a timely fashion of any changes to the information provided.
10. The Executive Secretary shall maintain and update information specified in paragraphs 3 and 9 and provide it to all the Contracting Parties, and promptly circulate any changes.
11. The Commission shall request Non-Contracting Parties, entities, and fishing entities that import swordfish to cooperate in the implementation of the Program and to provide to the Commission data obtained from such implementation in the format specified in **Attachment 5** on an annual basis by October 15 for the previous calendar year.
12. Implementation of this program shall be in conformity with relevant international obligations.
13. The provisions of the *Recommendation by ICCAT on Validation of the Bluefin Tuna Statistical Document by the European Community*, adopted by the Commission in 1998, shall apply to the Swordfish Statistical Document Program for swordfish caught by vessels that fly the flag of a Member State of the European Community.
14. Notwithstanding the provisions of Article VIII, paragraph 2 of the Convention, the Contracting Parties shall implement this recommendation as soon as possible, but not later than January 1, 2003 in accordance with the regulatory procedures of each Contracting Party.

Requirements Concerning The ICCAT Swordfish Statistical Document

1. The sample form of the ICCAT Swordfish Statistical Document shall be as in **Attachment 2**.
2. Customs or other appropriate government officials will request and inspect all import documentation including the ICCAT Swordfish Statistical Document for all swordfish in the shipment. Those officials may also inspect the content of each shipment to verify the information on the document.
3. Only complete and valid documents will guarantee that shipments of swordfish will be allowed to enter the territory of Contracting Parties.
4. Shipments of swordfish that are accompanied by improperly documented Swordfish Statistical Documents (i.e., improperly documented means that the Swordfish Statistical Document is either missing from the shipment, incomplete, invalid or falsified) will be considered illegitimate shipments of swordfish, that are contrary to ICCAT conservation efforts, and their entry into the territory of a Contracting Party will be suspended (PENDING RECEIPT OF A PROPERLY COMPLETED DOCUMENT) or subject to administrative or other sanction.
5. The import of fish parts other than the meat, i.e., head, eyes, roe, guts, tails may be allowed without the document.

DOCUMENT NUMBER _____	ICCAT SWORDFISH STATISTICAL DOCUMENT
EXPORT SECTION	
1. FLAG COUNTRY/ENTITY/FISHING ENTITY :	
2. POINT OF EXPORT: CITY, STATE OR PROVINCE _____ COUNTRY/ENTITY/FISHING ENTITY _____	
3. AREA OF CATCH (check one of the following) (a) 9 North Atlantic (b) 9 South Atlantic (c) 9 Mediterranean (d) 9 Pacific (e) 9 India	
If (d) or (e) is checked, items 4 and 5 below need not be completed	
4. DESCRIPTION OF FISH	
Product Type ^a F/FR RD/GG/DR/FL/ST/OT	Gear Code ^b
Vessel name and registration _____ Net Weight (kg)	
^a F=Fresh, FR=Frozen, RD=Round, GG=Gilled & Guttled, DR=Dressed, FL=Fillet, ST= Steak, OT=Others type: _____)	
^b When the Gear Code is OT, describe the type of gear: _____	
5. EXPORTER CERTIFICATION For export to countries that have adopted the ICCAT alternative minimum for swordfish, the exporter must certify that the above listed Atlantic swordfish are greater than 15 kg (the pieces were derived from a swordfish weighing > 15 kg.	
I certify that the above information is complete, true, and correct to the best of my knowledge and belief.	
Name _____	Company Name _____
Address _____	Signature _____
Date _____	Date _____
6. GOVERNMENT VALIDATION I validate that the above information is complete, true, and correct to the best of my knowledge and belief.	
Name & Title _____	Signature _____
Date _____	Date _____
Government Seal _____	Net Weight _____
IMPORT SECTION	
7. IMPORTER CERTIFICATION I certify that the above information is complete, true, and correct to the best of my knowledge and belief.	
Importer Certification (Intermediate Country/Entity/Fishing Entity)	
Name _____	Address _____
Signature _____	Date _____
Importer Certification (Intermediate Country/Entity/Fishing Entity)	
Name _____	Address _____
Signature _____	Date _____
Importer Certification (Final Destination of Shipment)	
Name _____	Address _____
Signature _____	Date _____
Final Point of Import - City: _____ State or Province: _____ Country/Entity/Fishing Entity _____	

If a language other than English is used for completing this document, please add an English translation on this document or on a separate page.

ICCAT SWORDFISH STATISTICAL DOCUMENT INSTRUCTION SHEET

Pursuant to the 2001 ICCAT recommendation, swordfish imported into the territory of a Contracting Party or upon first entry into a regional economic organization must be accompanied by an ICCAT Swordfish Statistical Document (SWD) beginning January 1, 2003. Swordfish dealers who export or import swordfish from all ocean areas will be required to complete the appropriate sections of the SWD. Only complete and valid documents will guarantee that shipments of swordfish will be allowed to enter the customs territory of Contracting Parties (e.g., Japan, Canada, U.S., Spain, etc.). Improperly documented swordfish shipments (i.e., the SWD is either missing from the shipment, incomplete, invalid or falsified) will be considered illegitimate and contrary to ICCAT conservation efforts. Entry of improperly documented swordfish will be suspended (PENDING RECEIPT OF A PROPERLY COMPLETED DOCUMENT) into the customs territory of a Contracting Party or subject to administrative or other sanctions.

Please use the instructions below as a guide to complete the sections that apply to Exporters, Importers, and Government Validation. If a language other than English is used for description, please add an English translation either on the SWD or on a separate paper. Note: if a swordfish product is exported directly from the harvesting Country/Entity/Fishing Entity to a Contracting Party, without going through an intermediate Country/Entity/Fishing Entity, all fish can be identified on one document. However, if the swordfish product is exported through an intermediate Country/Entity/Fishing Entity (i.e., a Country/Entity/Fishing Entity other than the Country/Entity/Fishing Entity which is the final destination of the product), separate documents must be prepared for fish destined for different final destinations, or only one fish may be identified on a document to cope with any possible separation in an intermediate Country/Entity/Fishing Entity. Import of swordfish parts other than meat (i.e., heads, eyes, roe, guts, tails) may be allowed entry without an accompanying SWD.

DOCUMENT NUMBER: This block is for the issuing Country/Entity/Fishing Entity to designate a country coded Document Number.

(1) FLAG COUNTRY/ENTITY/FISHING ENTITY - Fill in the name of the Country/Entity/Fishing Entity of the vessel that harvested the swordfish in the shipment and issued this Document. According to the ICCAT Recommendation, only the flag state of the vessel that harvested the swordfish in the shipment, or, if the vessel is operating under a chartering arrangement, the exporting state, can issue this Document.

(2) POINT OF EXPORT - Identify the City and State or Province, and country/entity/fishing entity from which the swordfish was exported.

(3) AREA OF CATCH - Check the area of catch. (In case of (d) or (e) checked, items 4 and 5 need not be completed.)

(4) DESCRIPTION OF FISH - The exporter must provide, to the highest degree of accuracy, the following information. (NOTE: One row should describe one product type.) (1) Product type: Identify the type of product being shipped as either FRESH or FROZEN, and in ROUND, GILLED AND GUTTED, DRESSED, FILLET or OTHER form. For OTHER, describe the type of products in the shipment; (2) NAME OF VESSEL AND REGISTRATION NUMBER - Fill in the name and registration number (if available) of the vessel that harvested the swordfish. If product in shipment is from more than one vessel, list all vessels whose product is included in the shipment; (3) Gear Code - Identify the gear type which was used to harvest the swordfish using the listed codes; (5) Net weight - Net product weight in kilograms.

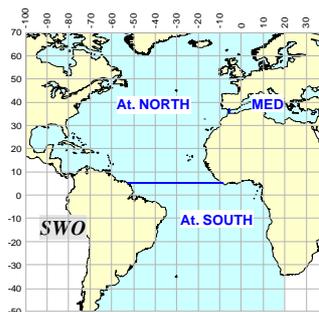
(5) EXPORTER CERTIFICATION - The person or company exporting the swordfish shipment must provide his/her name, signature, address, date the shipment was exported, and dealer license number (if applicable). For countries that have adopted the ICCAT alternative minimum size for swordfish the exporter must certify that the listed Atlantic swordfish are greater than 15 kg (33 lb.) or if pieces, the pieces were derived from a swordfish weighing > 15 kg.

(6) GOVERNMENT VALIDATION - Fill in name and full title of the official signing the SWD. The official must be employed by a competent authority of the flag state government of the vessel that harvested the swordfish appearing on the SWD or other individual or institution authorized by the flag state or if the vessel is operating under a charter arrangement, by a government official or other authorized individual or institution of the exporting state. Net weight must also be certified and recorded. The substitutional measure described in paragraphs A-D of the *Resolution by ICCAT concerning Validation by a Government Official of the Bluefin Tuna Statistical Document*, adopted by the Commission in 1993, may be applied to the above requirements for the validations in this Swordfish Statistical Document Program.

(7) IMPORTER CERTIFICATION - The person or company that imports swordfish must provide their name, signature, address, date the swordfish was imported, license number (if applicable) and final point of import. This includes imports into intermediate countries, entities or fishing entities. For fresh and chilled products, signature of the importer may be substituted by person of a custom clearance company when the authority of signature is properly accredited to the company.

GEAR CODE GEAR TYPE

BB	Baitboat
GILL	Gillnet
HAND	Handline
HARP	Harpoon
LL	Longline
MWT	Mid-water trawl
PS	Purse seine
RR	Rod and reel
SPHL	Sport handline
SPOR	Sport fisheries, unclassified
SURF	Surface fisheries, unclassified
TL	Tended line
TRAP	Trap
TROL	Troll
UNCL	Unspecified methods
OT	Other type: Describe the type of gear



Original completed document must accompany exported shipment. Retain a copy for your records. The original (imports) or a copy (exports) must be postmarked and mailed, or faxed, within 24 hours of import or export to: XXXX

Requirements Concerning the ICCAT Swordfish Re-export Certificate

1. The sample form of the ICCAT Swordfish Tuna Re-export Certificate shall be as in **Attachment 4**.
2. Customs or other appropriate government officials will request and inspect all import documentation including the ICCAT Swordfish Re-export Certificate for all swordfish in the shipment. Those officials may also inspect the content of each shipment to verify the information on the document.
3. Only complete and valid documents will guarantee that shipments of swordfish will be allowed to enter the territory of Contracting Parties.
4. A Contracting Party shall be free to validate ICCAT Swordfish Re-export Certificates for swordfish imported by that Contracting Party, to which ICCAT Swordfish Statistical Documents or ICCAT Swordfish Re-export Certificates are attached. ICCAT Swordfish Re-export Certificates shall be validated by government organizations, persons authorized by a government organization, or by recognized institutions which are accredited by a Contracting Party's government to validate the ICCAT Swordfish Statistical Document. A copy of the original Swordfish Statistical Document accompanying the imported swordfish must be attached to an ICCAT Swordfish Re-export Certificate. The copy of the original Swordfish Statistical Document so attached must be verified by that government organization or by that recognized institution accredited by a government which validated the ICCAT Swordfish Statistical Document. When re-exported swordfish is again re-exported, all copies of documents, including a verified copy of a Statistical Document and Re-export Certificate which accompanied that swordfish upon importation, must be attached to a new Re-export Certificate to be validated by a re-exporting Contracting Party. All copies of the Documents to be attached to that new Re-export Certificate must be also be verified by a government organization or a recognized institution accredited by a government which validated the ICCAT Swordfish Statistical Document, or by persons authorized by a government organization.
5. Shipments of swordfish that are accompanied by improperly documented Swordfish Re-export Certificate (improperly documented means that the Swordfish Re-export Certificate is either missing from the shipment, incomplete, invalid or falsified) will be considered illegitimate shipments of swordfish, that are contrary to ICCAT conservation efforts, and their entry will be suspended (PENDING RECEIPT OF A PROPERLY COMPLETED DOCUMENT) into the territory of a Contracting Party or subject to administrative or other sanction.
6. ICCAT Contracting Parties that validate Re-export Certificates in accordance with the procedure set forth in paragraph 4 shall require from the re-exporting swordfish dealer necessary documents (e.g., written sales contracts) which are to certify that the swordfish to be re-exported corresponds to the imported swordfish. Contracting Parties which validate Re-export Certificates shall provide flag states and importing states with evidence of this correspondence upon their request.
7. The import of fish parts other than the meat, i.e., head, eyes, roe, guts, tails may be allowed without the document.

DOCUMENT NUMBER	ICCAT SWORDFISH RE-EXPORT CERTIFICATE		
RE-EXPORT SECTION:			
1. RE-EXPORTING COUNTRY/ENTITY/FISHING ENTITY			
2. POINT OF RE-EXPORT			
3. DESCRIPTION OF IMPORTED FISH			
F/FR	Product Type(*) RD/GG/DR/FL/ST/OT	Net Weight (Kg)	Flag country/ Entity/Fishing entity
			Date of Import
4. DESCRIPTION OF FISH FOR RE-EXPORT			
F/FR	Product Type(*) RD/GG/DR/ST/FL/OT	Net Weight (Kg)	
* F=FRESH, FR=Frozen, RD=Round, GG=Gilled and Guttled, DR=Dressed, ST=Steak, FL=Fillet OT=Other(Describe the type of product)			
5. RE-EXPORTER CERTIFICATION: For export to countries/entities or fishing entities that have adopted the ICCAT alternative minimum size for swordfish, the exporter must certify that the listed Atlantic swordfish are greater than 15 kg (33 lb.) or if pieces, the pieces were derived from a swordfish weighing >15 kg.			
I certify that above information is complete, true and correct to the best of my knowledge and belief.			
Name	Company Name	Address	Signature Date License # (if applicable)
6. GOVERNMENT VALIDATION: I validate that above information is complete, true and correct to the best of my knowledge and belief.			
Name & Title	Organization	Signature	Date
IMPORT SECTION:			
7. IMPORT CERTIFICATION: I certify that above information is complete, true and correct to the best of my knowledge and belief.			
Importer Certification (Intermediate Country / Entity / Fishing Entity)			
Name	Address	Signature	Date License #(if applicable)
Importer Certification (Intermediate Country / Entity / Fishing Entity)			
Name	Address	Signature	Date License #(if applicable)
Importer Certification (Intermediate Country / Entity / Fishing Entity)			
Name	Address	Signature	Date License #(if applicable)
Final Point of Import			
City	State/Province	Country/Entity/Fishing Entity	

NOTE: If a language other than English is used in completing this form, please add the English translation on this document.

INSTRUCTIONS

DOCUMENT NUMBER: Block for the issuing Country/Entity/Fishing Entity to designate a Country/Entity/Fishing Entity coded document number.

(1) RE-EXPORTING COUNTRY/ENTITY/FISHING ENTITY

Fill in the name of the Country/Entity/Fishing Entity which re-exports the swordfish in the shipment and issued this Certificate. According to the ICCAT Recommendation, only the re-exporting Country/Entity/Fishing Entity can issue this Certificate.

(2) POINT OF RE-EXPORT

Identify the City/State Province and Country/Entity/Fishing Entity from which the swordfish was re-exported.

(3) DESCRIPTION OF IMPORTED FISH

The exporter must provide, to the highest degree of accuracy, the following information: NOTE: One row should describe one product type. (1) Product type: Identify the type of product being shipped as either FRESH or FROZEN, and in ROUND, GILLED AND GUTTED, DRESSED, STEAK, FILLET or OTHER form. For OTHER, describe the type of products in the shipment. (2) Net weight: Net product weight in kilograms. (3) Flag Country/Entity/Fishing Entity: the name of the Country/Entity/Fishing Entity of the vessel that harvested the swordfish in the shipment. (4) Date of import: Imported date.

(4) DESCRIPTION OF FISH FOR RE-EXPORT

The exporter must provide, to the highest degree of accuracy, the following information: NOTE: One row should describe one product type. (1) Product type: Identify the type of product being shipped as either FRESH or FROZEN, and in ROUND, GILLED AND GUTTED, DRESSED, STEAK, FILLET or OTHER form. For OTHER, describe the type of products in the shipment. (2) Net weight: Net product weight in kilograms.

(5) RE-EXPORTER CERTIFICATION

The person or company re-exporting the swordfish shipment must provide his/her name, company name address, signature, date the shipment was re-exported, and re-exporter's license number (if applicable).

(6) GOVERNMENT VALIDATION

Fill in the name and full title of the official signing the Certificate. The official must be in the employment of the competent government authority of the re-exporting Country/Entity/Fishing Entity appearing on the Certificate, or a person or institution authorized to validate such certificates by the competent government authority. The substitutional measure described in paragraphs A-D of the *Resolution by ICCAT Concerning Validation by a Government Official of the Bluefin Statistical Document*, adopted by the Commission in 1993 may be applied to the above requirements for the validations in this Swordfish Statistical Document Program.

(7) IMPORTER CERTIFICATION

The person or company that imports swordfish must provide his/her name, company name, address, signature, date the swordfish was imported, license number (if applicable) and re-exported final point of import. This includes imports into intermediate Countries/Entities/Fishing Entities. For fresh and chilled products, the signature of the importer may be substituted by a person of a customs clearance company when the authority for signature is properly accredited to it by the importer.

RETURN A COPY OF THE COMPLETED CERTIFICATE TO: (the name of the office of the competent authority of the re-exporting Country/Entity/Fishing Entity).

REPORT OF THE ICCAT SWORDFISH STATISTICAL DOCUMENT

Period to , IMPORT COUNTRY/ENTITY/FISHING ENTITY
 Month Month Year

Flag Country/Entity/ Fishing Entity	Area Code	Gear Code	Point of Export	Product Type		Product Wt.(Kg)
				F/FR	RD/GG/DR/ST/FL/OT	

Gear Code

BB
GILL
HAND
HARP
LL
MWT
PS
RR
SPHL
SPOR
SURF
TL
TRAP
TROL
UNCL
OTH

Gear Type

Baitboat
Gillnet
Handline
Harpoon
Longline
Mid-water trawl
Purse seine
Rod & reel
Sport Handline
Sport fisheries unclassified
Surface fisheries unclassified
Tended line
Trap
Troll
Unclassified methods
Other type (Indicate the type of gear):

Product type

F Fresh
FR Frozen
RD Round
GG Gilled & gutted
DR Dressed
FL Fillet
ST Steak
OT Other form, describe the type of products in the shipment

Area Code

NAT North Atlantic
SAT South Atlantic
MED Mediterranean
PAC Pacific Ocean
ID Indian Ocean

REPORT OF THE ICCAT SWORDFISH RE-EXPORT CERTIFICATE

Period _____ to _____, _____ IMPORT COUNTRY/ENTITY/FISHING ENTITY
 Month Month Year

Flag Country / Entity/Fishing Entity	Re-export Country/Entity/Fi shing Entity	Point of Re-export	Product Type		Product Wt.(Kg)
			F/FR	RD/GG/DR/ST/FL/OT	

Product type

- F Fresh
- FR Frozen
- RD Round
- GG Gilled & gutted
- DR Dressed
- ST Steak
- FL Fillet
- OT Other form, describe the type of products in the shipment

INFORMATION ON VALIDATION OF ICCAT STATISTICAL DOCUMENTS

1 Flag _____

2 Statistical Document (Bluefin, Bigeye, Swordfish, All): _____

3 Government/Authority organization(s) accredited to validate Statistical Documents

Organization Name	Organization Address	Sample Seal

NOTE: For each organization, attach a list with the names, titles and addresses of the individuals authorized to validate Documents.

4 Other institutions accredited by the government/authority to validate Statistical Documents

Organization Name	Organization Address	Sample Seal

NOTE: For each organization, attach a list with the names, titles and addresses of the individuals authorized to validate Documents.

Instructions Contracting Parties, non-Contracting Parties, Entities, Fishing Entities having vessels that harvest species whose international trade must be accompanied by ICCAT Statistical Documents are requested to submit the information on this sheet to the Executive Secretary of ICCAT¹, and to ensure that any changes to the above are also transmitted to the Executive Secretary on a timely fashion.

* ICCAT: c/Corazón de María, 8 (6th floor), Madrid, Spain 28002.