

出國報告(出國類別：其他)

參加「聯合國糧農組織(FAO)漁業委員會(COFI)魚產品貿易次委員會第
13 屆會議」報告

服務機關：行政院農業委員會漁業署

姓名職稱：科長 周世欽

派赴國家：印度海德拉巴

出國期間：101 年 2 月 19 日至 2 月 26 日

報告日期：101 年 4 月 12 日

摘要

聯合國糧農組織（FAO）漁業委員會（COFI）魚產品貿易次委員會（FT）第 13 屆會議訂於 2 月 20 至 24 日假印度海德拉巴舉行。會中討論重要議題包括：可追溯性最佳實踐準則、審議市場進入要求、價值鏈分析與國際魚產品貿易、《瀕危野生動植物種國際貿易公約》相關活動的最新情況、監督對《糧農組織負責任漁業行為守則》第 11 條的落實工作等。

- 一、 成員國達成共識，要求 FAO 發展一系列研究，包括：區域貿易協定對小規模漁業及農村社區造成的影響（包含社會層面影響）、區域貿易發展情形、南美白對蝦養殖發展情況及其營銷問題、觀賞魚貿易、漁業服務、魚產品貿易中的金融工具（包括食用商品期貨市場），以及低價值物種區域貿易。
- 二、 對於公營和私營生態標籤計畫是否與「糧農組織海洋及內陸捕撈漁業魚和漁產品生態標籤準則」相一致所制定糧農組織評估架構部份，會中大部分成員國認為海洋和內陸漁業的準則有很多指標是相同的，同意將內陸漁業納入並適用於海洋捕撈和內陸漁業共同的評估架構。
- 三、 成員國認為，有關可追溯性最佳實踐原則之分析架構包括：「避免對貿易造成不必要的障礙」、「等效性」、「以風險考量為基礎」及「簡潔透明」。此外，魚產品安全亦與可追溯性機制有關，將涉及國際食品法典委員會（Codex Alimentarius Commission, CAC）之「食品法典（Codex Alimentarius）」標準制定；另，部分成員國認為目前許多國家對於產品檢驗方法、標準及管控做法不一致，故建議 FAO 分析各國的作法與標準，尋求一致性，並提供爭端調解的功能。
- 四、 有關市場進入要求（market access requirements）部份，成員國強調應對發展中國家小規模漁業和水產養殖業提供技術援助，以改善其市場進入。
- 五、 成員國認為，建立合作社或類似集體組織等方式，是有助於提高小規模經營者及零散經營者在價格鏈（value chain）結構中的競爭力，並有助於獲得一系列的服務，例如冷凍設施、信貸、漁船漁具、飼料等。
- 六、 成員國一致同意支持 FAO 與瀕危野生動植物種國際貿易公約（CITES）之間的合作備忘錄持續發展。此外，部分成員國強調鮪旗魚類資源目前皆由區域性漁業管理組織管轄，且已實施漁獲物認證制度，是否有必要列入 CITES 附錄加以管理？是必須要考量的。另，成員國歡迎糧農組織對於「鯊魚養護和管理國際行動計畫」實施情形進行審查。

關鍵詞：聯合國糧農組織、漁業委員會、魚產品貿易次委員會、市場進入、可追溯性、價值鏈分析。

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壹、目的

聯合國糧農組織（FAO）漁業委員會（COFI）魚產品貿易次委員會（FT）由 COFI 第 16 屆會議（1985 年）按照該組織總規則第 XXX 條第 10 款以及 COFI 議事規則第 VII 條設立。本次委員會之成員為 FAO 所有成員國。非 FAO 成員但為聯合國或其任何專門機構或國際原子能機構成員的國家可由 FAO 理事會接納為次委員會成員。1986 年 10 月舉行第 1 屆 FAO COFI FT 會議。魚產品貿易次委員會之主要職責範圍：應為魚和漁業產品國際貿易的技術和經濟方面，包括生產和消費的有關方面的磋商提供論壇。次委員會的工作包括：

- 一、 定期審查主要漁業產品市場的形勢及前景，包括影響它們的所有因素；
- 二、 根據特別研究，討論魚產品貿易的具體問題及可能的解決方法；
- 三、 討論促進國際魚及漁業產品貿易的適當措施，並為加強發展中國家參與這一貿易，包括與貿易有關的服務提出建議；
- 四、 與糧農組織／世界衛生組織食品法典委員會一起為促進國際品質標準和協調統一品質管制及檢驗程式和法規提出建議；
- 五、 為經濟上可行的漁業產品開發進行磋商和提出建議，包括加工方法、產品升級以及發展中國家的最終產品生產。

本次 FAO COFI FT 第 13 屆會議訂於 2 月 20 至 24 日假印度海德拉巴的 Hyderabad International Conventional Center (HICC) 舉行。會中討論重要議題包括：可追溯性最佳實踐準則、審議市場進入要求、價值鏈分析與國際魚產品貿易、《瀕危野生動植物種國際貿易公約》相關活動的最新情況、監督對《糧農組織負責任漁業行為守則》第 11 條的落實工作等。因我國並非聯合國成員，故我國由本署周世欽科長以台灣省水產協會秘書及 International Coalition of Fisheries Association (ICFA) 會員之名義參加，以掌握會議資訊。

貳、會議過程及結果

本(20)日早上 8 時 30 分，職先前往 Novotel Hotel 與 ICFA Mr. Alastair Macfarlane 會面，隨後至會場 HICC 辦理註冊。會議於上午 9 時 30 分開始，計約 40 多成員國代表及 8 個政府間組織和國際非政府組織的觀察員出席。以下謹就會議期間逐日之會議重點摘要如下：

2 月 20 日

一、 議程 1：會議開幕

首先由糧農組織助理總幹事 Arni M. Mathiesen 先生致詞，感謝印度政府舉辦此次會議，這是首次在亞洲開發中國家舉行，討論有關魚產品貿易的

議題，並將本次會議討論各項議題概略說明，並強調生態標籤、魚產品安全、可追溯性、執行負責任漁業及水產資源永續的重要性。之後，由印度農業部畜牧、乳業及漁業局長 Rudhra Gangadharan 先生致辭，強調小型漁業的重要性，並認為要發展水產養殖業對於未來的糧食提供是相當重要的，目前有將近 40% 的魚產品是經由貿易的管道提供，而且主要是由像印度一般的開發中國家提供，所以開發中國家對於魚產品貿易是相當重要的。

二、 議程 2：選舉主席、副主席及會議記錄

印度提案，依據慣例由前次會議副主席擔任本次會議主席，多國附議。最後大會任命由前次會議副主席挪威 Dag Erling Stai 先生擔任本次會議主席，摩洛哥 Abderraouf Ben Moussa 先生擔任第一副主席，烏拉圭和日本當選為副主席，印度 Tarun Shridhar 先生擔任起草委員會主席，並由加拿大、迦納、日本、奈及利亞、俄羅斯、西班牙、泰國、烏拉圭及美國等代表為起草委員會成員。

三、 議程 3：通過會議議程與安排（文件：COFI:FT/XIII/2012/1、COFI:FT/XIII/2012/Inf.1）

主席請秘書處說明議程，隨後印度代表發言認為小型漁業已談論到生態標籤，在糧食安全方面，亦擴及到可追溯性的問題，此外小型漁業在魚產品貿易上是有相當的困難，在前幾次會議都有小型漁業的專門討論，希望在本次會議也能夠有一個議題，時間專門討論小型漁業的各項議題。

主席請秘書處回應，秘書處認為有關小型漁業的具體討論，可以放在議程「其他」內討論，相信是適當的，此外本次會議的各項議題也與小型漁業有關，可以進行討論，另外本（2012）年 7 月的會議也會討論到小型漁業，如此便可已將議題連貫。

歐盟表示，認為秘書處的說明相當適當，因為小型漁業的議題已散落在本次會議的各項議程內，所以無須在另立一項議程討論。此外，倘另立一項議程，相關的文件準備是不容易的且相當麻煩，所以建議以目前議程進行會議。

阿根廷表示支持歐盟想法，並提議把小型漁業的議題在下次會議再列入議程討論。主席表示再請秘書處將原訂議程安排說明，隨後通過議程。

四、 議程 4：糧農組織與貿易相關活動的情況報告（文件：COFI:FT/XIII/2012/2）

主席請秘書處報告本議程內容，糧農組織與貿易相關活動主要由漁業與水產養殖部與其他部門合作執行，並建議就以下方向進行討論：

（一） 糧農組織涉及貿易的活動；

- (二) 介紹各國和區域內部的相關經驗；
- (三) 就糧農組織未來在貿易相關活動方面的工作提供指導，特別是發展中國家能力建設方面；
- (四) 考慮商品貿易統計資料收集方法上的變化，與各行政管理部門共同推動國外卸岸量（landings）記錄方式的調整；
- (五) 關注在《協調制度》編碼分類修訂進程以及通過糧農組織針對《協調制度》2017版提出的新建議書與世界海關組織（WCO）開展合作方面的背景和取得的進展；以及
- (六) 就擬納入2017版《協調制度》的魚類和魚產品及物種《協調制度》編碼提出進一步改進意見，並將其收入準備提交世界海關組織考慮的糧農組織建議書中。

主席請各位代表發言。

冰島表示，經過多年的努力之後，認識到漁業資源並非無窮無盡的，對於捕魚的權利應被承認，現在有關捕魚的部份，全球有將近 20%是設有漁獲限額的。現在有關漁業管理的系統運作是相當順遂的，魚產品的貿易量在農產品中佔有相當的比例，魚產品的貿易是相當重要的，是由野生的和養殖的魚產品構成，所以魚產品的生態標籤及可追塑性是必須要討論的，目前漁業委員會以下設兩個次委員會，分別為養殖及漁業次委員會是相當適當的。

日本表示，發展中國家在魚產品生產及貿易相當重要，印度所說的小型漁業也是重要議題，日本也是認為如此。小型漁業涉及的層面相當廣泛，如小型漁業的魚產品貿易、認證等，此外養殖漁業與環境的問題是相當複雜的。最後，魚產品認證議題相信本次會議會有進一步討論。

阿爾及利亞表示，注意到 FAO 已重視魚產品的貿易運作，及相關魚產品安全問題，但建議應將重心放在開發中國家，特別是非洲，尤其是水產養殖部份，如果對於非洲進行研究的話，相信會有相當助益。

萬那度表示，應將重點放在提供水產養殖的技術開發的層面，並要去瞭解哪些魚種是瀕危需特別保護及永續經營，此外部份魚產品價格過低，如何提高也是重點。

歐盟表示支持對於發展中國家的協助，歐盟也出資執行，在會議文件中也有說明，特別是對於非洲及亞洲地區國家。現在執行主要在於促進非洲及加勒比海地區的魚產品加入已開發國家市場（2006-2011）。此外，也有進行打擊 IUU 的相關活動。另支持魚產品的編碼問題，也與海關合作進行。最後表示支持 FAO 有關的活動。

巴西強調魚產品的編碼分類的重要性，因為漁業及養殖皆為重要環節，特別是養殖的部份，應確保分類的精確性。

阿根廷認為，相較於 2010 年的討論，重點已經移到水產養殖的部份。水產養殖及野生捕撈的魚產品之間有競爭的問題，也會涉及到定價的問題，此會因為市場的結構而有所調整。如何讓水產養殖及野生捕撈的魚產品的競爭成為正面的，將是重點。建議 FAO 應積極參與 WTO 杜哈談判，特別是有關魚產品的部份。

挪威表示，因為漁業及水產養殖業在魚產品貿易中相當重要，有關糧食安全的問題，應強調魚產品，在前次會議已有相當討論，希望本次會議在相關的議程，會有進一步討論。魚產品貿易部份應區分成數個類別進行討論會比較好。貿易統計資料的蒐集彙整是相當重要的，支持貿易統計資料收集方法上的改變。此外，打擊 IUU 是一相當重要議題。

西班牙強調應保證魚產品進口到歐盟的無害性，認證是必須的，並對一些國家在船上培訓其認證的標準及要求。

秘魯表示，認為有必要魚產品的產量，還有捕魚的國家應提高能力，並尋找水產養殖的指標，去年秘魯執行相關計畫，並由秘魯統計局追蹤相關進展。應考慮魚產品貿易的問題，特別是在多邊談判中，應減少貿易障礙。對於統計的問題，應對於大規模漁業的捕獲量加以統計，並對於各項漁業資源進行統計追蹤，並瞭解資源的變化。

摩洛哥表示，摩洛哥在 2009 年時啟動一項計畫，現在魚產品生態標籤已開始落實，已與各項產業協調一致的作法。另亦幫助魚產品行業的發展。並積極參與可追溯性措施，打擊 IUU 活動，此部份感謝歐盟。通過相關認證的工作，例如沙丁魚部份第一期以完成，現在進行評估及第二期工作。支持野生的與養殖的魚產品相關統計應分開處理。並在法律的架構下，進行魚產品貿易。

中國表示，本次會議應關注魚產品認證、可追溯性、標籤及市場進入問題，前述問題皆有相關。中國鼓勵國內的魚產品應受到國際的認證，在認證之後發現各主要進口國家認證的標準越來越多，並且有不一致的情形，此將會影響貿易企業，所以認證的工作如何統一，相信是有必要的。歐盟啟動 IUU 認證的工作，乃是認定其為合法捕撈，所以便會提供漁區、加工廠等相關資訊給歐盟，也就是可追溯的過程，此便為認證與可追溯性工作結合，之後為市場進入。中國 2011 年進口 420 萬噸的魚產品，但無法找到出口國與進口國對應的魚產品編碼，所以在統計上有不便的因素，所以希望編碼部份可以做的更為細緻。

主席表示，以下請觀察員進行發言。

ICFA 秘書長發言表示，有關小型漁業部份，應是指貿易量或生產量低的漁業，如果將可追溯性、認證及生態標籤的措施加諸在小型漁業上，將會造成該漁業的成本增加，所以此措施是否適當，必須要有完整的配套。此外，也支持魚產品貿易統計應確實將野生與養殖魚產品分類，並透過適當地統計編碼，予以精確的區分。

主席結束此議題討論，並感謝所有會員國及觀察員的發言，經彙整後認為有以下四個重點：1.魚產品統計數字的準確性及適當性必須建立；2.有關市場進入及附帶的認證、可追溯性及標籤的問題必須有一致性的思考，未詳細討論的部份希望在本週會議討論；3.必須讓國際瞭解魚產品的重要性；4.開發中國家應強調能力建構，並應持續雙邊合作及參與國際組織合作。

五、 議程 5：魚產品貿易近期發展情況（文件：COFI:FT/XIII/2012/3）

主席由秘書處說明會議文件，本議題主要目的是說明魚產品貿易近期發展情況及重要問題，2011 年全球的魚產品生產有大幅的提高，比起 2010 年增加的 17%，主要係來自於水產養殖，捕撈漁業之魚產品則持平，魚產品貿易因為品項眾多，所以有及高的替代性。主要進口市場有三個（日本、美國及歐盟），目前也有新興的市場出現，不僅是亞洲，在中南美及非洲皆有，所以魚產品市場已經國際化並且有相當的聯繫。應重視這個市場的可持續性、價格的問題，此外以魚產品考量糧食安全的問題也是必要的。並建議就以下方向進行討論：

- (一) 提供有關貿易發展資訊和相關經驗；
- (二) 就今後糧農組織在國際漁業產品貿易領域的工作提供指導意見，特別是有關使發展中國家和小規模經營者更加有效地參與貿易方面；
- (三) 就糧農組織通過價值鏈與利益相關者進行對話、糧農組織與世界貿易組織(世貿組織)在漁業問題上的合作以及與其他相關組織合作提出意見。

主席請各位代表發言。

中國表示，魚產品出口的問題相當複雜，例如中國與相關國家中，有無傾銷的問題有著一連串的討論，並將此議題提送 WTO，希望在 WTO 架構下解決問題，因為目前人民幣升值，且人工費用增加，所以並非壓低成本的傾銷問題。建議 FAO 能夠調查此類問題，並做出實施綱要，此對於開發中國家與發展中國家皆有助益。

歐盟表示，現階段歐盟正在改變養殖與漁業的政策以永續，雖然歐盟經濟衰退，但是魚產品市場仍然熱絡，所以有關糧食安全的議題也是相當重視。另外，市場進入、平等也是重要的。希望開發中國家的魚產品能夠在一

定的準則下，進入到歐盟的市場。有關認證的問題，建議對於有機產品提出認證制度，目前進展順利，例如與加拿大的談判；此外，亦支持生態標籤的政策。西班牙目前以拉丁文翻譯一些魚產品的名稱，對於魚產品的名稱進行一致性的規劃。西班牙接續發言，有關魚產品的名稱應該一致性，例如以「學名」作為標示，將會使魚產品名稱一致，並且降低對於魚產品的誤解。

奈及利亞表示，希望 FAO 進行魚產品貿易的風險評估，特別是針對小型漁業部份；並希望 FAO 在分析之後，發展相關的機制與綱要，以利執行。

烏拉圭表示，有些國家相當關注 WTO 所討論的漁業補貼及市場進入等議題，特別是漁業補貼對於開發中國家是有助於能力提升與建設，所以應加以重視。

阿根廷表示，有關強化魚產品質量的控制是相當重要的，但是不同的國家皆有不同的標準，如何標準化是必要的。我們不同意透過降低關稅或是零關稅是解決問題的方法，特別在雙邊的部份，因為供需不同，所以會有不同的看法。

印度強調，目前小型漁業為供應魚產品市場的重要來源之一，但是小型漁業有其特性（通常為漁業規模小），所以在生態標籤、認證、可追溯性及市場進入等議題，小型漁業必須被公平討論。

最後主席裁示，會議時間已接近結束，其餘欲發言之會員國及觀察員則留至明日上午會議再繼續，本日會議結束（下午 5 時 30 分）。

2 月 21 日（會議自 9 點開始）

延續昨（20）日議程 5「魚產品貿易近期發展情況之討論」議題，主席請成員國發言。日本表示，鼓勵 FAO 與 OECD 持續合作，因為此二單位各有所長，例如 OECD 對於經濟方面具有研究能力，而 FAO 在漁業領域有相當的瞭解，所以二者合作是必要的。此外，有關魚產品價格問題，是相當複雜的，將在相對應的議程發表意見。

紐西蘭表示，魚產品在國際貿易中是相當重要的，本次會議有兩大挑戰：1.為國際市場的措施，如開發中國家如何進入市場；2.漁船的工作環境必須重視。

主席請秘書處總結各會員及觀察員的意見，秘書處表示：1.小型漁業的重要性（包括糧食安全），在 2008 年會議時對於小型漁業有詳細的討論，該會議對於小型漁業安全進行綱要制定，目前仍在進行中，本次會議重要意見將攜回羅馬，並將這些意見發送到相關會議討論；2.衛生檢疫要求，與市場進入有關，是否會造成貿易障礙，此將會在本次會議的議程中討論；3.有關生態標籤的部份，將在本年 7 月中會有詳細的討論。此外，有關小型漁業部

份與市場相關的問題，將會在相關會議安排討論。

六、 議程 6：制定糧農組織評估架構專家磋商成果（文件：COFI:FT/XIII/2012/4 和 COFI:FT/XIII/2012/Inf.6）

主席請秘書處說明，文件 COFI:FT/XIII/2012/4 之討論重點包括：

- (一) 評估專家磋商會報告，包括評估公共和私營生態標籤計畫是否與《糧農組織海洋及內陸捕撈漁業魚和漁產品生態標籤準則》（以下簡稱「生態標籤準則」）相一致的評估架構草案；
- (二) 評估專家磋商會制定的評估架構的有效性；
- (三) 評估制定一個適用於內陸及海洋捕撈漁業的共同架構的有效性；
- (四) 為最終制定評估架構所需開展的後續行動提供指導，包括：
 1. 確認為最終制定評估架構需要進一步開展工作的領域；
 2. 開展這項工作應當遵循的程式，包括考慮舉行技術磋商。
- (五) 為相關問題提供指導，包括：
 1. 評估生態標籤計畫實際在多大程度上有助於改進漁業管理和提高經濟回報。

主席請各位代表發言。

阿根廷表示，生態標籤準則的標準不應成為貿易的障礙，此外必須考量多邊貿易的相關準則，目前有關魚產品的生產、進口及出口已有相當的準則，所以應以落實為主，而非持續發展準則。

挪威表示，評估公共和私營生態標籤計畫的架構是相當廣泛的，建議其一致性，應由成員國進行研究。

莫三比克強調小型漁業實施生態標籤準則是相當困難的。

智利表示，目前生態標籤準則已有相當的實施，但是相當的紊亂，其間是否具有 consistency，還是要採行何種公共或私營的生態標籤，仍然是無法協調的，所以建議應將重點放在何種文件是被接受的，且具有 consistency。

奈米比亞表示，生態標籤準則原來是對於一些魚產品市場有一些作為，但是生態標籤對於發展中國家是有相當的困難，該國目前正在鞏固魚產品貿易，且目前發展水產養殖，但是有相當的困難，涉及資金、人力及環境。認同必要評估生態標籤計畫實際在多大程度上有助於改進漁業管理和提高經濟回報。

冰島表示，有關評估架構已不需要專家諮詢，應是從執行中學習。紐西蘭也認為，希望糧農組織應進一步執行，而非再進一步進行專家諮詢；認為評估生態標籤計畫實際在多大程度上有助於改進漁業管理和提高經濟回報是重要的。

中國表示，生態標籤提出已經有相當長的時間，對於魚產品貿易、資源養護有相當的助益。在中國一些企業，有試行推廣，但是有相當的問題，雖然如此，還是會持續推動。認同部份國家認為生態標籤會產生一些貿易阻礙，所以建議 FAO 在推廣實施生態標籤時，能由簡入繁，此外透過技術援助試作，尋找問題並解決，如此可能要比舉行專家諮詢會議較為實際。

奈及利亞說明，生態標籤對於發展中國家是必須推廣的，我們希望未來能夠進行可行的指標評估。

印度表示，有關生態標籤準則，其評估架構是否可行？評估的架構是否與準則一致？以目前的指標作為評估架構，是否妥當？這些是必需要被思考的。我們認為目前尚無法瞭解評估架構。

美國表示，現在應是要瞭解生態標籤的可行性及其有效性，所以應是要執行，由簡易的方法開始；在執行之後，才有評估的價值。目前不建議重開生態標籤準則的討論。

巴西表示，報告中指出有關評估架構可以通過各種途徑被用來評估與糧農組織準則的相符情況。而各種途徑包括：政府、消費者、零售商、加工商和捕撈者。這會造成管理者與實施者觀點上的衝突，評估架構會產生混亂，必須要有適當地調整。

日本表示，認為生態標籤的問題相當複雜且範圍廣，同時也認為必須要進行評估各種不同的生態標籤系統，日本對此議題並沒有特定的立場。

秘書處進行總結，目前成員國的意見大致可以分成兩個：1.對於生態標籤準則需透過專家諮詢以評估架構再進行評估；2.尋找適當的試驗地點，進行生態標籤準則之試作，從執行中改善。此外，成員國皆同意評估生態標籤計畫實際在多大程度上有助於改進漁業管理和提高經濟回報是重要的。秘書處建議先通過評估架構，並尋找適合的地點，進行生態標籤的試作，在過程中進行必要的調整修訂，逐步落實，也是可行的。另，有關生態標籤準則的修訂，則超越本次會議的權責。

七、 議程 7：可追溯性的最佳實踐準則（文件：COFI:FT/XIII/2012/5）

由秘書處說明文件 COFI:FT/XIII/2012/5，該文件主要係說明可追溯性的執行已經存在一段時間，當時是為了保證食品安全，這些年來有不同的關切，例如打擊 IUU。就秘書處而言，是希望討論未來如何執行，所以提出以

下方案：

1. 方案1：糧農組織秘書處將制定可追溯性最佳實踐準則並在其自身職責範圍內頒佈準則。
2. 方案2：糧農組織秘書處將制定一份可追溯性最佳實踐準則初稿並提交下屆魚產品貿易次委員會進一步徵詢指導意見。
3. 方案3：糧農組織秘書處將召集一次專家磋商會，委託其起草可追溯性最佳實踐準則草案。然後將專家磋商會的成果轉交下屆魚產品貿易次委員會進一步徵詢指導意見。本方案將需要找到預算外資金舉辦專家磋商會。

主席請成員國表示意見。

阿根廷表示，目前對於可追溯性並沒有特別的規定，FAO 應該制定綱要，或是將目前不同的可追溯性措施協調化。挪威亦有相同意見，並強調進口國應有更嚴格的要求，特別是捕撈的紀錄，同時表示支持方案 3。

莫三比克表示，該國對於可追溯性已有制定相當的規定，特別是針對小規模漁業，並表示支持方案 3。

奈米比亞表示，希望詳細瞭解可追溯性的內容，並支持方案 3，認為此措施應在 FAO 架構下進行，雖然有資金上的問題，但是締約方應予資金支持。

中國表示，可追溯性準則的制定，在標準上應綜合考慮各種情況，特別是出口國的部份，不應標準設立過高，以避免造成貿易障礙。應考慮各種規定的等效性，才會有執行的彈性。可追溯性對於養殖漁業的監管，是相當有效的，特別是在查明非法用藥的部份。另外有關漁業的部份，已和歐盟合作，強化產地的證明，以打擊非法捕魚的活動。

冰島表示確實需要可追溯性（例如食品安全），就目前看來，可追溯性已有相當的討論，每個執行的環節，皆需要經費，所以對於各項執行細節的有效性必須討論，也就是確定執行可追溯性必要的項目。所以支持方案 3，以討論可追溯性之必要的要求。

摩洛哥認為可追溯性的制度是有前瞻性的，應將目前現行的可追溯性措施協調一致，所以支持方案 2。

歐盟表示 FAO 擬定最佳實踐準則是有必要的，魚產品可追溯性問題，包括質量問題、還有整個零售與批發的管道。歐盟已建立良好體制，包括：魚產品的可追溯性及打擊 IUU 等。支持方案 2。

毛利坦尼亞及蘇丹表示支持方案 2，並要求可追溯性必須不能產生貿易

障礙。

紐西蘭表示，不能因為要有方案而產生方案，應視為一項工具，可追溯性是有著不同的目標，例如糧食安全與打擊 IUU 等。可追溯性相關的認證，必須考慮不同對象的標準。目前歐盟有市場國措施，美國也有，當然還有其他國家，如果存在許多不同的認證制度，那對於出口國將會造成相當大的負擔，所以如何將不同國家的機制統一是非常重要的。

加拿大表示，建議在現行不同國家或組織的可追溯性措施中，尋求一致性的作法，是非常重要的；此外，執行可追溯性的合法性，應予確立，例如打擊 IUU 及糧食安全等。支持方案 2。

印度表示可追溯制度應是考慮魚產品的合法性，建議應將現行制度統一，支持冰島的意見，必須考慮每個環節執行的有效性。此外，有關小規模漁業涉及不同的漁具魚法及眾多的魚種，相當複雜，所以可追溯性必須是簡單易行的，如此才有執行的可行性，此外尚有執行費用也必須考慮。另，對於可追溯性執行的目的也應確立，但是在產品供應鏈管控的問題也是必須考慮。

日本表示，可追溯性有兩個主要的問題：1.可追溯性的範圍？2.執行的進程？根據日本的瞭解，可追溯性的重要目標是保障魚產品的安全，此外也可以打擊 IUU，另可持續性也是可追溯性的目標之一。如果要同時達到前述目標，則作法將會複雜，例如打擊 IUU，就必須透過政府的認證；有關食品安全的部份，則作法就會不同，可能就不是需要政府來執行。當談到可持續性問題，就會談到捕撈技術與資源狀況，但有些沒有永續性的漁業，並非與非法捕撈有關。此外，在區域性漁業管理組織已有制定相關可追溯性的措施，但是無法保證魚產品安全問題，所以必須將可追溯性的目標釐清。關於準則的內容，日本代表團是同意紐西蘭的說法，希望原則能夠得到清楚的界定。同時應考慮可追溯性準則存在的風險。日本基於不同的魚產品已經引入不同的認證制度，希望有一簡單易行的出口制度。建議應考量不同的制度如何整合，或是認同該等不同措施的有效性。對於小規模漁業及發展中國家的小型漁業社群的特性，如果可追溯性措施沒有考量前述特性，將不利於執行。如果 FAO 秘書處有經費執行，那方案 2 為最佳考量，反之方案 3 也必須考量，此外有關冰島表示對於各項執行細節的有效性必須討論，也是必要的。

西班牙表示，生態標籤在可追溯性也是有重疊，雖然二者不同，但是如何區分是非常重要的。可追溯性必須是強制性的，如此才能打擊 IUU，在國際貿易問題，存在許多私人認證的機制，至於生態標籤及可追溯性，FAO 應有明確的界定，不容混淆。

美國表示，可追溯性的目標及範圍有幾個方面，如合法性、食品安全及魚產品貿易等，雖然三個方面有著不同的作法，但在共通性部份應盡可能協調。關於 IUU 之可追溯性就必須探討其合法性，也應聽取進出口國家的建議。支持方案 2。

剛果表示，可追溯性與生態標籤是可以互補的，希望 FAO 能夠進一步發展方案 2。

莫三比克表示，可追溯性的作法需一致，如果沒有一致性作法，將會造成貿易障礙。如果有可追溯性的認證，在漁業部份可以打擊 IUU，但是一此法並無法滿足養殖業的需求。此外在執行可追溯性的同時，需投入相當大之經費，無形中議會產生貿易障礙，如果不能克服，我們將支持方案 2。

薩爾瓦多表示，提出 3 點：1.從概念上來說，定義、範圍及目標應釐清；2.需要發展最佳發展的綱要，有些國家在進口時，才考量可追溯性；3.關於準則的制定，像魚產品貿易部份，該國政府並沒有參與，所以不瞭解歐盟的要求，不能僅讓業者獨自應付；此外，也應考慮小型漁業的特性。綜合而言，現在討論可追溯性的準則並不適當，應再從基礎進行討論。

巴西表示，可追溯性應為工具並非目的，對於魚產品是否合法，可追溯性是有用的，但是應考量現在存在國際間的制度，建議應明確規範可追溯性的範圍與權限，避免涉及層面過廣，以造成公部門與私部門的負擔。此外，也應考量開發中國家與已開發國家的不同狀況，所以方案 1 並非可行。

塞內加爾表示，有必要強調可追溯性是追蹤產品的供應鏈，所以小型漁業部份有其實行的障礙，例如捕魚區及卸魚品種的分類相當複雜，有必要確實的考慮。

秘書處總結，有一些問題是延續自上次漁業委員會會議，例如協助發展中國家制定可追溯性規定，有兩個問題希望釐清：1.程序；2.內容。有關可追溯性，部份國家認為應側重打擊 IUU，也有部份國家認為除了打擊 IUU 外，也應考慮其他必要的內容，目前並沒有從成員國聽到清楚的指示。秘書處建議在可追溯性部份，除 IUU 外，亦應考量食品安全部份。會議中大部份國家支持方案 2「糧農組織秘書處將制定一份可追溯性最佳實踐準則初稿並提交下屆魚產品貿易次委員會進一步徵詢指導意見。」，讓秘書處就依此結論執行，必要時可請外部專家協助。

隨後印度表示，對於可追溯性的範圍應有明確的定義，如果僅討論以打擊 IUU 為目的的可追溯性，就並非可追溯性的最佳實踐，況且在文件中並未提及 IUU 的問題，僅在會議文件的附件中有提及，所以對於可追溯性的定義與範圍應明確釐清後，再討論後續問題。巴西亦有相同的看法，支持印度的建議。鑒於此問題涉及到可追溯性最佳實踐的基本問題，也就是其範圍

與定義，所以主席建議請不同意見的成員國在會後進行討論，再將討論後之意見送交秘書處，明日再行討論。討論的國家包括美國、日本、冰島、歐盟、印度、挪威、奈及利亞等。

八、 議程 8：審議市場進入要求（文件：COFI:FT/XIII/2012/6）

秘書處說明文件 COFI:FT/XIII/2012/6，重要討論包括：

（一） 評價糧農組織在下列各方面的工作：

1. 為食品法典標準制定提供科學支援；
2. 為成員國提供技術支援，以便實施水產養殖、魚的處理及加工方面的有關標準、準則和良好操作規範，以便改善市場進入。
3. 傳播有關標準、準則、認證及制度協調方面的資訊。

（二） 就未來的工作領域提出建議，特別是關注小規模漁業和水產養殖。

主席請成員國發言。

歐盟表示，魚產品貿易對歐盟相當重要，不僅可以帶動經濟，還可以促進就業機會。但是就食品安全而言，會影響道出口國，應避免貿易障礙的發生。支持 FAO 對於相關準則的制定。

挪威表示，支持 FAO 對食品安全相關工作，要求應有科學依據，有助於食品安全。也支持 FAO 提供協助，以改善市場進入。

因同步口譯的時間已經到了，主席裁示本日會議 5 點 20 分結束。

2 月 22 日（會議自 9 時開始）

主席表示先延續昨（21）日議程 7「可追溯性的最佳實踐準則」議題，有關可追溯性的範圍、定義與如何執行等等，已由昨日美國、紐西蘭、日本、歐盟及印度等國進行討論。隨後紐西蘭說明，昨日的討論主要係建議 FAO 來制定可追溯性的最佳作法，並定義其內容及工作標準，以避免重複。其原則包括：避免貿易障礙、簡易、透明及平等性。

主席表示本議題為漁業委員會所交付的，雖然沒有定有期限，但是還是希望能夠在此次會議能有進展，以下請秘書處說明未來之執行方向。秘書處表示，希望先進行進一步的專家諮商。

加拿大表示，希望澄清秘書處希望請專家諮商的可追溯性內容為何？此外，有關食品安全部份則不在此範圍內？有關可追溯性議題，除應反應打擊 IUU 部份外，有關技術援助的部份也是重點之一，但是焦點應放在貿易問題。主席表示將技術援助部份納入作日的討論結果。

巴西建議釐清程序問題，關於魚產品貿易議題是由漁業委員會討論？還是由本次委員會討論？主席表示二者皆可，秘書處進一步說明，本次會議的所有決定，將移由本年 7 月的漁業委員會討論，在漁業委員會產生的相關問題及本次會議的議題，議會移至下一屆魚產品次委員會討論。智利表示，本次委員會的結論送交漁業委員會備查？還是由漁業委員會核定？二者有相當的差異。主席表示，如果漁業委員會對於本次委員會的作法沒有意見，那我們就按照會議決議的方向進行。

最後主席表示，本議題結束討論，依據紐西蘭等國的討論結果，並將技術援助納入，作為本議題結論。

(續議程 8)：審議市場進入要求（文件：COFI:FT/XIII/2012/6）

主席表示延續昨（21）日討論，繼續請成員國發言。

冰島表示，市場進入的要求在國際貿易中是相當大膽的作為，眾多國家皆認為食品安全的監管是相當重要的，所以當要統一檢驗的方法時，必須考量監管與化驗間不協調一致之處，還有化驗分析結果的解讀存有不一致，希望這些存在的不一致，不會產生爭執。所以建議 FAO 分析各國的作法及標準，尋求一致性，並提供爭端調解的功能。主席表示有關爭端調解的機制，在 WTO 已有討論。冰島所提問題相當重要。

中國表示，關於市場進入議題，各國皆非常關注，中國也是，特別是魚產品出口國。建立市場進入的目的，主要係保護消費者，而此問題亦涉及到小型漁業問題，還有食品質量及安全問題。此外，市場進入部份也與環境與資源保護有關。另，市場進入與貿易障礙二者可能有高度相關，倘市場進入的標準設定過高，將會造成貿易障礙。所以建議目前所做的生態標籤、認證等等措施，應視為推廣並廣泛接受。

莫三比克表示，在國際貿易中，相關國際法律與國家的法律有相當的衝突，例如小型漁業為該國相當重要的產業，其魚產品也涉及到出口的問題，但是因為無法建立相當的追溯，所以在出口貿易經常會面臨問題，所以希望 FAO 能夠提供援助。

ICFA 表示，市場進入主要係涉及食品安全，所以供應鏈中包涵加工業也應納入管理，有關成員國日本在海嘯核災之後，建立了相當的措施以保障食品安全，目前魚產品也已經擺脫了受輻射污染的陰影。所以請求 FAO 協助日本讓其魚產品仍能在市場中存在。日本表示感謝。

秘書處總結，成員國皆支持 FAO 所作努力及支持有關魚產品安全、品質和可追蹤性的「食品法典」標準制定；此外，有關小型漁業的問題也是受到重視，水產養殖部份亦須關注。對於冰島所提各項檢驗標準及管控不一致

的問題是相當重要的，FAO 對此也正在進行研究，希望下次會議中可以介紹執行進展。

九、 議程 9：價值鏈分析與國際魚產品貿易（文件：COFI:FT/XIII/2012/7）

秘書處說明，國際魚產品貿易之價值鏈分析主要是針對小型漁業，分析整個價值鏈中價格和利潤的影響因素，以及各個利益相關方的利益分配。除捕撈漁業外，分析還將著眼於水產養殖和內陸漁業。研究將重點關注漁產品加工，比較未加工產品和加工產品出口創造價值的差異。該研究將針對 15 個國家開展案例研究，其中五個為工業國，其餘為發展中國家。工業國包括日本、加拿大、挪威、冰島和西班牙。冰島、挪威和西班牙的案例研究由其自行籌資。發展中國家包括洪都拉斯和秘魯（中美和南美洲）；烏干達、肯雅和加納（非洲）；柬埔寨、越南、泰國、孟加拉和馬爾代夫（亞洲）。建議討論方向如下：

- (一)提供各國價值鏈發展變化及其與國際市場關係的相關資訊；
- (二)提供漁業價值鏈研究中的國家經驗；
- (三)為糧農組織在價值鏈分析，特別是支持小規模經營者提高其在價值鏈中相對地位方面的未來工作提供指導。

西班牙表示 6 年前已進行相關研究，相關研究成果已公佈在網站上，分析包括在整個魚產品供應鏈中各階段的價格、成本等變動及相關利潤。冰島表示也有進行相關研究可以提供參考。

加拿大表示，該國的小型漁業分佈相當廣，其價值鏈的發展也相當複雜。小型漁業通常屬個人的產業，沒有大量資金投入，利潤不高也不穩定。已發展國家小型漁業與大型漁業的區別相當明顯，但是在加拿大則不易區分，與其他發展中國家相當類似。此外，零售價格波動極大，會因時間、區域不同而存有極大差異，所以有關價值鏈的分析，會是相當複雜的。另外，對於小型漁業的資料統計蒐集亦存有問題，不亦執行。

日本表示此研究的目的是提供指導的建議，特別是針對小型漁業，希望從小型貿易中得到利潤。提供日本相關的作法參考，1.日本當地的漁民的漁獲主要係提供當地市場及加工廠，但是在生產者和當地市場過加工廠之間，仍存在捐客，所以相當複雜，此為較為傳統的價值鏈網路，漁民利潤較低；2.目前因為網際網路方便，所以部份漁民之魚產品透過網路及快遞直接配送消費者，如此以避免中間商的哄抬，提高漁民之利潤較高；3.透過政府協調，以調節價格，保障生產者。

中國表示，價值鏈包括生產商、中間商及消費者，目前該國的重點是放在制定合理的價格，保障各環節合理適當的利潤，特別是小型漁業。小型漁

業抗風險的能力較低，所以對於價值鏈的研究應對於中間商的部份加以控制，以確保生產者降低風險。摩洛哥亦表示應降低中間商的存在，讓利潤回饋到生產者。

巴拿馬及毛利坦尼雅皆表示漁業為非常重要得經濟活動，有關價值鏈相關研究，最後應是提出建議，讓利潤回到生產者，而非中間商。此外，建議 FAO 這像研究應擴及到中美洲國家。

印度表示小型漁業因為規模小承受經營風險較高，在印度小型漁業若組織起來，就可以強大，如可以得到信貸、增加訊息與提高技術等等。

俄羅斯表示，價值鏈分析相當重要，尤其可以使漁業部門的工作提高效率，其中一個因素就是運輸的部份，在全球化下，魚產品透過不同的交通工具運輸。在俄羅斯有個問題，因為幅員廣闊，所以對於運輸的問題，通過一項規定，就是以海運通過北海運往歐洲、亞洲等，此相當有效的。

秘書處感謝各位成員國的建議，並表示將持續進行研究。

十、 議程 10：《瀕危野生動植物種國際貿易公約》相關活動的最新情況（文件：COFI:FT/XIII/2012/8）

請秘書處說明本議題，自 2010 年魚產品貿易次委員會第十二屆會議以來，糧農組織漁業及水產養殖部所開展的與《瀕危野生動植物種國際貿易公約》（《瀕貿公約》）有關活動的最新進展情況。這些活動包括就商業性開發水生物種列入附錄 II 的標準問題，闡明糧農組織和《瀕貿公約》秘書處的不同立場，以及為提高列入名錄物種管理能力而開展的工作。討論重點包括：

- (一) 就糧農組織有關應用《瀕貿公約》標準把商業性開發水生物種納入《瀕貿公約》附錄II的立場提出意見，並考慮應由糧農組織和個體成員採取哪些其他行動，以確保對標準應用問題的審議取得令人滿意的結果。
- (二) 研究新提出的《糧農組織與瀕貿公約合作備忘錄》（《合作備忘錄》），同時考慮到《瀕貿公約》與糧農組織漁業及水產養殖部之間業已存在的《商業化利用水生物種瞭解備忘錄》仍然有效、不受影響。
- (三) 討論魚產品貿易次委員會在現行《瞭解備忘錄》框架內有關《瀕貿公約》的下一步工作重點。為此，分委員會可研究糧農組織理事會2011年11月會議（相關資訊另行提供）有關糧農組織對《瀕貿公約》相關活動供資情況的會議結果。目前，漁業及水產養殖部過去六年所開展的與《瀕貿公約》有關的幾乎所有工作，均由日本政府通過《瀕貿公約》信託基金專案提供資金。

主席請成員國表示意見。

美國表示，對於海洋物種列入瀕危名單的工作希望持續進行，對於 CITES 附錄二的部份，建議應考慮不同的意見，此外美國認為附錄一也需關注。有關瞭解備忘錄部份，建議次委員會在本次會議無須投入太多時間討論。支持 FAO 與 CITES 相關的工作。

挪威亦支持 FAO 與 CITES 相關活動，建議 FAO 應掌握是否列入 CITES 附錄的名單，對於列入附錄名單的標準，建議由專家討論。希望 FAO 定期回顧在 CITES 公約附錄所列入之物種。

奈及利亞表示，對於 CITES 所列入附錄之物種，並沒考慮產業與貿易的問題，建議 CITES 應諮詢 FAO，此外對於列入附錄的物種應有科學並全面的評估，不可片面宣佈某種資源量已枯竭，應有充分的調查。特別是鮪旗魚類資源，目前受到鮪類區域性漁業管理組織管轄，所以更建議針對鮪旗魚類應諮詢該等組織並共同合作，以有客觀分析。

加拿大表示，CITES 對於物種列入附錄的決定是相當重要的，但是必須建立在透明化、科學評估之基礎。此外，會繼續參與 CITES 擬定有關列入附錄標準制定的相關工作。針對漁業管理，更應建立在科學基礎上。

中國表示，首先支持 FAO 專家組解釋列入 CITES 附錄二標準，目前亞洲養殖魚種種類相當多，所以建議 FAO 專家組增列亞洲組來專責處理。現在有一些瀕危物種已列入附錄二，但現行可以養殖該等物種，所以當列入附錄二時，便會影響該等養殖的魚產品貿易（例如海參），此問題必須解決。

日本表示其的立場相當簡單，堅決支持 FAO 開展與 CITES 合作此項工作，針對 CITES 公約附錄二名單部份，我們認為對這些物種有必要以科學深入研究，並且需要探討管理與技術的方法。如一些區域的漁業管理組織以引入漁獲物認證的系統，所以這些區域性漁業管理組織管轄的魚種，是否有必要列入 CITES 附錄名單之中？這是值得探討的。不同的區域性漁業管理組織對於資源的養護皆有其作法，特別是在太平洋部份，就有兩個組織管理鮪旗魚資源，即 WCPFC 及 IATTC，對於管理的措施有必要協調其一致性。此外，有關鯊魚的議題，曾經在 CITES 會議討論，CITES 所討論的已經超過資源管理與養護的範疇，所以 FAO 有必要支援 CITES 以瞭解資源管理。對於漁業資源的管理最優化架構為何？相信不是靠貿易手段即可處理。對於加拿大所提的立場與原則，日本表示認同。烏拉圭發言表示支持日本的觀點。

印度表示，FAO 與 CITES 都同意在資源養護尚須做出努力，但是在列入 CITES 附錄二的標準部份，我們需審慎考量，並非拒絕 CITES 定期審查物種狀態，而是同時要考量漁民的生計。在印度，漁業資源管理由漁業部門負責，但是 CITES 議題則由環境部負責，所以必須要解決如何讓漁業資源

養護管理的觀點與保育的觀點相互融入，這是相當重要的。對於列入 CITES 附錄一及附錄二的物種，應該有一定的科學根據。

歐盟表示支持 FAO 與 CITES 合作，對於列入 CITES 附錄二的標準應有廣泛的科學討論；此外，同意 FAO 與 CITES 簽署瞭解備忘錄 (MoU)。有關鯊魚行動計畫部份，FAO 應積極要求締約國制訂其國家行動計畫，建議應以問卷讓締約國填寫回報，並在會議中討論進展。

納米比亞表示，該國以開始推動鯊魚行動計畫，並認為當任何一種漁業資源列入 CITES 附錄中，都會影響漁業發展，所以必須審慎處理。

俄羅斯認為列入 CITES 附錄的物種名單，應是由 FAO 草擬議定後，送交 CITES 列入附錄。秘魯表示支持俄羅斯看法，但 FAO 草擬名單時，應有科學根據。

挪威表示，有關評估關於商業性開發水生物種 CITES 附錄一和附錄二修改建議的糧農組織專家諮詢組所需經費，建議由 FAO 框列。

主席請秘書處回應剛剛討論，秘書處表示成員國皆支持 FAO 與 CITES 合作，也支持簽署瞭解備忘錄，絕大部分發言的成員國皆認可對於列入 CITES 附錄二的標準應再討論。此外，有關商業性魚種之資源狀況的審查，將會彙整相關的科學資訊。對於 CITES 涉及到鯊魚議題的部份，有關鯊魚行動計畫的問卷已經寄送給 26 個捕鯊國家。此外，秘書處表示有關 CITES 專家諮詢組所需經費，因為 FAO 經費有限且並無編列，所以本年度仍需靠日本的經費支持。

日本表示，希望提供有關 CITES 專家諮詢組所需資金上的援助，今年年底或明年初可能會有 CITES 附錄二名單討論的議題，所以這是必要，如果有必要擴大專家諮詢組的規模，那經費是會增加的。日本認為應該儘早開始這個程序，並請潛在的捐款方考量捐助的問題。

十一、 議程 11：監督對《糧農組織負責任漁業行為守則》第 11 條的落實工作（文件：COFI:FT/XIII/2012/9）

秘書處說明，魚產品貿易次委員會第十二屆會議同意監督和落實《負責任漁業行為守則》（《守則》）第 11 條“捕撈後活動和貿易”。分委員會還同意，專門針對貿易的問卷調查應當每兩年實施一次，與對《守則》的總體落實工作進行監督的問卷調查交替進行。討論重點包括如下：

(一) 就如何更廣泛落實第 11 條提出指導意見；

(二) 特別注意以下措施的實施率較低：

1. 評估和減少捕撈後損失；

2. 評價和監督魚和漁業產品(進出口)貿易對糧食安全的影響；

(三) 注意著重說明了非法、未報告、不受管制捕魚的管理和可追溯性要求是新出現的問題；

(四) 就如何提高問卷回復率提出指導意見。

主席請成員國表示意見。

智利表示，資料顯示 15 個成員國和 1 個成員組織（歐盟以 27 個成員國名義回復）的回復，為糧農組織成員國的 22%，所以問卷的回覆率非常低，有打擊 FAO 執行本項工作信心的情形；此外，問卷應詳細填寫，而非僅作發送的動作。摩洛哥表示，可以透過延長回收期限，或已電子檔案填寫的方式處理，以提高問卷回收率。歐盟亦表示關切問卷得回覆率過低的問題。

美國表示，感謝秘書處提供問卷，考量目前小型漁業、打擊 IUU 及可追溯性議題皆是相當重要，未來應以經濟的角度來考量減少捕撈後損失和拋棄的損失。

莫三比克表示，該國並沒有捕撈後丟棄的問題，其餘非食用的部份，以原物料得方式處理，如此可以降低資源浪費。

印度表示，問卷的回收率過低，似乎無法從中的到任何分析的結論，所以是否有方法可以解決。此外，為何《負責任漁業行為守則》第 11 條「捕撈後活動和貿易」落實的狀況較低，主要是受到食品安全和經濟的考量影響。

加拿大表示，有關提高問卷回收率，同意摩洛哥的意見。對於捕撈後損失的議題，建議應更進一步的瞭解。

中國表示，有關問卷回收率過低的問題，例如一些問題是某些國家沒有發生的情況，所以不知道如何填寫；此外，部份問題會涉及到資料蒐集與分析，需要長時間處理。最後可能導致沒有繳交問卷。建議 FAO 應持續辦理，但是在問卷的設計上應再規劃，盡量是原則性問題，必須要有解釋說明的部份，以利填寫。

主席初步總結，成員國有普遍的共識，即問卷的回覆率過低，所以之後的分析就沒有任何意義了，建議各方應努力填寫回送，以提高回收率。呼籲成員國應對於問卷予以答覆，並請秘書處調整問卷。秘書處再次呼籲成員國能提供實際的統計數據，並確實回覆問卷，如此才能瞭解各成員國的執行上的問題。

2 月 23 日（會議自 9 時開始）

十二、 議程 12：漁業委員會魚產品貿易次委員會作為商品共同基金的國際商品

機構（文件：COFI:FT/XIII/2012/10）

請秘書處說明，魚產品貿易次委員會於 1991 年 2 月被商品共同基金指定為漁業產品國際商品機構。魚產品貿易次委員會以這樣的身份向商品共同基金提交漁業商品專案申請。次委會為商品共同基金所批准的項目的監督機構。本議題討論重點如下：

(一) 評估正在開展的商品共同基金專案，並批准以下申請商品共同基金資助的專案建議書：

1. 「印尼、泰國和印度海水養殖海鱸（Cobia）產品多樣化和市場行銷」專案，金額114萬美元。專案執行機構：亞太區域漁產品銷售資訊及技術諮詢服務政府間組織（INFOFISH）；
2. 「改進拉丁美洲捕撈和養殖漁業社區婦女的魚產品加工和市場行銷」專案，金額217萬美元。專案執行機構：海洋技術中心（CETMAR）；
3. 「支援象牙海岸和多哥婦女從事增加附加價值和小規模漁業企業活動」專案，金額310萬美元。專案執行機構：非洲漁產品行銷資訊及合作服務政府間組織（INFOPECHE）。

(二) 建議其他途徑以確認已批准項目可能的共同資金來源。

(三) 建議提出進一步專案設想或資料以資審議。

主席請成員國表示意見。

烏拉圭表示，商品共同基金應該是非常積極的支持「改進拉丁美洲捕撈和養殖漁業社區婦女的魚產品加工和市場行銷」這像計畫，但是希望能夠擴大計畫實施的範圍，目前僅有尼加拉瓜、宏都拉斯及厄瓜多爾三個國家。

挪威表示有關「印尼、泰國和印度海水養殖海鱸產品多樣化和市場行銷」計畫，希望也能將越南納入，還有養殖所需的用藥與飼料都應該考慮其標準是否符合當地法令要求。建議商品共基金應該評估這些計畫執行後對當地的影響，才能瞭解計畫的實際成果。

蘇丹表示，這些計畫主要是要提高產量、增加漁民收入，所以相當重要。巴西及秘魯皆肯定對於開發中國家進行能力建構的重要性，支持這些計畫，但秘魯表示，對於為何選取這些國家執行計畫？計畫執行的細節應該針對計畫涵蓋國家的實際狀況而有所考慮與說明。

中國表示，海鱸目前以中國的產量最大，主要南部以箱網進行養殖，現在所面臨的問題主要是飼料是以小型下雜魚為主，但是並沒有人工飼料的生產，此會影響養殖成本；另一個問題就是市場的問題，因為海鱸成長快、體

型大，較不符合市場的需要，就養殖者的利益並不是非常豐厚。此外，有關魚產品的加工部份，因為魚產品加工對於衛生與環境有相當的影響，所以加工廠不見得會被社區所接受。而魚產品加工是會與漁獲物之廢棄物再利用有關，如果加工廠的衛生無法改善，那也無法推廣的。

阿根廷原則上是不反對這三個計畫，只是希望瞭解這三個計畫所涉及的國家是如何選取出來的？還有現在執行計畫的進展與成果，歐盟表示基本上是同意這三個計畫。

塞內加爾希望能夠得到蝦類養殖技術及提高養殖的品質相關援助。

厄瓜多爾認為促進婦女參與漁業是相當重要的，婦女在魚產品加工的工作投入將有助於提高家庭收入，這是相當不錯得。同意其他成員代表認為應該在計畫執行後的進展必須評估。

印度表示，前次魚產品次委員會對於核准專案使用「accept」，當時印度建議用「endorse」不被接受，本次會議文件中對於核准使用「approve」，所以到底核准是要用哪一個字？這些專案由本次委員會核准？還是最後要送到商品共同基金作最後核定？

秘書處對於成員國問題作一說明，這三個計畫執行單位為 INFOFISH、CETMAR 及 INFOPECHE 皆為國際組織，對於所提出的計畫都有一定的程序審核，所以這些計畫所選定的實施國家皆是經過該等組織授權核准。此外，有關計畫核准的程序，計畫之資金係來自商品共同基金，但是該基金並沒有能力去審核這些計畫，所以就授權讓魚產品貿易次委員會來審查，之後再將這些計畫送商品共同基金核准。另，越南之所以無法納入「印尼、泰國和印度海水養殖海鱸（Cobia）產品多樣化和市場行銷」專案計畫，是因為越南並非 INFOFISH 會員。主席最後表示，成員國的意見將會交由秘書處處理。

十三、 議程 13：其他事項

主席表示因沒有任何提案與建議，本議程結束，進入下一個議程。

十四、 議程 14：第十四屆會議日期和地點

主席表示目前並沒有任何官方表示願意舉辦第 14 屆會議，所以將會將此議題提送本（2012）年漁業委員會處理。秘書處說明本次會議報告（議程 15）將於明（24）日下午 3 點進行。

2 月 24 日（會議自 3 時開始）

十五、 議程 15：通過報告

成員國對於起草委員所草擬之會議報告並無太多意見，會議迅速通過報告，會議於本（24）日下午 5 時 30 分結束。

參、心得與建議

一、本（13）屆魚產品貿易次委員會之重要結果包括：

(一)成員國達成共識，要求 FAO 發展一系列研究，包括：區域貿易協定對小規模漁業及農村社區造成的影響（包含社會層面影響）、區域貿易發展情形、南美白對蝦養殖發展情況及其營銷問題、觀賞魚貿易、漁業服務、魚產品貿易中的金融工具（包括食用商品期貨市場），以及低價值物種區域貿易。

(二)對於公營和私營生態標籤計畫是否與「糧農組織海洋及內陸捕撈漁業魚和漁產品生態標籤準則」相一致所制定糧農組織評估架構部份，會中大部分成員國認為海洋和內陸漁業的準則有很多指標是相同的，同意將內陸漁業納入並適用於海洋捕撈和內陸漁業共同的評估架構。

(三)成員國認為，有關可追溯性最佳實踐原則之分析架構包括：「避免對貿易造成不必要的障礙」、「等效性」、「以風險考量為基礎」及「簡潔透明」。此外，魚產品安全亦與可追溯性機制有關，將涉及國際食品法典委員會（Codex Alimentarius Commission, CAC）之「食品法典（Codex Alimentarius）」標準制定；另，部分成員國認為目前許多國家對於產品檢驗方法、標準及管控做法不一致，故建議 FAO 分析各國的作法與標準，尋求一致性，並提供爭端調解的功能。

(四)有關市場進入要求（market access requirements）部份，成員國強調應對發展中國家小規模漁業和水產養殖業提供技術援助，以改善其市場進入。

(五)成員國認為，建立合作社或類似集體組織等方式，是有助於提高小規模經營者及零散經營者在價格鏈（value chain）結構中的競爭力，並有助於獲得一系列的服務，例如冷凍設施、信貸、漁船漁具、飼料等。

(六)成員國一致同意支持 FAO 與瀕危野生動植物種國際貿易公約（CITES）之間的合作備忘錄持續發展。此外，部分成員國強調鮪旗魚類資源目前皆由區域性漁業管理組織管轄，且已實施漁獲物認證制度，是否有必要列入 CITES 附錄加以管理？是必須要考量的。另，成員國歡迎糧農組織對於「鯊魚養護和管理國際行動計畫」實施情形進行審查。


二、有關魚產品貿易次委員會近幾次會議所討論議題皆與魚產品之進出口貿易相關市場進入機制有關，例如生態標籤、可追溯性機制、食品安全等重要議題，有必要持續派員掌握會議資訊，以利國內相關管理措施與國際之趨勢接軌。

三、 有關小型漁業（包含內陸、海洋及養殖等產業）對於未來市場進入等相關措施，必須考量其產業規模及產銷結構之特性，並考量其各項有關可追溯性機制、食品安全等管制特性，以制定合理之魚產品行銷結構之管制點，並進而制定相關管控流程及所需之證明文件。

肆、附件：會議文件

- 一、 會議議程和安排 (COFI:FT/XIII/2012/1)
- 二、 糧農組織與貿易相關活動的情況報告 (COFI:FT/XIII/2012/2)
- 三、 魚產品貿易近期發展情況 (COFI:FT/XIII/2012/3)
- 四、 制定糧農組織評價框架專家磋商成果 (COFI:FT/XIII/2012/4)
- 五、 可追溯性最佳實踐準則 (COFI:FT/XIII/2012/5)
- 六、 審議市場進入要求(COFI:FT/XIII/2012/6)
- 七、 價值鏈分析與國際魚產品貿易(COFI:FT/XIII/2012/7)
- 八、 《瀕危野生動植物種國際貿易公約》相關活動的最新情況 (COFI:FT/XIII/2012/8)
- 九、 監督對《糧農組織負責任漁業行為守則》第 11 條的落實工作 (COFI:FT/XIII/2012/9)
- 十、 漁業委員會魚產品貿易次委員會作為商品共同基金的國際商品機構 (COFI:FT/XIII/2012/10)

October 2011

	منظمة الأغذية والزراعة للأمم المتحدة	联合国 粮食及 农业组织	Food and Agriculture Organization of the United Nations	Organisation des Nations Unies pour l'alimentation et l'agriculture	Продовольственная и сельскохозяйственная организация Объединенных Наций	Organización de las Naciones Unidas para la Alimentación y la Agricultura
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COMMITTEE ON FISHERIES


SUB-COMMITTEE ON FISH TRADE
Thirteenth Session
Hyderabad, India, 20-24 February 2012
Provisional List of Documents

COFI:FT/XIII/2012/1	Provisional Agenda and Timetable
COFI:FT/XIII/2012/2	Report on trade-related fisheries activities in FAO
COFI:FT/XIII/2012/3	Recent developments in fish trade
COFI:FT/XIII/2012/4	Results of the Expert Consultation to develop an FAO evaluation framework
COFI:FT/XIII/2012/5	Traceability best practice guidelines
COFI:FT/XIII/2012/6	Review of market access requirements
COFI:FT/XIII/2012/7	Value-chain analysis and international fish trade
COFI:FT/XIII/2012/8	Update on CITES related activities
COFI:FT/XIII/2012/9	Monitoring implementation of article 11 of the Code of Conduct for Responsible Fisheries (CCRF)

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COFI:FT/XIII/2012/10	COFI Sub-Committee on Fish Trade as International Commodity Body for the Common Fund for Commodities
COFI:FT/XIII/2012/Inf.1	Provisional list of documents
COFI:FT/XIII/2012/Inf.2	Provisional list of delegates and participants
COFI:FT/XIII/2012/Inf.3	Text of opening address
COFI:FT/XIII/2012/Inf.4	Report of the Twelfth Session of the COFI Sub-Committee on Fish Trade (R939), Buenos Aires, Argentina, 26-30 April 2010
COFI:FT/XIII/2012/Inf.5	Report of the Fifth Session of the COFI Sub-Committee on Aquaculture (R950), Phuket, Thailand, 27 September - 1 October 2010
COFI:FT/XIII/2012/Inf.6	Report of the Expert Consultation to develop an FAO evaluation framework to assess the conformity of public and private ecolabelling schemes with the FAO guidelines for the ecolabelling of fish and fishery products from marine capture fisheries (R958), Rome, 24-26 November 2010
COFI:FT/XIII/2012/Inf.7	Statement of competence and voting rights by the European Union and its Member States

October 2011

	منظمة الأغذية والزراعة للأمم المتحدة	联合国 粮食及 农业组织	Food and Agriculture Organization of the United Nations	Organisation des Nations Unies pour l'alimentation et l'agriculture	Продовольственная и сельскохозяйственная организация Объединенных Наций	Organización de las Naciones Unidas para la Alimentación y la Agricultura
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COMMITTEE ON FISHERIES

SUB-COMMITTEE ON FISH TRADE

Thirteenth Session

Hyderabad, India, 20-24 February 2012

Provisional Agenda and Time Table

Monday 20 February 2012

Morning 0800 hrs

Registration

Morning 0930 hrs

1. Opening of the Session
2. Election of the Chairperson, Vice-Chairperson and Rapporteur *for decision*
3. Adoption of the Agenda and arrangements for the Session
(COFI:FT/XIII/2012/1 and COFI:FT/XIII/2012/Inf.1) *for decision*
4. Report on trade-related activities in FAO
(COFI:FT/XIII/2012/2) *for information*

Afternoon 1400 - 1700 hrs

5. Recent developments in fish trade
(COFI:FT/XIII/2012/3) *for information and comments*

Tuesday 21 February 2012

Morning 0900 hrs

6. Results of the Expert Consultation to develop an FAO Evaluation Framework (COFI:FT/XIII/2012/4 and COFI:FT/XIII/2012/Inf.6) *for decision*

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7. Traceability best practice guidelines (COFI:FT/XIII/2012/5) *for decision*

Afternoon 1400 - 1700 hrs

8. Review of market access requirements (COFI:FT/XIII/2012/6) *for decision*
9. Value-chain analysis and international fish trade (COFI:FT/XIII/2012/7) *for information*

Wednesday 22 February 2012

Morning 0900 hrs

10. Update on CITES related activities (COFI:FT/XIII/2012/8) *for decision*

Afternoon 1400 - 1700 hrs

11. Monitoring implementation of article 11 of the Code of Conduct for Responsible Fisheries (CCRF) (COFI:FT/XIII/2012/9) *for decision*

Thursday 23 February 2012

Morning 0900 hrs

12. COFI Sub-Committee on Fish Trade as International Commodity Body for the Common Fund for Commodities (COFI:FT/XIII/2012/10) *for decision*
13. Any other matters
14. Date and place of the Fourteenth Session *for decision*

Friday 24 February 2012

Morning


Free

Afternoon 1400 hrs

15. Adoption of the Report

November 2011

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	منظمة الأغذية والزراعة للأمم المتحدة	联合国 粮食及 农业组织	Food and Agriculture Organization of the United Nations	Organisation des Nations Unies pour l'alimentation et l'agriculture	Продовольственная и сельскохозяйственная организация Объединенных Наций	Organización de las Naciones Unidas para la Alimentación y la Agricultura
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COMMITTEE ON FISHERIES

SUB-COMMITTEE ON FISH TRADE

Thirteenth Session

Hyderabad, India, 20-24 February 2012

Report on trade-related fisheries activities in FAO

Executive Summary

This document presents a short overview of selected activities carried out by FAO of relevance for international fish trade. The majority of activities are carried out by the Fisheries and Aquaculture Department on its own, or in cooperation with other FAO units, such as the Legal Office, the Economic and Social Department and with other relevant institutions.

The Sub-Committee is invited to:

1. Comment on FAO's trade-related activities;
2. Inform of relevant national and intra-regional experience;
3. Provide guidance for FAO's further work on trade-related activities, in particular on capacity-building for developing countries;
4. Take into account the methodological change in collection of merchandise trade statistics and to promote the change in the recording of landings abroad with the respective administrations;
5. Note the background to, and progress achieved in the revision process of the Harmonized System (HS) classification and the collaboration with the World Customs Organization (WCO), through a new FAO proposal for HS 2017; and
6. Provide further improvements to the HS code for fish and fishery products and species to be included in the HS 2017 for inclusion in the FAO proposal for WCO consideration.

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BACKGROUND

1. FAO's mandate is to raise levels of nutrition, improve agricultural productivity¹, better the lives of rural populations and contribute to the growth of the world economy. To these ends, FAO aims to foster international trade in food commodities, including fish and fishery products. In addition to its contribution to economic activity, employment and as a generator of foreign exchange, fish trade also provides direct nutritional benefits through the increased consumption of nutrients essential to human health and development.
2. Fish and fishery products are widely traded with close to 40 percent entering international markets. Access to global markets plays a fundamental role for producers and exporters, not the least for developing countries, which represent 50 percent in value of all exports. The impact of trade and markets goes beyond the part entering the international supply chain as there are also strong interactions with the domestic and regional markets, including for un-traded products.

FAO'S ACTIVITIES RELATED TO INTERNATIONAL FISH TRADE

3. FAO's trade-related activities of relevance for fisheries are primarily carried out in the Fisheries and Aquaculture Department (FI). The Legal Office (LEG) undertakes work on international instruments and on national legislation in relation to fish and fishery products. The Economic and Social Development Department (ES) provides analysis and capacity building activities on food commodity trade, with the provision of specific inputs on fisheries issues by FI. An example of the cooperation between the FI and ES departments is the publication of the twice yearly FAO Food Outlook: Global Market Analysis.
4. The growing role of aquaculture in supply and trade has led to an increased focus of FAO's work on aspects related to aquaculture products. The impact of the aquaculture sector's growing role in supply, demand and price formation will be the subject of future studies. During the 2010-11 biennium, there was a stronger integration of FAO's activities in aquaculture and trade. Trade and marketing aspects were given a more visible role in aquaculture development and policy considerations. Likewise, the cooperation between FAO's two Sub-Committees on fish trade and aquaculture and their secretariats, has been strengthened.
5. The improved integration of trade and marketing issues within FAO's aquaculture work was visible in the Global Conference on Aquaculture in September 2010, where market access, quality and safety issues, as well as consumer needs and trade, were given dedicated sessions. The conference was jointly organized by FAO, the Network of Aquaculture Centres in Asia-Pacific (NACA) and the Government of Thailand, and attended by 700 delegates.
6. FAO is initiating the development of aquaculture indicators (market shares, concentration ratios, revealed comparative advantage indices, etc.) to monitor the performance of international trade of fish and fishery products. The aim is to develop indicators as standardized tools to help assess and monitor the status and trends in international trade, so as to provide guidance to aquaculture development from the global, regional as well as country perspectives. The study is an extension of FAO's on-going analysis of species composition of countries' aquaculture production and is expected to start in the biennium of 2012-2013.
7. FAO will conduct value-chain studies on aquaculture in selected African countries, with funding from the Swedish International Development Agency (SIDA) financed project for Africa. The studies are expected to identify existing or potential constraints in the value-chain of fish production and trade that affect the competitiveness of aquaculture products produced in the region. This will include an examination of how international trade between African and non-African countries, as well as within the African region, can promote aquaculture development in Africa.
8. FAO continues to provide marketing and trade specific assistance to other organizations and regional fisheries organizations. An example was FAO's contribution to the development of the

¹ Agriculture includes fisheries and forestry.

General Fisheries Commission for the Mediterranean's (GFCM) strategy for Marketing and Promotion of Mediterranean Aquaculture.

9. FAO's work on the development of fish price indices continued throughout the 2010-2011 biennium in cooperation with several partners, including the Norwegian Seafood Export Council, the University of Stavanger and the Pontificia Universidad Católica del Perú. The index is based on traded import values in key markets. Its coverage and representativeness is now being expanded to include several developing country markets. The European Commission, the University of Portsmouth and the Norwegian University of Life Sciences also provided valuable inputs to this work. The FAO Fish Price Index is regularly published in FAO publications, such as GLOBEFISH Highlights and the FAO Food Outlook.

10. The modeling of future demand and supply for fish and fish products, has now been integrated in Organisation for Economic Co-operation and Development (OECD)-FAO's work on agricultural projections. The results were published in June 2011, in the OECD-FAO Agricultural Outlook for 2011-2020. This is the first time fisheries have been included in overall food projections by FAO and OECD and is the result of the excellent cooperation between OECD and FAO, and between FAO's FI and ES departments. The model treats fish and fish products as a separate sector, but the results are integrated in the overall projections. The aim is to arrive at a fully integrated and dynamic model. The results are important, not only for the fisheries sector overall, but for the linkages and interdependencies with the other food sectors, in particular for feed and terrestrial animal production.

11. The annual Agricultural Outlook report is prepared jointly by OECD and FAO, bringing together the commodity, policy and country expertise of both Organizations with inputs from member countries. The report provides an updated annual assessment of the medium-term development of global commodity markets, using the jointly developed modeling system Aglink-Cosimo, to generate a consistent set of commodity projections. The report contains projections of production, consumption, stocks, trade and prices for different agricultural products over a ten year horizon. The market assessments are contingent on a set of underlying assumptions regarding macroeconomic factors and the stability of domestic agricultural and trade policies. As such, the Outlook presents an indication of the evolution of global agricultural markets over the next decade and provides a baseline for further analysis of alternative economic or policy assumptions.

12. FAO is collaborating with the International Food Policy Research Institute (IFPRI), the World Bank, the University of Arkansas and the World Fish Center (WFC) for the revision of the IFPRI/WFC publication "Fish 2020" (Delgado et al; 2003) and of its modelling system. The aim is to obtain an updated global, forward-looking perspective until 2030, with a major focus on aquaculture.

13. In the 2010-2011 biennium, FAO continued its activities of capacity-building on international fish trade and food safety issues for developing and transition countries, in particular as they relate to the World Trade Organization (WTO) framework of global trade rules and the ongoing WTO negotiations of the Doha Development Agenda. In this period, a number of regional workshops on relevant fish trade issues were organized in cooperation with the WTO, OECD, local fishery industry associations, Non-Governmental Organizations (NGOs), as well as with the FISH INFONetwork.

14. FAO has, upon request, provided technical support to the ongoing WTO fisheries subsidies negotiations and has participated as an observer in relevant meetings. This has included the provision of informal briefing sessions to WTO delegates on technical issues specific to the fisheries sector.

15. In October 2011, a workshop was jointly organized with the China Society of Fisheries and INFOYU on the future impact on world markets from changes in China's demand, supply and consumption patterns. Key Chinese government representatives, academics and industry representatives took part in the workshop together with FAO staff and a representative of the OECD secretariat. Given China's prominent role in production and trade, this work will continue.

16. The growing role of certification and labels for ecological or environmental purposes has resulted in an increased number of requests for assistance. This is in addition to the work mandated by the COFI:FT and COFI on this topic, including the development of a benchmarking framework to assess the conformity of ecolabelling schemes with the FAO guidelines on certification.

17. In 2010, FAO published a review of the impact on small-scale fisheries from the introduction of sustainability criteria and ecolabels². While recognizing the many potential benefits from globalization, the report focused on whether such criteria had in fact impeded the sector from reaching these benefits. The study suggests that, except for a few cases, concerns about small-scale fisheries having been negatively impacted by a requirement to demonstrate environmental sustainability may be exaggerated or unfounded. On the whole, the ability to comply with health and hygiene regulations, are much more important for gaining access to markets.

18. FAO continued to endeavour to foster alliances with other organizations working on issues of relevance to international fish trade, in particular in its capacity-building activities. This includes closer cooperation with academia on trade and marketing related issues, and through international networks of technologists, fish inspectors, fisheries and trade economists, as well as with fisheries industry associations.

19. Several advanced level courses were organized with the International Centre for Advanced Mediterranean Agronomic Studies (CIHEAM) through the Mediterranean Agronomic Institute of Zaragoza (IAMZ) and with support from the Spanish Ministry of the Environment and Rural and Marine Affairs (MARD). In 2011, FAO was the joint organizer of a course on fisheries marketing and trade at the Universidad Internacional de Menéndez Pelayo (UIMP) in Santander, Spain, in cooperation with MARD and the Fundación Alfonso Martín Escudero. In 2011, FAO also participated in a conference for small-scale operators in cooperation with the regional government of the autonomous region of Galicia, Spain. In these conferences and courses, FAO provided technical inputs and facilitated the participation of developing countries, while the major support was received from national, regional and local institutions. This type of cooperation is beneficial for all parties, but subject to availability of external funding.

20. In the international debate on fisheries issues and trade, there is increasing emphasis on the impact on nutrition. The final report of the expert consultation jointly organized by FAO and WHO in 2010 on the risks and benefits from fish consumption³, has played an important contribution to this debate.

SELECTED ONGOING PROJECTS

21. The majority of FAO's projects are carried out through the Technical Cooperation Programme (TCP), wherein FAO provides technical assistance to Members. Between ten and twenty percent of FAO projects are funded by the Regular Programme budget through the FAO TCP and the Special Programme for Food Security (SPFS). The remainder is funded from extra-budgetary resources, such as the Government Cooperative Programme (GCP), Unilateral Trust Fund (UTF) or Trust Funds for emergency assistance.

22. Gender issues are receiving increased attention in FAO projects, both in dedicated activities and as an integrated part of a project, included already in the design phase.

23. With the emphasis on decentralization within FAO, the network of regional and sub-regional fisheries officers has been strengthened considerably. This increases the impact of FAO's programmes and activities in the field and brings FAO physically closer to member country administrations and priorities. It also raises the need for improved communication between FAO headquarters and FAO staff in regional-, sub-regional and FAO country offices. This is particularly important for fisheries, considering the limited availability of FAO fisheries staff in any regional or sub-regional office and with fish post-harvest fisheries being only one of many important and relevant fisheries issues. The growing emphasis on fish trade in the international arena and in national policies, has facilitated the work on highlighting the importance of trade and markets and the many benefits derived therefrom.

² FAO Fisheries and Aquaculture Circular No.1052.

³ FAO Fisheries and Aquaculture Report No.978.

24. In the FAO planning and priority setting process, the FAO Regional conferences have now taken on an important role. As most conferences will concentrate on issues related to agriculture, it is important to recall that the setting of regional priorities also for fisheries could prove important for regional cooperation and project implementation, facilitating the effective use of scarce resources.
25. Among projects or activities of relevance for fish trade or marketing carried out by FAO's regional and sub-regional offices, the following can be noted:
- A regional TCP has been initiated in East Africa on fish trade for seven Intergovernmental Authority on Development (IGAD) member countries. The purpose is to increase the region's competitiveness, improve access to regional markets and to encourage aquaculture production for domestic and regional food security purposes.
 - In the South Pacific, FAO has contributed to the development of regional guidelines for the packing of live aquatic animals to be traded; organization of national workshops on post harvest issues and on value-added products; and the annual FAO Roundtable Meeting for Pacific Island countries on WTO and Regional Trade Agreements and Provisions. In this region, countries are assessing the potential for aquaculture to contribute towards domestic and regional food security.
 - In the Near East, a regional multi-stakeholder seminar "Fish Trade and Illegal, Unreported and Unregulated Fishing in the Near East and North Africa: Implication of Certification and Traceability Schemes for the Region" was organized in Morocco in 2010 in partnership with INFOSAMAK. The seminar provided 75 participants from 22 countries with practical information on catch documentation and traceability schemes, highlighting the need to improve cooperation and regional responses to IUU fishing in the Near East and North Africa.
 - In Central and Eastern Europe, work has included capacity-building on certification of fish products to foreign markets.
 - In the Southern European Countries (SEC) region, marketing studies have been carried out in a number of countries to assess the potential for domestic aquaculture production.

THE FISH INFONETWORK AND GLOBEFISH⁴

26. The FISH INFONetwork (FIN) is a regional service provider focusing on fisheries and aquaculture post-harvest sector. In addition to dissemination of relevant information, the FIN undertakes project work, trade-related capacity-building, improve industry competitiveness in international markets and the organization of national, regional and international workshops and conferences. FAO is mandated to coordinate and strengthen the FIN members' capacity to deliver marketing information and technical services, with FAO providing technical assistance and some support to relevant activities. GLOBEFISH is an integral part of the FIN and performs a coordinating role in the network activities, although the regional services remain intergovernmental bodies, independent from FAO.

27. GLOBEFISH is located in the FAO Fisheries and Aquaculture Department and is jointly financed by FAO and GLOBEFISH Partners, which consist of national government administrations and specialized agencies dealing with fish marketing and trade. GLOBEFISH is responsible for information dissemination and analysis on international fish marketing and trade, and produces a number of publications on trend analysis (GLOBEFISH Highlights), price information (European Fish Price Report), data time series (Commodity Updates) and market studies (GLOBEFISH Research Programme).

28. The activities of the FIN and GLOBEFISH provide a complementary platform for FAO to interact with value-chain stakeholders, in particular industry associations in developing countries. FAO is grateful for the support to GLOBEFISH, without which the production of the numerous GLOBEFISH publications would not be possible.

⁴ www.globefish.org

LEGAL OFFICE

29. The FAO Legal Office (LEG) works on a number of issues of relevance for fisheries trade, in particular in relation to international instruments and their incorporation into national legislation. This includes food safety legislation addressing WTO Agreement on the Application of Sanitary and Phytosanitary Measures (SPS) and Agreement on Technical Barriers to Trade (TBT) requirements. LEG also assists in capacity-building on WTO rules on fisheries subsidies and tariff liberalization. The contribution of LEG towards FI activities is important and provides FAO member countries with a more holistic view of the multifaceted aspects of market access requirements needed to fulfill country obligations under WTO accession agreements, as well as under other bilateral or multilateral agreements.

FAO COLLABORATION WITH THE UNITED NATIONS STATISTICS DIVISION (UNSD)

30. The United Nations Statistics Division (UNSD) and FAO actively collaborate in sharing trade statistics, including in the work of the annual meeting of the Task Force on International Merchandise Trade Statistics. In addition, FAO is also working in collaboration with UNSD on the revision of the Central Product Classification (CPC) and of the System of Environmental Economic Accounts (SEEA). In 2012 UN Statistical Commission (UNCSC) will examine both revisions.

31. The CPC provides a framework for the international comparison of commodity statistics. For fisheries, the focus of the revision proposed by FAO is to separate primary products of wild and farmed origin and to improve the breakdown for fish and fishery products, to reflect the implemented revision of the Harmonized System classification (HS 2012).

32. SEEA is the statistical framework providing internationally agreed concepts, definitions, classifications, accounting rules and standard tables for producing internationally comparable statistics on the environment and their relationship with the economy. The SEEA framework follows a similar accounting structure as the System of National Accounts (SNA) and uses concepts, definitions and classifications consistent with the SNA in order to facilitate the integration of environmental and economic statistics. Fishery resource is one of focused area within SEEA and FAO has actively participated in the process to ensure concepts and definitions within SEEA would not cause serious conflict with those established through the Code of Conduct for Responsible Fisheries (CCRF), LOA and other fishery and aquaculture related instruments. The Central Framework of SEEA is tabled at UNSC 2012 and Experimental Ecosystem Accounts and Extensions and Applications are scheduled to be completed in 2013.

33. Another area of collaboration with UNSD is the “Global Strategy of Improving Agricultural and Rural Statistics”, adopted by the UNSC in 2010. This strategy aims to enhance integration between agricultural and rural statistics (including fishery and aquaculture statistics), with national statistical systems. As an initial step of the implementation of the strategy for fisheries and aquaculture, FAO is working towards the inclusion of fisheries related questions in population census and in various surveys. These integrations are expected to provide an improved knowledge of the sector and in particular of small-scale operators.

34. The International Merchandise Trade Statistics Section (IMTSS) of UNSD is responsible for the development and maintenance of the methodological guidelines on International Merchandise Trade Statistics (IMTS), including the “IMTS concepts and definitions”. The International Trade Statistics: Concepts and Definitions, was last revised in 2010 to take into account developments in commercial practices, as well as methodological developments in other areas of statistics. The “International Merchandise Trade Statistics: Concepts and Definitions 2010”(IMTS 2010) is available at <http://unstats.un.org/unsd/trade/EG-IMTS/IMTS2010-final-22March2011.pdf> .

35. IMTS 2010 represents the new international recommendations for merchandise trade statistics and provides a comprehensive methodological framework for the collection and compilation of international merchandise trade statistics in all countries, irrespective of the level of development of their statistical systems. IMTS 2010 was prepared by the UNSD, in cooperation with members of the

Expert Group on International Merchandise Trade Statistics and the Inter-Agency Task Force on International Merchandise Trade Statistics, which includes FAO.

36. For fisheries, IMTS 2010 contains a major improvement in respect to the previous edition in considering the landings abroad. In the past, the specific recommendation⁵ indicated that they were to be excluded from export statistics and recorded separately. IMTS 2010 indicates that they have to be recorded for both exports and imports.

37. Under general guidelines, IMTS 2010 indicates:

“1.31. Fish catch, minerals from the seabed and salvage. These goods landed from vessels of one country in national ports of another country or acquired by vessels of one country on the high seas from vessels of another country are in the scope of IMTS 2010 for both exports and imports and should be recorded where economically or environmentally significant. It is recognized that data collection in respect of this category of goods may be challenging; however, countries are encouraged to develop over time the necessary data-collection and/or estimation procedures in view of the important policy needs for such data, including assessment and monitoring of the environmental impact of such trade and related activities.”

and in Annex F (“Conceptual differences between IMTS 2010 and BPM6”):

“F.19 Fish catch, minerals from the seabed and salvage. Such goods sold from national vessels in foreign ports or from national vessels on the high seas to foreign vessels were previously recommended to be excluded from export statistics but to be recorded separately (IMTS, Rev.2 para. 58). The IMTS 2010 as well as the BPM6 include these as goods transactions (see para. 1.31 and BPM6, para. 10.17(e)).”

38. The change in the recording of landings abroad represents an important improvement. The non-inclusion of landings abroad from export statistics creates problems in obtaining a complete coverage of export statistics for fish and fishery products and, as a direct consequence, in the correct calculation of the apparent fish consumption statistics. The inclusion of the landings abroad in the fisheries production statistics, but not in the export data created an “artificial” higher domestic consumption. In fact, according to the present FAO methodology, the calculation of apparent fish consumption statistics is obtained through the following formula: production (capture+aquaculture), minus reduction to fish meal/oil, minus other non-food uses, minus exports, plus imports, plus or minus stock variations.

FAO'S WORK ON CUSTOMS CODES FOR FISH AND FISHERY PRODUCTS AND WITH THE WORLD CUSTOMS ORGANIZATION (WCO)

39. The Harmonized Commodity Description and Coding System, commonly referred to as the Harmonized System (HS), is used as a basis for the collection of customs duties and international trade statistics by more than 200 countries. Over 98 percent of the merchandise in international trade is classified in terms of the HS. This classification has been developed, introduced and maintained by the WCO. Since its introduction and general adaptation in 1988, the HS classification has undergone regular reviews with the new version, HS 2012, entering into force on 1 January 2012 for all Contracting Parties to the Harmonized System Convention.

40. The HS 2012 version reflects the FAO joint proposal to WCO for the revision of the codes related to agriculture, forestry and fishery products. The reason behind the proposal related to fish and fishery products was due to the insufficient coverage in the classification of species originating in developing countries or in the Southern hemisphere, as well as the level of detail for processing of selected traded products. This deficiency was also reported to FAO by several countries and in 2003, the twenty-fifth session of COFI instructed FAO to work towards an improvement of the HS

⁵ Para 58 of IMTS Rev 2 stated that “Fish catch, minerals from the seabed and salvage sold from national vessels in foreign ports or from national vessels on the high seas to foreign vessels are to be excluded from export statistics but recorded separately.”

classification for fish and fishery products. This request was re-emphasized by the Ninth, Tenth and Eleventh Sessions of COFI Sub-Committee on Fish Trade in 2004, 2006 and 2008.

41. The FAO modifications for HS codes of fish and fishery products have attempted to improve the quality of fish trade coverage through an improved specification for species and products form. Within the limits of the available codes, the classification was restructured according to main groups of species of similar biological characteristics. About 190 amendments were implemented and 90 new commodities (species by different product form) introduced. The choice of the additional species was based on their present and future economic importance, as well as on the monitoring of potentially endangered species. Among species introduced are: tilapia, catfish, carps, hake, seabass, seabream, Alaska pollack, cobia, jack and horse mackerel, rays and skates, Norway lobster, coldwater shrimps, clams, cockles, arkshells, abalone, sea urchin, sea cucumber and jellyfish. Commodity splits for several species were also introduced, in particular for meat and fillets, the introduction of shark fins in its cured form, the subdivision of sturgeon caviar from other substitutes, the split of molluscs from other aquatic invertebrates, and the distinction of seaweeds for human consumption and other purposes. The classification of seaweeds will be useful for the calculation of the FAO Food Balance Sheets which now allows taking aquatic plants into consideration.

42. The revision of the HS is done on a regular basis, with five year intervals. The process leading to an updated HS 2017 has started. FAO is continuing its cooperation with WCO to include relevant products related to agriculture, forestry and fishery in HS 2017. A FAO proposal is planned to be submitted to WCO by February 2012 for further revision of the codes. This proposal should be presented at the Forty-third Session of the Harmonized System Review-Sub-Committee of WCO in May 2012. The proposal will include amendments related to fish and fishery products, with the aim of adding additional species and products in order to better monitor the fishery trade flows.


PROGRESS WITH THE REHABILITATION AND RECONSTRUCTION OF FISHERIES IN TSUNAMI-AFFECTED COUNTRIES AND IN RESPONSE TO EMERGENCIES

43. After the earthquake and subsequent tsunami that struck Japan in 2011, FAO has continued to monitor the situation and its impact on food production, consumption and trade, in close cooperation with the national government of Japan.

44. Following the Indian Ocean tsunami of 2004, FAO still maintains activities on post-tsunami rehabilitation funded from extra-budgetary resources. Among other areas, these also address the needs of the post-harvest sector. In Indonesia, recent activities have aimed at the reduction of post-harvest losses, quality improvements of preserved fish, training in handling and processing. As a result, incomes of processors and traders showed significant increases. Similarly, in Sri Lanka, interventions have included infrastructure improvement at landing sites and training on safety and quality management for ministry officials and staff in the various fishing harbours.

October 2011

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	منظمة الأغذية والزراعة للأمم المتحدة	联合国 粮食及 农业组织	Food and Agriculture Organization of the United Nations	Organisation des Nations Unies pour l'alimentation et l'agriculture	Продовольственная и сельскохозяйственная организация Объединенных Наций	Organización de las Naciones Unidas para la Alimentación y la Agricultura
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COMMITTEE ON FISHERIES

SUB-COMMITTEE ON FISH TRADE

Thirteenth Session

Hyderabad, India, 20-24 February 2012

Recent developments in fish trade

Executive Summary

The purpose of this document is to inform the Sub-Committee of major facts and developments regarding international trade in fish and fishery products that have occurred since its Twelfth Session in April 2010. The document contains a brief review of world fish production, consumption, and trade and price development. It also includes a summary of the current trade situation of major fishery commodities and issues of relevance throughout the value-chain. The activities of FAO and other international organizations in the field of world fish trade are described. The document also addresses some emerging issues perceived to be of importance for the various stakeholders in the value-chain for internationally traded fish and fishery products, in particular as they relate to producers, processors and exporters in developing countries, including small-scale operators.

The Sub-Committee is invited to:

1. Provide information on trade developments and relevant experience;
2. Provide guidance for future work by FAO in the area of international trade in fishery products, particularly with regard to enabling developing countries and small-scale operators to participate more effectively in this trade; and
3. Comment upon FAO's dialogue with stakeholders through the value-chain and on the collaboration between FAO and the World Trade Organization (WTO) with respect to fisheries issues, as well as with other relevant organizations.

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INTRODUCTION

1. Strong continued growth in aquaculture production and a rebound in capture fisheries after the decline in 2010 caused by El Niño moved total fish supply for 2011 to an estimated 152 million tonnes, the highest level ever. Although some of the increases from capture fisheries will go to fishmeal and oil production, 2011 still can expect a 1.3 percent increase in per capita consumption of fish for direct human consumption.

2. Trade has been brisk, in particular in 2010 and the first half of 2011, but with some weakening of prices for a number of species during the second half. Total import and export values for 2011 are bound to set a new record despite softening during the second half of 2011, with growing volumes pushing total exports to almost USD120 billion, an 11 percent increase over 2010.

PRODUCTION

3. Total world fish production (capture and aquaculture), excluding aquatic plants, showed new growth in the 2008-2009 period, increasing from 143 million tonnes in 2008 to 145 million tonnes in 2009. Preliminary data indicate a further increase in 2010 to 147 million tonnes. Estimates for 2011 show a substantial increase from the previous year to 152 million tonnes. China confirms its role as the principal producer, reporting 50 million tonnes in 2009, of which 35 million tonnes derive from aquaculture. Overall, 81 percent of total world production of fish and fishery products takes place in developing countries. In particular, it is aquaculture production which is dominated by the developing world with 93 percent. Eighty-nine percent of the world's aquaculture production takes place in Asia.

4. Compared with production figures a decade ago, the current supply represents an increase of more than 21 million tonnes. This additional supply is entirely due to increases in aquaculture production. Preliminary data for 2011 indicate 62 million tonnes (excluding aquatic plants) or 41 percent of total output, a significant increase over previous years and a new record for aquaculture production. The strong growth in aquaculture output in 2010 and 2011 was in part in response to higher prices on a number of farmed species.

5. Capture fisheries production has stabilized at around 90 million tonnes but with some annual variation. Harvests dropped in 2010 to 88 million tonnes due to El Niño, but estimates for 2011 point to a recovery of catches to 90 million tonnes. This is in line with the pattern seen over the last 15 years with total annual catches oscillating within a range of 85 and 95 million tonnes.

CONSUMPTION

6. World per capita consumption of fish and fishery products has risen steadily over the past decades. Consumption in the 21st century has continued to grow to an average of 16.5 kg per capita for the 2001-2007 period. Figures for 2009 and 2010 show new increases to 17.3 and 17.6 kg and estimates for 2011 point towards new advances in per capita consumption to 17.8 kg. With capture fisheries stable, its contribution towards per capita consumption is declining. Although this has been more than compensated for by growing aquaculture production, the long-term challenge for policy makers is to sustain this growth, not only maintain the present level of fish consumption per capita, but ideally to increase it. For 2011 the contribution of aquaculture to the supply of fish and fishery products for direct human consumption, is estimated to have reached 49 percent of the total.

7. The role of fish and fishery products in their contribution to overall food security is increasingly being recognized; both as a source of fish as food, and as a creator of jobs in production: such as processing distribution and trade; and as a contributor to economic growth and development. Less highlighted is the crucial role fish and fishery products play in nutrition, and as a source of nutrients of fundamental importance, not readily found in other foods. This is especially the case for women during pregnancy and to their offspring during the first years of life. In this context, it should be noted that in many least developed countries, fish and fishery products often constitute a much higher share of consumers' source of animal protein than elsewhere.

8. In general, urbanization and the growth of modern distribution channels for food have increased the availability of fish to most of the world's consumers. In some markets, this has boosted fish consumption, in others not. It is evident that economic and cultural factors also strongly influence the level of fish consumption, and that availability alone is not the only factor.

9. Globalization has the potential of offering consumers increased choice, with imports boosting availability of fish and fishery products in the domestic markets. Growing interest from local consumers has also underpinned aquaculture development in many regions in Asia and increasingly also in Africa and South and Central America. This is a welcome development as the benefits are plentiful; aquaculture development increases availability of fish products to domestic and regional consumers, generating important economic benefits in the process. The strong local demand also reduces the exposure of domestic producers to abrupt swings in demand and prices which is often evidenced in international markets.

TRADE

10. International trade in fish and fishery products contracted sharply in 2009. The fall in export and import values was, however, more a reflection of falling prices and margins than any significant decline in fish consumption as traded volumes expressed in live weight remained rather stable at 55 million tonnes. The decline was not uniform and many developing countries saw growth in demand and imports even during a difficult 2009, while 2010 saw trade recover to new record levels for both volume and values. During 2011, rising prices and strong demand in developing countries pushed trade volumes and values to the highest level ever reported, with preliminary estimates indicating exports reaching almost USD120 billion, despite some weakening in the second half of the year. It must be noted that currency fluctuations not only influence sales and markets, but also trade statistics; for statistics stated in USD, a weakening dollar will inflate both import and export figures.

11. The proportion of world fishery production traded internationally (live-weight equivalent) remained fairly stable during 2010 and 2011, at around 37 percent, with a small decline in 2011. Despite the renewed economic instability experienced in 2011 in many of the world's leading economies, the long-term trend for fish trade remains positive. The short-term outlook for 2012 remains uncertain, as the underlying positive trend in fish consumption and demand in most developing countries must be balanced by growing consumer concerns in the traditional import markets of the United States of America (USA), the European Union (EU) and Japan.

12. World exports of fish and fishery products declined by six percent in 2009 to USD96 billion, but recovered sharply by 12.4 percent in 2010 to USD108 billion. Full year projections for 2011 show new growth towards USD120 billion. Developing countries confirm their fundamental importance as suppliers to world markets with close to 50 percent of all exports. Imports are mostly by developed countries, now responsible for 76 percent of the total import value of USD110 billion (2010), a decline of two percentage points from the previous biennium. Developing countries import to supply the processing sector and to meet their own rising domestic consumption. In volume (live weight), the share of developed country import is significantly less, 58 percent, reflecting the higher unit value of products imported by developed countries.

13. Net export revenues from fish trade earned by developing countries reached USD27.4 billion in 2010. For many developing nations, fish trade represents a significant source of foreign currency earnings in addition to the sector's important role in income generation, employment, food security and in nutrition. For Low-Income Food-Deficit Countries (LIFDCs), net export revenues rose to USD5.6 billion in 2010. LIFDCs accounted for eight percent of total exports in value terms, an increase of ten percent since 2008.

14. China is by far the largest fish exporter at USD13.2 billion (2010), but its imports are also growing, reaching USD6.2 billion (2010). The increase in China's imports is partly a result of outsourcing, as Chinese processors import raw material from all major regions, including South and North America and Europe for re-processing and export. It also reflects China's growing domestic consumption of species not available from local sources. Forecasts for China's fish exports in 2011

show further growth to USD15.7 billion. Its main export markets are Japan, USA, EU and the Republic of Korea. China will continue to dominate world production in the foreseeable future and remain the largest exporter. As an importer, China is likely to soon overtake Spain as the world's third largest importing country, after the USA and Japan.

15. Thailand and Viet Nam are the second and third largest exporters in Asia. Whereas Thailand has established itself as a processing centre of excellence largely dependent on imported raw material, Viet Nam has a growing domestic resource base and imports only limited, albeit growing, volumes of raw material. In both countries, the processing industry contributes significantly to the domestic economy through job creation and trade.

16. The EU is by far the largest single market for imported fish and fishery products. This reflects both its growing domestic consumption, but also the fact that the EU has increased to 27 member countries. The 2010 imports (EU-27) reached USD43.3 billion, up six percent from 2009, and represent 39 percent of total world imports. However, official statistics also include trade among EU partners. If intraregional trade is excluded, the EU imported USD23 billion worth of fish and fishery products from non-EU suppliers, an increase of seven percent from 2009. This still makes the EU the largest market in the world, with about 26 percent of world imports. Forecasts for 2011 show further growth to USD26.7 billion (Intra-EU excluded). The EU's dependency on imports for its fish consumption is growing. This is a result of the positive underlying trend in consumption, but also evidences the constraints within the EU on further expansion of supply. In this respect, the current reform of its Common Fisheries Policy aims to rebuild EU fish stocks, as well as boosting the EU's aquaculture production. The results of the reform will only be felt in the medium to long term.

17. The USA has become the largest single country import market and depends on imports for about 60 percent of its consumption. With a growing population and a positive long-term trend in seafood consumption, imports reached USD13.9 billion in 2009 and USD15.5 billion in 2010. The largest US import item in value is shrimp, followed by salmon, tuna and crab. Together these represented 55 percent of import values in 2010. In 2011, US imports are forecast to rise further to USD17.9 billion.

18. Japan, traditionally the largest single importer of fish, has been overtaken by the USA. The long-term trend for Japanese fish consumption is one of stagnation, with meat consumption now having overtaken fish. Forecasts for Japan's imports in 2011 showed further growth to USD16.3 billion. Japan depends on imports for about 54 percent of its consumption. The tsunami that struck Japan in early 2011 caused severe damage to the fleet, aquaculture facilities, processing and port infrastructure in the affected area. However, the impact on the country's production capacity in the medium to long-term is expected to be limited.

19. In addition to the three major importing markets, a number of emerging markets have become of growing importance to the world's exporters. Prominent among these markets are Brazil, Mexico, Russia, Egypt, the Middle East in general and Asia. In Asia, Africa and South and Central America, regional trade continues to be of importance although this trade in many instances is not adequately reflected in official statistics. Improved domestic distribution systems for fish and fishery products have played a role in increased regional trade, as has growing aquaculture production. Domestic markets, in particular in Asia, but also in Central and South America, have remained strong during the 2010-2011 period, providing welcome outlets for domestic and regional producers. In particular, aquaculture development in response to robust domestic demand is one of the reasons behind the recent growth in Africa's aquaculture sector. Africa has also become a growing market for farmed freshwater species from Asia.

20. All developed country markets have stringent rules for quality and safety of food products, including for imported products. Although many developing country producers and exporters may feel that some of these rules are designed to discourage imports, the dependence of the three principal markets on imports for the major part of their fish consumption, show that this is not the case. This is further borne out by the low or inexistent import duties for fish to these markets and the fact that developing countries now has a 50 percent share of all exports of fish and fishery products. The concern for the quality and safety of their food is, however, not limited to developed country markets.

In fact, consumers in developing countries, whether they belong to the emerging middle classes or to the poorer groups of society, have become, like in the developed world, increasingly concerned about the safety of the food they buy for their families. This is having an impact on the regulatory framework and the institutional capacity to monitor and intervene also in developing countries, where citizens frequently see the ability of the authorities enforcing rules and regulations on safe food as a symbol of the legitimacy of the government itself.

PRICES

21. Fish prices are, like for other products, influenced by demand and supply factors. At the same time, the very heterogeneous nature of the sector, with hundreds of species and thousands of products entering international trade, makes it challenging to estimate price developments for the sector as a whole. During 2010-2011, FAO has continued its work on the construction of a fish price index to better illustrate both relative and absolute price movements. The index is being developed in cooperation with the University of Stavanger and with data support from the Norwegian Seafood Export Council.

22. The aggregate FAO Fish Price Index increased markedly from 895 in early 2002 to 143.6 in March 2008, although with strong within-year oscillation. After March 2008 the index fell drastically reaching 122.1 in June 2009, after which it has recovered to 156.9 in March 2011 (base year 2002-4=100). In addition to the aggregate index, separate indices have been developed for the most important commodities, as well as for capture and farmed species.

VALUE-CHAIN DEVELOPMENTS

23. In the report to the previous sessions of the Sub-Committee, a value-chain analysis was presented in which emerging issues of relevance were addressed. The present report continues this practice. Most of these issues still remain on the international agenda, whereas new issues have also emerged over the last two years. A separate report highlighting the findings of a value-chain project is presented in document COFI:FT/XIII/2012/7.

24. A value-chain contains numerous stakeholders. They are impacted to varying degrees, depending on their position in the value-chain, their contractual relationship and the relative strength of negotiation in their relationship with suppliers and clients. Some issues are of a transitory nature with an immediate market impact, others are of a long-term nature in which the real impact may only be hypothesised at this stage.

25. Some of the major issues concerning international trade in fishery products in the past biennium and which continue to impact international trade, are¹:

- The volatility of commodity prices in general and the impact on producers as well as on consumers;
- The impact on the domestic fisheries sector from a surge in imports of farmed products, in particular of pangasius;
- The role of the small-scale sector in future fish production and trade;
- The relationship between fisheries management design, allocation of rights and the economic sustainability of the sector;
- Prices and distribution of margins and benefits throughout the fisheries value-chain;
- The need for competitiveness versus other food products; and
- Perceived and real risks and benefits from fish consumption.

26. The issue of climate change and its impact on fisheries production has become part of the sector's agenda. Although strong variations in production caused by natural phenomena are a regular

¹ For market access related to quality and safety please refer to document COFI:FT/XIII/2012/6

feature in fisheries, e.g. the occurrence of El Nino and La Nina, extreme events such as floods and storms appear with growing frequency. This has had a dramatic impact on the production of a number of species, especially in Asia. Of concern is the fact that such natural catastrophes have the gravest consequences for the weakest segments of society, with a strong negative impact on livelihoods and food security. As a consequence, FAO is increasingly engaged in emergency projects involving rehabilitation and recovery of the affected fishery sector.

27. During the biennium, the number of products available to consumers bearing certified labels for environmental purposes, has increased tremendously. Although for the most part confined to developed country markets, ecolabels appear to have reached a critical mass in these markets, with a further expansion expected into additional product forms and countries of origin. Ecolabels were originally for the most part applied to value-added products from marine capture fisheries, but farmed species are now increasingly being certified. In this respect it must be noted that several important groundfish fisheries are currently under assessment for future certification.

28. The adoption by FAO member countries in 2011 of the FAO Technical Guidelines for Aquaculture Certification, is likely to stimulate further certification of farmed products. Several accreditation bodies have already harmonized their standards with the new guidelines. With this adoption, FAO has now guidelines covering marine capture fisheries, inland capture fisheries and products from aquaculture.

29. The new impetus given to ecolabels has highlighted the need to facilitate their application to products originating from small-scale fisheries and aquaculture. Most accreditation bodies and scheme owners attempt to address the problem, but the inherent characteristics of the small-scale sector, its fragmentation, high transaction costs and low levels of organization, present significant challenges. Although positive examples exist, it is important that these are not confined to token exceptions, but that the issue of small-scale certification is addressed head-on by the scheme-owners in consultations with the various stakeholders, including the small-scale producers.

MAIN COMMODITIES

30. Shrimp continues to be the largest single commodity in value terms, accounting for 15 percent of the total value of internationally-traded fishery products. Shrimp is mainly produced in developing countries, and much of this production finds its way into international trade. However, growing demand in these countries, as economic conditions improve, is leading to lower exports and increased domestic consumption. 2011 figures (six months) indicate that the markets of major importing countries of the USA, the EU and Japan are all up during the same period in 2010, but have still not recovered to previous highs in 2006-2007. Imports by China decreased slightly.

31. Farmed shrimp production volumes may decrease in 2011 from some Asian countries, in particular Thailand and Viet Nam, as a result of adverse weather conditions and disease. Indian aquaculture production has increased, however.

32. Groundfish species continue to make up about 11 percent of world fish exports. Overall groundfish supply was higher in 2010, with hopes that it would improve further in 2011. Prices of groundfish have firmed in 2011, in spite of good supply for most species. Cod remains the most expensive groundfish. Although the quota for Alaska pollock was higher in 2011 than in 2010, catches by September 2011 were somewhat disappointing, and biomass estimates indicate quotas could be lower again in 2012.

33. Farmed whitefish species, in particular tilapia and pangasius, are ever more in competition with captured groundfish species, as they provide a cheaper alternative. However, pangasius supply in 2011 is likely to be as much as 40 percent down on the previous year, because of reduced output in the main export country, Viet Nam. Tilapia continues to be more popular in the USA than in Europe, but exports of pangasius are more widespread going to the EU, USA and Japan, Russia, Egypt and the Middle East, and South America.

34. In Europe, Nile perch is more popular than tilapia as a freshwater species, being the second most imported freshwater species. However, supply problems in the past few years have seen import volumes in the EU drop from highs of 42 000 tonnes (fillets) in 2008 to 31 000 tonnes in 2010.
35. The Mediterranean based seabass and seabream production has declined somewhat in recent years and is forecast to be about 250 000 tonnes in total output in 2011. As a result, prices have improved markedly for producers despite some weakness towards the end of 2011.
36. Tuna's share of total fish exports is around eight percent. In 2009 the catch of the main species of tuna increased somewhat over the previous two years, to just over 4.4 million tonnes, mainly as a result of higher catches of skipjack (nearly 2.6 million tonnes). During 2010 and 2011 catches have been low with prices reaching high levels. Demand for bluefin and other fresh/chilled tuna in Japan dropped considerably following the earthquake and tsunami in March 2011, but the demand for canned tuna increased. In the second half of 2011, some recovery in the sashimi market is being seen. The tuna sector has faced increasing criticism from NGOs on environmental issues in 2011, particularly in the USA, but the industry has refuted these claims as unsubstantiated and not scientifically based.
37. The potential listing of Atlantic and Mediterranean bluefin tuna on CITES Appendix 1 did not happen, but the International Commission for the Conservation of Atlantic Tunas (ICCAT) did recommend more stringent catch quotas. In the Pacific in 2010, the Parties to the Nauru Agreement (PNA) agreed to extend their prohibition on tuna purse seine fishing to a much greater area of the Pacific Ocean. The PNA effectively controls production of about 25 percent of the world's tuna, worth an estimated USD2 billion a year. They have also instituted a ban on fishing on Fish Aggregating Devices (FADs) for three months of the year.
38. Salmon's share in world trade has increased strongly over the last decades to the present 12 percent. This continues to be mainly because of salmon and trout aquaculture in Northern Europe and in North and South America. Prices of farmed salmon in the first half of 2011 were exceptionally high, but by the middle of May prices had started to collapse and have still not stabilized towards the end of the year. The reason is the increase in volumes from Chile after the recovery of its salmon industry, a good year for wild-caught salmon in the USA and in Russia, but also growth in Norway's farmed salmon production.
39. The share of cephalopods in world fish trade is around four percent. After a strong period of growth from 2002 onwards, this increase seems to have levelled off by 2008. In 2011 the octopus producing countries of Morocco and Mauritania are showing substantial drops in exports to European countries, while others such as Tunisia, Indonesia and Mexico saw exports increase. Squid landings in Argentina and Falkland Islands (Malvinas) improved in 2011 compared with 2010.
40. The production of fishmeal has declined gradually since 2005 from an average of around six million tonnes a year, to just less than five million tonnes in 2008. This has meant prices have reached historic highs. The overall trend for the five major exporters is still mainly negative with declining export volumes, although exports from Peru were up in the first half of 2011 compared with 2010. Exports from Chile, however, were sharply down in the same period of 2011. China's imports of fishmeal declined in volume in 2010, but increased substantially in value, because of the overall drop in production. Overall demand is continuing to grow though. Fishmeal production in Northern Europe is dropping because of a greatly increased share going to direct human consumption rather than for reduction.
41. Fish oil production by the five major producers in the first half of 2011 was up by 34 percent, mainly on increased production from South America. Exports from South America were mixed, with Peru up slightly in the first half of 2011, and exports from Chile down slightly. However, domestic needs by Chile's recovering salmon aquaculture industry are responsible for lower exports. Annual production has dropped below one million tonnes in 2009. There is a growing demand for fish oil as a dietary supplement, which is driving up prices.

ACTIVITIES BY THE WTO WITH REGARD TO FISHERY PRODUCTS

42. The negotiations of the World Trade Organization (WTO) Doha Development Agenda, initiated in 2001, carried on throughout 2010 and part of 2011. The two major issues of relevance to the fisheries sector continue to be 1) fisheries subsidies, discussed in the Subgroup on fisheries subsidies negotiations within the Negotiating Group on Rules; and 2) industrialized market access negotiations, discussed in the Negotiating Group on Non-Agricultural Market Access.

43. After the accession of China in 2001 and Viet Nam in 2007, all major fish producing, importing and exporting countries have become WTO members, with the exception of the Russian Federation. The latter is a WTO observer and is in the midst of accession negotiations, but its full accession remains pending. Membership of the organization is a pre-requisite for having access to its Dispute Settlement Mechanism. There have been no new members joining the WTO since 2008.

44. Another area of relevance for fisheries is the Global Reviews which monitor the Aid for Trade initiative. The third Global Review of July 2011 noted *inter alia* that aid from donor countries to the fishing sectors in developing countries increased from USD227.7 million in 2005 to USD557 million in 2009. The objective of the initiative is to make aid for trade more operational.

45. In September 2011 the panel report on the "United States-Measures Concerning the Importation, Marketing and Sale of Tuna and Tuna Products" brought against the United States by Mexico in 2008 was circulated to WTO members. The parties have 60 days from the date of circulation to appeal the findings.

FAO COOPERATION WITH OTHER ORGANIZATIONS


46. FAO continues to have an excellent relationship of cooperation with WTO, with mutual provision of technical expertise when requested.

47. The cooperation between FAO and Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) has continued on a regular basis, in part thanks to extra-budgetary funding. FAO has supported CITES through a number of activities, as well as several workshops and publications related to sharks and other species considered in the CITES framework, and on legal issues. Work has been done to clarify the different positions of FAO and the CITES Secretariat regarding the application of the Appendix II listing criteria to commercially exploited aquatic species. The situation is currently addressed by CITES and at the next Conference of Parties in 2013 CITES intends to provide guidance regarding the interpretation of the Appendix II listing criteria for commercially exploited aquatic species.

48. The excellent cooperation between FAO and Organisation for Economic Co-operation and Development (OECD) has continued during the biennium with each organization providing technical expertise when requested.

September 2011

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COMMITTEE ON FISHERIES

SUB-COMMITTEE ON FISH TRADE

Thirteenth Session

Hyderabad, India, 20-24 February 2012

Results of the Expert Consultation to develop an FAO evaluation framework

Executive Summary

This paper describes the outcome of the Expert Consultation to Develop an FAO Evaluation Framework to Assess the Conformity of Public and Private Ecolabelling Schemes with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries. The paper seeks guidance from the Sub-Committee on how to proceed with the evaluation framework developed by the Expert Consultation, both in terms of process and of substance.

The Sub-Committee is invited to:

1. Comment on the Expert Consultation's Report, including the draft evaluation framework to assess the conformity of public and private ecolabelling schemes with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine and Inland Capture Fisheries;
2. Comment on the usefulness of the evaluation framework developed by the Expert Consultation;
3. Comment on the usefulness of having a common framework that addresses both inland and marine capture fisheries;
4. Provide guidance on follow-up actions required to finalize the evaluation framework, including:
 - Identifying areas where further work is required to finalize the evaluation framework; and
 - The process that should be followed to undertake this work, including consideration of convening a Technical Consultation.
5. Provide guidance on related issues including:
 - Assessment of the extent to which ecolabelling schemes in practice contribute to improved fisheries management and economic returns.

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BACKGROUND

1. The 12th session of COFI:FT agreed that the FAO Secretariat should develop an evaluation framework to assess the conformity of public and private ecolabelling schemes with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries (the marine Guidelines). COFI:FT also agreed that FAO would not undertake conformity assessments of ecolabelling schemes, but only provide the tools required to undertake assessments. The Sub-Committee also agreed that as a first step in this process the Secretariat should convene an Expert Consultation to initiate work on the evaluation framework. The results of the Expert Consultation would then be considered by the Twenty-ninth Session of COFI in January 2011. COFI would provide guidance on how to proceed with this issue.
2. An Expert Consultation to Develop an FAO Evaluation Framework to Assess the Conformity of Public and Private Ecolabelling Schemes with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries was convened in Rome on 24-26 November 2010 (the Expert Consultation). The Expert Consultation's report was submitted to the Twenty-ninth session of COFI.
3. The Twenty-ninth session of COFI recommended that FAO refer the report of the Expert Consultation to the Thirteenth session of COFI:FT for further guidance and follow-up action, including consideration of the need to convene a technical consultation on this matter.

RESULTS OF THE EXPERT CONSULTATION

4. The FAO Secretariat convened the Expert Consultation with the objective of initiating the process of developing an evaluation framework to assess the conformity of public and private ecolabelling schemes with the marine Guidelines for consideration by COFI. The principal task was to develop an evaluation framework for marine capture fisheries. As COFI:FT had also noted that it would be beneficial to develop a similar evaluation framework to assess the conformity of ecolabelling schemes with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Inland Fisheries (the inland Guidelines) after their adoption¹, and as these draft inland Guidelines follow very closely the marine Guidelines, the Expert Consultation also considered additional criteria relating specifically to the inland Guidelines.
5. The following sections describe the main conclusions of the Expert Consultation. Delegates are kindly requested to refer to the report of the Expert Consultation to Develop an FAO Evaluation Framework to Assess the Conformity of Public and Private Ecolabelling Schemes with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries, Rome, 24–26 November 2010 (the Report) for a complete description of the work that was undertaken. Appendix D of the Report, in particular, contains the draft evaluation framework developed by the Expert Consultation.

Evaluation Framework

6. The draft Evaluation Framework in Appendix D of the Report sets out the benchmarking indicators developed by the Expert Consultation and the corresponding paragraphs of the Guidelines for which these indicators can be used to assess conformance. The draft Evaluation Framework has been developed to cover both marine and inland fisheries with one set of indicators. Textual differences between the two sets of Guidelines, and associated differences in individual indicators, are identified in the text of the Framework.

¹ The FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Inland Fisheries were adopted at the Twenty-ninth Session of COFI.

7. Three main parts of the Guidelines create the structure for the Evaluation Framework:
 - ◀ The principles;
 - ◀ The Minimum Substantive Requirements, including ‘Management systems’, ‘Stocks under consideration’ and ‘Ecosystem’; and
 - ◀ The Procedural and Institutional Aspects, including Guidelines for the setting of standards of sustainable fisheries, Guidelines for accreditation (of independent certifying bodies) and Guidelines for certification (of fisheries).
8. The Principles of the Guidelines describe a number of higher order requirements that are essential for all ecolabelling schemes. The details of how the schemes achieve these requirements are provided in the sections on Minimum Substantive Requirements and the Procedural and Institutional Aspects.
9. The Expert Consultation developed benchmark indicators covering all paragraphs in the Minimum Substantive Requirements and the Procedural and Institutional Aspects. No separate benchmark indicators were developed for the Principles. Conformance with the Principles is to be assessed through conformance with the benchmark indicators developed under the Minimum Substantive Requirements and the Procedural and Institutional Aspects.
10. The approach used in developing the Evaluation Framework has been to identify indicators that will permit an assessment of conformity with the FAO Guidelines to be made. In the section dealing with Minimum Substantive Requirements and Criteria for Ecolabels one or more indicators are identified for each paragraph in the Guidelines. In the section dealing with Procedural and Institutional Aspects indicators are often identified to cover groups of paragraphs where related issues are identified. The indicators can be found in the Appendix D of the Report and follow closely the text of the Guidelines.
11. The assessment process developed by the Expert Consultation enables an evaluation to be made as to whether the scheme being assessed is in conformity with the indicators identified in the Evaluation Framework (Appendix D) only on a pass/fail basis. The Evaluation Framework includes a very large number of benchmark indicators (155 in total, six of which apply only to the inland fisheries guidelines). All indicators are treated equally. Conformance by the scheme is determined only when the scheme is in conformance with all the indicators in the evaluation framework (Appendix D of the Report).
12. The meeting discussed the benefits of more flexible approaches (e.g. a traffic light approach) to assess the extent of conformity. It recognized that this would require weighting indicators in order to identify those that are critical to ensure conformance with the principles. The performance assessment of indicators of a more operational nature might lead to determinations of partial but acceptable conformance with the Guidelines. The Expert Consultation considered that there could be value in this approach but there was insufficient time to attempt it.

Types of assessment

13. The Evaluation Framework may be used to assess conformity with FAO Guidelines through a variety of means. It could be used as a self-assessment tool by the ecolabelling scheme holder; it could also be used by third parties with an interest in assessing the conformity of ecolabelling schemes with the Guidelines. These would include governments, consumers, retailers, processors and harvesters that are seeking to make their own assessments against the agreed criteria. As noted earlier, FAO will not actually undertake the conformity assessment of ecolabelling schemes.

Special circumstances of developing countries and countries in transition

14. The Guidelines recognize the special circumstances of developing countries and countries in transition, including the need to use less data demanding approaches, financial and technical assistance, technology transfer, and training and scientific cooperation. In some instances these special circumstances can be addressed by ecolabelling schemes. In other instances these special

circumstances can only be addressed by States, relevant intergovernmental and non-governmental organizations, and financial institutions. The Evaluation Framework only requires ecolabelling schemes to address the special circumstances when they fall within their capacity. The extent to which States, relevant intergovernmental and non-governmental organizations, and financial institutions respond to these requirements falls outside the scope of this Evaluation Framework. However, ecolabelling schemes should try to facilitate access to appropriate assistance from States, relevant intergovernmental and non-governmental organizations, and financial institutions.


Other issues

15. The Guidelines require ecolabelling schemes to address the chain of custody certification. However, the Expert Consultation felt they did not provide effective minimum substantive requirements to ensure that the integrity of ecolabelled products is maintained at all points throughout the supply chain. The meeting has provided guiding comment in the Evaluation Framework in an effort to address the shortcomings. However, an amendment to the Guidelines would be required in order to address this issue in full.

16. The Expert Consultation agreed that there is a need to assess the extent to which ecolabelling schemes in practice contribute to improved fisheries management and economic returns. The assertion is frequently made by proponents of ecolabelling schemes that they do. The meeting agreed that there is now a body of evidence emerging that should be analysed to verify whether these assertions have been borne out. The meeting considered that this was a task that FAO might consider undertaking.

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COMMITTEE ON FISHERIES

SUB-COMMITTEE ON FISH TRADE

Thirteenth Session

Hyderabad, India, 20-24 February 2012

Traceability best practice guidelines

Executive Summary

The Twenty-ninth Session of the Committee for Fisheries agreed that FAO should initiate work to develop international best practice guidelines for traceability of fish and fishery products. The best practice guidelines would facilitate the coherence of different traceability systems. This paper provides an overview of traceability in the fisheries sector, provides examples of current traceability requirements, and seeks guidance from the Sub-Committee on how to proceed with this work.

The Sub-Committee is invited to:

1. Provide guidance on the process that should be followed to develop the best practice guidelines for traceability, taking into account the three options identified in the paper:

- Option 1: the FAO Secretariat will develop best practice guidelines for traceability and publish the guidelines under its own responsibility.
- Option 2: the FAO Secretariat will develop a first draft of the best practice guidelines for traceability and submit them to the next session of the Sub-Committee on Fish Trade for further guidance.
- Option 3: the FAO Secretariat will convene an Expert Consultation with the mandate to develop a draft of the best practice guidelines for traceability. The outcome of the Expert Consultation would then be forwarded to the next session of the Sub-Committee on Fish Trade for further guidance. This option would require the identification of extra-budgetary funds to host the Expert Consultation.

2. Provide suggestions on elements that should be included in the best practice guidelines for traceability.

INTRODUCTION

1. Traceability systems are a well established tool for verifying the integrity of a supply chain and for remedying failure when a supply chain's integrity is broken. They are included in measures that aim to ensure the quality and safety of fish and fish products, their legality, or their origin from a sustainably managed fishery.
2. There has always been a degree of traceability in the fisheries sector. In recent years, however, there has been an increased demand for traceability of fish and fish products. This is in part due to the increased globalization of the fish industry in terms of sourcing raw materials, processing and marketing. This has increased the length and complexity of the supply chain and enhanced the need to trace products throughout the supply chain.
3. The multiplication of traceability requirements can pose challenges for both the public and private sectors. While the benefits of traceability requirements are recognized, their implementation can be costly and potentially create barriers to trade.
4. The Annex provides a summary of the main existing traceability requirements in the fisheries sector.

DEFINITION

5. Traceability is "*the ability to trace the history, application or location of that which is under consideration*" (International Organization for Standardization, 9000:2000). When considering a product, traceability relates to the origin of materials and parts, the processing history and the distribution and location of the product after delivery.
6. In the case of food safety, the *Codex Alimentarius* (Codex Alimentarius Commission, 2005) defines "*traceability/product tracing as the ability to follow the movement of a food through specified stages of production, processing and distribution*".
7. This definition has been further refined into a regulation by the European Union (EU) to signify "*the ability to trace and follow a food, feed, food producing animal or substance intended to be, or expected to be incorporated in a food or feed, through all stages of production, processing and distribution*" (EU, 2002).

DRAFT TRACEABILITY BEST PRACTICE GUIDELINES

8. FAO will develop draft traceability best practice guidelines that will identify key issues and practices that FAO members should consider when establishing traceability systems. The best practice guidelines should recognize the sovereign right of a country to put protective measures in place, but should also emphasize that these measures should not be more restrictive than necessary to achieve the appropriate level of protection. A few elements to be considered in the best practice guidelines for traceability are outlined below.
9. The benefits of harmonizing traceability requirements should be addressed in the best practice guidelines for traceability. The World Trade Organization (WTO) Agreement on Technical Barriers to Trade encourages the harmonization of standards internationally to avoid trade distortions. The purpose of harmonization is not so much to achieve identical regulations or standards, but to converge traceability requirements.
10. The notion of equivalency should also be considered in relation to traceability requirements. Equivalency affords the same degree of protection to each country, but allows traceability systems to be different. Equivalency assumes that if different traceability systems have an equivalent effect, they should be recognized as offering the same level of protection.
11. The costs and benefits of integrating traceability requirements within a traceability system should be considered. Fish and fish products are often subject to a number of traceability requirements. To the extent possible, consideration should be given to integrating these requirements. The best practice guidelines should also recognize the needs of developing countries.

PROCESS

12. Guidance is sought from the Sub-Committee on how to proceed with this work.
- The first option is for the FAO Secretariat to develop best practice guidelines for traceability and to publish the guidelines under its own responsibility.
 - The second option is for the FAO Secretariat to develop a first draft of the best practice guidelines for traceability and submit it to the next session of the Sub-Committee on Fish Trade for further guidance.
 - The third option is for the FAO Secretariat to convene an Expert Consultation with the mandate to develop draft of the best practice guidelines for traceability. The outcome of the Expert Consultation would then be forwarded to the next session of the Sub-Committee on Fish Trade for further guidance. Please note that this option would require the identification of extra-budgetary funds to host the Expert Consultation.

ANNEX

A selection of the main traceability systems and processes are described in this section, organized into the following groupings:

- Traceability Standards for Food Supply Chain Systems;
- Independent tools and procedures used to establish and maintain traceability;
- Fish ecolabelling and certification schemes;
- Governmental Traceability Programmes;
- Intergovernmental Catch Documentation Schemes;

1.1 GOVERNMENTAL TRACEABILITY PROGRAMMES

National governments and intergovernmental organizations establish laws, regulations, and associated enforcement programmes for traceability of fish products. There are minimum traceability requirements for all trading of food products, as well as fish-specific requirements focused on preventing trade in illegally-caught fish. This section includes examples of traceability requirements from the EU, the United States of America (USA) and Japan.

1.1.1 EU

European Union legislation has addressed food marketing, labeling and traceability, with a number of regulations for fish and fish products. Commission Regulation (EC) No 2065/2001 lays down detailed rules for the implementation of fishery and aquaculture market legislation with regards to informing consumers about fishery and aquaculture products¹. The EU introduced a food traceability requirement in Regulation (EC) No 178/2002 which requires traceability not only for food but also for animal feed and for animals destined for food production². Traceability record-keeping is required to be ‘one up, one down’. The most recent EU legislation regarding traceability of fish products is the 2008 regulation to address IUU fishing that entered into force on 1st January 2010.

1.1.2 UNITED STATES OF AMERICA

For the USA there are three legal frameworks in which traceability plays an important role: the Food Safety and Modernization Act, the Lacey Act and the US Tuna Tracking & Verification Program.

1.1.2.1 Food Safety and Modernization Act

The recently introduced Food Safety and Modernization Act (2010) gives the Food and Drug Administration authority to ensure that imported goods meet USA standards. Importers will be given an explicit responsibility to verify their foreign suppliers have adequate controls in place to ensure the food they produce is safe. This is likely to include traceability requirements for imported foods.

1.1.2.2 Lacey Act

The Lacey Act, first enacted in 1900 and significantly amended in 1981, is the United States’ oldest wildlife protection statute. The Act combats trafficking in “illegal” wildlife, fish and plants. Specifically, the Lacey Act (16 USC §3371-3378) makes it illegal for US companies to trade in imported fish, wildlife and plant products that were obtained in contravention of any national or international laws.

¹ “Commission Regulation (EC) No 2065/2001 of 22 October 2001 laying down detailed rules for the application of Council Regulation (EC) No 104/2000 as regards informing consumers about fishery and aquaculture products” Chapter III. Traceability and control. Art 8

² Regulation (EC) No 178/2002 of the European Parliament and of the Council of 28 January 2002 laying down the general principles and requirements of food law, establishing the European Food Safety Authority and laying down procedures in matters of food safety.

Importing USA companies must protect themselves and consumers from Lacey Act liability. To do this, buyers must identify and implement their own documentation and traceability schemes to ensure they know certain information about how the fish was caught.

1.1.2.3 US Tuna Tracking & Verification Program

Objectives and Standard

The US Tuna Tracking and Verification Program is a government traceability programme that fulfils dolphin conservation obligations under international law. It requires designated domestic fishing operators and fish traders to carry out specific traceability activities, oversees the implementation of some activities, and performs audits and spot checks.

1.1.3 JAPAN

Japan advocates labeling and traceability systems for food products to expand information available to consumers, foster consumer confidence in food safety and allow rapid containment of any contamination incidents (MAFF, 2004). Fish products are an important component of the Japanese diet but there are no government-imposed traceability requirements and only basic labeling requirements for fish.

1.2 INTERGOVERNMENTAL CATCH DOCUMENTATION SCHEMES

Regional Fisheries Management Organizations (RFMOs) and other natural resource management inter-governmental organizations like the Convention for the Conservation of Antarctic Marine Living Resources (CCAMLR) have confronted traceability issues through their attempts to deal with illegal, unreported and unregulated (IUU) fishing. In developing a number of different systems, these organizations have progressed to varying degrees in establishing traceability for the products of their fisheries. The following sections describe and review the current state of the RFMO catch documentation schemes (CDS) and their traceability.

While this review of RFMO CDSs focuses on traceability, it should be noted that traceability is not a primary, or in some cases even an explicit, objective of the schemes. Instead of focusing on separate documentation of each link in the supply chain, e.g. one up one down, the schemes aim to maintain traceability throughout the supply chain in order to combat IUU fishing. The effectiveness of each scheme is thus judged by its users on the maintenance of multiple links and the match between documented traded quantities and catch, neither of which is required in standard (one-up, one-down) traceability schemes.

There are currently three catch documentation schemes implemented by RFMOs:

- The CCAMLR Catch Documentation Scheme for Toothfish (implemented in May 2000)(CCAMLR 2009);
- The International Commission for the Conservation of Atlantic Tunas' (ICCAT) Catch Document Programme for Atlantic Bluefin Tuna (implemented in June 2008) (ICCAT 2009a);
- The Commission for the Conservation of Southern Bluefin Tuna's (CCSBT) Catch Documentation System for South Bluefin Tuna (implemented in January 2010)(CCSBT 2010a).

1.3 NON-GOVERNMENTAL SCHEMES

1.3.1 MARINE STEWARDSHIP COUNCIL

1.3.1.1 Objectives and Standard

The Marine Stewardship Council (MSC) is a non-profit organization based in the United Kingdom that has established a voluntary certification and ecolabelling program for sustainable seafood. The MSC is the standard setting organization, and claims to conform with the FAO Ecolabelling Guidelines and the ISEAL Code of Good Practice. Independent certifying bodies are independently accredited by Accreditation Services International (ASI).

The MSC's certification program covers both certification of sustainable fisheries and the fish product supply chain. Once a fishery is certified, the fish and fish products originating from that fishery are eligible to enter the supply chain which is certified through the MSC's Chain of Custody (COC) procedure. The supply chain, and hence the COC, may start before the fish leaves the vessel (in the case of some catcher-processors), but more often the entry point is the site of landing or first sale. Numerous types of organizations can apply for and receive chain of custody certification, including: fishing vessels, auction houses, primary processors, secondary processors, brokers, traders, wholesalers/distributors, storage and transportation companies³, restaurants, retail stores and fish markets. The scope can include any type of fish product, ranging from whole fish, to fish sticks, to fish chowder, to encapsulated fish oil.

1.3.2 MARINE ECO-LABEL JAPAN

1.3.2.1 Objectives and Standard

The Marine Eco Label (MEL)-Japan seafood certification scheme was established in 2007, under the auspices of the Japan Fisheries Association, the largest fishing industry organization in Japan, and aims to support fishermen who are proactive in fisheries management and encourage consumer support for their products. Distributing organizations wishing to handle products from MEL-Japan certified fisheries voluntarily apply for chain of custody certification. At present there are 39 organizations certified for chain of custody under the MEL-Japan scheme (MEL-Japan 2011).

1.3.3 FRIEND OF THE SEA

1.3.3.1 Objectives and Standard

Friend of the Sea (FOS) is an international third-party organization that provides certification for products from fisheries and aquaculture that are compliant with its sustainability criteria. It is an independent, non-profit organization that provides information, primarily to consumers, through labeled products in supermarkets and through their website, as well as to companies at various meetings and conferences. FOS certifies fisheries and aquaculture operations worldwide, in both developed and developing countries. In addition to seafood products, its certified products also include fishmeal, fish oil, fish feed and omega-3 supplements. It is a voluntary and market-driven scheme.

FOS assesses and certifies fisheries and aquaculture facilities against its standards, which include a traceability component. The objective of the traceability standard is to assure seafood suppliers, distributors, vendors, and consumers that a claim of Friend of the Sea compliant origin for a product can be substantiated and documented.

1.3.4 GLOBAL AQUACULTURE ALLIANCE

1.3.4.1 Objectives and Standard

The Global Aquaculture Alliance (GAA) describes itself as 'the leading international organization dedicated to advancing environmentally and socially responsible aquaculture and a safe supply of seafood to meet growing world food needs'. The non-profit was founded in 1997 and develops Best Aquaculture Practices (BAP) certification standards. The BAP standards currently cover aquaculture facilities (farms, hatcheries, feed mills and processors) for shrimp, salmon, tilapia, channel catfish and

³ Transportation companies are typically included only as subcontractors to a certified company.

Pangasius (standards are specific to the species and type of facility in question). Additional standards are under development. The guiding principles for responsible aquaculture, which are the core objectives of the BAP programme, are to achieve environmental, economic and social sustainability of aquaculture operations by minimizing ecological impacts, using fresh water sustainably, avoiding disease outbreaks, minimizing risks from introduction of exotic species, and benefiting local communities and economies.


1.3.5 GLOBALG.A.P

1.3.5.1 Objectives and Standard

GLOBALG.A.P. is an independent private sector organization that sets voluntary standards for the certification of production processes of agricultural products. This includes aquaculture products, but not wild fisheries. It aims to serve as a manual for 'Good Agricultural Practice' that minimizes detrimental environmental impacts, ensures animal welfare and worker health and safety. The programme also claims to provide a framework for benchmarking existing national or regional farm assurance schemes and standards, as a way of reducing redundancy and harmonizing existing programmes. GLOBALG.A.P. is a business-to-business scheme that is not visible to consumers, but rather aims to reassure retailers of the origin and production methods of aquaculture product. As of 2008 there were 92 000 producers involved in the program. The programme includes a chain of custody standard which aims to ensure that any product sold as GLOBALG.A.P.-certified is produced from material that originates from certified GLOBALG.A.P. farms.

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COMMITTEE ON FISHERIES

SUB-COMMITTEE ON FISH TRADE

Thirteenth Session

Hyderabad, India, 20-24 February 2012

Review of market access requirements

Executive Summary

FAO has been working to develop science-based Codex standards on food safety and quality and on topics not covered by Codex such as sustainability, environmental and social issues. The FAO Code of Conduct for Responsible Fisheries provides a broad framework for countries to implement good practices and improve fish utilization and trade. FAO has also been working to develop Guidelines, like the recently approved Guidelines for Aquaculture Certification, and to assist member countries in implementing the eco-labelling guidelines and other market-based requirements such as the European Union's (EU) illegal, unreported and unregulated (IUU) regulations. The objectives of this paper are to i) report on recent developments in market access requirements related to consumer protection, labelling and certification; ii) describe FAO activities in this field; and iii) seek the guidance of the Sub-Committee on how to strengthen FAO's work in this area.

The Sub-Committee is invited to:

1. Comment on FAO's work in reference to:

- scientific support to Codex in standard setting process;
- technical assistance to member countries to implement standards, guidelines, good practices in aquaculture, fish handling and processing to improve market access; and
- dissemination of information related to standards, guidelines, certification and harmonization of systems.

2. Recommend future areas of work, with particular attention to small-scale fisheries and aquaculture.

INTRODUCTION

1. During its Twelfth Session the COFI Sub-Committee on Fish Trade¹ (COFI:FT) reviewed developments and issues in international fish market access, particularly those relevant to fish and seafood safety, quality, traceability, certification, private standards and market access barriers. COFI:FT appreciated FAO's work in providing scientific support for Codex standard setting activities and for its technical assistance to developing countries in capacity building to implement Codex Codes of Practices and Standards. Further, the Sub-Committee highlighted the complexity of market access requirements for fish trade at the international level, and the special needs of small-scale fisheries and aquaculture. COFI:FT requested FAO to strengthen efforts for effective harmonization and promotion of equivalence of certification schemes, using the best available scientific information for standard setting and certification.
2. The Twenty-ninth Session of COFI² endorsed the COFI:FT recommendations and emphasized the need to look at issues related to small-scale fisheries and aquaculture.
3. The objectives of this paper are to i) report on recent developments in market access requirements related to consumer protection, labelling and certification; ii) describe FAO activities in this field; and iii) seek the guidance of the Sub-Committee on how to strengthen FAO's work in this area.

RECENT DEVELOPMENTS IN FISH SAFETY AND QUALITY

4. Fish safety and quality management regimes involve the entire supply chain, from primary production (aquaculture or capture fisheries) to the consumer, and implementation of measures based on science to prevent problems. Recurring episodes of food safety problems with various food categories have led to media and political focus and rapidly evolving food safety management systems, including for fisheries and aquaculture.
5. The European Union (EU), the United States of America (USA) and Japan continue to be the major international markets (accounting for about 68 percent of international fish trade) for fish and fishery products. New food safety regimes in these markets should be of great interest for exporting countries. The USA is in the process of implementing the recently passed Food Safety Modernization Act (FSMA)³ and the mandatory catfish inspection programmes. FSMA requires food facilities to implement a written preventive controls plan including: 1) evaluation of the hazards that could affect food safety; 2) specifying the preventive steps, or controls, that will be put in place to significantly minimize or prevent the hazards; 3) specifying how the facility will monitor these controls to ensure they are effectively working; 4) maintaining routine records of the monitoring; and 5) specifying what actions the facility will take to correct problems that arise. Food testing laboratories should be accredited. The importers have an explicit responsibility to verify that their foreign suppliers have adequate preventive controls in place to ensure that the food they produce is safe. The FSMA establishes a program through which qualified third parties can certify that foreign food facilities comply with USA's food safety standards and this certification may be used to facilitate the entry of imports. The third party certification bodies should be accredited and recognized by the Food and Drugs Administration (FDA).
6. The EU fish import system is based on listing of countries eligible to export based on the certification by a national Competent Authority. The Competent Authority is empowered, structured and resourced to implement effective inspection and provide credible guarantee for fishery products that are destined for this market. The EU Food and Veterinary Office (FVO) missions to exporting third countries to evaluate the functioning of their Competent Authority. As an example, during the period 2010- 2011, the EU FVO undertook 22 such missions for fishery products. The European Food Safety Authority (EFSA) provides scientific advice for development of EU regulations related to food

¹ FAO. 2010. Report of the Twelfth Session of the COFI Sub-Committee on Fish Trade. Rome, Italy.

² FAO. 2011. Report of the Twenty-ninth Session of the Committee on Fisheries COFI. Rome, Italy.

³ <http://www.fda.gov/food/foodsafety/fsma/default.htm>

safety. Recently, based on EFSA advice, the EU reduced the acceptable limits for polycyclic aromatic hydrocarbons in smoked fish⁴. The new levels will be implemented from 2012.

7. The Japanese food safety management system is based on a preventive approach using Good Hygienic Practice and Hazard Analysis and Critical Control Points (HACCP) during processing. For certain products such as fish products to be consumed raw, specific criteria must be met. The Japanese Ministry of Health, Labour and Welfare has a webpage⁵ in English that provides information on import procedures under the Food Sanitation Law, the annual plan for imported food monitoring and data on violations.

8. Apart from food safety, consumers in major markets are becoming increasingly aware of sustainability, environmental and social issues associated with fish production, processing and marketing. Supermarket chains and large retailers are emerging as important players in setting requirements for the products they buy, often certified by private or non governmental third parties. The issue of how to deal with private standards was introduced at the Thirty-fourth Session of Codex Alimentarius Commission (CAC) in July 2011 by the observer from the World Trade Organization (WTO) who informed the CAC that the matter is under discussion at the Sanitary and Phytosanitary (SPS) Committee. The SPS Committee has recommended that national governments sensitize private sector bodies in their countries regarding the importance of international standards of CAC, World Organisation of Animal Health (OIE) and International Plant Protection Convention (IPPC)⁶.

FAO ACTIVITIES

9. The FAO Fisheries and Aquaculture Department has continued its scientific and technical support to FAO's normative work by:

- Providing advice to the Thirty-first Session of the Codex Committee on Fish and Fishery Products (CCFFP). The Thirty-first Session made progress on several sections of the Code of Practice for Fish and Fishery Products and standards, including final endorsement for some sections⁷.
- Providing advice to the Forty-second Session of the Codex Committee on Food Hygiene (CCFH), which endorsed hygiene provisions of some of the draft standards related to fishery products⁸.
- Continuing work on the development of risk analysis tools for use by national governments based on FAO/World Health Organization (WHO) risk assessment for *Vibrio* spp in seafood.
- Providing support to the CCFH Electronic and Physical Working Group on the development of a Code of Hygienic Practice for Control of Viruses in bivalve molluscs.
- Organizing an Expert Consultation on *Salmonella* in bivalve molluscs and updating available information on biotoxins in the form of a Fisheries Technical Paper (FTP 551) to provide advice to CCFFP on standards for live and raw bivalve molluscs.
- Reviewing the current practices and emerging issues related to private standards and certification in fisheries and aquaculture in the form of a Fisheries Technical Paper (FTP 553).
- Supporting a Regional Workshop attended by fish producing countries in East Asia along with other agencies such as the OIE, International Standards Organisation (ISO) and Global Food Safety Initiative (GFSI).

⁴ <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2011:215:0004:0008:EN:PDF>

⁵ <http://www.mhlw.go.jp/english/topics/importedfoods/index.html>

⁶ http://www.codexalimentarius.net/download/report/767/REP11_CACe.pdf

⁷ http://www.codexalimentarius.net/download/report/764/REP11_FFPe.pdf

⁸ http://www.codexalimentarius.net/download/report/753/REP11_FHe.pdf


- Disseminating updated information on assessment and management of fish safety and quality, including for bivalve molluscs, and developments in fish processing technology through FAO Fisheries Technical papers.
- Supporting the development of appropriate fish processing methodologies to meet process-related standards established by major import markets, ex: the polycyclic aromatic hydrocarbons (PAH) level in smoked fish.
- Developing an FAO evaluation framework to assess the conformity of public and private ecolabelling schemes with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries.
- Providing support to countries to implement aquaculture certification programmes and to organize small-scale fish farmers into clusters to comply with the requirements of international markets.

10. FAO continued its capacity building activities in developing countries for:

- Implementing Codex guidelines, codes of practice and standards, assessment and management of national seafood safety and quality regimes to meet major market requirements and comply with the Agreement on the Application of Sanitary and Phytosanitary Measures (SPS) and the Agreement on Technical Barriers to Trade (TBT) requirements, traceability and certification programmes.
- Implementing programmes to enable small-scale fish farmers and fishers to meet certification and other market requirements.
- Providing technical assistance to developing countries to improve their capacity to meet SPS requirements, in partnership with the Standards and Trade Development Facility (STDF). There are several examples of FAO providing such assistance, e.g. a regional project in North Africa, which assisted five countries to meet SPS requirements in international fish markets. Member countries in need of such assistance are encouraged to contact FAO.
- Implementing regional training programmes that would help member countries to handle SPS and TBT issues in WTO.
- Supporting sustainable seafood business models in cooperation with Allfish (a partnership composed of FAO, the International Coalition of Fisheries Associations, the World Bank and the Global Environmental Facility).

11. FAO has been working to develop science-based Codex standards on food safety and quality and on issues not covered by Codex such as sustainability, environmental and social issues. The FAO Code of Conduct for Responsible Fisheries (CCRF) provides a broad framework for countries to implement good practices and improve fish utilization and trade. FAO has also been working to develop Guidelines, like the recently approved Technical Guidelines for Aquaculture Certification, and to assist member countries in implementing the eco-labelling guidelines and other market-based requirements such as the EU's illegal, unreported and unregulated regulations.

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COMMITTEE ON FISHERIES

SUB-COMMITTEE ON FISH TRADE

Thirteenth Session

Hyderabad, India, 20-24 February 2012

Value-chain analysis and international fish trade

Executive Summary

The purpose of this document is to inform the Sub-Committee of FAO's ongoing analysis on value-chains in international fisheries with a focus on the small-scale sector. Although the project is still ongoing and the results are not fully completed, four preliminary findings seem to have emerged from the initial data and analysis:

1. Price data on the species and products throughout the value-chain are not readily available;
2. The fragmentation of producers and their small size undermine their position versus the exporter;
3. Increased access to international markets has the potential to raise the revenues of small-scale producers; and
4. In some cases, there appears to be the possibility to expand the national market with the potential to raise the revenues of small-scale producers.

Two case studies are presented in the paper.

The Sub-Committee is invited to:

1. Provide information on developments within national value-chains and their linkages to international markets;
2. Provide national experience in studies of fisheries value-chains; and
3. Provide guidance for future work by FAO in the area of value-chain analysis, particularly with regard to enabling small-scale operators to improve their relative positions within the chain.

INTRODUCTION

1. FAO and the Norwegian Agency for Development Cooperation (NORAD) have initiated a comprehensive value-chain analysis of international fish trade with an impact assessment on the small-scale sector in developing countries¹. The aim of this two-year project, which started in autumn 2009, is to identify ways to improve food security for local populations through more informed policy making.
2. Fish exports and trade are a major source of income for developing countries. Developing countries now account for more than 50 percent of global fish exports, with annual net export revenues exceeding US\$ 27 billion. Jobs are created in production, processing and trade, and local food security is strengthened, both by providing families enough income to purchase staple foods and through the nutritional contribution of dietary fish intake.
3. In fish production, capture fisheries as well as fish farming, a large share is carried out by the small-scale sector. It is therefore of crucial importance to arrive at policies that safeguard the interests of the small-scale sector, not only by enabling producers to access international markets, but also to help them secure prices and margins that will allow the sector to achieve long-term sustainability from an economic, social and biological resource perspective.

OBJECTIVES

4. The objective of the project is to achieve a more comprehensive understanding of the dynamics of relevant value-chains in international fish trade and to make policy recommendations. The project will analyse the distribution of benefits in the value-chain and the linkages between the benefits obtained and the design of the chain. Comparisons will be made between domestic, regional and international value-chains with the goal of better understanding how small-scale producers in developing countries can increase the value derived from their fishery resources.
5. The study will analyse the factors that determine prices and margins throughout the value-chain as well as the distribution of benefits among the various stakeholders. Aquaculture and inland fisheries will be considered in addition to capture fisheries. Particular attention will be given to processing in order to compare the difference in value generated from the export of unprocessed versus processed fish.
6. The project involves case studies of 15 countries, where five are industrialized and the remaining are developing countries. The industrialized countries include Japan, Canada, Norway, Iceland and Spain. The case studies for Iceland, Norway and Spain are locally financed. The developing countries are Honduras and Peru (Central and South America); Uganda, Kenya and Ghana (Africa); Cambodia, Vietnam, Thailand, Bangladesh and the Maldives (Asia).
7. For each country a background report is prepared, providing information about the fisheries/aquaculture sector, trends in quantities and prices, and an overview of the industry structure, including pertinent regulations and relevant value chains. In addition, an analytical report will be prepared for each country with statistical analyses of price linkages in the value chains. All the results will be synthesised in two non-technical project reports. In addition, a special report will be devoted to gender issues in the value chain.

STUDY HIGHLIGHTS

8. In the following, we will look at preliminary results from two countries: Peru and the Maldives.

¹ This is a follow-up to a 2004 study on the impact of international fish trade on local food security, published as FAO Fisheries Technical Paper 456.

THE PERU CASE STUDY

9. Small-scale capture fisheries contribute to the livelihoods of many people along the Peruvian coast. Aquaculture, on the other hand, is a more recent activity. Fish farming is not only creating new business opportunities along the coast, but also in the Andes Mountains and the Peruvian jungle. Small-scale trout farming is booming in the Andes and has made farmed trout among the three most important aquaculture species in Peru. Shrimp and scallops are the other two major species, with production taking place along the coast.

10. Small-scale fish farming involves technical challenges related both to production and marketing. It is well known that fish often fetch higher prices in international markets compared to domestic, which means that the ability to access international markets can be a great advantage for small-scale producers.

11. Figures 1a-c compare domestic wholesale prices for shrimp, trout and scallops with export and import prices (US for shrimp and scallop; EU for trout). All of the wholesale prices are estimated based on a weighted average between observed minimum and maximum prices at wholesale markets in Lima. With the exception of scallops, export prices are on average higher than domestic wholesale prices. In the case of scallops, however, it is likely that the wholesale prices are inaccurately reported as too high. If we assume that most sellers receive amounts closer to the minimum price rather than the maximum, the differences between export and domestic wholesale prices become positive for scallops and even larger for shrimp and trout. Indeed, from 2008 to 2010, export prices were on average 50 percent, 53 percent and 70 percent higher than the minimum domestic wholesale prices for shrimp, trout, and scallops.

12. When analysing the price formation in the international seafood markets where Peruvian export products are present, it appears that markets are competitive. This means that Peruvian producers are competitive in terms of both cost and quality. Moreover, the difference between domestic and international prices is likely to persist until a larger share of the production is exported. For example, domestic trout prices tend to be low because a large share of the production volume is sold nationally and more than adequate for current demand. Low prices could also be partly due to quality differences between exported and domestically sold product. Consequently, there are significant economic gains to be made from participating in international value chains for seafood.

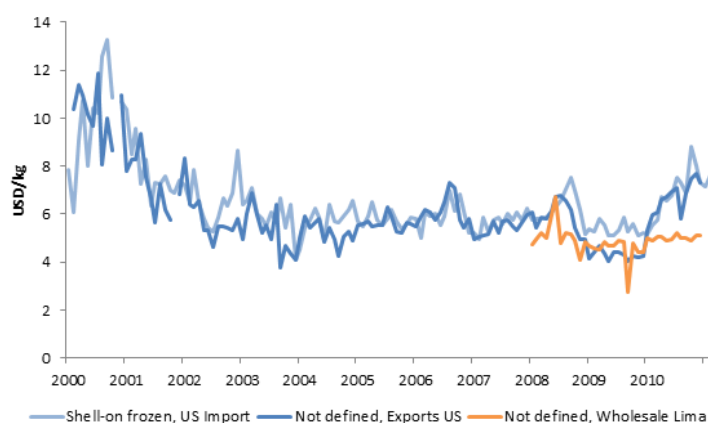


Figure 1a. Export and import prices of Peruvian shrimp to USA and Lima wholesale shrimp prices (NMFS, Ministry of Production in Peru).

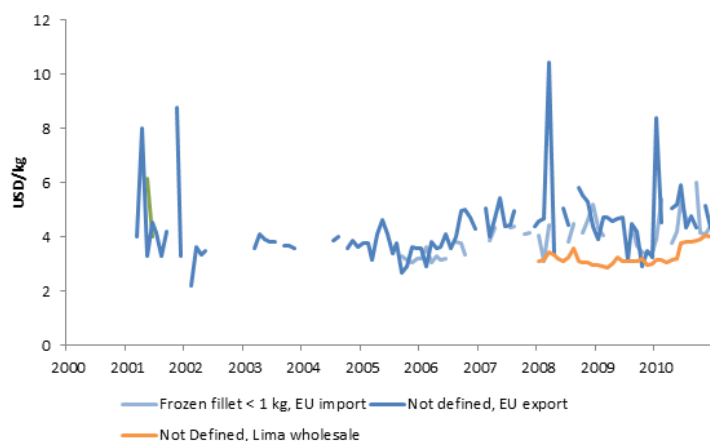


Figure 1b. Export and import prices of Peruvian trout to EU and Lima wholesale prices (NMFS, Ministry of Production in Peru).

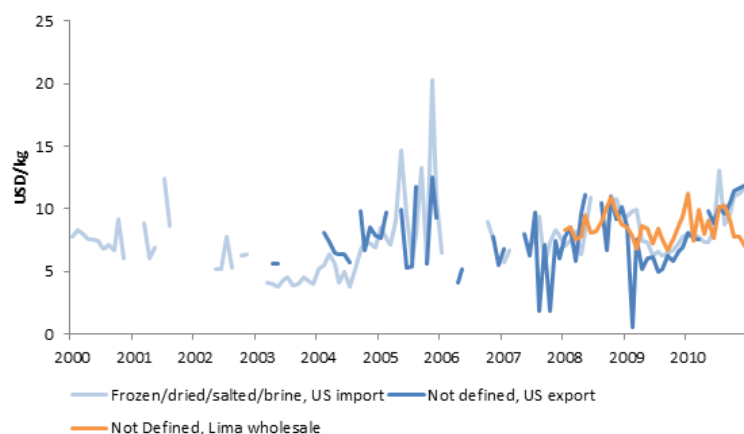


Figure 1c. Export and import prices of Peruvian scallops to USA and Lima wholesale prices (NMFS, Ministry of Production in Peru).

13. In Peru, as in many other developing countries, relatively few small-scale seafood producers are able to export their fish. Artisanal producers who do manage to export are mainly able to do so indirectly, by selling their product to larger companies with access to international supply chains. Obtaining certification for food safety and complying with traceability requirements are the main barriers that must be overcome by a new exporter, and both require more capital and knowledge of the industry than most artisanal producers possess.

14. To overcome these resource limitations two strategies appear viable. One strategy is cooperation with larger companies, as has already been noted. While this appears quite common in shrimp farming and to some extent in scallop farming, there are also interesting examples of collaboration between small and large producers in Peruvian trout farming. For instance, a few large trout companies provide technical assistance and credit to small producers, in return, the small-scale producers commit to selling their harvest to the company. This model is quite similar to that found in the agricultural sector in many different countries, and is an innovative method of cooperation that has proven successful for the small-scale producer. Additionally, if collaboration is based on long-term relations between a knowledgeable small-scale producer and an equitable buyer, the producer can receive a higher price than the domestic market would allow. Though these are instances where collaboration between large and small-scale producers has worked well, there have been reports that in

some cases, large-scale producers exploit their buying power and pay minimum prices in order to obtain the highest profit possible.

15. Another strategy entails artisanal producers pooling and sharing limited resources by forming a cooperative or association. In this case, support from the government in the form of technical training and credit can also be beneficial. For example, artisanal scallop farmers could benefit from sharing resources and trainings, as only a few companies have access to modern technology and the degree of knowledge required to thoroughly control the biological production process.

16. These case studies highlight the importance of the international seafood market for small-scale producers. Commercialization to these markets is a side of the business that is often neglected, not only by the artisanal producers themselves, but also by the public institutions that should support them. Commercialization for the small-scale sector in Peru must first involve overcoming barriers of safety certification and traceability. As noted, two strategies appear viable, but neither are perfect solutions in themselves. Forming cooperatives will allow fishers to pool limited resources, but support will be needed from the government for training and obtaining credit. Relations between small-scale and large-scale producers can be beneficial, but more research is needed to determine how fair buying prices can be better ensured for the small-scale seller. There tends to be too much focus on the potential to expand aquaculture production with little concern for where the fish should be sold, how producers should be organized, and the certification process required to obtain a viable price. However, the issue of marketing is receiving more and more attention, and will increasingly become an area of focus, especially if the difference between the domestic and international price for seafood continues to be so disparate.

THE MALDIVES CASE STUDY: The impact of export price on ex-vessel price of tuna in the Maldives

17. The fish-harvesting sector in the Republic of Maldives, which is dominated by tuna, represents about five to six percent of GDP and accounts for approximately 8 percent of total employment. The vast majority of tuna is exported as fresh, frozen, salted or tinned products. For this sector two segments define the supply chain, namely, the first-hand market/ex-vessel price and the final market/export price.

18. The main data set represents the monthly value and quantity of tuna collected from fishermen and the monthly value and quantity of exports of processed tuna for two canneries from 2005 to 2010. The data documents historical trends, and provides a comparative analysis across canneries. The data are used to calculate the ex-vessel and export price by cannery in real value terms.

19. Summary statistics show both declining harvests and exports over time. The consequence is that real income to small-scale fishermen will decline unless a rise in the real ex-vessel price offsets the fall in harvest. In fact, total real income to fishermen has declined over the period of study except for the last few months of the period (2005-2010).

20. In this research, the derived demand for tuna from export to first-hand market is analysed. This approach is based on the theory of derived demand, where the export price of fish is assumed to be given (exogenous) as it is determined by international markets, and is the major determinant in setting the ex-vessel price.

21. In the statistical analysis, the export price of fish is included as an exogenous variable in the model and controlled for seasonality and market trends to improve forecasting. Full demand and supply models are specified. Finally, an analysis is made of how the margin between export and ex-vessel prices has varied over time.

22. The model shows that a one period lagged ex-vessel price is important in setting current ex-vessel price. Additionally, the current valued export price is an important determinant of the ex-vessel price. These results indicate that the ex-vessel price for tuna in the Maldives is not determined purely by market forces. The ex-vessel price is set based on past behaviour, implying that operators are looking for stability in price trends, but that at the same time the price must respond to real shocks in the export market.

23. The model shows that a one percent increase in harvest generates downward pressure on the ex-vessel price by 0.19 percent. The implication of this result is that increased fishing efforts to harvest more will result in lower ex-vessel prices, all else equal.
24. The Maldives' tuna fishery is important in the world market for tuna and the fisher's collective behaviour impacts ex-vessel price. This is in contrast to a situation where a small fishing nation selling into a large market faces a horizontal demand curve for fish, in which case the collective behaviour of fishermen does not impact ex-vessel price.
25. Two important policy implications result from this analysis. First, reports indicate that the tuna stocks in the Indian Ocean are overexploited. This may over time have consequences for harvests as well as prices. The results may be used to quantify the impact on revenues to exporters and small-scale fishermen. Secondly, as the industry is characterised by a buying process dominated by the processors, various ways of improving the bargaining power of fishermen could be considered. One obvious example would be that of fishermen's cooperatives.

SUMMARY

26. The case studies in this analysis are composed of a large number of different fisheries and farming systems that produce fish for local, regional and international markets.
27. Price linkages can be considered in two dimensions. One is horizontal, i.e., representing the prices of essentially the same commodity in different geographical markets. If prices tend to be uniform, adjusting for differences in transportation costs, the product is determined to belong to the same market. The same definition can be used with respect to different products, e.g. fresh vs. processed product.
28. Price linkages can also be considered in the value chain, e.g. from fisherman/fish farmer to processor to distributor/retailer and consumer. Price linkages depend on the industry structure.
29. So far, results are available for only a few countries and it is too soon to draw many conclusions. Nevertheless, one general conclusion can be drawn: for most countries, price data that would allow price analyses for the entire value chain are not available. This is true even for a country like Canada, where there is access to prices to the fisherman/fish farmer, processor and exporter, but retail prices are not available, either for the domestic nor for the international market. Thus, the critical issue of data collection in this area needs to be addressed.
30. PERU:
- trout, scallops and shrimp are competitive in international markets;
 - scope exists to expand domestic trout market;
 - small-scale producers would benefit from cooperation;
31. MALDIVES:
- Canneries largely determine the ex-vessel price for fish;
 - data collection in this area needs to be addressed;
32. For Peru, the analysis shows that farmed trout, scallops and shrimp are competitive in international markets. There is scope for expanding the domestic trout market, however, this will require that the volume produced increases sufficiently so as to be able to supply large retailers like supermarkets.
33. Exporters appear to have a dominant position compared to farmers, who are generally small-scale. Different measures may be taken to strengthen the position of small-scale farmers. One option would be to establish farmers' cooperatives or associations, but the government must assist this process by providing technical extension and improving the availability of credit. These efforts would not only help to increase production, but could also improve the income, food security and general welfare of small-scale farmers. Another option would be to conduct further research into what factors


exist in relationships between small and large-scale producers that help ensure a fair price to the small-scale producers. These factors may or may not be replicable, but further research is needed.

34. For the Maldives, overexploited fish stocks in the Indian Ocean may over time reduce catches. Even if prices increase, it is likely that total revenues will decline, both to exporters and small-scale fishermen. In this situation, it is important to put greater emphasis on product quality, which may help differentiate the product in the market place and give rise to a positive price premium.

35. The situation of the tuna fishermen in the Maldives is parallel to that of small-scale fish farmers in Peru as the exporters in both countries, the canneries in the Maldives and the large-scale producers with access to international markets in Peru, play the dominant role at the expense of the small-scale fishers and farmers. The formation of fishermen's cooperatives may result in greater bargaining power for fishermen and thereby improve their welfare. Focusing on product quality could create a positive price premium for Maldives small-scale fishermen, but would require improved storage, handling and processing.

November 2011

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	منظمة الأغذية والزراعة للأمم المتحدة	联合国 粮食及 农业组织	Food and Agriculture Organization of the United Nations	Organisation des Nations Unies pour l'alimentation et l'agriculture	Продовольственная и сельскохозяйственная организация Объединенных Наций	Organización de las Naciones Unidas para la Alimentación y la Agricultura
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COMMITTEE ON FISHERIES

SUB-COMMITTEE ON FISH TRADE

Thirteenth Session

Hyderabad, India, 20-24 February 2012

Update on CITES related activities

Executive Summary

This document provides an updated overview of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) related activities undertaken by the FAO Fisheries and Aquaculture Department since the report of the Twelfth Session of COFI:FT in 2010. This includes work done on clarifying the different positions of FAO and of the CITES Secretariat regarding the application of the Appendix II listing criteria to commercially exploited aquatic species and the activities conducted to improve capacity and management of listed species, including the Introduction from the Sea issue.

The Sub-Committee is invited to:

1. Comment on FAO's position regarding the application of CITES criteria for including commercially exploited aquatic species on CITES Appendix II, and to consider any additional actions to be taken by FAO and by individual Members to ensure a satisfactory outcome to the consideration of the application of the criteria.
2. Consider the new proposed "Memorandum of Cooperation between FAO and CITES" (MoC) taking into account that the already existing *Memorandum of Understanding on commercially-exploited aquatic species* between CITES and the FAO Fisheries and Aquaculture Department remains valid and untouched (<http://www.cites.org/eng/com/sc/61/E61-15-05.pdf>).
3. Discuss the priorities for FI regarding its future work related to CITES within the framework of the existing MoU. In this context the Sub-Committee may consider the results of the FAO Council meeting in November 2011 (information in separate document) regarding funding of the CITES-related activities by FAO. Currently, nearly all of the work over the last six years by the Fisheries and Aquaculture Department on CITES-related issues has only been possible because of the funds provided by the Government of Japan through the Trust Fund project on CITES.

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INTRODUCTION

1. The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) is an international agreement established with the objective to protect and conserve endangered species by ensuring that their survival is not threatened by international trade. Roughly 5000 species of animals and 28000 species of plants are subjected to protection by CITES against over-exploitation through international trade. Those species are listed in one of three Appendices, and international trade in these species is controlled according to the degree of protection they require.
2. The CITES Appendices currently include close to 100 commercially-exploited aquatic species of fish, molluscs and echinoderms, including amongst others, basking shark (*Cetorhinus maximus*), great white shark (*Carcharodon carcharias*), whale shark (*Rhincodon typus*), all species of sawfishes (Pristidae), sturgeons (*Acipenser brevirostrum* and *A. sturio*), European eel (*Anguilla anguilla*), Napoleon wrasse (*Cheilinus undulatus*), all species of seahorses (*Hippocampus spp.*), Caribbean queen conch (*Strombus gigas*), giant clams (Tridacnidae) and one species of sea cucumbers (*Isostichopus fuscus*).
3. A Memorandum of Understanding (MoU) from 2006 between the FAO Fisheries and Aquaculture Department and CITES formalizes the intentions of the two organizations in strengthening cooperation on common issues related to commercially-exploited aquatic species. The MoU has been considered an important achievement by many FAO Member Countries and Parties to CITES.
4. This report provides an updated overview of the CITES related activities undertaken by the FAO Fisheries and Aquaculture Department since the Twelfth Session of the Sub-Committee on Fish Trade (COFI:FT) in 2010, including work conducted under the work plan and the Trust Fund Projects on “*CITES and commercially-exploited aquatic species, including the evaluation of listing proposals (Phase I and Phase II)*”, funded by the Government of Japan.

THE APPLICATION OF CITES CRITERIA TO COMMERCIAL-EXPLOITED AQUATIC SPECIES

5. In April 2011, FAO convened a Workshop in response to a request by the Fifteenth Conference of the Parties (CoP) of the Convention on International Trade in Endangered Species (CITES) in 2010 that FAO assist CITES in the process of clarifying the interpretation of criteria for listing commercially-exploited aquatic species proposed on Appendix II. Specifically, the CoP15 requested the CITES Secretariat to “*a) prepare a report that will summarize the experience in applying criterion Annex 2 a B and the introductory text to Annex 2 a of Resolution Conf. 9.24 (Rev. CoP15) to some or all of the commercially exploited aquatic species that were proposed for inclusion on Appendix II at the 13th, 14th and 15th meetings of the Conference of the Parties, highlighting any technical difficulties or ambiguous issues encountered, including, where appropriate, illustrations of these matters by comparison with application of the criteria to other species; b) request IUCN/TRAFFIC¹ and the Food and Agriculture Organization of the United Nations to each prepare a report, subject to the availability of external funding, with the same requirements as the report referred to in paragraph a) above;*” (Dec. 15.28)².
6. The report of the Twelfth session of the Sub-Committee on Fish Trade (paragraph 44) “supported that the FAO Secretariat give active input to the inter-session process set up by CITES for the purpose of clarifying the interpretation of the Appendix II listing criteria, as applied to commercially-exploited aquatic species, stressing that a harmonized interpretation of these criteria is of key importance for the ongoing work of the FAO Expert Advisory Panel”³.

¹ IUCN: International Union for Conservation of Nature; TRAFFIC: The wildlife trade monitoring network.

² Criteria for the inclusion of species in Appendices I and II (CITES Dec. 15.28).

http://www.cites.org/eng/dec/valid15/15_28-30.php.

³ FAO Committee on Fisheries. Report of the twelfth session of the Sub-Committee on Fish Trade. Buenos Aires, Argentina 26–30 April 2010 (<http://www.fao.org/docrep/013/i1684t/i1684t00.pdf>).

7. The 2011 Workshop analysed the approaches used by the FAO Expert Advisory Panel in applying the criteria described in both paragraphs (A and B) of Annex 2 a of Resolution Conf. 9.24 (Rev. CoP15). The FAO view that for both paragraphs of Annex 2 a the definitions, explanations and guidelines in Annex 5 of the Resolution Conf. 9.24 (Rev. CoP15) apply was endorsed by the Workshop. In addition, the Workshop recommended that the distinction made by the CITES Secretariat between the terms “*decline*” and “*reduce*” be clarified, in particular whether some other measure of decline is intended to apply to Annex 2 a B compared to Annex 2 a A. Furthermore the Workshop observed that the FAO Expert Advisory Panel considered CITES Resolution Conf. 9.24 (Rev. CoP15) as a whole to provide adequate guidance for the determination, in a precautionary manner, of whether a species is at risk in the future as a result of international demand for trade.

8. The Report of the Workshop was presented at the 25th CITES Animals Committee (AC) in July 2011 where FAO made a statement (Annex 1) that also included an answer to the reports presented at the same meeting by the CITES Secretariat and by the IUCN/TRAFFIC (all these reports are included in AC25 Doc. 10⁴). The discussion following these presentations was short and an inter-session working group was set up to report to the next Animals Committee meeting in March 2012. The working group was mandated to develop guidance on the application of the listing criteria to commercially-exploited aquatic species and to recommend the best ways to apply such guidance without affecting the application of the criteria to other taxa for consideration by SC 62. The working group is currently exchanging views via a non-public electronic discussion forum set up by the CITES Secretariat.

9. The inter-session working group is chaired by AC Vice-Chair (Ms Caceres) and includes the representatives of Africa (Mr Zahzah), Asia (Mr Pourkazemi) and Europe (Mr Fleming), the Chair of the Plants Committee, Australia, Brazil, Canada, China, the Czech Republic, Germany, India, Indonesia, Japan, Mexico, New Zealand, the Republic of Korea, Spain, Thailand, the United States of America (USA), the European Union (EU), FAO, International Union for Conservation of Nature (IUCN), United Nations Environment Programme - World Conservation Monitoring Centre (UNEP-WCMC), Fundación Cethus, Humane Society International, International Environmental Law Project (IELP), World Conservation Trust (IWMC), Pew Environment Group, SWAN International, TRAFFIC International and World Wide Fund (WWF).

THE INTERPRETATION OF "INTRODUCTION FROM THE SEA"

10. At its Fifteenth meeting (CoP15, Doha, 2010), the Conference of the Parties adopted Decision 14.48 (Rev. CoP15) and 15.50⁵ that directed the Standing Committee to extend the operation of the Working Group on Introduction from the Sea, established at SC57, to consider among other matters the definition for ‘transportation into a State’ and the clarification of the term ‘State of introduction’. FAO participated at a meeting of the CITES Standing Committee “*Working Group on Introduction from the Sea*” in May 2011 (Bergen, Norway). Working Group members reached agreement on the general approach put forward by the Chair and Vice-Chair which proposed that introduction from the sea occurs when a ship registered in one State takes specimens in the marine environment not under the jurisdiction of any State and transports them into the same State. Members also agreed that, when a ship registered in one State takes specimens in the marine environment not under the jurisdiction of any State and transports them into another State, it should be treated as an export/import and not an introduction from the sea.

11. A number of specific implementation issues (origin of products, flow of products, chartering, differential treatment and WTO and determination of legal acquisition) were discussed by the Working Group as well as two other issues (i.e. reference to Regional Fisheries Management Organizations and timing of non-detriment findings and issuance of documents). Moreover the Working Group proposed a draft revision of Resolution Conf. 14.6 (Rev. CoP15) and adjusted the preamble and operative paragraphs to reflect the results of their discussions. Not reaching consensus

⁴ <http://www.cites.org/eng/com/ac/25/E25-10.pdf>

⁵ CITES Decision 14.48 (Rev. CoP15) and 15.50 (http://www.cites.org/eng/dec/valid15/15_50-14_48.php).

on the issue of chartering, the relevant text was moved from the discussion document to the revised draft resolution but kept in brackets, pending further consultation on a consensus text⁶.

12. FAO attended the CITES Standing Committee in August 2011 where the Working Group on Introduction from the Sea reached a consensus on the paragraph on “chartering” and agreed on a revised text for Annex 1 of SC61 Doc. 32⁷.

MEMORANDUM OF COOPERATION (MoC)

13. At the Sixty-first CITES Standing Committee meeting in August 2011, the CITES Secretariat presented Document SC61-15.5 related to a “*Memorandum of Cooperation*” (MoC) between the FAO and CITES Secretariats⁸, aimed at establishing a framework for cooperation in the area of biological conservation and sustainable resource use of relevance to food and agriculture, fisheries, forestry, and wildlife. The existing *Memorandum of Understanding (MoU) on commercially-exploited aquatic species* would be attached unchanged as an Annex. Mr José Antonio Prado, Director of the Forest Assessment, Management and Conservation Division of the FAO Forestry Department, gave a supporting intervention regarding the MoC on behalf of FAO.

14. Reception of the draft text by CITES Parties was mixed. While some Parties fully supported the wording of the presented draft, others expressed concerns in particular about the paragraphs G and H of Article IV of the draft, which were seen by those countries as opening the door for interference by FAO in CITES matters. Some countries also “strongly opposed” a general (“umbrella”) MoC with FAO (in contrast to MoCs with FAO Departments only). It was decided that the CITES Secretariat continues its negotiations with FAO to find more agreeable wording.

TIME BOUND LISTING

15. At the Sixty-first Standing Committee meeting in August 2011, the CITES Secretariat presented *Document SC61 Doc 53* recalling the discussion at CoP15 in 2010 on the difficulty, which is sometimes experienced in either down-listing or removing a species from the CITES Appendices. The Secretariat encouraged the Parties to have an open discussion on this issue and invited the Standing Committee to consider whether it wished to initiate a policy dialogue on measures that may be available to the Parties to enhance the complementarities of CITES with other management regimes - including through making use of time-bound listings - and establishing a working group for this purpose, to report at its Sixty-second meeting. FAO gave a supporting statement to this initiative by the Secretary General of CITES (Annex 2). However, only one CITES Party supported the proposal. All other Parties who asked for the floor were opposed to even discussing such an option and noted that instead the periodic reviews of species listed under CITES should be strengthened. This remained the final recommendation by the Standing Committee.

ASSISTANCE IN RELATION TO LISTED SPECIES

SHARKS

16. In 2011 FAO reported a “marked improvement in the conduct of assessments for the International Plan of Action (IPOA)-Sharks”⁹. There has been a common perception of slow progress in implementing the IPOA-Sharks by FAO Member countries, fuelled by a strong criticism from some NGOs and Parties on FAO’s role in fostering shark fisheries management internationally. The issue has received increased attention from CITES on the conservation of shark species affected by international trade.

⁶ Sixty-first meeting of the Standing Committee Geneva (Switzerland), 15-19 August 2011 Interpretation and implementation of the Convention Trade control and marking. Introduction from the Sea. (<http://www.cites.org/eng/com/sc/61/E61-32.pdf>).

⁷ Sixty-first meeting of the Standing Committee Geneva (Switzerland), 15-19 August 2011 Interpretation and implementation of the Convention Trade control and marking. Revised Annex (15 August 2011) Draft revision of Resolution Conf. 14.6 (Rev. COP15) (<http://www.cites.org/eng/com/sc/61/com/E61-Com-01.pdf>).

⁸ <http://www.cites.org/eng/com/sc/61/E61-15-05.pdf>

⁹ COFI/2011/2 <http://www.fao.org/docrep/meeting/021/k9050E.pdf>

17. FAO and CITES jointly convened a Workshop to “Review the application and effectiveness of international regulatory measures for the conservation and sustainable use of elasmobranchs” in Genazzano, Italy, July 2010. The Workshop was attended by experts from different geographic areas and sectors including scientific assessment, fisheries management, fishing industry, fish trade, monitoring and control, and government administration. The workshop described various fishery and trade regulations and discussed their effectiveness with regard to implementation and stock recovery, as well as their impact on fisheries, livelihood, food security, markets and trade, and government administrations. A key output of the workshop consists of a tabular summary of the discussed effects of different measures on various sectors. This table and the descriptions in the narrative part of the report, are designed to assist resource managers in their decision-making regarding appropriate management regulations for the conservation and sustainable use of sharks. The report of the Workshop will be available on the FAO website and as a made available document during the COFI:FT.

18. In August 2011, FAO participated in the CITES Animals Committee Working Group on Sharks. The group considered national reports and developed a questionnaire on the implementation of the IPOA Sharks. FAO was requested by the group to liaise with the CITES Secretariat regarding the questionnaire to be jointly sent to the main shark-fishing countries. The link to the report of the WG is: <http://www.cites.org/eng/com/ac/25/wg/E25-WG06.pdf>.

19. At the Twelfth Session of COFI:FT, the Sub-Committee requested that FAO “compile current regulations and activities by States and regional fisheries management organizations (RFMOs) related to the conservation of sharks independently of whether they have been formalized in a National Plan of Action (NPOA)”. This request was echoed by the Committee on Fisheries (COFI) at its Twenty-ninth session 2011. Accordingly, FAO is undertaking a comprehensive review of the implementation of the IPOA for the Conservation and Management of Sharks (IPOA Sharks) adopted under the FAO Code of Conduct for Responsible Fisheries (CCRF) to be presented at the next COFI meeting in 2012.

SEA CUCUMBERS

20. International trade in sea cucumber (*bêche-de-mer*) is considered by CITES to be a significant conservation issue, particularly due to the poor status of sea cucumber fisheries management worldwide. Ecuador is currently the only country that has listed a species of sea cucumber (*Isostichopus fuscus*) in CITES Appendix III, in an attempt to control the overfishing of the species resulting from illegal international trade.

21. In 2010 FAO published the technical paper “*Managing sea cucumber fisheries with an ecosystem approach*”¹⁰. This document presents a logical framework to assist fishery managers in choosing an appropriate suite of regulatory measures and management actions and elaborates on the uses, limitations and ways to implement them. Moreover, in 2011, FAO published the booklet entitled “*Putting into practice an ecosystem approach to managing sea cucumber fisheries*”. It is a simplified version of the fore-mentioned technical paper¹¹.

22. FAO has produced an identification guide on “*Commercially important sea cucumbers of the world*”¹². It provides comprehensive and illustrated information on sea cucumbers, both fresh (live) and processed, to support their identification in the field and as a trade product.

23. The manuals provide a useful working tool to assist fisheries agencies, particularly in low-income countries, for the design and implementation of new management plans to save or restore sea cucumber fisheries. For this purpose, FAO supported the organization of a regional workshop for the

¹⁰ Purcell, S.W. *Managing sea cucumber fisheries with an ecosystem approach*. Edited/compiled by Lovatelli, A.; M. Vasconcellos and Y. Yimin FAO Fisheries and Aquaculture Technical Paper; 520. Rome, FAO. 2010. 157p (<http://www.fao.org/docrep/012/i1384e/i1384e00.htm>).

¹¹ FAO. *Putting into practice an ecosystem approach to managing sea cucumber fisheries*. Rome, FAO. 2010. 81 pp (<http://www.fao.org/docrep/013/i1780e/i1780e.pdf>).

¹² FAO. *Commercially important sea cucumbers of the world*. Rome, FAO. 2011. xx pp. (<ftp://ext-ftp.fao.org/Fl/Data/FIRF/CITES/SCGuide.pdf>).

Pacific countries held in Nadi, Fiji from 15-18 November 2011. The workshop aimed at assisting managers in navigating through the many potential regulatory measures and management actions for ecologically sustainable, and socially accepted, fisheries for these species.

HUMPHEAD WRASSE

24. Since the listing of humphead (Napoleon) wrasse, *Cheilinus undulatus*, on CITES Appendix II in 2004, FAO has been actively involved in the development of approaches and guidelines for the assessment and management of these species. In 2010, two FAO circulars were published: 1) *Monitoring and management of the humphead wrasse, Cheilinus undulatus*¹³ discusses the core elements of a management system for humphead wrasse, considering fisheries management objectives, management measures, enforcement, monitoring and fisheries assessment; and 2) *Estimating reef habitat coverage suitable for the humphead wrasse, Cheilinus undulatus, using remote sensing*¹⁴ evaluates the use of satellite images for mapping shallow reef areas and the habitat of humphead wrasse.

STURGEONS

25. FAO participated in the Regional Fisheries Meeting of the CaspEco Project and delivered a statement emphasizing the need for cooperation in fisheries management at regional level, for openness and transparency, and for implementing an ecosystem approach to fisheries management in the Caspian Sea. The countries were also reminded about their commitment made at the FAO workshop in Turkey in 2009, to initiate the development of national and regional plans of actions to combat illegal, unreported and unregulated (IUU) fishing.

SEA HORSES

26. The FAO Fisheries Circular No. 1058 “A Case-study of the Impacts of the CITES Listing of Sea Horses on the Status of the Species and on Human Well-being in the Philippines” was published in 2011 and made available on the web¹⁵. This study identifies the legal and socio-economic implications of the 2002 CITES Appendix II listing of seahorses (*Hippocampus spp.*) in the Philippine context. Based on their analysis, the authors recommend that the development of balanced impact assessments for listings should not only consider ecological impacts on organisms, but also policy, legal, and socioeconomic implications in an integrated fashion, which would improve both understanding and practice.

FAO EXPERT ADVISORY PANEL FOR ASSESSMENT OF PROPOSALS TO AMEND APPENDICES I AND II OF CITES CONCERNING COMMERCIALY-EXPLOITED AQUATIC SPECIES

27. At its last meeting, the Sub-Committee recommended that “technical aspects related to trade and management should be considered by the FAO Expert Advisory Panel for Assessment of the CITES listing proposals for commercially-exploited aquatic species in accordance with the existing terms of reference”. This was adopted by COFI in 2011 and every effort will be made to respond to this decision and to strengthen the attention given to these aspects when organizing the next Expert Advisory Panel towards the end of 2012.

¹³ Gillett, R. Monitoring and management of the humphead wrasse, *Cheilinus undulatus*. FAO Fisheries and Aquaculture Circular. No. 1048. Rome, FAO. 2010. 62p (<http://www.fao.org/docrep/013/i1707e/i1707e00.htm>).

¹⁴ Oddone, A., Onori, R., Carocci, F., Sadovy, Y., Suharti, S., Colin, P. L., and M. Vasconcellos. Estimating reef habitat coverage suitable for the humphead wrasse, *Cheilinus undulatus*, using remote sensing. FAO Fisheries and Aquaculture Circular. No. 1057. Rome, FAO. 2010. 27p (<http://www.fao.org/docrep/013/i1706e/i1706e.pdf>).

¹⁵ Christie, P.; Oracio, E.G.; Eisma-Osorio, L. Impacts of the CITES listing of seahorses on the status of the species and on human well-being in the Philippines: a case study. FAO Fisheries and Aquaculture Circular. No. 1058. Rome, FAO. 2011. 44p (<http://www.fao.org/docrep/013/i2003e/i2003e00.pdf>).

FUTURE ACTIVITIES BY FAO

28. FAO will continue its efforts to cooperate with CITES to assist CITES Parties in the development of guidance on the application of CITES criteria for commercially-exploited aquatic species, in particular of criterion B and the introductory text of Annex 2 a of Resolution Conf. 9.24 (Rev. CoP15). Moreover, FAO will also continue to participate in the CITES Standing Committee Working Group on Introduction from the Sea to assist Member countries in the implementation of Resolution Conf. 14.6 (Rev. CoP15).

29. FAO is committed to strengthening the implementation of the IPOA Sharks by assisting Member Countries in the development and implementation of NPOAs for the conservation and management of sharks. In this regard, FAO will continue to liaise with the CITES Secretariat, UNEP and Convention of Migratory Species (CMS) on matters of common interest in relation to the conservation of sharks.

30. FAO is working on approaches to address enforcement and identification issues in order to avoid unnecessary listing of look-alike species, and to facilitate the implementation of split listing of species in CITES.

31. FAO will produce an internal review on the stock status and exploitation of commercially-exploited aquatic species listed in the CITES Appendices.

32. Within the means and resources available, FAO will continue to provide assistance to Member Countries and regions to help improve their ability to implement CITES regulations for commercially-exploited aquatic species.

ANNEX I

CITES Animals Committee 18-22 July 2011

Criteria for the inclusion of species in Appendices I and II

Presentation by FAO

At CoP15, CITES Parties requested FAO to prepare a report summarizing its experience in applying criterion Annex 2aB and the introductory text to Annex 2a of the Resolution Conf 9.24. To assist us with this request, we invited eight experts to Rome who had each served at least once on the “FAO Expert Advisory Panel for the Assessment of Proposals to Amend Appendices I and II of CITES Concerning Commercially-exploited Aquatic Species” (in the following called simply the “FAO Panel”). During a three day workshop these experts and a number of FAO officers analysed the evaluations of past FAO Panels and discussed any difficulties or ambiguous issues encountered. The result was the report circulated by the CITES Secretariat as Annex 2 of Doc. 10, and also available as FAO Fisheries and Aquaculture Report No. 976.

Among other things, the Workshop conducted a detailed examination of how the past FAO Panels had evaluated the indicators given in the proposals, and found that not all of them followed appropriate scientific standards. In particular, the FAO Panels had had difficulties in dealing with anecdotal information, catch or landings data not standardized by effort, the implications of habitat degradation and the role of the species in its ecosystem.

Almost all proposals included time series of landings and interpreted them as reflective of population abundance. However, landings by themselves do not necessarily reflect abundance. For example, landings of a species can decline in response to reduced fishing quotas, changes in management plans, stock rebuilding efforts, changes in market demand or price, and other factors, even if population abundance is actually increasing. For this reason, catch or landings by themselves were given relatively low weight by the FAO Panels unless first standardized to effort (e.g. CPUE).

Another technical difficulty encountered by the FAO Panels involved dealing with the variation between heavily exploited populations (that meet the decline criteria) and more lightly exploited populations of the same species. The FAO Panels based their decisions as to whether the proposed species globally met the decline criteria on the proportion of populations with quantitative indices that met those criteria. Where the majority of the populations was deemed to meet or likely soon to meet the decline criteria, the FAO Panels concluded that the species met the biological CITES criteria for listing. The Workshop noted that guidance is required on what proportion of these populations need to satisfy the listing criteria for the global listing of the species.

The Workshop remarked on a potential for ambiguity resulting from the guidance that according to Annex 3 split listings should be avoided and according to Annex 4 measures adopted that are proportionate to the anticipated risk to the species. If to avoid split listing “healthy” populations of a partially troubled species are listed under the “look-alike” clause, the obviously sustainable fisheries of these “healthy” stocks will also (and unfairly) be affected by the bureaucratic burden and implementation costs of a CITES listing.

The FAO Panels considered information available on the nature and extent of trade, the impact of trade on the harvest, and management regimes in place for a species that may mitigate the need for trade to be regulated under CITES. Furthermore, these Panels addressed the likely effects of a CITES Appendix II listing for a species’ conservation and its value as a complement to existing fisheries management measures. Notwithstanding these considerations, to date the FAO Panels have supported all proposals to list a species where they found that the biological listing criteria had been met.

The Workshop endorsed the view that the intent of both paragraphs under Annex 2a are addressed operationally for commercially-exploited aquatic species by the relevant definitions, explanations and guidelines in Annex 5. It noted that these allow due account, incorporating precaution, to be taken of the possibility of “other influences” than harvesting such as environmental or demographic variability, disease and habitat perturbation reducing an otherwise stable population to a level at which its survival may be threatened. The Workshop emphasized the following paragraph of the footnote for

commercially exploited aquatic species in Annex 5 (in the following simply called “Footnote”) as being particularly pertinent to paragraph B:

Even if a population is not declining appreciably, it could be considered for listing in Appendix II if it is near the extent-of-decline guidelines recommended above for consideration for Appendix I listing. A range of between 5% and 10% above the relevant extent-of-decline might be considered as a definition of ‘near’, taking due account of the productivity of the species.

In addition, the Workshop questioned the distinction made by the CITES Secretariat between the terms “decline” and “reduce” and reported that this needs to be clarified, in particular whether in the view of the CITES Secretariat some other measure of decline is intended to apply to Annex 2a B compared to Annex 2a A. Furthermore the Workshop observed that the FAO Panels have considered CITES Resolution Conf. 9.24 (Rev. CoP15) as a whole to provide adequate guidance for the determination, in a precautionary manner, of whether a species is at risk in the future as a result of international demand for trade.

In its concluding paragraph, the workshop stated that there are two approaches to deal with potential risk to the species under the application of Annex 2a B. The approach taken by the CITES Secretariat can be seen as anticipating a possible impact across the global distribution of the species without requiring data-based evidence to project or infer the magnitude of such an impact. On the other hand, the FAO Panels have considered that there should be a demonstrable impact on the species to justify listing. The Workshop found that Resolution Conf. 9.24 (Rev. CoP15) as a whole, in particular the footnote for commercially-exploited aquatic species, sets an acceptable precautionary level of risk.

Therefore, an important question for CITES Parties is which, if either, of these two approaches is appropriate for commercially-exploited aquatic species in the context of the Convention, or whether further guidance is required. In considering this choice, the CITES Parties should take into account the extensive global experience and insight that determined the FAO recommendations on revisions to Resolution Conf. 9.24 prior to CoP13 and which were accepted by the CITES Parties at that stage.

Since the FAO report was drafted, we in the FAO have had the opportunity to read with interest the related reports of the CITES Secretariat and IUCN/TRAFFIC. We welcome that the reasons for the difference in interpretation between the CITES Secretariat and FAO are being explored in a systematic and participatory manner, and we would like to take this opportunity to share with you some important arguments and responses from a FAO perspective to the reports presented by the CITES Secretariat and IUCN/TRAFFIC.

IUCN/TRAFFIC draw our attention to the fact there is no explicit definition of “*commercially exploited aquatic species*” in Resolution Conf. 9.24. Within FAO, there is informal consensus that “*the term ‘commercially-exploited aquatic species’ in relation to CITES ... encompasses resources exploited by fisheries in marine and large freshwater bodies ... and comprises invertebrate and fish species, ...*”¹⁶ but not mammals, birds and reptiles.

We note that the CITES Secretariat continues to see a difference between the terms “decline” and “reduction” which we still fail to understand. In particular we cannot understand what is meant by the statement in paragraph 5 of its report “*i.e. before reduction engenders a decline*” and this needs to be explained by the CITES Secretariat with some relevant examples. Our viewpoint remains that the use of the term “*reduce*” in paragraph B is synonymous with “*decline*” and that therefore the decline criteria also apply to paragraph B. In particular we would like to bring to your attention the following arguments:

The chapeau of Annex 2 a says “*The following criteria must be read in conjunction with ... Annex 5, including the footnote ...*” We note the use of the plural *criteria* instead of the singular *criterion* which evidently means that the chapeau applies to both criteria paragraphs and not just to one. Furthermore,

¹⁶ See 2004 FAO Expert Consultation on Implementation Issues Associated with Listing Commercially-exploited Aquatic Species on CITES Appendices

Annex 5 states that "A 'decline' is a *reduction in the abundance ...*" Therefore, these two expressions are used as synonyms in Resolution Conf. 9.24.

Accordingly, the Footnote makes no distinction between the two criteria paragraphs and clearly intends to address both. This becomes apparent in paragraph 5 of the Footnote which refers to a situation where an Appendix II listing can be considered "*even if a population is not declining appreciably*". This paragraph introduces a precautionary buffer zone of 5 to 10% above the Appendix I abundance threshold of a species. Under this clause, as long as a commercially exploited aquatic species is found to currently be in this buffer zone, it could be considered for listing under Appendix II even if the projected evolution of abundance over the next decade would not lead it to reach the Appendix I threshold. Such a situation relates specifically to the paragraph B criterion, and would not be covered under paragraph A. We note that this option applies to commercially-exploited aquatic species ONLY and is NOT included in the decline definition for other species. So, while the interpretation of criterion paragraph B by the CITES Secretariat might be applicable to other species (such as terrestrial animals), it is not applicable for commercially exploited aquatic species.

The CITES Secretariat mentions that it undertakes assessments under paragraph B to determine whether a population is sufficiently robust to sustain the harvest being taken. This is exactly what the FAO Panel does. The FAO Panel is bound to FAO's commitment to strive for the best available scientific advice for management, and in this regard the CITES measures are not any different from other sets of management tools at the disposal of fisheries managers. Furthermore, we would like to note that scientific methods to assess the status and trends of fish populations exist for all types of data—qualitative or quantitative. Of course, different methods will result in different levels of uncertainty which need to be taken into account in the decision-making process. But this does not change FAO's view that adequate scientific analysis, reported in a way amenable to peer-review, should ALWAYS be at the heart of ANY management decision, to list, not to list, or to delist any commercially-exploited aquatic species.

We were interested to read about a new explanation of the difference between paragraphs A and B of Annex 2a which we had not encountered before, and which proposes that paragraph A deals with "*species which may qualify for inclusion in Appendix I in the near future (defined as 5-10 years in Annex 5)*", whereas paragraph B "*refers to a longer time-frame than this*". While we appreciate the precautionary intentions, we are concerned at the potential ramifications for CITES and for fisheries management if a CITES listing today can be justified by a possible but not yet manifest impact fifteen, twenty or more years in the future. Also, we consider that it does not make sense to have separate criteria dealing with short and longer time periods. A criterion for a longer time period would automatically encompass the shorter period as well, so paragraph A would be redundant if the CITES Secretariat interpretation of paragraph B was correct.

One of the motivations of FAO to become involved in the process of revising the CITES criteria for commercially exploited aquatic species is illustrated by the following quote from CoP12 in 2004: "*FAO suggested that the Appendix-II criteria were so broad and ambiguous that essentially any currently managed fish stock could meet these criteria and hence, under the current criteria, could be eligible for inclusion in the CITES Appendices. FAO argued that this could not possibly have been the intention of the CITES Appendix-II criteria*"¹⁷. Therefore, when the current Annex 2a criteria were adopted by CITES, FAO was satisfied that there was now a basis for a meaningful, scientific and precautionary process for the listing of commercially exploited aquatic species under Appendix II.

We are now concerned that using what is being described as "qualitative" and "flexible" listing criteria would not provide any guidance to CITES Parties on the purpose of Appendix II and would revert to the pre-CoP13 position. This would allow for indiscriminate listing of commercially exploited aquatic species under CITES Appendix II or conversely - as this can go either way - hinder the inclusion of species which according to scientific advice should be included on Appendix II. We strongly hold the view that the introduction of such "flexible" criteria would lead away from a scientifically defined and therefore transparent and objective basis for deciding on CITES listings. We are not disputing that

¹⁷ CoP 12 Doc. 58 Annex 1

qualitative criteria are admissible, particularly in data deficient situations. However, surely their INTENT and the rigour of their use must be identical to the quantitative guidelines that can be applied in more data-rich cases? There is a growing and rich body of literature dealing with the scientific analysis of qualitative and semi-quantitative data, and rigorous, scientifically-defensible methods have been developed to deal with this kind of data in fisheries.

The CITES Secretariat concludes that the adoption of “*measures that are proportionate to the anticipated risks to the species*” are a useful “*guide in cases of uncertainty*”. We would like to add that in every, not only some cases, is there a requirement that the measures adopted be proportionate to well-defined risks that must be assessed. FAO holds the view that this need is met by the application of Annex 2a A and B in conjunction with Annex 5. In addition, there always is uncertainty in the assessment of the status of a biological population, and more so in its projection into the future. The issue is the extent of this uncertainty. Scientific analysis can and should provide estimates for this uncertainty, so that management decisions can take into account the level of uncertainty in any particular analysis.

CITES undoubtedly has a role to play in helping to address the problem of increasingly over-exploited fish stocks. This issue is of great concern to FAO and to fishery managers worldwide, and a CITES listing can be helpful in some cases, but not necessarily in others. There are many instruments and tools available for the management of aquatic resources, and FAO is involved in a number of initiatives to improve the conservation of global fishery resources, such as the development of an ecosystem approach to fisheries, the battle against IUU fishing, the improvement of fisheries monitoring, and so on.

FAO recognizes that CITES can be a valuable instrument to help us achieve the goal of sustainable fisheries for future generations, and FAO has supported CITES for more than a decade through a number of relevant activities, not only through the FAO Expert Advisory Panel. Therefore, and in the spirit of good cooperation, FAO looks forward to the guidance of the CITES Parties regarding the interpretation and application of the CITES criteria for the listing of commercially exploited aquatic species under Appendix II.

ANNEX II

CITES Standing Committee 15-19 August 2011

TIME-BOUND LISTINGS OF SPECIES IN THE APPENDICES

Presentation by FAO


With great interest the FAO Secretariat has taken note of Document 53 on “Time-bound listings of species in the appendices”, in particular with regard to an application to commercially exploited aquatic species. The current inertia with regard to down-listing or de-listing a species from the CITES Appendices has always been a concern for FAO Members. The status of and risks to fisheries resources may change rapidly as a result of, for example, environmental shifts or improvement of management schemes. This means that fisheries management has to be an active process which requires a sufficiently responsive and flexible mechanism for listing and de-listing where a CITES listing is in place or being considered.

The option to list a species for only a defined period of time would be an important contribution to addressing such concerns without sacrificing precaution as CITES Parties could decide to continue the listing if the species still meets the listing criteria. It would also provide an incentive for regular rigorous review at the end of a listing period, which should facilitate the cooperation between CITES and fisheries management authorities, regional and national. Fishery conservation measures are normally reviewed at regular, mostly annual or bi-annual intervals and can react rather quickly to assessed changes in the stock status of fish.

As expressed by the CITES vision statement in Resolution 2 of CoP 14, CITES shares the objective of sustainable use of natural resources with FAO. This can be ensured through adequate application of relevant measures, and the regulation of international trade can be one of these. However, for species that are no longer endangered, in particular a prohibition of international trade may pose a barrier to their sustainable use which is not consistent with the objectives of both our organizations.

In view of this long-standing and constructive cooperation we are pleased to see this initiative from among CITES to address one of the issues connected to the listing of commercially exploited aquatic species.

October 2011

	منظمة الأغذية والزراعة للأمم المتحدة	联合国 粮食及 农业组织	Food and Agriculture Organization of the United Nations	Organisation des Nations Unies pour l'alimentation et l'agriculture	Продовольственная и сельскохозяйственная организация Объединенных Наций	Organización de las Naciones Unidas para la Alimentación y la Agricultura
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COMMITTEE ON FISHERIES

SUB-COMMITTEE ON FISH TRADE

Thirteenth Session

Hyderabad, 20-24 February 2012

Monitoring implementation of article 11 of the Code of Conduct for Responsible Fisheries (CCRF)

Executive Summary

This paper provides a summary of activities by FAO Members to support the implementation of article 11, Post-harvest Practices and Trade, of the Code of Conduct for Responsible Fisheries. The paper also highlights areas where implementation of article 11 poses a challenge for FAO Members. The paper also seeks guidance from the Sub-Committee on how to broaden implementation of article 11.

The Sub-Committee is invited to:

1. Provide guidance on how to broaden implementation of article 11 of the Code;
2. Note, in particular, the low level of implementation of measures that:
 - Assess and reduce post-harvest losses;
 - Evaluate and monitor the impacts of trade in fish and fisheries products (imports and exports) on food security;
3. Note that the IUU regulations and traceability requirements have been highlighted as emerging issues; and
4. Provide guidance on how to increase the response rate to the questionnaire.

INTRODUCTION

1. The Twelfth session of the Sub-Committee on Fish trade (COFI:FT) agreed to monitor the implementation of article 11, Post-harvest Practices and Trade, of the Code of Conduct for Responsible Fisheries (the Code). It also agreed that the trade-specific questionnaire should be biennial and alternate with the questionnaire monitoring overall implementation of the Code.

THE QUESTIONNAIRE

2. The information in the paper is collated and analyzed on the basis of self-assessment questionnaires submitted to FAO Members.

3. Responses were received from 15 Members and from one Member organization (the European Union (EU) responding in the name of its 27 Member states). The response rate, including the 27 Member states of the EU, equalled 22% of the FAO Members¹.

4. Article 11 of the Code is subdivided into three sections; 1) responsible fish utilization; 2) responsible international trade; and 3) laws and regulations relating to fish trade. The first three questions of the questionnaire requested Members to report on the extent to which they had implemented measures relating to these three sections, with possible responses ranging from 1 (not implemented, or just started) to 5 (almost all is done, or complete). A statistical summary of Members' responses to this section is available in Annex 1 of this paper².

5. The following six questions were open-ended questions asking Members³ to identify emerging issues and current challenges related to safety and quality assurance systems, the post-harvest sector, international trade in fish and fisheries products and laws and regulation.

6. The following sections in the paper analyze the results obtained from the questionnaire. Please note that due to the relatively low number of responses, they have not been sub-divided according to region. This would have enriched the analysis but would undermine confidentiality requirements. The responses have, however, been broken down according to whether the Members belong to the G77 or the OECD group.

RESPONSIBLE FISH UTILIZATION

7. This section is sub-divided into two components monitoring: 1) the implementation of measures related to safety and quality for fish and fisheries products, and 2) the implementation of measures related to the post-harvest sector.

To what extent have measures related to safety and quality for fish and fisheries products been implemented:

8. Members across the board reported a high level of compliance with the implementation of measures related to the safety and quality for fish and fisheries products. This is particularly the case for OECD countries. In the case of G77 countries the responses are more nuanced with a lower level of implementation for the following areas:

- National environmental and/or residue monitoring plan;
- HACCP-based quality management systems;

¹ The questionnaire was dispatched to FAO Members on 25 June 2011. Follow-up requests were dispatched on 23 August 2011. The closure date for acceptances was 2 September 2011.

² The EU responded to the questionnaire in the name of its 27 Member countries. This limits the responses from the Europe region to European non-EU Member countries and the EU itself. EU Member countries also responded to the questionnaire but were not included in the analysis since the EU responded on their behalf.

³ In this report, reference to "Members" refers to the FAO Members who responded to the questionnaire and whose responses were taken into account in compiling the report.

- Setting, monitoring and enforcement of standards for safety and quality of products in the domestic markets;
- Harmonization of national standards with Codex Alimentarius standards; and
- Participation in the Codex Alimentarius and other international standard setting bodies.

9. Interestingly, the G77 group reported a slightly higher level of implementation in relation to the adoption and enforcement of legislation of safety and quality systems than for the formulation and adoption of national policies on safety and quality assurance systems. This may indicate that the existence of enabling legislation is viewed as a priority over the development of national policies.

To what extent have measures been implemented in the post-harvest sector:

10. As in the previous case, the reported level of implementation of measures in the post-harvest sector was higher for the OECD group than for the G77 group. The overall level of implementation of measures in the post-harvest sector is lower than for measures related to the safety and quality for fish and fisheries products.

11. This was particularly the case in relation to the implementation of measures taken to assess and reduce post-harvest losses, where the G77 group reported that “some implementation had been done, but still largely insufficient”.

RESPONSIBLE INTERNATIONAL TRADE

12. The OECD group reported a higher level of implementation of measures related to international trade compared to the G77 Group. Both groups reported lower level of implementation for the same areas:

- The impacts of trade in fish and fisheries products (imports and exports) on food security and income are evaluated and monitored; and
- That measures are in place to verify that fish and fisheries products originate from sustainable fisheries and aquaculture.

LAWS AND REGULATIONS RELATING TO FISH TRADE

13. This is the section with the highest level of implementation. The only shortcoming relates to the G77's group's notification of changes to trade laws and regulations, where applicable, to the WTO, interested States and other relevant international organizations.

EMERGING ISSUES IN THE IMPLEMENTATION OF ARTICLE 11 OF THE CODE

14. The first three questions in this section (ecolabels and certification requirements, IUU regulations, and traceability requirements) required yes/no answers. The remaining questions were open-ended questions without restrictions on the answers provided by Members. A synopsis of the answers received is provided for each question.

a) Ecolabels and certification requirements

15. Seventy seven percent of the Members reported that ecolabels and certification requirements were an emerging issue.

b) IUU regulations

16. Ninety two percent of the Members reported that IUU regulations were an emerging issue.

c) Traceability requirements

17. Ninety two percent of the Members reported that traceability requirements were an emerging issue.

d) Other

18. Other emerging issues reported by respondents, include the need to calculate the impact of fish and seafood products on climate impact (e.g. carbon footprint).

Current challenges related to quality and safety assurance systems

19. Members noted the cost of compliance with new safety and quality assurance requirements, highlighting the need to undertake an impact assessment before being introduced. The evolving nature of the international food safety legislative requirements has financial implications for inspections, monitoring and surveillance and requires continuous training of inspectors. The lack of equivalency in food certification systems among international trading partners was also noted as a concern.

20. The challenge of implementing quality and safety assurance systems for the domestic market was highlighted. The higher cost of producing good quality products may make them inaccessible for market segments with a limited purchasing power. The challenge of implementing safety and quality assurance systems in the small scale fisheries sector was also noted.

Current challenges in the post-harvest sector

21. The main challenge for Members in the post-harvest sector is to increase the value of the sector through the improved utilization of fish and fisheries products. This includes the implementation of measures to reduce post-harvest losses and to increase the production of value-added products. Examples of measures to reduce post-harvest losses include improved processing facilities, water quality and transport networks. The challenge this poses for small scale fisheries was highlighted.

Current challenges related to international trade in fish and fisheries products

22. Several Members expressed concern with the increase in non-tariff barriers. These include measures that are not in compliance with the principles contained in the WTO SPS agreement (including the use of food safety standards that do not align with Codex Alimentarius or that are not based on risk assessments). The implementation of catch certification schemes was also cited as a challenge by many. The lack of harmonization of requirements for certification and documentation in international trade was also noted.

Current challenges related to laws and regulations

23. The need to simplify regulatory frameworks was highlighted by Members. Concern with jurisdictional overlap and duplication of some regulations within and across jurisdictions was noted, as well as the imposition of unilateral markets measures.

Other

24. Some Members also noted that market access requirements are often set by importing developed countries. These Members also noted that producing countries, and especially developing countries, often lack the capacity to meet these requirements.

CONCLUSION

25. In relation to the three sections in article 11 of the Code; 1) responsible fish utilization, 2) responsible international trade, and 3) laws and regulations relating to fish trade, Members reported the highest level of implementation for measures related to safety and quality assurance under responsible fish utilization section. A high level of implementation was also reported for laws and regulation relating to fish trade. The lowest level of implementation related to the question on the measures in the post-harvest sector. Generally speaking, there is a higher level of implementation for mandatory measures and lower level of implementation for measures that are voluntary in nature (reduce post-harvest losses, promotion of value addition).

26. A very high percentage of Members identified the IUU regulations and traceability requirements as emerging issues in the implementation of article 11 of the Code. A somewhat smaller number of Members identified ecolabels and certification requirements as an emerging issue. The high level of concern with the IUU regulations and traceability requirements may be due to the fact that these are often mandatory market access requirements whereas ecolabels are voluntary.

27. Both the G77 and the OECD Members reported a low level of implementation of measures to verify that fish and fisheries products originate from sustainable fisheries and aquaculture.

28. A lower level of implementation of article 11 requirements is also noted for fish and fisheries products entering onto the domestic market as opposed to international markets.

ANNEX I

<i>Benchmarks and what they stand for</i>			
	<i>in percentage values</i>	<i>in implementation terms</i>	<i>in qualitative terms</i>
1	0 - 20%	not implemented, or just started	not at all, or very little
2	20 - 40%	some done, but still largely insufficient	some, but not much
3	40 - 60%	about half of what is needed has been done	some, underway, quite substantial
4	60 - 80%	much of the needs addressed, but incomplete	much, or to a large extent
5	80 - 100%	almost all is done, or complete	very much, or completely
n.a.	not applicable: does not apply to the national or sub-national level, and forfeits all other answers to same question		

Responsible fish utilization

		AVERAGE		
Q1	To what extent do the following measures related to safety and quality assurance systems for fish and fisheries products apply?	ALL	G77	OECD
a	A national policy on safety and quality assurance system is formulated	4.5	4.0	5.0
b	A national policy on safety and quality assurance system is adopted	4.5	4.0	5.0
c	Legislation in support of a safety and quality system is promulgated	4.5	4.2	4.8
d	Legislation in support of a safety and quality system is enforced	4.7	4.6	4.8
e	An enabling institutional environment (e.g. a Competent Authority) is established and fully operational	4.9	5.0	4.8
f	Inspection services are carried out	4.7	4.6	4.8
g	Accredited laboratory services are established and fully operational	4.5	4.4	4.7
h	A national environmental and/or residue monitoring plan is enforced	4.2	3.5	4.8
i	HACCP-based quality management systems are in place	4.3	3.8	4.8
j	Standards for safety and quality of products in the domestic markets are set, monitored and enforced	3.9	3.0	4.8
k	Traceability requirements are implemented	4.5	4.2	4.8
l	A national food standard body is in place	4.4	4.0	4.8
m	National standards are harmonized with the Codex Alimentarius standards	4.2	3.8	4.5
n	Active participation in the Codex Alimentarius and other international standard setting bodies	4.3	3.8	4.8

		AVERAGE		
Q2	Which of the following measures have been taken in the post-harvest sector?	ALL	G77	OECD
a	Measures are taken to assess and reduce post-harvest losses	3.6	2.8	4.3
b	Value addition is promoted, especially for small-scale fisheries	3.8	3.3	4.3
c	Environmental impacts of post-harvest activities are monitored and addressed effectively	3.6	3.2	4.0
d	Human consumption of fish is actively promoted	3.9	3.6	4.3

Responsible international trade


		AVERAGE		
Q3	Which of the following measures have been taken in relation to international trade in fish and fisheries products?	ALL	G77	OECD
a	Measures are in place to verify that fish and fisheries products originate from legal fishing operations	4.7	4.5	4.8
b	Measures are in place to verify that fish and fisheries products originate from sustainable fisheries and aquaculture	3.9	3.4	4.5
c	Measures are in place to ensure that trade in fish and fisheries products does not undermine fisheries management measures, including those taken by international fisheries management bodies.	4.3	3.9	4.8
d	Statistics on international trade in fish and fisheries products are collected, disseminated and exchanged in a timely manner with relevant national and international institutions	4.3	3.7	5.0
e	The impacts of trade in fish and fisheries products (imports and exports) on food security and income are evaluated and monitored	3.5	3.0	4.0

Laws and regulations relating to fish trade

		AVERAGE		
Q4	Do the following statements apply to the legal framework for trade in fish and fisheries products?	ALL	G77	OECD
a	Laws and regulations are developed in consultation with relevant stakeholders	4.5	4.3	4.8
b	Laws and regulations are simple and transparent in their wording and structure (easily understandable)	4.2	4.0	4.5
c	Changes to trade laws and regulations provide for sufficient transitional periods, derogations and other similar arrangements	4.6	4.3	4.8
d	Changes to trade laws and regulations are notified, where applicable, to the WTO, interested States and other relevant international organizations	4.0	3.2	4.8
e	The national regulatory framework is harmonized with internationally recognized provisions on fish trade and the safety and quality requirements	4.6	4.4	4.8
f	Trade laws in support of conservation measures are equitable, non-discriminatory and in conformity with the provisions of regional and international organizations and agreements to which Members are party to.	4.8	4.5	5.0

October 2011

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	منظمة الأغذية والزراعة للأمم المتحدة	联合国 粮食及 农业组织	Food and Agriculture Organization of the United Nations	Organisation des Nations Unies pour l'alimentation et l'agriculture	Продовольственная и сельскохозяйственная организация Объединенных Наций	Organización de las Naciones Unidas para la Alimentación y la Agricultura
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COMMITTEE ON FISHERIES

SUB-COMMITTEE ON FISH TRADE

Thirteenth Session

Hyderabad, India, 20-24 February 2012

COFI Sub-Committee on Fish Trade as International Commodity Body for the Common Fund for Commodities

Executive Summary

This paper describes progress in projects that are currently funded by the Common Fund for Commodities (CFC). The Sub-Committee's approval is also sought in relation to three new project proposals that are being submitted for funding by the CFC. Members are requested to present further project ideas or profiles for consideration.

The Sub-Committee is invited to:

1. Comment on the ongoing CFC projects and to approve the following project proposals for funding by the CFC:
 - diversification and Marketing of Marine Aquacultured Cobia in Indonesia, Thailand and India;
 - improvement of Fish Processing and Marketing by Women from Fishing and Aquaculture Communities in Latin America; and
 - support to Women for Value-Addition and Small-scale Fisheries Enterprise in Cote d'Ivoire and Togo.
2. Suggest additional avenues to be followed in the identification of possible co-financing sources for the approved projects.
3. Suggest further project ideas or profiles for consideration.

INTRODUCTION

1. The Sub-Committee on Fish Trade (COFI:FT) was designated as the International Commodity Body (ICB) for fishery products by the Common Fund for Commodities (CFC) in February 1991. In this capacity the COFI:FT submits fishery commodity projects for funding by the CFC. The Sub-Committee is also the Supervisory Body (SB) for CFC approved projects. The following sections describe new projects that are seeking the COFI:FT's approval for submission for funding by the CFC and progress in ongoing projects.

NEW PROJECT PROPOSALS

2. Three new project proposals have been received for approval by the Sub-Committee. A short profile for each of these proposals is provided in Annex I. In addition, the complete project proposals are available upon request. The project proposals are:

- The first project deals with product diversification and marketing of cobia from Indonesia, Thailand and India for USD 1.14 million. Project Executing Agency (PEA): INFOFISH.
- The second project proposal will assist women working in fisheries in Ecuador, Nicaragua and Honduras for USD 2.17 million. Project Executing Agency: CETMAR.
- The third project proposal is in support to women for value-addition and small-scale fisheries enterprise in Cote d'Ivoire and Togo for USD 3.1 million. Project Executing Agency: INFOPECHE.

STATUS OF PROJECTS APPROVED BY THE TWELFTH SESSION OF THE SUB-COMMITTEE ON FISH TRADE

3. Two full-fledged projects and two fast-track project proposals for CFC funding were approved by the Twelfth Session of the Sub-Committee on Fish Trade.

- The first full-fledged project proposal: "Reduction of post harvest losses and market diversification for fish products from Lake Malawi/Nyassa" is being reviewed, taking into account comments made by the CFC project committee.
- The fast track proposal "Promotion of quality, health and safety systems for the trade of artisanal fishery products", was not accepted by the CFC.
- The second fast track proposal "Improvement of fish processing and marketing by women from fishing communities in Argentina, Brazil, Colombia, Ecuador, Guatemala, Honduras, Mexico, Nicaragua and Peru" was considered important by the CFC committee and is being re-submitted as a new full-fledged project proposal, as described in the Annex I.
- At the time this paper was written, the project proposal "Improving access to markets for Latin American marine farmed seafood" remained to be considered by the CFC Consultative Committee. It is anticipated that it will be discussed by the CFC Consultative Committee in January 2012.

ONGOING PROJECTS

4. The project "Promotion of Processing and Marketing of Freshwater Fish Products: Bangladesh, India, Indonesia and Sri Lanka" (PEA: INFOFISH), was approved in 2009 and launched in early 2011. The main purpose of the project is to encourage the sustainable utilization of fresh water resources to improve the welfare of the population as a whole, and inland communities in particular, in the target countries and beyond. The project will improve domestic marketing of production and focus on exports of value-added products, where appropriate, through environmentally-friendly processing and marketing activities. The project also aims to achieve a regular flow of freshwater fish products to major markets/emerging markets as well as regional markets, adhering to internationally accepted quality and safety standards and market specific requirements. The project will lead to sustainable growth of the freshwater sector through improved income generation and employment.

5. The project “Technical Assistance for the Upgrading of the Small-scale Fisheries and their Integration in International Trade” is assisting the small-scale fisheries industry in Djibouti, Morocco and Yemen (PEA: INFOSAMAK). The project’s main objectives are: upgrading of small-scale fisheries; reinforcement of quality control; strengthening the fish inspection services, training of fisheries professionals on new techniques of storage, processing, marketing and distribution of fish and fishery products; improvement of the domestic fish marketing, and access to export markets. The project was approved in late 2007 and was launched in June 2008. During the implementation, training in hygiene, safety at sea and preservation of marine resources was carried out in all participating countries. The project is expected to end in early 2013.

6. The project “Enhancing Amazonian Seafood Products on the World Market” was approved by CFC in 2008 and launched in September 2009 (PEA: INFOPECA). The project aims at developing processing, quality assurance, trade and marketing aspects of Amazonian fisheries products. Freshwater species from the Amazon region are not featured in the international market, but could have a significant potential in world supply and trade. The project will promote regional (and international) markets for species with white flesh, few bones and offering good filleting possibilities, and those species for which fish farming technology already exists. The project will continue throughout 2012.

RECENTLY COMPLETED PROJECTS

7. The project “Improved Market Access for Organic /Aquaculture Products from Asia” was approved by the CFC in 2005 (PEA: INFOFISH) and completed in 2011. The project aimed at developing standards and market access for products from organic aquaculture in three countries (Thailand, Malaysia and Myanmar). Shrimp and tilapia were the main species. Another important and successful activity was the market analysis for organic aquaculture products and buyer-seller matching through the participation in international trade fairs and promotion in domestic markets. The project has determined that there are important domestic markets for organic fishery products in South East Asia, often offering higher prices than export markets. The project has encouraged regional cooperation on the development of organic standards by building on local expertise in standards and certification.

8. The project “Assistance to small-scale fisheries in Mozambique and Angola”. (PEA: INFOSA) was approved in 2006 and completed in 2011. The project aimed at improving the performance of small-scale fisheries in Mozambique and Angola with respect to fish trade. The project showed positive effects on intra-regional trade and on an improved product range for this market. Training material on improved fish handling was published by the project in Portuguese.

9. The project “Consolidation and Expansion of Small-scale Fish Production for Export in Central America and Caribbean” started in early 2007 (PEA: INFOPECA). The project aimed at improving income and standards of living in the small-scale fishing communities in general and in rural fishing communities in particular. To achieve these objectives, the project includes market analysis activities and improvements in the distribution chain for fishery products from small-scale fisheries. The project carried out various training activities in the participating countries – Mexico, Honduras and Cuba –and installed ice plants in participating firms with the aim of improving the quality of the products. The project was completed in early 2010.

10. The project “Diversification and Marketing of Value-Added Fishery Products in Guinea and Mauritania” was approved by the CFC in 2005 (PEA: INFOPECHE). The project aimed at organizing pilot production of value-added fishery products relying on transfer of appropriate processing technology and know-how, and to develop new market opportunities. The longer-term investment needs for expansion of fish processing in the region was also assessed. Project implementation was impacted by several problems encountered in both countries. In addition, Guinea was banned from exporting to the European Union (EU), which changed the focus of this project. The project was launched in 2007 and will terminate in December 2011.

ANNEX I

DIVERSIFICATION AND MARKETING OF MARINE AQUACULTURED COBIA IN INDONESIA, THAILAND AND INDIA

PEA: INFOFISH

BACKGROUND AND JUSTIFICATION

The marine fish “cobia” (*Rachycentron canadum*) has a worldwide distribution in warm marine waters. Since they are generally not found in groups, they do not support a commercial fishery, but during the last decade, aquaculture of this species is becoming popular in many countries. Cobia shows rapid growth rate reaching 5-6 kg in one year, and 8-10 kg in two years. Due to its fast growth, favourable flesh qualities and versatility in product preparation, cobia production is spreading rapidly. According to FAO sources, global aquaculture production is estimated at 32 000 tonnes in 2009. China is currently the leading producer with a 90 percent share of production. The greatest challenge for increasing commercial production of cobia is the development of markets. Cobia has never been landed in any large volume in commercial fisheries of the world and is much less promoted in mainstream distribution networks. This necessitates significant generic marketing initiatives to handle the anticipated increases in product volume.

OBJECTIVES

The major objectives of the project are:

- To improve product diversification and presentation to enhance consumer acceptance.
- To improve the market for cobia by enhancing consumer awareness about nutritional features, product versatility, sustainability of aquaculture production in an environmentally responsible manner.
- To promote cobia in major markets such as the EU, United States of America (USA), Japan and emerging markets in Asia and Latin America.
- To promote technology transfer in cobia production, processing and marketing among countries in Asia.

ACTIVITIES

- Develop different product formats: frozen fillets, sushi and sashimi, smoked cobia
- Work with cobia farms to improve practices to meet requirements of environmental responsibility and sustainability.
- Disseminate information on good practices followed in production, product diversity available, nutritional qualities, culinary versatility through trade shows.
- Promote trial marketing to restaurants in new markets.
- Promote cobia through seafood shows and restaurants of potential markets.
- Arrange potential buyer-seller meetings.
- Organize exchange visits of cobia producers and processors in Asia-Pacific region to improve performance of recent entrants.

BUDGET AND TIME FRAME

The total budget is USD 1 143 000. The time frame of implementation is three years.

IMPROVEMENT OF FISH PROCESSING AND MARKETING BY WOMEN FROM FISHING AND AQUACULTURE COMMUNITIES IN LATIN AMERICA

(Ecuador, Honduras and Nicaragua)

PEA: CETMAR

BACKGROUND AND JUSTIFICATION

Women have traditionally played an important role in fish marketing in all Latin American countries, although their role is jeopardized by the lack of access to new fish processing technology and knowledge on modern marketing techniques. The increasing presence of supermarkets and their role in seafood distribution is putting women, especially from indigenous groups, into a difficult position. The pressure on traditional fishmongers is strong, and only the creation of associations of women will help them to strengthen their position and regain their strength in seafood distribution. The creation of professionalism among the small scale traders will contribute to protect their niche. If the quality of their product is improved and the marketing more convenient for the consumer, their role will be protected sheltered and preserved for future generations.

OBJECTIVE

The main objective of the project is to increase the income of small scale female fish processors and marketers, in order to improve their conditions of life and the food security in their families. The specific activities will support women by promoting the formation of small, community-based fish marketing enterprises, charged with the processing and marketing of fishery products. With these new enterprises, the community will have an opportunity to increase their income and food security. Improved processing and marketing will be one of the objectives of the project to improve the quality of the products and to guarantee the safety of the consumers.

ACTIVITIES

- Evaluation of the present status of women working in the fish processing and marketing sector, their needs and means for capacity building and employment diversification.
- Participatory training of women and trainers involved in fish production, processing and marketing in the preservation of the quality of the catches all the way to the final consumer.
- Value chain analysis of products presently produced and competitive products to be found in the market.
- Publication of reports about the seafood markets in five regional seafood consumption centres with specific reference to opportunities of female fish processors and vendors.
- Training of trainers to accompany process of training and entrepreneurship to women organization.
- Definition of an entrepreneurship programme within the artisanal fisheries and aquaculture sector aimed towards women.
- Definition and implementation of pilot initiatives (in each of the organizations already selected).

BUDGET AND TIME FRAME

The total budget is USD 2 126 468, of which USD 1 510 043 as CFC Grant. The time frame of implementation is three years.

SUPPORT TO WOMEN FOR VALUE-ADDITION AND SMALL-SCALE FISHERIES ENTERPRISE DEVELOPMENT IN CÔTE D'IVOIRE AND TOGO

PEA: INFOPECHE

BACKGROUND AND JUSTIFICATION

Fisheries are an important source of animal protein, employment and income earning to the coastal communities, and in particular to women in West Africa. Women are involved in the downstream activities to harvesting, where they constitute the majority of the operators, be it as self-employed smallholders or employees in industrial plants. They depend on fish handling, processing and trade for their livelihoods and those of their family, given that they dedicate most of their income to household and children's needs. Smoked and dried products make up the main products marketed locally and regionally.

The project targets small-scale fish handling and processing involving women and their eventual suppliers to ensure quality and safety throughout the chain as well as exploring sustainable commercial partnerships to develop some commercial enterprises. Interventions will focus on assessment and mapping of the existing operators involved in Côte d'Ivoire and Togo, making available up to date technical knowledge and technology, business management skill development through training, pilot demonstrations, participation in national and regional fairs and events, and to at least one seafood exhibit in EU, identification of potential buyers, assessing the requirements and establishment of sound buyers-sellers partnerships.

OBJECTIVE

The project on "Support to women for value addition and small-scale fisheries enterprise development in Côte d'Ivoire and Togo" aims to enhance food security and economic empowerment in West Africa through improvement of processing activities, value addition and marketing of fishery products. It will contribute to increase the revenues of women who actively participate in community development. This will be achieved through:

- Improved supply of animal proteins through a better technical control of preservation and processing operations;
- Strengthened business management skills; and
- Expanded outlets of products with enhanced marketing of safer and value added fishery products in lucrative markets.

ACTIVITIES

- Inventory of small-scale post-harvest fisheries operators, their current operational context and needs for sound "enterprises".
- Setting up a database of operators and selection of women beneficiaries.
- Creation of socio-professional organizations or improvement of the existing organizational development of women.
- Technical assistance for the establishment of compliant clusters of processors of smoked fish and other value added products.
- Support to sound commercial partnerships development and placing on more lucrative markets.
- Promoting regional cross border trade.

BUDGET AND TIME FRAME

The total budget is USD 3 047 940, of which USD 1 764 130 as CFC Grant. The time frame of implementation is three years.

COMMITTEE ON FISHERIES
COMITÉ DES PÊCHES
COMITÉ DE PESCA

Report of the twelfth session of the

SUB-COMMITTEE ON FISH TRADE

Buenos Aires, Argentina, 26–30 April 2010

Rapport de la douzième session du

SOUS-COMITÉ DU COMMERCE DU POISSON

Buenos Aires, Argentine, 26-30 avril 2010

Informe de la duodécima reunión del

SUBCOMITÉ DE COMERCIO PESQUERO

Buenos Aires, Argentina, 26-30 de abril de 2010



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COMMITTEE ON FISHERIES
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PREPARATION OF THIS DOCUMENT

This is the final report approved by the twelfth session of the Sub-Committee on Fish Trade of the Committee on Fisheries.

PRÉPARATION DE CE DOCUMENT

Le présent document est le rapport final approuvé par le Sous-Comité du commerce du poisson du Comité des pêches à sa douzième session.

PREPARACIÓN DEL PRESENTE INFORME

Este es el informe final aprobado por la duodécima reunión del Subcomité de Comercio Pesquero del Comité de Pesca.

FAO Committee on Fisheries/Comité des pêches/Comité de Pesca.
 Report of the twelfth session of the Sub-Committee on Fish Trade. Buenos Aires, Argentina
 26–30 April 2010.
 Rapport de la douzième session du Sous-Comité du commerce du poisson. Buenos Aires, Argentine,
 26-30 avril 2010.
 Informe de la duodécima reunión del Subcomité de Comercio Pesquero. Buenos Aires, Argentina,
 26-30 de abril de 2010.
FAO Fisheries and Aquaculture Report/FAO Rapport sur les pêches et l'aquaculture/FAO Informe de Pesca y Acuicultura. No. 939. Rome/Roma, FAO. 2010. 68p.

ABSTRACT

The Committee on Fisheries established the Sub-Committee on Fish Trade to serve as a multilateral framework for consultations on international trade in fishery products. The twelfth session of the Sub-Committee was held in Buenos Aires, Argentina, from 26 to 30 April 2010.

The Sub-Committee took note of recent developments concerning international trade in fishery products. It also considered specific issues related to international trade and sustainable fisheries development, including:

- fisheries classification in the World Customs Organization;
- safety and quality of fishery products;
- integration of traceability requirements;
- FAO activities related to ecolabels;
- fish trade and the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES); and
- fish trade and food security.

In its capacity as the International Commodity Body for Fishery Products, the Sub-Committee endorsed four project proposals for funding by the Common Fund for Commodities.

RÉSUMÉ

Le Comité des pêches a constitué le Sous-Comité du commerce du poisson pour servir de cadre multilatéral à des consultations sur les échanges internationaux de produits de la pêche. La douzième session de ce Sous-Comité s'est tenue à Buenos Aires (Argentine) du 26 au 30 avril 2010.

Le Sous-Comité a pris note des évolutions récentes du commerce international des produits de la pêche. Il s'est également penché sur des aspects spécifiques des échanges internationaux et du développement durable des pêches, notamment:

- la classification des pêches de l'Organisation mondiale des douanes;
- la sécurité sanitaire et la qualité des produits de la pêche;
- l'intégration des dispositions relatives à la traçabilité;
- les activités de la FAO en matière d'écoétiquetage;
- le commerce du poisson et la Convention sur le commerce international des espèces de faune et de flore sauvages menacées d'extinction; et
- le commerce du poisson et la sécurité alimentaire.

En sa qualité d'organisme international compétent pour ce qui concerne les produits de la pêche, le Sous-Comité a approuvé quatre propositions de projets en vue de leur financement par le Fonds commun pour les produits de base.

RESUMEN

El Comité de Pesca estableció el Subcomité de Comercio Pesquero como marco multilateral para las consultas sobre el comercio internacional de productos pesqueros. El Subcomité celebró su duodécima reunión en Buenos Aires (Argentina) del 26 al 30 de abril de 2010.

El Subcomité tomó nota de las últimas novedades relacionadas con el comercio internacional de productos pesqueros. Examinó asimismo ciertas cuestiones específicas vinculadas con dicho comercio y con el fomento de la pesca sostenible, a saber:

- la clasificación de la pesca en la Organización Mundial de Aduanas;
- la inocuidad y calidad de los productos pesqueros;
- la integración de los requisitos de rastreabilidad;
- las actividades de la FAO relacionadas con el ecoetiquetado;
- el comercio pesquero y la Convención sobre el comercio internacional de especies amenazadas de fauna y flora silvestres;
- el comercio pesquero y la seguridad alimentaria.

En su calidad de organismo internacional de productos básicos encargado de los productos pesqueros, el Subcomité refrendó cuatro propuestas de proyectos para su financiación por el Fondo Común para los Productos Básicos.

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MATTERS REQUIRING ATTENTION BY THE COMMITTEE ON FISHERIES

REPORT ON TRADE-RELATED ACTIVITIES IN FAO

The Sub-Committee commended FAO for the broad range of trade-related activities carried out by the Fisheries and Aquaculture Department. (Para. 10)

Delegates congratulated FAO for its role in obtaining improved fisheries classifications in the World Customs Organization. Delegates encouraged FAO to continue this work and underscored the need to include additional species such as sharks and rays in the classification. (Para. 10)

Members underlined the importance of FAO's work in capacity-building for developing countries, in particular in relation to market access and value-addition for small-scale producers in developing countries. (Para. 11)

The Sub-Committee highlighted how scientifically-based, non-discriminatory and transparent standards are beneficial to international trade and that developing countries should be supported in overcoming problems related to the implementation of such standards. (Para. 11)

Members welcomed FAO's work on fish prices, underlining the value of demand, supply and price studies for fisheries policy makers. (Para. 12)

Delegates noted the growing role of certification and related traceability schemes and the potential additional burden and cost this could place, in particular, on developing country producers, especially the small-scale sector. (Para. 14)

The Sub-Committee encouraged FAO to continue the integration of FAO's fisheries related work with that of other FAO technical departments and with other international organizations such as the Organisation for Economic Cooperation and Development (OECD), the World Trade Organization (WTO) and the World Bank. The Sub-Committee further encouraged FAO to engage actively in important global issues, such as climate change and food security. (Para. 15)

Members encouraged further integration and cooperation between the Secretariats of the Sub-Committees on Fish Trade and on Aquaculture. (Para. 16)

RECENT DEVELOPMENTS IN FISH TRADE

Members highlighted the importance of fish consumption and its many nutritional and health related benefits referring to a number of national policies and initiatives in this respect. (Para. 18)

Members underlined the growing role of aquaculture in production, trade and consumption and the need to adequately reflect this in future work, including the interactions between farmed and wild products in international trade and marketing. (Para. 19)

The Sub-Committee stressed the need to create a conducive environment for a more equitable participation of developing countries in world trade. It supported FAO's role in providing technical capacity-building on trade and marketing related issues, including market access and on increasing the benefits and values deriving from a country's fisheries resources. (Para. 19)

Members expressed support for measures which lead to the prevention, deterrence and elimination of illegal, unreported and unregulated (IUU) fishing. (Para. 19)

The Sub-Committee welcomed FAO's work on fish price indices and the need to continue and expand this work with regular information provided to Members. (Para. 20)

The Sub-committee underlined the importance of the ongoing negotiations on fisheries subsidies in the WTO. (Para. 22)

The Sub-Committee welcomed FAO's continued work on certification and traceability. (Para. 23)

REPORT ON FAO ACTIVITIES RELATED TO ECOLABELS

The Sub-Committee agreed that the FAO Secretariat should develop an evaluation framework to assess the conformity of public and private ecolabelling schemes with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries. (Para. 24)

The Sub-Committee agreed that as a first step in this process the Secretariat should convene an Expert Consultation to initiate work on the evaluation framework, noting the need for extra-budgetary resources for the Expert Consultation and related activities. A number of Members indicated a willingness to explore the possibility of financial support. (Para. 25)

The Sub-Committee agreed that the outcome of the scheduled 25-27 May 2010 Expert Consultation on the draft Guidelines for the Ecolabelling of Fish and Fishery Products from Inland Capture Fisheries should be forwarded to COFI for its consideration. (Para. 28)

REVIEW OF MARKET ACCESS REQUIREMENTS

The Sub-Committee expressed its support to the work of FAO in support of the Codex Alimentarius standard setting activities for fish and seafood safety, quality and traceability and for the technical advice, training and capacity building in developing countries to enable these countries to meet international market requirements by implementing good practices in fisheries and aquaculture to ensure the safety and quality of fish products. (Para. 30)

The Sub-Committee reiterated the importance of Codex Alimentarius work to promote harmonization and the use of the best available scientific information for standard setting and certification. (Para. 33)

BEST PRACTICE GUIDELINES FOR INTEGRATED TRACEABILITY

The Sub-Committee agreed that traceability initiatives were useful tools to verify the integrity of the supply chain and noted that in the fisheries sector they are mainly used to help meet both food safety and sustainability objectives. Members agreed on the benefits of integrating traceability requirements but also recognized that the traceability requirements for food safety were somewhat different from those linked to sustainability. (Para. 36)

The Sub-Committee agreed that FAO should have an ongoing role in providing technical assistance to countries implementing traceability systems or seeking to integrate their traceability systems. The FAO should also monitor technical developments and assess their applicability in traceability systems. (Para. 40)

UPDATE OF ACTIVITIES RELATED TO CITES

Members commended FAO for its work addressing diverse matters in the context of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) and agreed that the cooperation should continue in the future. The Sub-Committee highlighted the key role of FAO in the management of commercially-exploited aquatic species. (Para. 41)

The Sub-Committee highlighted the important role of RFMOs in the management of fisheries under their mandates. (Para. 41)

The Sub-Committee recognized the role of CITES as a global instrument for the regulation of international trade of species listed in its appendices. (Para. 41)

The Sub-Committee expressed its appreciation for the excellent work done by the FAO Expert Advisory Panel (the Panel) in relation to the biological assessment of CITES listing proposals for commercially-exploited aquatic species, noting remarked that the review and conclusions of the Panel had provided valuable input in the decision-making process of CITES Parties. (Para. 42)

The Sub-Committee supported that the FAO Secretariat give active input to the inter-sessional process set up by CITES for the purpose of clarifying the interpretation of the Appendix II listing criteria, as applied to commercially exploited aquatic species, stressing that a harmonized interpretation of these criteria is of key importance for the ongoing work of the FAO Expert Advisory Panel. (Para. 44)

The Sub-Committee requested that FAO compile current regulations and activities by States and RFMOs related to the conservation of sharks independently of whether they have been formalized in a NPOA. (Para. 47)

The Secretariat was requested to continue providing assistance to developing countries in implementing CITES regulations and improving the conservation of species listed by CITES. (Para. 47)

FISH TRADE AND FOOD SECURITY

The Sub-Committee underlined the importance of enhancing food security and the role of the fisheries and aquaculture sector in contributing towards that goal through fish consumption, employment and trade. (Para. 49)

The Sub-Committee noted the relevance for policymakers of the value-chain study outlined in the report and underlined the utility of value chain approaches within food security analysis, particularly the need to ensure full participation of women in the various parts of the value-chain. (Para. 50)

The Sub-Committee noted that sustainable management, including reduction of IUU fishing, responsible aquaculture practices and responsible trade, are prerequisites for long-term food security. Some Members also noted the importance of reforming fisheries subsidies disciplines for long-term food security. (Para. 51)

The Sub-committee noted the crucial role of aquaculture in future food security and the need to implement policies that promote sustainable aquaculture development on a global basis, including in regions where aquaculture production is today limited. (Para. 52)

The Sub-Committee stressed that in order to achieve national food security, institutional capacity building is often necessary, in addition to assistance of a more technical nature. (Para. 54)

MONITORING IMPLEMENTATION OF ARTICLE 11 OF THE CCRF

The Sub-Committee agreed that the trade-specific questionnaire should be biennial and alternate with the questionnaire monitoring overall implementation of the Code. (Para. 56)

The Sub-Committee noted that the questionnaire should be used to both monitor implementation of the Code and to identify areas where assistance was required to implement the Code's provisions. (Para. 57)

COFI SUB-COMMITTEE ON FISH TRADE AS INTERNATIONAL COMMODITY BODY AND ITS RELATIONSHIP WITH THE COMMON FUND FOR COMMODITIES

The Sub-Committee endorsed the four project proposals submitted for funding by the Common Fund for Commodities. Members highlighted the importance of women in the value chain, and appreciated the fast track project which is expected to improve the income of women involved in fisheries and aquaculture. (Para. 61)

ANY OTHER MATTERS

The Sub-Committee expressed its gratitude to Mr. Nomura for his able leadership of FAO's Fisheries and Aquaculture Department and his dedication and support to COFI and its two Sub-Committees. (Para. 64)

DATE AND PLACE OF THIRTEENTH SESSION

The date and venue of the Thirteenth Session would be determined by the Director-General in consultation with the Chairperson and in light of the international calendar of meetings. (Para. 65)

OPENING OF SESSION

1. The twelfth session of the Sub-Committee on Fish Trade of the Committee on Fisheries (COFI:FT) was held in Buenos Aires, Argentina, from 26 to 30 April 2010 at the kind invitation of the government of the Republic of Argentina. The Sub-Committee expressed its gratitude for the generous hospitality of the Ministry of Foreign Affairs, Trade and Cult and the Ministry of Agriculture, Livestock and Fisheries of Argentina and for the splendid venue provided. The session was attended by 38 Members of the Food and Agriculture Organization (FAO) of the United Nations and by Observers from nine intergovernmental and international non-governmental organizations. The list of Members and observers is given in Appendix B to this report.

2. Mr Ichiro Nomura, Assistant Director-General, FAO Fisheries and Aquaculture Department, delivered the opening address (Appendix D).

3. The Sub-Committee expressed its sincere gratitude to the President of Argentina, H.E. Cristina Fernández de Kirchner for addressing the meeting.

4. The welcoming address on behalf of the Ministry of Agriculture, Livestock and Fisheries was delivered by Mr Norberto Yauhar, Under-Secretary for Fisheries and Aquaculture, Ministry of Agriculture, Livestock and Fisheries (Appendix E).

ELECTION OF CHAIRPERSON, VICE-CHAIRPERSON AND RAPPORTEUR

5. Mr Ramiro Sánchez (Argentina) was elected Chairperson of the Sub-Committee. Ms Astrid Holtan (Norway) was elected First Vice-Chairperson and India and Spain were elected as the other Vice-Chairpersons.

6. The Sub-Committee elected Mr Rüdiger Keunecke as Chairperson of the Drafting Committee and Argentina, Brazil, Canada, Germany, India, Japan, Nigeria, Norway and United States of America as members of the Drafting Committee.

ADOPTION OF THE AGENDA AND ARRANGEMENTS FOR THE SESSION

7. The Sub-Committee noted the Declaration of Competence and Voting Rights presented by the European Union and its Member States.

8. The Agenda shown in Appendix A was adopted by the Sub-Committee. The documents which were before the Sub-Committee are listed in Appendix C.

REPORT ON TRADE-RELATED ACTIVITIES IN FAO

9. The Secretariat introduced the agenda item on the basis of document COFI:FT/XII/2010/2. This item was included in the COFI:FT agenda for the first time at its previous session and was again welcomed by the Sub-Committee.

10. The Sub-Committee commended FAO for the broad range of trade-related activities carried out by the Fisheries and Aquaculture Department. In particular delegates congratulated FAO for its role in obtaining improved fisheries classifications in the World Customs Organization, highlighting the need for accurate and detailed trade statistics for a wide range of purposes, including that of fisheries management. Delegates encouraged FAO to continue this work and underscored the need to include additional species such as sharks and rays in the classification.

11. Members underlined the importance of FAO's work in capacity-building for developing countries, in particular in relation to market access and value-addition for small-scale producers in developing countries. Many delegates encouraged FAO to give a higher priority to the small-scale sector in its work programme, including trade related issues. The Sub-Committee highlighted how

scientifically-based, non-discriminatory and transparent standards are beneficial to international trade and that developing countries should be supported in overcoming problems related to the implementation of such standards. In this respect, many delegates expressed concern that unilateral measures may become a barrier to international trade. Several delegates referred to the important contribution in regional capacity building carried out by the FISH INFONetwork and encouraged FAO to continue its support and coordination of the Network.

12. Members welcomed FAO's work on fish prices, underlining the value of demand, supply and price studies for fisheries policy makers.

13. The Sub-Committee underlined the importance of the legally-binding Agreement on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing which was adopted at the 2009 FAO Conference, and its potential role in contributing to more sustainable fisheries and trade.

14. Delegates noted the growing role of certification and related traceability schemes and the potential additional burden and cost this could place, in particular, on developing country producers, especially the small-scale sector. Several delegates welcomed the progress of the recent Technical Consultation in the development of FAO guidelines for aquaculture certification.

15. The Sub-Committee encouraged FAO to continue the integration of FAO's fisheries related work with that of other FAO technical departments, with other international organizations, such as the Organisation for Economic Cooperation and Development (OECD), the World Trade Organization (WTO) and the World Bank. The Sub-Committee further encouraged FAO to engage actively in important global issues, such as climate change and food security. Members underlined FAO's important role in providing specialized technical expertise to the WTO, in particular for the fisheries subsidies negotiations, bearing in mind the distinct and different mandates and roles of the two organizations. Many delegates also encouraged FAO member countries to provide more expertise from their national fisheries administrations in the WTO negotiations and for FAO to facilitate this process through the organization of specialized workshops.

16. Members encouraged further integration and cooperation between the Secretariats of the Sub-Committees on Fish Trade and on Aquaculture, highlighting the need for a greater focus on the role of aquaculture in international markets and trade.

RECENT DEVELOPMENTS IN FISH TRADE

17. The Sub-Committee commended the Secretariat for the comprehensive description and analysis provided in document COFI:FT/XII/2010/3 and noted the continued usefulness of the value-chain approach in analyzing the state of international trade. Delegates highlighted the dynamic, mobile and global nature of the fisheries sector and the increased relevance of non-governmental stakeholders in the value-chain, especially at the post-harvest level.

18. Members highlighted the importance of fish consumption and its many nutritional and health related benefits referring to a number of national policies and initiatives in this respect. Many delegates praised the FAO and the FISH INFONetwork studies of domestic and regional markets, in particular of metropolitan markets in developing countries and encouraged further such studies. Such markets represent a growing share of international trade and present important opportunities for regional fish producers. Many Members highlighted the potential role of small-scale fisheries in contributing towards increased domestic and regional food security.

19. Members underlined the growing role of aquaculture in production, trade and consumption and the need to adequately reflect this in future work, including the interactions between farmed and wild products in international trade and marketing. Some delegates noted that the distinction between farmed and wild production is getting blurred. The crucial role of developing countries in production and trade of fish and fishery products was highlighted. The Sub-Committee stressed the need to create

a conducive environment for a more equitable participation of developing countries in world trade. It supported FAO's role in providing technical capacity-building on trade and marketing related issues, including market access and on increasing the benefits and values deriving from a country's fisheries resources. The special characteristics and needs of the small-scale sector in both developed and developing countries were noted by some delegations. FAO was encouraged to dedicate more attention to this sector. Members expressed support for measures which lead to the prevention, deterrence and elimination of illegal, unreported and unregulated (IUU) fishing and reported on national initiatives in implementing such measures.

20. Members emphasized the importance of a transparent, robust and harmonized trading system. Some Members referred to the many benefits arising from liberalized trade. Members welcomed further analysis of the relationship between the various stakeholders in the value-chain. The Sub-Committee welcomed FAO's work on fish price indices and the need to continue and expand this work with regular information provided to Members. Some delegates referred to sudden surges in imports of certain species and the negative effect this could have on domestic producers.

21. The Sub-Committee underlined how improved dialogue and consultation among member countries would benefit international trade, cautioning against unilateral measures.

22. The Sub-committee underlined the importance of the ongoing negotiations on fisheries subsidies in the WTO. Some Members also noted the need to adequately reflect the reality of the small-scale sector in developing countries. FAO's role in providing experience and expertise upon request by the WTO, especially with regard to fisheries management was welcomed. Some Members underlined FAO's crucial role in providing a holistic perspective for the discussions. Some Members referred to the Memorandum of Understanding between the Food and Agriculture Organization of the United Nations and the Secretariat of the Convention on International Trade in Endangered Species and suggested that a similar arrangement between FAO and WTO could be a potential vehicle for FAO to provide advice and opinions upon request on fisheries management schemes in a future agreement on fisheries subsidies.

23. The Sub-Committee welcomed FAO's continued work on certification and traceability. Many delegates underlined the need for more harmonized standards in international trade. Some Members encouraged more integrated traceability systems.

REPORT ON FAO ACTIVITIES RELATED TO ECOLABELS

24. Following a request by the Twenty-eighth Session of the Committee on Fisheries (COFI), the Secretariat presented document COFI:FT/XII/2010/4 outlining various options to assess the conformity of ecolabelling schemes with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries (the Guidelines). While some Members preferred that the Secretariat assess the conformity of private ecolabelling schemes against the FAO guidelines, the Sub-Committee subsequently agreed that the FAO Secretariat should develop an evaluation framework to assess the conformity of public and private ecolabelling schemes with the Guidelines.

25. The Sub-Committee also agreed that as a first step in this process the Secretariat should convene an Expert Consultation to initiate work on the evaluation framework. The results of the Expert Consultation would then be considered by the Twenty-ninth Session of COFI in January 2011. COFI would provide guidance on how to proceed with this issue. The Sub-Committee stressed the importance that FAO in its selection of expert ensure a good geographical balance and a range of expertise from both the public and private sectors (in the areas of harvesting, production, processing and retailing). The Secretariat stressed the need for extra-budgetary resources for the Expert Consultation and related activities. A number of Members indicated a willingness to explore the possibility of financial support.

26. Many Members pointed out the benefit of establishing a similar evaluation framework to assess the conformity of certification schemes with the Aquaculture Certification Guidelines and with

the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Inland Capture Fisheries after their adoption.

27. Many Members noted the importance of continuing work related to the assessment of data-poor fisheries, particularly in the case of small-scale fisheries.

28. The Sub-Committee also agreed that the outcome of the scheduled 25–27 May 2010 Expert Consultation on the draft Guidelines for the Ecolabelling of Fish and Fishery Products from Inland Capture Fisheries should be forwarded to COFI for its consideration.

REVIEW OF MARKET ACCESS REQUIREMENTS

29. The Secretariat introduced this agenda item on the basis of document COFI/FT/XII/2010/5 and summarized recent developments in fish and seafood safety, quality, certification and market access requirements. It reported on the activities undertaken by FAO in this area during the last two years.

30. The Sub-Committee expressed its support to the work of FAO in support of the Codex Alimentarius standard setting activities for fish and seafood safety, quality and traceability and for the technical advice, training and capacity building in developing countries to enable these countries to meet international market requirements by implementing good practices in fisheries and aquaculture to ensure the safety and quality of fish products.

31. Many Members informed the Sub-Committee of ongoing activities and programmes pertaining to food safety, quality and certification in their countries, including their needs for financial and technical support.

32. Many Members stressed the importance of conforming to WTO rules for standard setting to ensure transparent trade regimes that promote consumer protection and avoid disguised technical barriers to trade.

33. The Sub-Committee reiterated the importance of Codex Alimentarius work to promote harmonization and the use of the best available scientific information for standard setting and certification.

34. Several Members stressed the need to take into consideration the special needs of small-scale fisheries and aquaculture to ensure that the harvested products conform to these requirements, which should contemplate the specific realities of these fisheries.

35. Some Members referred to the importance of assisting Members to deal with the causes of border detentions and rejections, thus preventing the disruption of trade flows while ensuring the safety and quality of fish supplied to the international markets.

BEST PRACTICE GUIDELINES FOR INTEGRATED TRACEABILITY

36. The Sub-Committee agreed that traceability initiatives were useful tools to verify the integrity of the supply chain and noted that in the fisheries sector they are mainly used to help meet both food safety and sustainability objectives. Members agreed on the benefits of integrating traceability requirements but also recognized that the traceability requirements for food safety were somewhat different from those linked to sustainability. The integration of these requirements was therefore not straightforward. Some Members noted that traceability schemes developed by the private sector for its own purposes could provide useful models for future work in this regard, including the use of technology to simplify and integrate various traceability requirements.

37. Many Members were concerned with the manner in which traceability requirements were enacted and stressed the need to ensure they do not create unnecessary barriers to trade. Many

Members highlighted the desirability to consult the stakeholders before the implementation of traceability requirements.

38. Many Members underlined the challenges traceability posed for developing countries and, in particular, for the small scale fisheries sector. Many Members were also concerned with the increasing number of traceability systems that were being required and called for the development of a harmonized approach.

39. Many Members reported on their experiences in implementing certification systems. Some Members reported on their difficulties in implementing the European Union's Council regulation (EC) No. 1005/2008 establishing a Community system to prevent, deter and eliminate illegal, unreported and unregulated fishing.

40. The Sub-Committee agreed that FAO should have an ongoing role in providing technical assistance to countries implementing traceability systems or seeking to integrate their traceability systems. The FAO should also monitor technical developments and assess their applicability in traceability systems.

UPDATE OF ACTIVITIES RELATED TO CITES

41. The Secretariat introduced the agenda item stating that in recent years, notwithstanding some conflicts, the cooperation between FAO and the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) had been extensive and fruitful. In their following interventions Members commended FAO for its work addressing diverse matters in the context of CITES and agreed that the cooperation should continue in the future. The Sub-Committee highlighted the key role of FAO in the management of commercially-exploited aquatic species. The Sub-Committee also highlighted the important role of RFMOs in the management of fisheries under their mandates. It also recognized the role of CITES as a global instrument for the regulation of international trade of species listed in its appendices. Some Members noted that CITES could be an additional trade-related measure to support the conservation of fishery species. Some Members noted that this was particularly the case where fisheries management based on best practices was lacking.

42. The Sub-Committee expressed its appreciation for the excellent work done by the FAO Expert Advisory Panel (the Panel) in relation to the biological assessment of CITES listing proposals for commercially-exploited aquatic species. The Sub-Committee remarked that the review and conclusions of the Panel had provided valuable input in the decision-making process of CITES Parties, and strongly endorsed the continued work of this Panel.

43. Many Members expressed the view that the Expert Advisory Panel should provide additional comments on technical aspects of the proposals (related to biology, ecology, trade and management issues, as well as, to the extent possible, the likely effectiveness for conservation) under the Terms of Reference for the Panel. Many Members supported such a strengthening of the Panel, often referencing the ecosystem approach to fisheries. Some Members cautioned that such technical considerations should be kept separate from the scientific-biological assessments and suggested a parallel process for the assessment of trade and management issues. Several Members suggested that COFI consider options to consider this issue. The Sub-Committee underlined that the independence of Panel experts was crucial and that FAO should strive to ensure, as appropriate, adequate regional expertise for the species under consideration.

44. The Sub-Committee supported that the FAO Secretariat give active input to the intersessional process set up by CITES for the purpose of clarifying the interpretation of the Appendix II listing criteria, as applied to commercially exploited aquatic species, stressing that a harmonized interpretation of these criteria is of key importance for the ongoing work of the FAO Expert Advisory Panel.

45. Several Members referred to the need for clarification within CITES of the term “Introduction from the Sea”. Members expressed diverse views on whether the Port or the Flag State should function as the “State of Introduction”. The Secretariat informed the Sub-Committee that it had been invited to continue to participate as an observer and provide technical information as requested in the CITES Working Group on Introduction from the Sea, and the Sub-Committee supported this participation.

46. In the context of the rising demands for greater progress in the implementation of the Code of Conduct for Responsible Fisheries and the associated International Plans of Action, many Members reported that they had devised National Plans of Action (NPOAs) for sharks; others informed the Sub-Committee about important initiatives for shark assessment and management outside NPOAs. A number of Members mentioned that lack of data and identification tools still posed an obstacle for the effective implementation of shark conservation measures. The Sub-Committee requested that FAO compile current regulations and activities by States and RFMOs related to the conservation of sharks independently of whether they have been formalized in a NPOA. It was recalled that the annual United Nations General Assembly Sustainable Fisheries Resolutions have for several sessions called upon FAO to do such a report. Some Members suggested that the Code of Conduct for Responsible Fisheries questionnaire could be strengthened to better understand challenges for NPOA implementation.

47. The Sub-Committee recalled that COFI at its Twenty-fifth Session in 2003 had requested that the Secretariat examine the relationship between CITES, the 1982 United Nations Convention on the Law of the Sea and the UN Fish Stock Agreement (UNFSA) in view of the fact that the CITES Convention does not take into account relevant international developments for the conservation of commercially-exploited aquatic species contained in these two instruments. The Secretariat was further requested to continue providing assistance to developing countries in implementing CITES regulations and improving the conservation of species listed by CITES.

48. Many Members considered it more appropriate for FAO to fund its CITES related activities, in particular the convening of the FAO Expert Advisory Panel from the Regular Programme, as these activities had now become a regular function of the FAO Fisheries and Aquaculture Department and should operate independently from the availability of external funds. The Secretariat responded that funding these activities entirely from the Regular Programme would require COFI to reprioritize FAO work.

FISH TRADE AND FOOD SECURITY

49. The Sub-Committee welcomed the inclusion of food security on the agenda, commending the Secretariat for the comprehensive overview provided. The Sub-Committee underlined the importance of enhancing food security and the role of the fisheries and aquaculture sector in contributing towards that goal through fish consumption, employment and trade. It was noted that national, regional and global food security policies and funding frameworks often fail to include or integrate adequately the fisheries and aquaculture sector in the overall policy framework. Members welcomed the inclusion of food security in the G8 and G20 agenda, highlighting the need to address fisheries and aquaculture concerns under these programmes.

50. Many Members underlined the importance of domestic markets in national food security and the need to ensure that the small-scale sector remains competitive and participates in these markets. The Sub-Committee noted the relevance for policymakers of the value-chain study outlined in the report and underlined the utility of value chain approaches within food security analysis, particularly the need to ensure full participation of women in the various parts of the value-chain.

51. In contributing national experience, several Members referred to encouraging results achieved through programmes and campaigns to increase domestic fish consumption. The Sub-Committee further noted that sustainable management, including reduction of IUU fishing, responsible aquaculture practices and responsible trade, are prerequisites for long-term food security. Some

Members also noted the importance of reforming fisheries subsidies disciplines for long-term food security.

52. The Sub-Committee noted the crucial role of aquaculture in future food security and the need to implement policies that promote sustainable aquaculture development on a global basis, including in regions where aquaculture production is today limited. Some Members further highlighted the need to ensure the quality as well as the integrity of aquaculture input factors such as seed and feed, and the crucial role of fish disease management.

53. Many Members noted that in addition to policies that increase aquaculture production, it is also necessary to improve utilization, reduce waste and develop new products based on available wild and farmed resources.

54. The Sub-Committee stressed that in order to achieve national food security, institutional capacity building is often necessary, in addition to assistance of a more technical nature. Members welcomed the programmes available from national development agencies, international funding agencies and organizations in contributing towards enhanced food security but stressed the need to integrate sustainability and responsible fisheries and aquaculture in implementing these programmes.

MONITORING IMPLEMENTATION OF ARTICLE 11 OF THE CCRF

55. The Sub-Committee welcomed the document COFI:FT/XII/2010/9 proposing a trade-specific questionnaire to monitor implementation of article 11, Post-harvest Practices and Trade, of the Code of Conduct for Responsible Fisheries (the Code).

56. The Sub-Committee agreed that the trade-specific questionnaire should be biennial and alternate with the questionnaire monitoring overall implementation of the Code. The overall questionnaire and the trade-specific questionnaire will therefore remain separate.

57. The Sub-Committee underlined the importance of ensuring the confidentiality of the responses. The Sub-Committee also noted that the questionnaire should be used to both monitor implementation of the Code and to identify areas where assistance was required to implement the Code's provisions.

58. The Sub-Committee provided detailed suggestions regarding the questionnaire. These will be incorporated by the Secretariat.

59. A Member offered to provide extrabudgetary resources for work related to the questionnaire.

COFI SUB-COMMITTEE ON FISH TRADE AS INTERNATIONAL COMMODITY BODY AND ITS RELATIONSHIP WITH THE COMMON FUND FOR COMMODITIES

60. Many Members expressed appreciation of the work carried out under specific Common Fund for Commodities (CFC) financed fisheries projects, highlighting their successful implementation. Countries identified under the two pipeline projects provided additional information, highlighting the timeliness and the potential benefits for fisheries and aquaculture in their respective countries and thanked the Sub-Committee, CFC and FAO for their support to these development projects.

61. All four project proposals were endorsed. The Members highlighted the importance of women in the value chain, and appreciated the fast track project which is expected to improve the income of women involved in fisheries and aquaculture.

62. It was noted that the two pipeline projects that were approved in the last Sub-Committee were not mentioned in the document COFI:FT/XII/2010/10. The Secretariat informed that one project, involving Morocco, India and Brazil, had been rejected by the CFC, and the second one, inland fisheries development in Asia, will be submitted to the CFC Consultative Committee in July 2010.

The Secretariat further informed that the delay was caused by the integration of one additional country into the project and the necessity to revise the proposal.

63. The Observer from the CFC expressed appreciation of the quality of the projects endorsed by the Sub-Committee in fisheries and aquaculture. In his overview on the policy of the CFC, he highlighted the promotion of small-scale fisheries and aquaculture enterprises in international trade, domestic marketing and intraregional trade and value-addition in developing countries.

ANY OTHER MATTERS

64. The Sub-Committee expressed its gratitude to Mr Nomura for his able leadership of FAO's Fisheries and Aquaculture Department and his dedication and support to COFI and its two Sub-Committees. All wished him a healthy and productive retirement.

DATE AND PLACE OF THE THIRTEENTH SESSION

65. The date and venue of the thirteenth session would be determined by the Director-General in consultation with the Chairperson and in light of the international calendar of meetings.

ADOPTION OF THE REPORT

66. The report was adopted on 30 April 2010.

QUESTIONS SOUMISES À L'ATTENTION DU COMITÉ DES PÊCHES

RAPPORT SUR LES ACTIVITÉS DE LA FAO RELATIVES AUX ÉCHANGES COMMERCIAUX

Le Sous-Comité a félicité la FAO du large éventail d'activités liées au commerce mises en œuvre par le Département des pêches et de l'aquaculture. (Par. 10)

Les délégués ont félicité l'Organisation du rôle qu'elle avait joué dans l'obtention de classements améliorés des pêches auprès de l'Organisation mondiale des douanes. Les délégués ont encouragé la FAO à poursuivre ses travaux et ont souligné la nécessité d'insérer des espèces supplémentaires, telles que requins et raies, dans la classification. (Par. 10)

Les Membres ont souligné l'importance des travaux de la FAO en matière de renforcement des capacités en faveur des pays en développement, en particulier en ce qui concerne les débouchés et la création de valeur ajoutée pour les petits producteurs des pays en développement. (Par. 11)

Le Sous-Comité a bien montré que des normes reposant sur des bases scientifiques, non discriminatoires et transparentes sont propices aux échanges internationaux et qu'il faudrait aider les pays en développement à surmonter les problèmes liés à l'application de ces normes. (Par. 11)

Les Membres ont accueilli favorablement les travaux menés par la FAO sur les prix du poisson et ils ont souligné la valeur des études relatives à la demande, à l'offre et aux prix pour les décideurs du secteur des pêches. (Par. 12)

Les délégués ont noté le rôle croissant de la certification et des programmes connexes de traçabilité et le fardeau et les coûts supplémentaires qu'ils pourraient en particulier faire peser sur les producteurs des pays en développement notamment dans le secteur artisanal. (Par. 14)

Le Sous-Comité a encouragé la FAO à poursuivre l'harmonisation des travaux relatifs aux pêches de la FAO avec ceux d'autres départements techniques de l'Organisation et avec d'autres organisations internationales, notamment l'Organisation de coopération et de développement économique (OCDE), l'Organisation mondiale du commerce (OMC) et la Banque mondiale. Le Sous-Comité a en outre encouragé la FAO à s'engager activement pour trouver des solutions à des questions mondiales importantes, notamment le changement climatique et la sécurité alimentaire. (Par. 15)

Les Membres ont encouragé une intégration et une coopération ultérieures entre les Secrétariats du Sous-Comité du commerce du poisson et du Sous-Comité de l'aquaculture. (Par. 16)

FAITS NOUVEAUX CONCERNANT LE COMMERCE DU POISSON

Les Membres ont souligné l'importance de la consommation de poisson et ses nombreux bienfaits pour la nutrition et la santé en citant un certain nombre de politiques et initiatives nationales dans ce domaine. (Par. 18)

Les Membres ont souligné le rôle de plus en plus important que joue l'aquaculture dans la production, le commerce et la consommation et la nécessité d'en tenir dûment compte à l'avenir, notamment en ce qui concerne les interactions entre les produits d'élevage et les produits sauvages dans le commerce international et la commercialisation. (Par. 19)

Le Sous-Comité a souligné la nécessité de créer un environnement porteur en vue d'une participation plus équitable des pays en développement aux échanges mondiaux. Il s'est déclaré favorable au rôle que joue la FAO en assurant un renforcement des capacités techniques pour les questions relatives aux échanges internationaux et à la commercialisation, notamment en ce qui concerne les débouchés et l'accroissement des avantages et valeurs découlant des ressources halieutiques d'un pays. (Par. 19)

Les Membres ont indiqué qu'ils étaient favorables aux mesures visant à prévenir, contrecarrer et éliminer la pêche illicite, non déclarée et non réglementée. (Par. 19)

Le Sous-Comité a salué les travaux menés par la FAO sur les indices des prix du poisson et il a indiqué qu'il était nécessaire de poursuivre et de renforcer ces travaux grâce aux informations régulières fournies par les Membres. (Par. 20)

Le Sous-Comité a souligné l'importance des négociations en cours sur l'octroi de subventions à la pêche au sein de l'OMC. (Par. 22)

Le Sous-Comité s'est félicité des travaux que la FAO a continué à mener au sujet de la certification et de la traçabilité. (Par. 23)

RAPPORT SUR LES ACTIVITÉS DE LA FAO RELATIVES AUX ÉCOÉTIQUETAGES

Le Sous-Comité est convenu que le Secrétariat de la FAO devrait élaborer un cadre d'évaluation de la conformité des programmes publics et privés d'écoétiquetage avec les Directives de la FAO pour l'étiquetage écologique du poisson et des produits des pêches de capture marines. (Par. 24)

Le Sous-Comité est également convenu que, dans le cadre de ce processus, le Secrétariat devrait commencer par organiser une consultation d'experts chargée d'engager les travaux sur le cadre d'évaluation, notant la nécessité de ressources extrabudgétaires pour financer la consultation d'experts et les activités connexes. Un certain nombre de Membres ont indiqué qu'ils souhaitaient étudier la possibilité d'un appui financier. (Par. 25)

Le Sous-Comité a décidé que les conclusions de la consultation d'experts sur le projet de directives pour l'étiquetage écologique du poisson et des produits des pêches continentales, qui doit se tenir du 25 au 27 mai 2010, devraient être transmises au Comité des pêches pour examen. (Par. 28)

EXAMEN DES CONDITIONS D'ACCÈS AUX MARCHÉS

Le Sous-Comité a indiqué qu'il soutenait les travaux de la FAO à l'appui des activités normatives du Codex Alimentarius pour la sécurité sanitaire, la qualité et la traçabilité du poisson et des produits de la pêche et pour les avis techniques, la formation et le renforcement des capacités dans les pays en développement, afin de permettre à ces derniers de satisfaire aux exigences du marché international en mettant en œuvre de bonnes pratiques de pêche et d'aquaculture pour garantir la sécurité sanitaire et la qualité des produits halieutiques. (Par. 30)

Le Sous-Comité a confirmé l'importance des travaux du Codex en faveur de l'harmonisation et de l'utilisation des meilleures informations scientifiques disponibles pour l'établissement de normes et la certification. (Par. 33)

ORIENTATIONS POUR DES PRATIQUES OPTIMALES INTÉGRÉES EN MATIÈRE DE TRAÇABILITÉ

Le Sous-Comité a reconnu que les outils en matière de traçabilité étaient utiles pour vérifier l'intégrité de la chaîne d'approvisionnement et il a noté que dans le secteur halieutique, ils étaient principalement utilisés pour aider à atteindre les objectifs à la fois de sécurité sanitaire des aliments et de durabilité. Les Membres ont reconnu les avantages qu'il y avait à intégrer les exigences en matière de traçabilité, mais ils ont également admis que les exigences étaient un peu différentes pour la sécurité sanitaire des aliments et pour la durabilité. (Par. 36)

Le Sous-Comité est convenu que la FAO devrait continuer à fournir une assistance technique aux pays mettant en œuvre des systèmes de traçabilité ou visant à intégrer leurs systèmes de traçabilité. La FAO

devrait également suivre l'évolution technique et évaluer son applicabilité aux systèmes de traçabilité.
(Par. 40)

LE POINT SUR LES ACTIVITÉS RELATIVES À LA CITES

Les Membres ont félicité la FAO de ses efforts visant à traiter différentes questions qui se sont posées dans le cadre de la Convention sur le commerce international des espèces de faune et de flore sauvages menacées d'extinction (CITES) et sont convenus que la coopération devait se poursuivre à l'avenir. Le Sous-Comité a souligné le rôle fondamental joué par la FAO pour la gestion des espèces aquatiques exploitées à des fins commerciales.
(Par. 41)

Le Sous-Comité a souligné le rôle important des organisations régionales de gestion des pêches dans la gestion des pêches de leur compétence.
(Par. 41)

Le Sous-Comité a reconnu le rôle de la CITES en tant qu'instrument mondial de réglementation du commerce international des espèces figurant sur les listes de ses annexes.
(Par. 41)

Le Sous-Comité s'est félicité de l'excellent travail du Groupe consultatif d'experts de la FAO en ce qui concerne l'évaluation biologique des propositions d'inscription sur les listes de la CITES d'espèces aquatiques faisant l'objet d'un commerce, et a observé que l'examen et les conclusions du Groupe avaient apporté une contribution précieuse au processus décisionnel des Parties à la CITES.
(Par. 42)

Le Sous-Comité s'est déclaré favorable à la contribution active du Secrétariat de la FAO au processus intersessions mis en place par le Secrétariat de la CITES afin de rendre plus claire l'interprétation des critères d'inscription à l'Annexe II appliqués aux espèces aquatiques faisant l'objet d'un commerce, soulignant qu'une interprétation harmonisée de ces critères était d'une importance fondamentale pour les travaux en cours du Groupe consultatif d'experts de la FAO.
(Par. 44)

Le Sous-Comité a demandé à la FAO de rassembler, par État et par organisation régionale de gestion des pêches, les réglementations en vigueur et les activités en cours liées à la conservation des requins, qu'elles aient été ou non formalisées dans un plan d'action national.
(Par. 47)

Il a été demandé au Secrétariat de continuer à fournir aux pays en développement une assistance visant à mettre en application les règlements de la CITES et à améliorer la conservation des espèces inscrites sur les listes de la CITES.
(Par. 47)

LE COMMERCE DU POISSON ET LA SÉCURITÉ ALIMENTAIRE

Le Sous-Comité a souligné qu'il était important de renforcer la sécurité alimentaire et que le secteur de la pêche et de l'aquaculture contribuait à cet objectif par la consommation, l'emploi et le commerce.
(Par. 49)

Le Sous-Comité a noté la pertinence, pour les décideurs, de l'étude de la chaîne de valeur présentée dans le rapport et souligné l'utilité des approches fondées sur la chaîne de valeur dans l'analyse de la sécurité alimentaire, en particulier la nécessité d'associer pleinement les femmes aux différentes étapes de la chaîne de valeur.
(Par. 50)

Le Sous-Comité a noté que la gestion durable, notamment la réduction de la pêche illicite, non déclarée et non réglementée, les pratiques d'aquaculture responsable et le commerce responsable étaient indispensables si l'on voulait assurer la sécurité alimentaire à long terme. Certains Membres ont également noté l'importance de la réforme des régimes de subvention des pêches pour la sécurité alimentaire à long terme.
(Par. 51)

Le Sous-Comité a pris note du rôle fondamental de l'aquaculture dans la sécurité alimentaire future et de la nécessité de mettre en œuvre des politiques qui favorisent le développement durable de

l'aquaculture à l'échelle mondiale, y compris dans les régions où la production aquacole est aujourd'hui limitée. (Par. 52)

Le Sous-Comité a souligné que la sécurité alimentaire à l'échelle nationale nécessitait souvent le renforcement des capacités institutionnelles ainsi qu'une assistance d'ordre plus technique. (Par. 54)

SUIVI DE L'APPLICATION DE L'ARTICLE 11 DU CODE DE CONDUITE POUR UNE PÊCHE RESPONSABLE

Le Sous-Comité est convenu que le questionnaire portant sur les éléments ayant spécifiquement trait au commerce devait être biennal et alterner avec le questionnaire relatif au suivi de l'application générale du Code. (Par. 56)

Le Sous-Comité a noté que le questionnaire devait être utilisé non seulement pour suivre la mise en application du Code mais encore pour identifier les domaines où une aide serait nécessaire en vue de la mise en œuvre des dispositions du Code. (Par. 57)

LE SOUS-COMITÉ DU COMMERCE DU POISSON DU COMITÉ DES PÊCHES EN TANT QU'ORGANISME INTERNATIONAL DE PRODUIT ET SES LIENS AVEC LE FOND COMMUN POUR LES PRODUITS DE BASE

Le Sous-Comité a approuvé les quatre propositions de projets présentées en vue de leur financement par le Fonds commun pour les produits de base. Les Membres ont souligné l'importance des femmes dans la chaîne de valeur et se sont félicités du projet accéléré qui devrait améliorer le revenu des femmes intervenant dans la pêche et l'aquaculture. (Par. 61)

AUTRES QUESTIONS

Le Sous-Comité a exprimé sa gratitude à M. Nomura pour son efficace conduite des travaux du Département des pêches et de l'aquaculture de la FAO, son engagement auprès du COFI et de ses deux Sous-Comités et pour l'appui qu'il leur a apporté. (Par. 64)

DATE ET LIEU DE LA TREIZIÈME SESSION

La date et le lieu de la treizième session seront déterminés par le Directeur général en consultation avec le Président et en fonction du calendrier des réunions internationales. (Par. 65)

OUVERTURE DE LA SESSION

1. La douzième session du Sous-Comité du commerce du poisson du Comité des pêches s'est tenue à Buenos Aires (Argentine), du 26 au 30 avril 2010, à l'aimable invitation du Gouvernement de la République argentine. Le Sous-Comité a fait part de sa gratitude pour la généreuse hospitalité offerte par le Ministère des affaires étrangères, du commerce international et du culte et le Ministère de l'agriculture, de l'élevage et des pêches de l'Argentine et pour le cadre splendide de la réunion. Ont assisté à la session 38 Membres de l'Organisation des Nations Unies pour l'alimentation et l'agriculture (FAO) et des observateurs de 9 organisations intergouvernementales et internationales non gouvernementales. On trouvera à l'Annexe B au présent rapport la liste des Membres et observateurs.

2. M. Ichiro Nomura, Sous-Directeur général chargé du Département des pêches et de l'aquaculture de la FAO, a prononcé l'allocution d'ouverture (Annexe D).

3. Le Sous-Comité a fait part de sa sincère gratitude à la Présidente argentine, Mme Cristina Fernandez de Kirchner, pour avoir pris la parole à la réunion.

4. Le discours de bienvenue au nom du Ministère de l'agriculture, de l'élevage et des pêches a été prononcé par M. Norberto Yauhar, Sous-Secrétaire chargé de la pêche et de l'aquaculture du Ministère de l'agriculture, de l'élevage et des pêches (Annexe E).

ÉLECTION DU PRÉSIDENT, DES VICE-PRÉSIDENTS ET DU RAPPORTEUR

5. M. Ramiro Sánchez (Argentine) a été élu Président du Sous-Comité. Mme Astrid Holtan (Norvège) a été élue à la première vice-présidence et l'Inde et l'Espagne ont été élues aux autres vice-présidences.

6. Le Sous-Comité a élu M. Rüdiger Keunecke Président du Comité de rédaction et l'Allemagne, l'Argentine, le Brésil, le Canada, les États-Unis d'Amérique, l'Inde, le Japon, le Nigéria et la Norvège membres du Comité de rédaction.

ADOPTION DE L'ORDRE DU JOUR ET ORGANISATION DE LA SESSION

7. Le Sous-Comité a pris note de la Déclaration des compétences et droits de vote de l'Union européenne et de ses États membres.

8. L'ordre du jour reproduit à l'Annexe A a été adopté par le Sous-Comité. On trouvera à l'Annexe C la liste des documents dont était saisi le Sous-Comité.

RAPPORT SUR LES ACTIVITÉS DE LA FAO RELATIVES AUX ÉCHANGES COMMERCIAUX

9. Le Secrétariat a présenté le point de l'ordre du jour en s'appuyant sur le document COFI:FT/XII/2010/2. Ce point avait été inscrit à l'ordre du jour du Sous-Comité pour la première fois à sa session précédente et il a été de nouveau accueilli favorablement par le Sous-Comité.

10. Le Sous-Comité a félicité la FAO du large éventail d'activités liées au commerce mises en œuvre par le Département des pêches et de l'aquaculture. En particulier, les délégués ont félicité l'Organisation du rôle qu'elle avait joué dans l'obtention de classements améliorés des pêches auprès de l'Organisation mondiale des douanes, en mettant en avant la nécessité de disposer de statistiques précises et détaillées pour des usages très divers, notamment en vue de la gestion des pêches. Les délégués ont encouragé la FAO à poursuivre ses travaux et ont souligné la nécessité d'insérer des espèces supplémentaires, telles que requins et raies, dans la classification.

11. Les membres ont souligné l'importance des travaux de la FAO en matière de renforcement des capacités en faveur des pays en développement, en particulier en ce qui concerne les débouchés et la création de valeur ajoutée pour les petits producteurs des pays en développement. Nombre de délégués ont encouragé la FAO à accorder une priorité plus élevée, dans son programme de travail, au secteur artisanal, et notamment aux questions liées au commerce. Le Sous-Comité a bien montré que des normes reposant sur des bases scientifiques, non discriminatoires et transparentes sont propices aux échanges internationaux et qu'il faudrait aider les pays en développement à surmonter les problèmes liés à l'application de ces normes. À cet égard, de nombreux délégués ont indiqué qu'ils craignaient que les mesures unilatérales ne deviennent des obstacles techniques au commerce international. Plusieurs délégués ont évoqué l'importante contribution du Réseau FISH INFON au renforcement des capacités régionales et ont encouragé la FAO à maintenir son appui et sa coordination du Réseau.

12. Les Membres ont accueilli favorablement les travaux menés par la FAO sur les prix du poisson et ils ont souligné la valeur des études relatives à la demande, à l'offre et aux prix pour les décideurs du secteur des pêches.

13. Le Sous-Comité a souligné l'importance de l'instrument juridiquement contraignant sur les mesures du ressort de l'État du port visant à prévenir, contrecarrer et éliminer la pêche illicite, non déclarée et non réglementée, qui a été adopté lors de la Conférence de 2009 de la FAO, et le rôle qu'il peut jouer en faveur de pêches et d'échanges internationaux plus durables.

14. Les délégués ont noté le rôle croissant de la certification et des programmes connexes de traçabilité et le fardeau et les coûts supplémentaires qu'ils pourraient en particulier faire peser sur les producteurs des pays en développement notamment dans le secteur artisanal. Plusieurs délégués se sont félicités des progrès réalisés lors de la récente Consultation technique sur les directives techniques relatives à la certification en aquaculture.

15. Le Sous-Comité a encouragé la FAO à poursuivre l'harmonisation des travaux relatifs aux pêches de la FAO avec ceux d'autres départements techniques de l'Organisation, d'autres organisations internationales, notamment l'Organisation de coopération et de développement économique, l'Organisation mondiale du commerce et la Banque mondiale. Le Sous-Comité a en outre encouragé la FAO à s'engager activement pour trouver des solutions à des questions mondiales importantes, notamment le changement climatique et la sécurité alimentaire. Les Membres ont souligné le rôle important de la FAO, qui fournit des compétences techniques spécialisées aux négociations de l'OMC en particulier en ce qui concerne les subventions aux pêches, compte tenu des mandats et rôles distincts et différents des deux organisations. De nombreux délégués ont également encouragé les États Membres de la FAO à fournir davantage d'experts de leurs administrations nationales des pêches aux négociations de l'OMC et la FAO a facilité ce processus grâce à l'organisation d'ateliers spécialisés.

16. Les Membres ont encouragé une intégration et une coopération ultérieures entre les Secrétariats du Sous-Comité du commerce du poisson et du Sous-Comité de l'aquaculture, en mettant en évidence la nécessité de faire une plus grande place au rôle de l'aquaculture sur les marchés et dans le commerce internationaux.

FAITS NOUVEAUX CONCERNANT LE COMMERCE DU POISSON

17. Le Sous-Comité a félicité le Secrétariat de la description exhaustive et de l'analyse figurant dans le document COFI:FT/XII/2010/3 et a noté que l'approche de la chaîne de valeur restait utile pour analyser la situation du commerce international. Les délégués ont souligné la nature dynamique, mobile et mondiale du secteur des pêches et la pertinence croissante des parties prenantes non gouvernementales dans la chaîne de valeur, en particulier après capture.

18. Les Membres ont souligné l'importance de la consommation de poisson et ses nombreux bienfaits pour la nutrition et la santé en citant un certain nombre de politiques et initiatives nationales dans ce domaine. De nombreux délégués ont salué les études de la FAO et son réseau FISH INFO

concernant les marchés intérieurs et régionaux, en particulier les marchés des villes dans les pays en développement et ils ont encouragé la réalisation d'autres études de ce type. Ces marchés représentent une part croissante du commerce international et offrent d'importants débouchés aux producteurs régionaux de poisson. De nombreux Membres ont souligné le rôle que peut jouer la pêche artisanale dans le renforcement de la sécurité alimentaire intérieure et régionale.

19. Les Membres ont souligné le rôle de plus en plus important que joue l'aquaculture dans la production, le commerce et la consommation et la nécessité d'en tenir dûment compte à l'avenir, notamment en ce qui concerne les interactions entre les produits d'élevage et les produits sauvages dans le commerce international et la commercialisation. Certains délégués ont noté que la distinction entre ces deux types de produits n'était plus nette. Le rôle essentiel des pays en développement dans la production et le commerce de poissons et de produits de la pêche a été mis en évidence. Le Sous-Comité a souligné la nécessité de créer un environnement porteur en vue d'une participation plus équitable des pays en développement aux échanges mondiaux. Il s'est déclaré favorable au rôle que joue la FAO en assurant un renforcement des capacités techniques pour les questions relatives aux échanges internationaux et à la commercialisation, notamment en ce qui concerne les débouchés et l'accroissement des avantages et valeurs découlant des ressources halieutiques d'un pays. Les caractéristiques particulières et les besoins du secteur artisanal, dans les pays développés comme dans les pays en développement, ont été notés par certaines délégations. La FAO a été encouragée à être plus attentive à ce secteur. Les Membres ont indiqué qu'ils étaient favorables aux mesures visant à prévenir, contrecarrer et éliminer la pêche illicite, non déclarée et non réglementée et ils ont rendu compte des initiatives nationales prises pour appliquer ces mesures.

20. Les Membres ont souligné l'importance d'un système de commercialisation transparent, robuste et harmonisé. Certains Membres ont évoqué les nombreux avantages découlant de la libéralisation des échanges internationaux. Ils se sont félicités de l'analyse ultérieure de la relation entre les diverses parties prenantes de la chaîne de valeur. Le Sous-Comité a salué les travaux menés par la FAO sur les indices des prix du poisson et il a indiqué qu'il était nécessaire de poursuivre et de renforcer ces travaux grâce aux informations régulières fournies par les Membres. Certains délégués ont évoqué les augmentations brusques des importations de certaines espèces et les effets négatifs qu'elles pourraient avoir sur les producteurs intérieurs.

21. Le Sous-Comité a souligné que l'amélioration du dialogue et des consultations entre les États Membres serait favorable au commerce international, tout en mettant en garde contre les mesures unilatérales.

22. Le Sous-Comité a souligné l'importance des négociations en cours sur l'octroi de subventions à la pêche au sein de l'OMC. Certains Membres ont aussi noté la nécessité de tenir dûment compte des réalités du secteur artisanal dans les pays en développement. Le rôle de la FAO en matière de fourniture, sur demande de l'OMC, de données d'expérience et de compétences spécialisées, en particulier en ce qui concerne la gestion des pêches, a été bien accueilli. Certains Membres ont souligné que la FAO jouait un rôle crucial en offrant une perspective globale pour les débats. Certains Membres ont cité le protocole d'accord entre l'Organisation des Nations Unies pour l'alimentation et l'agriculture et le Secrétariat de la Convention sur le commerce international des espèces de faune et de flore sauvages menacées d'extinction, et ils ont proposé qu'un arrangement analogue entre la FAO et l'OMC soit conclu, pour permettre à la FAO de donner, sur demande, des avis et des opinions sur les plans de gestion des pêches dans le cadre d'un accord futur sur l'octroi de subventions aux pêches.

23. Le Sous-Comité s'est félicité des travaux que la FAO a continué à mener au sujet de la certification et de la traçabilité. De nombreux délégués ont souligné la nécessité de mieux harmoniser les normes dans le cadre des échanges internationaux. Certains Membres ont encouragé une intégration plus poussée des systèmes de traçabilité.

RAPPORT SUR LES ACTIVITÉS DE LA FAO RELATIVES AUX ÉCOÉTIQUETAGES

24. À la demande du Comité des pêches à sa vingt-huitième session, le Secrétariat a présenté le document COFI:FT/XII/2010/4 exposant les diverses options en matière d'évaluation de la conformité des programmes d'écoétiquetage aux Directives de la FAO pour l'étiquetage écologique du poisson et des produits des pêches de capture marines (les Directives). Certains Membres préféraient que le Secrétariat évalue la conformité des programmes privés d'écoétiquetage aux directives de la FAO, mais le Sous-Comité est ensuite convenu que le Secrétariat de la FAO devrait élaborer un cadre d'évaluation de la conformité aux directives des programmes publics et privés d'écoétiquetage.

25. Il est également convenu que, dans le cadre de ce processus, le Secrétariat devrait commencer par organiser une consultation d'experts chargée d'engager les travaux sur le cadre d'évaluation. Les conclusions de celle-ci seraient ensuite examinées par le Comité des pêches à sa vingt-neuvième session, en janvier 2011. Celui-ci donnerait des indications sur la façon de procéder pour cette question. Le Sous-Comité a souligné qu'il importait que la FAO, lors de sa sélection d'experts, assure un bon équilibre géographique et des compétences spécialisées diversifiées issues des secteurs public et privé (dans les domaines de la pêche, de la production, de la transformation et de la vente au détail). Le Secrétariat a souligné la nécessité de ressources extrabudgétaires pour financer la consultation d'experts et les activités connexes. Un certain nombre de Membres ont indiqué qu'ils souhaitaient étudier la possibilité d'un appui financier.

26. De nombreux Membres ont fait remarquer qu'il serait souhaitable d'établir un cadre d'évaluation analogue pour évaluer la conformité des programmes de certification aux Directives de certification en aquaculture et aux Directives de la FAO pour l'étiquetage écologique du poisson et des produits des pêches continentales après leur adoption.

27. De nombreux Membres ont noté qu'il importait de poursuivre les travaux liés à l'évaluation des pêches pour lesquelles les données sont insuffisantes, notamment pour la pêche artisanale.

28. Le Sous-Comité a également décidé que les conclusions de la consultation d'experts sur le projet de directives pour l'étiquetage écologique du poisson et des produits des pêches continentales, qui doit se tenir du 25 au 27 mai 2010, devraient être transmises au Comité des pêches pour examen.

EXAMEN DES CONDITIONS D'ACCÈS AUX MARCHÉS

29. Le Secrétariat a présenté ce point en s'appuyant sur le document COFI:FT/XII/2010/5 et a fait la synthèse de l'évolution récente des exigences en matière de sécurité sanitaire, de qualité, de certification et de débouchés du poisson et des produits de la pêche. Il a rendu compte des activités entreprises par la FAO dans ce domaine pendant les deux années écoulées.

30. Le Sous-Comité a indiqué qu'il soutenait les travaux de la FAO à l'appui des activités normatives du Codex Alimentarius pour la sécurité sanitaire, la qualité et la traçabilité du poisson et des produits de la pêche et pour les avis techniques, la formation et le renforcement des capacités dans les pays en développement, afin de permettre à ces derniers de satisfaire aux exigences du marché international en mettant en œuvre de bonnes pratiques de pêche et d'aquaculture pour garantir la sécurité sanitaire et la qualité des produits halieutiques.

31. De nombreux Membres ont informé le Sous-Comité des activités et programmes en cours ayant trait à la sécurité sanitaire, à la qualité et à la certification des aliments dans leur pays, en évoquant notamment leurs besoins d'appui financier et technique.

32. De nombreux Membres ont souligné qu'il importait de se conformer aux règles de l'OMC en matière d'établissement de normes afin que les régimes commerciaux soient transparents et de nature à promouvoir la protection des consommateurs et à éviter les obstacles techniques au commerce déguisés.

33. Le Sous-Comité a confirmé l'importance des travaux du Codex en faveur de l'harmonisation et de l'utilisation des meilleures informations scientifiques disponibles pour l'établissement de normes et la certification.

34. Plusieurs Membres ont souligné la nécessité de tenir compte des besoins particuliers de la pêche et de l'aquaculture artisanale afin de faire en sorte que les produits obtenus soient conformes à ces exigences, lesquelles doivent prendre en considération les circonstances particulières de ces filières.

35. Certains Membres ont indiqué qu'il était important d'aider les Membres à s'attaquer aux causes des immobilisations et rejets à la frontière, évitant ainsi de perturber les flux commerciaux tout en assurant la sécurité sanitaire et la qualité du poisson fourni aux marchés internationaux.

ORIENTATIONS POUR DES PRATIQUES OPTIMALES INTÉGRÉES EN MATIÈRE DE TRAÇABILITÉ

36. Le Sous-Comité a reconnu que les outils en matière de traçabilité étaient utiles pour vérifier l'intégrité de la chaîne d'approvisionnement et il a noté que dans le secteur halieutique, ils étaient principalement utilisés pour aider à atteindre les objectifs à la fois de sécurité sanitaire des aliments et de durabilité. Les Membres ont reconnu les avantages qu'il y avait à intégrer les exigences en matière de traçabilité, mais ils ont également admis que les exigences étaient un peu différentes pour la sécurité sanitaire des aliments et pour la durabilité. Il n'était donc pas aisé d'intégrer ces exigences. Certains Membres ont noté que les programmes de traçabilité mis au point par le secteur privé pour son propre usage pourraient servir de modèle aux travaux futurs dans ce domaine, notamment en ce qui concerne l'emploi de technologies quant à simplifier et intégrer diverses exigences en matière de traçabilité.

37. De nombreux Membres étaient préoccupés par la manière dont les exigences en matière de traçabilité étaient appliquées et ils ont souligné la nécessité de faire en sorte qu'elles ne créent pas inutilement d'obstacles au commerce. De nombreux Membres ont souligné qu'il était souhaitable de consulter les parties prenantes avant de mettre en œuvre les exigences en matière de traçabilité.

38. De nombreux Membres ont souligné les difficultés qu'entraînait la traçabilité pour les pays en développement, et en particulier pour le secteur de la pêche artisanale. De nombreux Membres étaient également préoccupés par le nombre croissant de systèmes de traçabilité qui étaient exigés et ont demandé qu'une approche harmonisée soit mise au point.

39. De nombreux Membres ont rendu compte de leur expérience en matière de mise en œuvre de systèmes de certification. Certains ont évoqué les difficultés rencontrées dans l'application du règlement No. 1005/2008 du Conseil de l'Union européenne (CE) établissant un système communautaire destiné à prévenir, contrecarrer et éliminer la pêche illicite, non déclarée et non réglementée.

40. Le Sous-Comité est convenu que la FAO devrait continuer à fournir une assistance technique aux pays mettant en œuvre des systèmes de traçabilité ou visant à intégrer leurs systèmes de traçabilité. La FAO devrait également suivre l'évolution technique et évaluer son applicabilité aux systèmes de traçabilité.

LE POINT SUR LES ACTIVITÉS RELATIVES À LA CITES

41. Le Secrétariat a présenté le point de l'ordre du jour en indiquant que, en dépit de quelques divergences, la coopération entre la FAO et la Convention sur le commerce international des espèces de faune et de flore sauvages menacées d'extinction (CITES) avait été importante et fructueuse ces dernières années. Dans les interventions qui ont suivi, les Membres ont félicité la FAO de ses efforts visant à traiter différentes questions qui se sont posées dans le cadre de la CITES et sont convenus que la coopération devait se poursuivre à l'avenir. Le Sous-Comité a souligné le rôle fondamental joué par

la FAO pour la gestion des espèces aquatiques exploitées à des fins commerciales. Le Sous-Comité a aussi souligné le rôle important des organisations régionales de gestion des pêches dans la gestion des pêches de leur compétence. Il a également reconnu le rôle de la CITES en tant qu'instrument mondial de réglementation du commerce international des espèces figurant sur les listes de ses annexes. Certains Membres ont noté que la CITES pouvait constituer une autre mesure liée au commerce en vue de la conservation des espèces halieutiques. D'autres ont fait valoir que c'était notamment le cas en l'absence de gestion des pêches fondée sur les meilleures pratiques.

42. Le Sous-Comité s'est félicité de l'excellent travail du Groupe consultatif d'experts de la FAO en ce qui concerne l'évaluation biologique des propositions d'inscription sur les listes de la CITES d'espèces aquatiques faisant l'objet d'un commerce. Le Sous-Comité a observé que l'examen et les conclusions du Groupe avaient apporté une contribution précieuse au processus décisionnel des Parties à la CITES et a approuvé avec force la poursuite des travaux de ce Groupe.

43. De nombreux Membres ont estimé que le Groupe consultatif d'experts devait formuler des observations supplémentaires sur les aspects techniques des propositions (concernant la biologie, l'écologie, le commerce, la gestion et, autant que possible, l'efficacité probable pour la conservation) conformément au mandat du Groupe. De nombreux Membres étaient favorables au renforcement du Groupe, évoquant souvent l'approche écosytémique de la pêche. Certains Membres ont tenu à souligner que ces considérations techniques devaient être dissociées des évaluations biologiques-scientifiques et ont suggéré un processus parallèle pour l'évaluation des questions de commerce et de gestion. Plusieurs Membres étaient d'avis que le Comité des pêches devrait examiner les différentes options envisageables à cette fin. Le Sous-Comité a souligné que l'indépendance du Groupe d'experts était capitale et que la FAO devait s'employer à s'assurer, le cas échéant, des compétences régionales adéquates pour les espèces soumises à examen.

44. Le Sous-Comité s'est déclaré favorable à la contribution active du Secrétariat de la FAO au processus intersessions mis en place par la CITES afin de rendre plus claire l'interprétation des critères d'inscription à l'Annexe II appliqués aux espèces aquatiques faisant l'objet d'un commerce, soulignant qu'une interprétation harmonisée de ces critères était d'une importance fondamentale pour les travaux en cours du Groupe consultatif d'experts de la FAO.

45. Plusieurs Membres ont évoqué la nécessité de préciser l'expression «Introduction en provenance de la mer» dans le cadre de la CITES. Les Membres ont exprimé des points de vue différents sur la question de savoir si l'État du port ou l'État du pavillon devait fonctionner comme «l'État d'introduction». Le Secrétariat a indiqué au Sous-Comité qu'il avait été invité à continuer à participer en qualité d'observateur au Groupe de travail de la CITES et à fournir les informations techniques demandées sur l'introduction en provenance de la mer, et le Sous-Comité a appuyé cette participation.

46. Devant les demandes croissantes visant à faire progresser plus rapidement la mise en œuvre du Code de conduite pour une pêche responsable et des Plans d'action internationaux connexes, de nombreux Membres ont indiqué avoir mis au point des Plans d'action nationaux pour les requins; d'autres ont signalé au Sous-Comité d'importantes initiatives relatives à l'évaluation et à la gestion des requins qui ont été prises en dehors des plans d'action nationaux. Plusieurs Membres ont mentionné que le manque de données et d'outils d'identification faisait toujours obstacle à l'application efficace des mesures de conservation des requins. Le Sous-Comité a demandé à la FAO de rassembler, par État et par organisation régionale de gestion des pêches, les réglementations en vigueur et les activités en cours liées à la conservation des requins, qu'elles aient été ou non formalisées dans un Plan d'action national. Il a été rappelé que les résolutions de l'Assemblée générale des Nations Unies relatives à la pêche durable de plusieurs sessions annuelles invitaient la FAO à communiquer ces données. Certains Membres ont estimé que le questionnaire afférent au Code de conduite pour une pêche responsable pourrait être renforcé afin que l'on cerne mieux les difficultés de mise en œuvre des plans d'action nationaux.

47. Le Sous-Comité a rappelé qu'à sa vingt-cinquième session, en 2003, le Comité des pêches avait demandé au Secrétariat d'examiner les relations entre la CITES, la Convention des Nations Unies sur le droit de la mer de 1982 et l'Accord des Nations Unies sur les stocks de poissons chevauchants étant donné que la Convention CITES ne tient pas compte des éléments nouveaux à l'échelle internationale importants pour la conservation des espèces aquatiques faisant l'objet d'un commerce contenus dans ces deux instruments. Il a également été demandé au Secrétariat de continuer à fournir aux pays en développement une assistance visant à mettre en application les règlements de la CITES et à améliorer la conservation des espèces inscrites sur les listes de la CITES.

48. De nombreux Membres ont estimé qu'il était préférable que la FAO finance ses activités liées à la CITES, en particulier la réunion du Groupe consultatif d'experts au titre du Programme ordinaire, étant donné que ces activités faisaient maintenant partie des fonctions ordinaires du Département des pêches et de l'aquaculture et qu'elles devraient être assurées indépendamment de la disponibilité de fonds extérieurs. Le Secrétariat a répondu que le financement intégral de ces activités au titre du Programme ordinaire nécessiterait un réexamen de l'ordre de priorité des activités de la FAO par le Comité des pêches.

LE COMMERCE DU POISSON ET LA SÉCURITÉ ALIMENTAIRE

49. Le Sous-Comité a accueilli avec satisfaction l'inscription de la sécurité alimentaire à l'ordre du jour, et félicité le Secrétariat du tableau très complet présenté. Le Sous-Comité a souligné qu'il était important de renforcer la sécurité alimentaire et que le secteur de la pêche et de l'aquaculture contribuait à cet objectif par la consommation, l'emploi et le commerce. Il a été noté que les politiques et cadres de financement en matière de sécurité alimentaire aux niveaux national, régional et mondial omettent souvent d'inclure ou d'intégrer de manière adéquate le secteur de la pêche et de l'aquaculture dans leur cadre général d'action. Les Membres se sont félicités que le G8 et le G20 aient inscrit la sécurité alimentaire à leur ordre du jour, soulignant la nécessité de traiter les problèmes de la pêche et de l'aquaculture dans ces programmes.

50. De nombreux Membres ont souligné que les marchés intérieurs étaient importants pour la sécurité alimentaire nationale et qu'il fallait assurer la compétitivité du secteur artisanal et son intervention sur ces marchés. Le Sous-Comité a noté la pertinence, pour les décideurs, de l'étude de la chaîne de valeur présentée dans le rapport et souligné l'utilité des approches fondées sur la chaîne de valeur dans l'analyse de la sécurité alimentaire, en particulier la nécessité d'associer pleinement les femmes aux différentes étapes de la chaîne de valeur.

51. En faisant part de leurs expériences au niveau national, plusieurs Membres ont signalé les résultats encourageants obtenus grâce à des programmes et à des campagnes destinés à accroître la consommation intérieure de poisson. Le Sous-Comité a noté par ailleurs que la gestion durable, notamment la réduction de la pêche illicite, non déclarée et non réglementée, les pratiques d'aquaculture responsable et le commerce responsable étaient indispensables si l'on voulait assurer la sécurité alimentaire à long terme. Certains Membres ont également noté l'importance de la réforme des régimes de subvention des pêches pour la sécurité alimentaire à long terme.

52. Le Sous-Comité a pris note du rôle fondamental de l'aquaculture dans la sécurité alimentaire future et de la nécessité de mettre en œuvre des politiques qui favorisent le développement durable de l'aquaculture à l'échelle mondiale, y compris dans les régions où la production aquacole est aujourd'hui limitée. Certains Membres ont aussi souligné qu'il fallait garantir non seulement la qualité mais encore l'intégrité des intrants aquacoles comme les semences et les aliments, et que la lutte contre les maladies des poissons revêtait une importance cruciale.

53. De nombreux Membres ont noté qu'outre les mesures destinées à accroître la production aquacole, il fallait aussi améliorer l'utilisation, réduire les déchets et élaborer de nouveaux produits fondés sur les ressources – sauvages et d'élevage – disponibles.

54. Le Sous-Comité a souligné que la sécurité alimentaire à l'échelle nationale nécessitait souvent le renforcement des capacités institutionnelles ainsi qu'une assistance d'ordre plus technique. Les Membres se sont félicités des programmes disponibles auprès des organisations nationales de développement, des institutions et organisations internationales de financement qui contribuent à renforcer la sécurité alimentaire mais ont souligné que la durabilité des pêches et de l'aquaculture responsable devaient être intégrées dans la mise en œuvre de ces programmes.

SUIVI DE L'APPLICATION DE L'ARTICLE 11 DU CODE DE CONDUITE POUR UNE PÊCHE RESPONSABLE

55. Le Sous-Comité a accueilli favorablement le document COFI:FT/XII/2010/9 proposant un questionnaire permettant de suivre la mise en application de l'article 11, Pratiques après capture et commerce, du Code de conduite pour une pêche responsable (le Code).

56. Le Sous-Comité est convenu que le questionnaire portant sur les éléments ayant spécifiquement trait au commerce devait être biennal et alterner avec le questionnaire relatif au suivi de l'application générale du Code. Le questionnaire général et le questionnaire ayant trait au commerce demeurent donc distincts.

57. Le Sous-Comité a souligné qu'il importait d'assurer la confidentialité des réponses. Le Sous-Comité a aussi noté que le questionnaire devait être utilisé non seulement pour suivre la mise en application du Code mais encore pour identifier les domaines où une aide serait nécessaire en vue de la mise en œuvre des dispositions du Code.

58. Le Sous-Comité a présenté des propositions détaillées concernant le questionnaire qui seront insérées par le Secrétariat.

59. Un Membre a offert des ressources extrabudgétaires pour les activités liées au questionnaire.

LE SOUS-COMITÉ DU COMMERCE DU POISSON DU COMITÉ DES PÊCHES EN TANT QU'ORGANISME INTERNATIONAL DE PRODUIT ET SES LIENS AVEC LE FONDS COMMUN POUR LES PRODUITS DE BASE

60. De nombreux Membres se sont félicités du travail accompli dans le cadre des projets sur la pêche financés au titre du Fonds commun pour les produits de base (FCP), tout en soulignant la réussite de leur mise en œuvre. Les pays identifiés dans le cadre des deux projets dans la filière ont fourni des informations supplémentaires, appelant l'attention sur l'opportunité et les avantages potentiels pour la pêche et l'aquaculture sur leurs territoires respectifs et remercié le Sous-Comité, le FCP et la FAO de leur appui à ces projets de développement.

61. Les quatre propositions de projet ont été approuvées. Les Membres ont souligné l'importance des femmes dans la chaîne de valeur et se sont félicités du projet accéléré qui devrait améliorer le revenu des femmes intervenant dans la pêche et l'aquaculture.

62. Il a été noté que les deux projets dans la filière approuvés lors de la session précédente du Sous-Comité n'étaient pas cités dans le document COFI:FT/XII/2010/10. Le Secrétariat a indiqué que l'un des projets, concernant le Maroc, l'Inde et le Brésil avait été refusé par le FCP et que le second, portant sur le développement des pêches continentales en Asie, serait soumis au Comité consultatif du FCP en juillet 2010. Le Secrétariat a également précisé que le retard était dû à l'intégration d'un autre pays dans le projet et à la nécessité de réviser la proposition.

63. L'observateur du FCP a salué la qualité des projets relatifs aux pêches et à l'aquaculture approuvés par le Sous-Comité. En passant en revue la politique du FCP, il a souligné la volonté de promouvoir les pêcheries artisanales et les entreprises aquacoles dans le commerce international, la commercialisation intérieure et le commerce intrarégional ainsi que la création de valeur ajoutée dans les pays en développement.

AUTRES QUESTIONS

64. Le Sous-Comité a exprimé sa gratitude à M. Nomura pour son efficace conduite des travaux du Département des pêches et de l'aquaculture de la FAO, son engagement auprès du Comité des pêches et de ses deux Sous-Comités et pour l'appui qu'il leur a apporté. Tous les Membres lui ont souhaité une retraite dynamique et en santé.

DATE ET LIEU DE LA TREIZIÈME SESSION

65. La date et le lieu de la treizième session seront déterminés par le Directeur général en consultation avec le Président et en fonction du calendrier des réunions internationales.

ADOPTION DU RAPPORT

66. Le présent rapport a été adopté le 30 avril 2010.

ASUNTOS QUE REQUIEREN LA ATENCIÓN DEL COMITÉ DE PESCA

INFORME SOBRE LAS ACTIVIDADES RELACIONADAS CON EL COMERCIO EN LA FAO

El Subcomité elogió a la FAO por la amplia gama de actividades relacionadas con el comercio realizadas por el Departamento de Pesca y Acuicultura. (Párr. 10)

Los delegados felicitaron a la FAO por su papel en la obtención de mejores clasificaciones de la pesca en la Organización Mundial de Aduanas. Alentaron a la Organización a continuar esta labor y subrayaron la necesidad de incluir especies adicionales como los tiburones y las rayas en la clasificación. (Párr. 10)

Los miembros subrayaron la importancia del trabajo de la FAO para el refuerzo de la capacidad en los países en desarrollo, en concreto en relación con el acceso a los mercados y la creación de valor añadido para los pequeños productores en los países en desarrollo. (Párr. 11)

El Subcomité hizo hincapié en cómo unas normas con base científica, no discriminatorias y transparentes beneficiaban al comercio internacional, e insistió en que había que ayudar a los países en desarrollo a superar los problemas relacionados con la aplicación de dichas normas. (Párr. 11)

Los miembros acogieron con satisfacción la labor de la FAO sobre los precios del pescado y subrayaron el valor de los estudios sobre la demanda, la oferta y los precios para los responsables de las políticas pesqueras. (Párr. 12)

Los delegados hicieron notar el papel cada vez mayor desempeñado por los sistemas de certificación y de rastreabilidad conexos así como la carga y el costo adicionales que ello podría suponer, en particular para los productores de los países en desarrollo y especialmente para el sector de pesca en pequeña escala. (Párr. 14)

El Subcomité alentó a la FAO a seguir integrando la labor de la FAO relacionada con la pesca y la de otros departamentos técnicos de la FAO, la de otras organizaciones internacionales, como la Organización para la Cooperación y el Desarrollo Económicos (OCDE), la Organización Mundial del Comercio (OMC) y el Banco Mundial. El Subcomité también alentó a la FAO a dedicarse activamente a cuestiones mundiales de gran importancia como el cambio climático y la seguridad alimentaria. (Párr. 15)

Los miembros alentaron a una mayor integración y cooperación entre las Secretarías de los Subcomités de Comercio Pesquero y de Acuicultura. (Párr. 16)

EVOLUCIÓN RECIENTE DEL COMERCIO PESQUERO

Los miembros señalaron la importancia del consumo de pescado y los numerosos beneficios que este aportaba a la nutrición y la salud, mencionando diversas políticas e iniciativas nacionales al respecto. (Párr. 18)

Los miembros subrayaron el papel cada vez más importante que desempeñaba la acuicultura en la producción, el comercio y el consumo; señalaron la necesidad de que esto se reflejara adecuadamente en el trabajo futuro, que debía incluir las interacciones entre productos cultivados y silvestres en el comercio y la comercialización internacionales. (Párr. 19)

El Subcomité subrayó la necesidad de crear un entorno propicio para una participación más equitativa de los países en desarrollo en el comercio mundial. Respaldó la función de la FAO de facilitar el aumento de la capacidad técnica en los aspectos vinculados al comercio y la comercialización, incluido el acceso a los mercados y el aumento de los beneficios y valores que se derivan de los recursos pesqueros de un país. (Párr. 19)

Los miembros expresaron su apoyo a las medidas dirigidas a prevenir, desalentar y eliminar la pesca ilegal, no declarada y no reglamentada (pesca INDNR). (Párr. 19)

El Subcomité se congratuló por la labor de la FAO relativa a la elaboración de índices de precios del pescado; señaló la necesidad de proseguir y ampliar este trabajo y de informar periódicamente a los miembros al respecto. (Párr. 20)

El Subcomité subrayó la importancia de las negociaciones en curso en la OMC sobre las subvenciones al sector pesquero. (Párr. 22)

El Subcomité acogió con agrado la actividad constante de la FAO relacionada con la certificación y la rastreabilidad. (Párr. 23)

INFORME SOBRE LAS ACTIVIDADES DE LA FAO RELACIONADAS CON EL ECOETIQUETADO

El Subcomité convino luego en que la Secretaría de la FAO debía elaborar un marco de evaluación para determinar la conformidad de los planes de ecoetiquetado públicos y privados con las Directrices de la FAO para el ecoetiquetado de pescado y productos pesqueros de la pesca de captura marina. (Párr. 24)

El Subcomité acordó también que como primer paso de este proceso la Secretaría debía convocar una consulta de expertos que comenzara a ocuparse del marco de evaluación, destacando la necesidad de recursos extrapresupuestarios para realizar la Consulta de expertos y las actividades conexas. Varios miembros se manifestaron dispuestos a estudiar las posibilidades de apoyo financiero. (Párr. 25)

El Subcomité también acordó que el resultado de la Consulta de expertos sobre la elaboración de directrices internacionales para el ecoetiquetado de pescado y productos pesqueros de la pesca continental, programada del 25 al 27 de mayo de 2010, debería remitirse al COFI para su examen. (Párr. 28)

ESTUDIO DE LOS REQUISITOS DE ACCESO A LOS MERCADOS

El Subcomité expresó su apoyo al trabajo de la Organización en respaldo de las actividades de establecimiento de normas del Codex Alimentarius sobre la inocuidad, calidad y rastreabilidad del pescado y los alimentos marinos y en relación con el asesoramiento técnico, la capacitación y el aumento de la capacidad de los países en desarrollo, a fin de ponerlos en condiciones de satisfacer los requisitos de los mercados internacionales mediante la aplicación de buenas prácticas de pesca y acuicultura que aseguraran la inocuidad y calidad de los productos pesqueros. (Párr. 30)

El Subcomité reiteró la importancia de la labor del Codex Alimentarius a fin de promover la armonización y el uso de la mejor información científica disponible para el establecimiento de normas y la certificación. (Párr. 33)

DIRECTRICES SOBRE LAS MEJORES PRÁCTICAS PARA UNA RASTREABILIDAD INTEGRADA

El Subcomité coincidió en que las iniciativas relacionadas con la rastreabilidad eran un instrumento útil para verificar la integridad de la cadena de suministro y observó que en el sector pesquero se utilizaban sobre todo para ayudar a cumplir tanto los objetivos de inocuidad alimentaria como los de sostenibilidad. Los miembros convinieron en las ventajas de integrar los requisitos de rastreabilidad, pero reconocieron también que los relacionados con la inocuidad de los alimentos eran algo distintos de los vinculados a la sostenibilidad. (Párr. 36)

El Subcomité acordó que la FAO debía desempeñar una función constante de prestación de asistencia técnica a los países que estaban aplicando sistemas de rastreabilidad o intentando integrar los suyos.

Además, la Organización debía seguir de cerca las novedades técnicas y evaluar si podían aplicarse a los sistemas de rastreabilidad (Párr. 40)

ACTUALIZACIÓN DE LAS ACTIVIDADES EN RELACIÓN CON LA CITES

Los miembros elogiaron el trabajo de la FAO dirigido a abordar diversas cuestiones en el contexto de la Convención sobre el comercio internacional de especies amenazadas de fauna y flora silvestres (CITES) y convinieron en que dicha cooperación debía continuar en el futuro. El Subcomité destacó el papel fundamental que desempeñaba la Organización en la ordenación de las especies acuáticas explotadas comercialmente. (Párr. 41)

Destacó asimismo la importante función de las organizaciones regionales de ordenación pesquera (OROP) en la ordenación de las pesquerías comprendidas en sus respectivos mandatos. (Párr. 41)

Reconoció la importancia de la CITES como instrumento mundial para regular el comercio internacional de las especies incluidas en los apéndices de la Convención. (Párr. 41)

El Subcomité manifestó su aprecio por el excelente trabajo del Cuadro especial de expertos (el Cuadro) en lo relativo a la evaluación biológica de las propuestas de inclusión en la CITES de especies acuáticas explotadas comercialmente, y observó que el examen y las conclusiones del Cuadro de expertos habían aportado una valiosa contribución al proceso de adopción de decisiones de las Partes en la CITES. (Párr. 42)

El Subcomité era favorable a que la Secretaría de la FAO contribuyera activamente al proceso entre reuniones establecido por la CITES con el propósito de aclarar la interpretación de los criterios de inclusión en el Apéndice II, que se aplicaban a las especies explotadas comercialmente; subrayó que una interpretación armonizada de estos criterios era fundamental para el trabajo en curso del Cuadro especial de expertos de la FAO, (Párr. 44)

El Subcomité pidió que la FAO compilara la información sobre los reglamentos en vigor y actividades en curso de los Estados y las OROP en materia de conservación de los tiburones, independientemente de que los mismos estuvieran o no formalizados en un plan de acción nacional. (Párr. 47)

Se pidió a la Secretaría que siguiera proporcionando asistencia a los países en desarrollo para la aplicación de los reglamentos de la CITES y la mejora de la conservación de las especies incluidas en la Convención. (Párr. 47)

COMERCIO PESQUERO Y SEGURIDAD ALIMENTARIA

El Subcomité destacó la importancia del refuerzo de la seguridad alimentaria y la función de la pesca y la acuicultura en la contribución a tal objetivo a través del consumo de pescado, el empleo y el comercio. (Párr. 49)

El Subcomité señaló la importancia que revestía para los responsables de las políticas el estudio sobre la cadena de valor resumido en el informe y subrayó la utilidad de los planteamientos de cadena de valor dentro del análisis de la seguridad alimentaria, en particular la necesidad de asegurar la plena participación de la mujer en las diferentes partes de la cadena de valor. (Párr. 50)

El Subcomité señaló que las prácticas sostenibles de ordenación, incluida la reducción de la pesca INDNR, las prácticas responsables en la acuicultura y el comercio responsable, constituían un requisito previo para lograr el objetivo de seguridad alimentaria a largo plazo. (Párr. 51)

El Subcomité destacó la función esencial de la acuicultura en la seguridad alimentaria futura y la necesidad de poner en práctica políticas que promuevan el desarrollo de una acuicultura sostenible a escala mundial, incluidas las regiones en las que la producción de la acuicultura es hoy limitada. (Párr. 52)

El Subcomité subrayó que, con el fin de lograr la seguridad alimentaria nacional, a menudo se precisa una creación de capacidad institucional, además de asistencia de naturaleza más técnica. (Párr. 54)

SEGUIMIENTO DE LA APLICACIÓN DEL ARTÍCULO 11 DEL CCPR

El Subcomité acordó que el cuestionario específico debía ser bienal y utilizarse en forma alternada con el destinado al seguimiento de la aplicación general del Código. (Párr. 56)

Observó además que el cuestionario debía utilizarse tanto para el seguimiento de la aplicación del Código como para determinar los ámbitos en que se requería asistencia para aplicar las disposiciones del Código. (Párr. 57)

APERTURA DE LA REUNIÓN

1. La 12.^a reunión del Subcomité de Comercio Pesquero del Comité de Pesca (COFI-FT) se celebró en Buenos Aires (Argentina) del 26 al 30 de abril de 2010 por invitación del Gobierno de la República Argentina. El Subcomité expresó su gratitud por la generosa hospitalidad del Ministerio de Relaciones Exteriores, Comercio Internacional y Culto y el Ministerio de Agricultura, Ganadería y Pesca de la República Argentina así como por el espléndido escenario proporcionado para acoger la reunión. Asistieron a la reunión 38 Miembros de la Organización de las Naciones Unidas para la Agricultura y la Alimentación (FAO) y observadores de nueve organizaciones intergubernamentales e internacionales no gubernamentales. La lista de los miembros y observadores figura en el Apéndice B del presente informe.
2. El Sr. Ichiro Nomura, Subdirector General del Departamento de Pesca y Acuicultura de la FAO, pronunció el discurso inaugural (Apéndice D).
3. El Subcomité expresó su sincero agradecimiento a la Presidenta de la República Argentina, Excma. Sra. Cristina Fernández de Kirchner, por hacer uso de la palabra en la reunión.
4. El discurso de bienvenida en nombre del Ministerio de Agricultura, Ganadería y Pesca corrió a cargo del Sr. Norberto Yauhar, Subsecretario de Pesca y Acuicultura del Ministerio de Agricultura, Ganadería y Pesca (Apéndice E).

ELECCIÓN DEL PRESIDENTE, EL VICEPRESIDENTE Y EL RELATOR

5. El Sr. Ramiro Sánchez (Argentina) fue elegido Presidente del Subcomité. La Sra. Astrid Holtan (Noruega) fue elegida Vicepresidenta primera y los demás cargos de Vicepresidente recayeron en España y la India.
6. El Subcomité eligió al Sr. Rüdiger Keunecke como Presidente del Comité de Redacción y a Alemania, Argentina, Brasil, Canadá, los Estados Unidos de América, India, Japón, Nigeria, Noruega como miembros del Comité de Redacción.

APROBACIÓN DEL PROGRAMA Y DISPOSICIONES ORGANIZATIVAS DE LA REUNIÓN

7. El Comité tomó nota de la Declaración de competencias y derechos de voto presentada por la Comunidad Europea y sus Estados miembros.
8. El programa que figura en el Apéndice A fue aprobado por el Subcomité. Los documentos que se presentaron al Subcomité figuran en el Apéndice C.

INFORME SOBRE LAS ACTIVIDADES RELACIONADAS CON EL COMERCIO EN LA FAO

9. La Secretaría presentó este tema sobre la base del documento COFI: FT/XII/2010/2. Dicho tema, incluido en el programa del Subcomité de Comercio Pesquero del COFI por primera vez en su reunión anterior, fue acogido de nuevo con satisfacción por el Subcomité.
10. El Subcomité elogió a la FAO por la amplia gama de actividades relacionadas con el comercio realizadas por el Departamento de Pesca y Acuicultura. En particular, los delegados felicitaron a la FAO por su papel en la obtención de mejores clasificaciones de la pesca en la Organización Mundial de Aduanas, y destacaron la necesidad de estadísticas de comercio exactas y detalladas para un amplio abanico de fines, incluido el de la ordenación de la pesca. Los delegados alentaron a la FAO a continuar esta labor y subrayaron la necesidad de incluir especies adicionales como los tiburones y las rayas en la clasificación.
11. Los miembros subrayaron la importancia del trabajo de la FAO para el refuerzo de la capacidad en los países en desarrollo, en concreto en relación con el acceso a los mercados y la

creación de valor añadido para los pequeños productores en los países en desarrollo. Muchos delegados alentaron a la FAO a dar una mayor prioridad en su programa de trabajo a la producción en pequeña escala, incluidas las cuestiones relacionadas con el comercio. El Subcomité hizo hincapié en cómo unas normas con base científica, no discriminatorias y transparentes beneficiaban al comercio internacional, e insistió en que había que ayudar a los países en desarrollo a superar los problemas relacionados con la aplicación de dichas normas. A este respecto, muchos delegados expresaron su preocupación en el sentido de que las medidas unilaterales podrían transformarse en un obstáculo al comercio internacional. Varios delegados hicieron alusión a la importante contribución al refuerzo de la capacidad regional aportada por FISH INFONetwork y alentaron a la FAO a seguir apoyando y coordinando esta red.

12. Los miembros acogieron con satisfacción la labor de la FAO sobre los precios del pescado y subrayaron el valor de los estudios sobre la demanda, la oferta y los precios para los responsables de las políticas pesqueras.

13. El Subcomité destacó la importancia del Acuerdo jurídicamente vinculante sobre las medidas del Estado rector del puerto para prevenir, desalentar y eliminar la pesca ilegal, no declarada y no reglamentada, que fue aprobado en la Conferencia de la FAO celebrada en 2009, y su papel potencial para contribuir a una pesca y un comercio más sostenibles.

14. Los delegados hicieron notar el papel cada vez mayor desempeñado por los sistemas de certificación y de rastreabilidad conexos así como la carga y el costo adicionales que ello podría suponer, en particular para los productores de los países en desarrollo y especialmente para el sector de pesca en pequeña escala. Varios delegados se congratularon por los progresos de la reciente Consulta técnica en la elaboración de directrices de la FAO para la certificación en el ámbito de la acuicultura.

15. El Subcomité alentó a la FAO a seguir integrando la labor de la FAO relacionada con la pesca y la de otros departamentos técnicos de la FAO, la de otras organizaciones internacionales, como la Organización para la Cooperación y el Desarrollo Económicos (OCDE), la Organización Mundial del Comercio (OMC) y el Banco Mundial. El Subcomité también alentó a la FAO a dedicarse activamente a cuestiones mundiales de gran importancia como el cambio climático y la seguridad alimentaria. Los miembros subrayaron el papel importante desempeñado por la FAO en la aportación de conocimientos técnicos especializados a la OMC, especialmente para las negociaciones sobre subvenciones pesqueras, teniendo en cuenta la separación y diferencia de mandatos y funciones de ambas organizaciones. Muchos delegados alentaron asimismo a los Estados Miembros de la FAO a una mayor participación de expertos de sus administraciones nacionales con competencias en materia de pesca en las negociaciones de la OMC y a la FAO a facilitar este proceso mediante la organización de talleres especializados.

16. Los miembros alentaron a una mayor integración y cooperación entre las Secretarías de los Subcomités de Comercio Pesquero y de Acuicultura, y pusieron de relieve la necesidad de prestar mayor atención al papel de la acuicultura en los mercados y el comercio internacionales.

EVOLUCIÓN RECIENTE DEL COMERCIO PESQUERO

17. El Subcomité se congratuló con la Secretaría por la amplitud de la descripción y el análisis contenidos en el documento COFI:FT/XII/2010/3 y observó que el enfoque basado en la cadena de valor seguía demostrándose útil para analizar la situación del comercio internacional. Los delegados destacaron el carácter dinámico, móvil y mundial del sector pesquero y la importancia creciente de las partes interesadas no gubernamentales en la cadena de valor, especialmente después de la recolección.

18. Los miembros señalaron la importancia del consumo de pescado y los numerosos beneficios que este aportaba a la nutrición y la salud, mencionando diversas políticas e iniciativas nacionales al respecto. Muchos delegados elogiaron los estudios de la FAO y la red FISH INFO sobre los mercados nacionales y regionales, en particular los mercados metropolitanos de los países en desarrollo, y exhortaron a profundizar aún más esos estudios. Dichos mercados representaban una parte cada vez

mayor del mercado internacional y ofrecían oportunidades importantes a los productores de pescado regionales. Muchos miembros pusieron de relieve la función potencial de la pesca en pequeña escala de contribuir al aumento de la seguridad alimentaria en el ámbito nacional y regional.

19. Los miembros subrayaron el papel cada vez más importante que desempeñaba la acuicultura en la producción, el comercio y el consumo; señalaron la necesidad de que esto se reflejara adecuadamente en el trabajo futuro, que debía incluir las interacciones entre productos cultivados y silvestres en el comercio y la comercialización internacionales. Algunos delegados observaron que la distinción entre la producción cultivada y silvestre se estaba difuminando. Se destacó el papel fundamental de los países en desarrollo en la producción y el comercio de pescado y productos pesqueros. El Subcomité subrayó la necesidad de crear un entorno propicio para una participación más equitativa de los países en desarrollo en el comercio mundial. Respaldó la función de la FAO de facilitar el aumento de la capacidad técnica en los aspectos vinculados al comercio y la comercialización, incluido el acceso a los mercados y el aumento de los beneficios y valores que se derivan de los recursos pesqueros de un país. Algunas delegaciones señalaron las características y necesidades particulares del sector de la pesca en pequeña escala en los países desarrollados y en desarrollo. Se exhortó a la FAO a dedicar más atención al sector. Los miembros expresaron su apoyo a las medidas dirigidas a prevenir, desalentar y eliminar la pesca ilegal, no declarada y no reglamentada (pesca INDNR) e informaron de las iniciativas nacionales relacionadas con la aplicación de tales medidas.

20. Se destacó la importancia de un sistema de comercialización transparente, sólido y armonizado. Se señalaron las muchas ventajas que entrañaba la liberalización del comercio. Los miembros acogieron con agrado el análisis más detallado de la relación entre las diversas partes interesadas en la cadena de valor. El Subcomité se congratuló por la labor de la FAO relativa a la elaboración de índices de precios del pescado; señaló la necesidad de proseguir y ampliar este trabajo y de informar periódicamente a los miembros al respecto. Algunos delegados mencionaron las alzas repentinas de la importación de determinadas especies y el efecto negativo que podrían tener para los productores nacionales.

21. El Subcomité subrayó que la intensificación del diálogo y las consultas entre los Estados miembros resultaría beneficiosa para el comercio internacional; advirtió de que era oportuno evitar medidas unilaterales.

22. El Subcomité subrayó la importancia de las negociaciones en curso en la OMC sobre las subvenciones al sector pesquero. Algunos miembros señalaron también la necesidad de reflejar adecuadamente la situación real del sector de pequeños pescadores en los países en desarrollo. Se acogió con agrado la función que desempeñaba la FAO al aportar su experiencia y conocimientos técnicos a petición de la OMC, especialmente en lo referente a la ordenación pesquera. Ciertos miembros subrayaron el papel fundamental de la FAO en cuanto a conferir a los debates una perspectiva holística. Algunos miembros mencionaron el memorando de entendimiento entre la FAO y la Secretaría de la Convención sobre el comercio internacional de especies amenazadas de fauna y flora silvestres (CITES); indicaron que un acuerdo similar entre la Organización y la OMC podría constituir el vehículo para el asesoramiento y las opiniones que se solicitaran a la FAO respecto de los planes de ordenación de la pesca en un acuerdo futuro sobre subvenciones al sector.

23. El Subcomité acogió con agrado la actividad constante de la FAO relacionada con la certificación y la rastreabilidad. Numerosos delegados subrayaron la necesidad de unas normas más armonizadas en el comercio internacional. Algunos miembros exhortaron a establecer sistemas de rastreabilidad más integrados.

INFORME SOBRE LAS ACTIVIDADES DE LA FAO RELACIONADAS CON EL ECOETIQUETADO

24. Tal como había pedido el Comité de Pesca (COFI) en su 28.º período de sesiones, la Secretaría presentó el documento COFI:FT/XII/2010/4 en el que se delineaban varias opciones para evaluar la conformidad de los planes de ecoetiquetado con las Directrices de la FAO para el ecoetiquetado de pescado y productos pesqueros de la pesca de captura marina (las Directrices). Aunque algunos miembros preferían que la Secretaría se encargara de la evaluación de dicha conformidad en el caso de los planes privados de ecoetiquetado, el Subcomité convino luego en que la Secretaría de la FAO debía elaborar un marco de evaluación para determinar la conformidad de los planes de ecoetiquetado públicos y privados con las Directrices.

25. El Subcomité acordó también que como primer paso de este proceso la Secretaría debía convocar una consulta de expertos que comenzara a ocuparse del marco de evaluación. Los resultados de la consulta de expertos serían examinados luego por el COFI en su 29.º período de sesiones, en enero de 2011. El COFI proporcionaría orientación sobre la forma de proseguir el trabajo sobre el tema. El Subcomité subrayó la importancia que al seleccionar los expertos la FAO asegurara un adecuado equilibrio geográfico y una variedad de conocimientos técnicos procedentes tanto del sector público como del sector privado (en los ámbitos de la recolección, la producción, la elaboración y el comercio minorista). La Secretaría destacó la necesidad de recursos extrapresupuestarios para realizar la Consulta de expertos y las actividades conexas. Varios miembros se manifestaron dispuestos a estudiar las posibilidades de apoyo financiero.

26. Numerosos miembros señalaron las ventajas de establecer un marco de evaluación análogo para determinar si los planes de certificación se ajustaban a las Directrices técnicas sobre la certificación de la acuicultura y a las Directrices de la FAO para el ecoetiquetado del pescado y los productos de la pesca de captura continental, una vez que se hubieran adoptado.

27. Muchos señalaron la importancia de que proseguir el trabajo relacionado con la evaluación de pesquerías sobre las que hubiera pocos datos, especialmente respecto de la pesca en pequeña escala.

28. El Subcomité también acordó que el resultado de la Consulta de expertos sobre la elaboración de directrices internacionales para el ecoetiquetado de pescado y productos pesqueros de la pesca continental, programada del 25 al 27 de mayo de 2010, debería remitirse al COFI para su examen.

ESTUDIO DE LOS REQUISITOS DE ACCESO A LOS MERCADOS

29. La Secretaría presentó este tema del programa sobre la base del documento COFI:FT/XII/2010/5 y ofreció una síntesis de las novedades recientes con respecto a la inocuidad, la calidad, la certificación y los requisitos para el acceso al mercado del pescado y los alimentos marinos. Informó asimismo sobre las actividades emprendidas por la FAO en este campo durante los dos últimos años.

30. El Subcomité expresó su apoyo al trabajo de la Organización en respaldo de las actividades de establecimiento de normas del Codex Alimentarius sobre la inocuidad, calidad y rastreabilidad del pescado y los alimentos marinos y en relación con el asesoramiento técnico, la capacitación y el aumento de la capacidad de los países en desarrollo, a fin de ponerlos en condiciones de satisfacer los requisitos de los mercados internacionales mediante la aplicación de buenas prácticas de pesca y acuicultura que aseguraran la inocuidad y calidad de los productos pesqueros.

31. Muchos miembros informaron al Subcomité de las actividades y programas relacionados con la inocuidad, la calidad y la certificación de los alimentos que se estaban realizando en sus países, indicando también sus necesidades de apoyo financiero y técnico.

32. Numerosos miembros destacaron la importancia de que en el establecimiento de normas se cumplieran las reglas de la OMC a fin de garantizar regímenes de comercio transparentes, que promovieran la protección del consumidor y evitaran obstáculos técnicos encubiertos al comercio.

33. El Subcomité reiteró la importancia de la labor del Codex Alimentarius a fin de promover la armonización y el uso de la mejor información científica disponible para el establecimiento de normas y la certificación.

34. Varios miembros subrayaron la necesidad de tomar en consideración las necesidades especiales de la pesca y la acuicultura en pequeña escala a fin de garantizar que sus productos se ajusten a tales requisitos, los cuales deberían tener en cuenta las circunstancias específicas de estas pesquerías.

35. Algunos delegados mencionaron la importancia de que se estudiara la posibilidad de ayudar a los miembros a abordar las causas de los casos de detención o rechazo de productos en las fronteras para contribuir a reducir su número, evitando así el trastorno de los flujos comerciales y asegurando a la vez la inocuidad y calidad del pescado que se proporciona a los mercados internacionales.

DIRECTRICES SOBRE LAS MEJORES PRÁCTICAS PARA UNA RASTREABILIDAD INTEGRADA

36. El Subcomité coincidió en que las iniciativas relacionadas con la rastreabilidad eran un instrumento útil para verificar la integridad de la cadena de suministro y observó que en el sector pesquero se utilizaban sobre todo para ayudar a cumplir tanto los objetivos de inocuidad alimentaria como los de sostenibilidad. Los miembros convinieron en las ventajas de integrar los requisitos de rastreabilidad, pero reconocieron también que los relacionados con la inocuidad de los alimentos eran algo distintos de los vinculados a la sostenibilidad. Por este motivo no resultaba fácil integrar ambos tipos de requisitos. Algunos miembros observaron que los planes de rastreabilidad elaborados por el sector privado para sus propios fines podrían constituir un modelo útil para el trabajo futuro en este ámbito, incluso en cuanto al empleo de la tecnología para simplificar e integrar los distintos requisitos de rastreabilidad.

37. Muchos miembros expresaron su preocupación por la forma en que se aplicaban los requisitos de rastreabilidad y subrayaron la necesidad de velar para que no crearan obstáculos innecesarios al comercio. Numerosos miembros destacaron la conveniencia de consultar a las partes interesadas antes de aplicar requisitos de esta índole.

38. Muchos miembros subrayaron los desafíos que entrañaba la rastreabilidad para los países en desarrollo y, en particular, para el sector de la pesca en pequeña escala. Muchos estaban preocupados también por el número cada vez mayor de sistemas de rastreabilidad requeridos, por lo que exhortaron a elaborar un enfoque armonizado.

39. Diversos miembros informaron de sus experiencias de aplicación de sistemas de certificación; algunos dieron cuenta de sus dificultades para aplicar el Reglamento N° 1005/2008 del Consejo de la Unión Europea por el que se establece un sistema comunitario para prevenir, desalentar y eliminar la pesca ilegal, no declarada y no reglamentada.

40. El Subcomité acordó que la FAO debía desempeñar una función constante de prestación de asistencia técnica a los países que estaban aplicando sistemas de rastreabilidad o intentando integrar los suyos. Además, la Organización debía seguir de cerca las novedades técnicas y evaluar si podían aplicarse a los sistemas de rastreabilidad.

ACTUALIZACIÓN DE LAS ACTIVIDADES EN RELACIÓN CON LA CITES

41. La Secretaría presentó este tema del programa afirmando que en los últimos años, no obstante algunos conflictos, la cooperación entre la FAO y la Convención sobre el comercio internacional de especies amenazadas de fauna y flora silvestres (CITES) había sido amplia y fructífera. En las intervenciones sucesivas los miembros elogiaron el trabajo de la FAO dirigido a abordar diversas cuestiones en el contexto de la CITES y convinieron en que dicha cooperación debía continuar en el futuro. El Subcomité destacó el papel fundamental que desempeñaba la Organización en la ordenación de las especies acuáticas explotadas comercialmente. Destacó asimismo la importante función de las OROP en la ordenación de las pesquerías comprendidas en sus respectivos mandatos. Reconoció la

importancia de la CITES como instrumento mundial para regular el comercio internacional de las especies incluidas en los apéndices de la Convención. Algunos miembros indicaron que la CITES podía constituir una medida adicional relacionada con el comercio que respaldara la conservación de las especies pesqueras. Ciertos miembros observaron que esto valía sobre todo en los casos en que no existía una ordenación pesquera basada en las mejores prácticas.

42. El Subcomité manifestó su aprecio por el excelente trabajo del Cuadro especial de expertos (el Cuadro) en lo relativo a la evaluación biológica de las propuestas de inclusión en la CITES de especies acuáticas explotadas comercialmente. Observó que el examen y las conclusiones del Cuadro de expertos habían aportado una valiosa contribución al proceso de adopción de decisiones de las Partes en la CITES, por lo que se manifestó decididamente a favor de que el Cuadro de expertos prosiguiera su labor.

43. Muchos miembros manifestaron la opinión de que el Cuadro especial de expertos debía aportar más observaciones sobre los aspectos técnicos de las propuestas (relacionados con cuestiones biológicas, ecológicas, de comercio y de ordenación y también, en la medida de lo posible, con la eficacia probable de la conservación), con arreglo a su mandato. Numerosos delegados se manifestaron a favor del fortalecimiento del Grupo, mencionando a menudo el enfoque ecosistémico de la pesca. Algunos miembros advirtieron que tales consideraciones técnicas debían mantenerse separadas de la evaluación científico-biológica y propusieron que la evaluación de las cuestiones relacionadas con el comercio y la ordenación constituyera un proceso separado. Varios miembros sugirieron que el COFI estudiara posibles opciones para el examen de dichos asuntos. El Subcomité subrayó que la independencia de los expertos que integraban el Cuadro era fundamental y que la FAO debía esforzarse por asegurar, según fuera apropiado, una adecuada presencia de expertos regionales sobre las especies objeto de examen.

44. El Subcomité era favorable a que la Secretaría de la FAO contribuyera activamente al proceso entre reuniones establecido por la CITES con el propósito de aclarar la interpretación de los criterios de inclusión en el Apéndice II, que se aplicaban a las especies explotadas comercialmente; subrayó que una interpretación armonizada de estos criterios era fundamental para el trabajo en curso del Cuadro especial de expertos de la FAO.

45. Varios miembros mencionaron la necesidad de aclarar el significado de la expresión «introducción procedente del mar» en el ámbito de la CITES. Los miembros manifestaron opiniones diversas en cuanto a si el puerto del Estado del pabellón debía actuar como «Estado de introducción». La Secretaría informó al Subcomité de que se le había invitado a seguir participando en calidad de observador en el Grupo de Trabajo de la CITES sobre la introducción procedente del mar y brindar la información técnica que el Grupo le solicitara; el Subcomité respaldó tal participación.

46. En el contexto de la exigencia creciente de que se siguiera avanzando en la aplicación del Código de Conducta para la Pesca Responsable y los planes de acción internacionales conexos, muchos miembros notificaron que habían formulado planes de acción nacionales para los tiburones, mientras que otros informaron al Subcomité de importantes iniciativas de evaluación y ordenación de los tiburones adoptadas fuera de los planes de acción nacionales. Varios miembros indicaron que la falta de datos y herramientas de identificación seguía constituyendo un obstáculo para la aplicación eficaz de las medidas de conservación de los tiburones. El Subcomité pidió que la FAO compilara la información sobre los reglamentos en vigor y actividades en curso de los Estados y las OROP en materia de conservación de los tiburones, independientemente de que los mismos estuvieran o no formalizados en un plan de acción nacional. Se recordó que en las resoluciones anuales de la Asamblea General de las Naciones Unidas sobre la pesca sostenible se venía exhortando a la FAO, desde hacía varios períodos de sesiones, a elaborar tal informe. Algunos miembros indicaron que el cuestionario sobre el Código de Conducta para la Pesca Responsable podría mejorarse a fin de que permitiera una mayor comprensión de los obstáculos que se oponían a la aplicación de los planes de acción nacionales.

47. El Subcomité recordó que el COFI en su 25.º período de sesiones, celebrado en 2003, había pedido que la Secretaría examinara la relación entre la CITES, la Convención de las Naciones Unidas

sobre el Derecho del Mar de diciembre de 1982 y el Acuerdo de las Naciones Unidas sobre poblaciones de peces, puesto que la Convención de la CITES no tenía en cuenta los elementos de novedad contenidos en los mismos con respecto a la conservación de las especies acuáticas explotadas comercialmente. Asimismo se pidió a la Secretaría que siguiera proporcionando asistencia a los países en desarrollo para la aplicación de los reglamentos de la CITES y la mejora de la conservación de las especies incluidas en la Convención.

48. Muchos miembros consideraban más apropiado que la FAO financiara con cargo al Programa Ordinario sus actividades relacionadas con la CITES, en particular la convocación del Cuadro especial de expertos, puesto que estas actividades se habían transformado ahora en una función regular del Departamento de Pesca y Acuicultura de la Organización y debían desarrollarse independientemente de la disponibilidad de recursos externos. La Secretaría respondió que, para que las actividades en cuestión se financiaran por completo con cargo al Programa Ordinario, sería necesario que el COFI volviera a establecer las prioridades del trabajo de la FAO.

COMERCIO PESQUERO Y SEGURIDAD ALIMENTARIA

49. El Subcomité acogió con agrado la inclusión de la seguridad alimentaria en el programa, elogiando a la Secretaría por el amplio panorama del tema que había proporcionado. El Subcomité destacó la importancia del refuerzo de la seguridad alimentaria y la función de la pesca y la acuicultura en la contribución a tal objetivo a través del consumo de pescado, el empleo y el comercio. Se tomó nota de que las políticas y marcos de financiación nacionales, regionales y mundiales de seguridad alimentaria a menudo dejaban de incluir o integrar adecuadamente el sector de la pesca y la acuicultura en el marco global de políticas. Los miembros acogieron con agrado la inclusión de la seguridad alimentaria en los programas del G8 y el G20, poniendo de relieve la necesidad de abordar las preocupaciones relacionadas con la pesca y la acuicultura en el seno de estos programas.

50. Muchos miembros subrayaron la importancia de los mercados internos en la seguridad alimentaria nacional y la necesidad de asegurar que el sector de pequeña escala se mantuviese competitivo y participara en dichos mercados. El Subcomité señaló la importancia que revestía para los responsables de las políticas el estudio sobre la cadena de valor resumido en el informe y subrayó la utilidad de los planteamientos de cadena de valor dentro del análisis de la seguridad alimentaria, en particular la necesidad de asegurar la plena participación de la mujer en las diferentes partes de la cadena de valor.

51. Al aportar experiencia nacional, varios miembros se remitieron a los resultados alentadores alcanzados a través de programas y campañas destinados a incrementar el consumo interno de pescado. El Subcomité señaló, además, que las prácticas sostenibles de ordenación, incluida la reducción de la pesca INDNR, las prácticas responsables en la acuicultura y el comercio responsable, constituían un requisito previo para lograr el objetivo de seguridad alimentaria a largo plazo. Algunos miembros señalaron también la importancia que revestía, con miras a dicho objetivo, la reforma de la disciplina de las subvenciones pesqueras.

52. El Subcomité destacó la función esencial de la acuicultura en la seguridad alimentaria futura y la necesidad de poner en práctica políticas que promuevan el desarrollo de una acuicultura sostenible a escala mundial, incluidas las regiones en las que la producción de la acuicultura es hoy limitada. Algunos miembros subrayaron, además, la necesidad de garantizar la calidad y la integridad de los insumos de la acuicultura, como las semillas y el pienso, así como la función esencial que desempeña la lucha contra las enfermedades de los peces.

53. Muchos miembros observaron que, además de las políticas que aumenten la producción de la acuicultura, también resulta necesario mejorar la utilización, reducir los desechos y elaborar nuevos productos a partir de los recursos silvestres y cultivados disponibles.

54. El Subcomité subrayó que, con el fin de lograr la seguridad alimentaria nacional, a menudo se precisa una creación de capacidad institucional, además de asistencia de naturaleza más técnica. Los miembros acogieron favorablemente los programas disponibles procedentes de los organismos

nacionales de desarrollo, los organismos internacionales de financiación y las organizaciones para contribuir a una mayor seguridad alimentaria, pero subrayaron la necesidad de integrar la sostenibilidad y la pesca y la acuicultura responsable al poner en práctica dichos programas.

SEGUIMIENTO DE LA APLICACIÓN DEL ARTÍCULO 11 DEL CCPR

55. El Subcomité acogió con agrado el documento COFI:FT/XII/2010/9, en el que se proponía un cuestionario específico sobre el comercio para el seguimiento de la aplicación del artículo 11 del Código de Conducta para la Pesca Responsable (CCPR, en adelante «el Código»).

56. El Subcomité acordó que dicho cuestionario debía ser bienal y utilizarse en forma alternada con el destinado al seguimiento de la aplicación general del Código. Por consiguiente, el cuestionario general y el cuestionario específico sobre el comercio se mantendrían separados.

57. El Subcomité subrayó la importancia de garantizar la confidencialidad de las respuestas. Observó además que el cuestionario debía utilizarse tanto para el seguimiento de la aplicación del Código como para determinar los ámbitos en que se requería asistencia para aplicar las disposiciones del Código.

58. El Subcomité formuló propuestas detalladas con respecto al cuestionario. La Secretaría se ocupará de incorporarlas.

59. Un miembro se ofreció a proporcionar recursos extrapresupuestarios para el trabajo relacionado con el cuestionario.

EL SUBCOMITÉ SOBRE COMERCIO PESQUERO DEL COFI COMO ORGANISMO INTERNACIONAL DE PRODUCTOS BÁSICOS Y SU RELACIÓN CON EL FONDO COMÚN PARA LOS PRODUCTOS BÁSICOS

60. Muchos miembros expresaron su aprecio por la labor desarrollada en el marco de proyectos pesqueros específicos financiados por el Fondo Común para los Productos Básicos (FCPB) y destacaron la ejecución eficaz de los mismos. Los países indicados en los dos proyectos en tramitación facilitaron información adicional que ponía de relieve la oportunidad de los mismos y los posibles beneficios que entrañaban para la pesca y la acuicultura en sus respectivos países, por lo que agradecieron al Subcomité, al FCPB y a la FAO su apoyo a estos proyectos de desarrollo.

61. Se respaldaron las cuatro propuestas de proyectos. Los miembros destacaron la importancia de las mujeres en la cadena de valor y apreciaron el proyecto de vía rápida con el que se esperaba incrementar los ingresos de las mujeres que trabajaban en la pesca y la acuicultura.

62. Se observó que el documento COFI:FT/XII/2010/10 no mencionaba los dos proyectos en tramitación que el Subcomité había aprobado en su última reunión. La Secretaría informó de que uno de ellos, que preveía la participación de Brasil, India y Marruecos había sido rechazado por el FCPB, mientras que el segundo, dedicado al fomento de la pesca continental en Asia, se presentaría al Comité Consultivo del FCPB en julio de 2010. Notificó asimismo que la demora obedecía a la incorporación de un país más al proyecto y a la necesidad de revisar la propuesta.

63. El observador del FCPB expresó su aprecio por la calidad de los proyectos de pesca y acuicultura respaldados por el Subcomité. En su resumen de la política del FCPB destacó la promoción de las pequeñas empresas pesqueras y acuícolas en el comercio internacional, la comercialización nacional y el comercio intrarregional y la adición de valor en los países en desarrollo.

OTROS ASUNTOS

64. El Comité expresó su agradecimiento al Sr. Nomura por la competencia con la que había ejercido la dirección del Departamento de Pesca y Acuicultura de la FAO y por la dedicación y el

apoyo brindados al COFI y a sus Subcomités. Todos los miembros desearon al Sr. Nomura una jubilación saludable y productiva.

FECHA Y LUGAR DE LA PRÓXIMA REUNIÓN

65. El Director General determinaría la fecha y el lugar de la 13.^a reunión en consulta con el Presidente y a la luz del calendario internacional de reuniones.

APROBACIÓN DEL INFORME

66. El informe se aprobó el 30 de abril de 2010.

APPENDIX A**Agenda**

1. Opening of the session
2. Election of Chairperson, Vice-Chairperson and Rapporteur
3. Adoption of the Agenda and arrangements for the Session
4. Report on trade-related activities in FAO
5. Recent developments in fish trade
6. Report on FAO activities related to ecolabels
7. Review of market access requirements
8. Best practice guidelines for integrated traceability
9. Update of activities related to CITES
10. Fish trade and food security
11. Monitoring implementation of article 11 of the Code of Conduct for Responsible Fisheries (CCRF)
12. COFI Sub-Committee on Fish Trade as International Commodity Body and its relationship with the Common Fund for Commodities
13. Any other matters
14. Date and place of the Thirteenth Session
16. Adoption of the Report

ANNEXE A**Ordre du jour**

1. Ouverture de la session
2. Election du Président, du Vice-Président et du Rapporteur
3. Adoption de l'ordre du jour et organisation de la session
4. Rapport sur les activités de la FAO relatives aux échanges commerciaux
5. Faits nouveaux concernant le commerce du poisson
6. Rapport sur les activités de la FAO relatives aux écoétiquetages
7. Examen des conditions d'accès aux marchés
8. Orientations pour des pratiques optimales intégrées en matière de traçabilité
9. Le point sur les activités relatives à la CITES
10. Le commerce du poisson et la sécurité alimentaire
11. Suivi de l'application de l'article 11 du Code de conduite pour une pêche responsable
12. Le Sous-Comité du commerce du poisson du Comité des pêches en tant qu'organisme international de produit et ses liens avec le Fonds commun pour les produits de base
13. Autres questions
15. Date et lieu de la treizième session
16. Adoption du rapport

APÉNDICE A**Programa**

1. Apertura de la reunión
2. Elección del Presidente, el Vicepresidente y el Relator
3. Aprobación del programa y disposiciones organizativas de la reunión
4. Informe sobre las actividades relacionadas con el comercio en la FAO
5. Evolución reciente del comercio pesquero
6. Informe sobre las actividades de la FAO relacionadas con el ecoetiquetado
7. Estudio de los requisitos de acceso a los mercados
8. Directrices sobre las mejores prácticas para la rastreabilidad integrada
9. Actualización de las actividades en relación con la CITES
10. Comercio pesquero y seguridad alimentaria
11. Seguimiento de la aplicación del artículo 11 del Código de Conducta para la Pesca Responsable (CCPR)
12. El Subcomité sobre Comercio Pesquero del COFI como organismo internacional de productos básicos y su relación con el Fondo Común para los Productos Básicos
13. Otros asuntos
15. Fecha y lugar de la próxima reunión
16. Aprobación del informe

APPENDIX/ANNEXE/APÉNDICE B

**List of delegates and observers
Liste des délégués et observateurs
Lista de delegados y observadores**

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APPENDIX C**List of documents**

COFI:FT/XII/2010/1	Provisional Agenda and Timetable
COFI:FT/XII/2010/2	Report on trade-related activities in FAO
COFI:FT/XII/2010/3	Recent developments in fish trade
COFI:FT/XII/2010/4	Report on FAO activities related to ecolabels
COFI:FT/XII/2010/5	Review of market access requirements
COFI:FT/XII/2010/6	Best practice guidelines for integrated traceability
COFI:FT/XII/2010/7	Update of activities related to CITES
COFI:FT/XII/2010/8	Fish trade and food security
COFI:FT/XII/2010/9	Monitoring implementation of article 11 of the Code of Conduct for Responsible Fisheries (CCRF)
COFI:FT/XII/2010/10	COFI Sub-Committee on Fish Trade as international commodity body and its relationship with the Common Fund for Commodities (CFC)
COFI:FT/XII/2010/Inf.1 Rev.1	Provisional list of documents
COFI:FT/XII/2010/Inf.2	Provisional list of delegates and observers
COFI:FT/XII/2010/Inf.3	Text of opening address
COFI:FT/XII/2010/Inf.4	Report of the Eleventh Session of the COFI Sub-Committee on Fish Trade (R872), Bremen, Germany, 2-6 June 2008
COFI:FT/XII/2010/Inf.5	Description of projects supported by the Common Fund for Commodities (CFC)
COFI:FT/XII/2010/Inf.6	Report of the Fourth Session of the COFI Sub-Committee on Aquaculture (R891), Puerto Varas, Chile, 6-10 October 2008
COFI:FT/XII/2010/Inf.7	Statement of competence and voting rights by the European Community and its Member States
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COFI:FT/XII/2010/Inf.5	Description des projets financés par le Fonds commun pour les produits de base FCP)
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APPENDIX D

Opening statement by the Representative of the Director-General of FAO Mr Ichiro Nomura, Assistant Director-General of FAO, Fisheries and Aquaculture Department

Excellencies, Distinguished Delegates, and Observers, Ladies and Gentlemen,

It is with great pleasure that I welcome you to the twelfth session of the FAO Committee on Fisheries Sub-Committee on Fish Trade. At the outset, I wish to take this opportunity to thank the Government of Argentina, for sponsoring and hosting this important event in Buenos Aires. I also wish to convey my special thanks to our hosts for welcoming us to this elegant venue, the Palacio San Martin. As you may know this is the first time since 1984 the Sub-Committee has met outside of Europe. It is also especially significant for me that the Sub-Committee is meeting in a G77 country. Developing countries play an increasingly important role in the global trade for fish and fish products, underscoring the significance of meeting here today. In this regard I would like to thank the Government of Argentina for its financial support towards the participation of 9 participants from developing countries in Africa, Asia and Latin America

I am also delighted to welcome all the delegates representing FAO member countries, and the various Inter-Governmental Organizations and Non Governmental Organizations present here today. Many of you have traveled considerable distances to attend this meeting. Your presence here confirms the importance of fish trade and the work of this Subcommittee for your countries.

Over the past two years there have been many developments in the world of fish trade and we look forward to fruitful discussions of these developments over the course of the week.

The fisheries and aquaculture sector is operating in a globalized world where the markets for goods and services are increasingly interdependent. This has created opportunities and challenges for the sector. A number of recent developments underscore the linkages that exist from the point of harvest or production all the way to the market. This has been especially noticeable in relation to the concerns markets have regarding the sustainability of fisheries and aquaculture and the legality of fishing operations and of the resulting fish products that are being traded. In order to manage these concerns, markets are introducing measures that aim to certify the legality and sustainability of fish and fish products that are being traded.

The introduction of these measures set by the market and by Governments has important implications for the harvesting and production sector. Failure to comply with these new measures may result in losing market access. Many countries, and especially developing countries that rely on the fisheries sector for development objectives, often strain to comply with the additional requirements the market is placing on them. The purpose of these new measures is not open to question. The concern is rather the capacity of exporting countries, and mainly small scale fisheries and aquaculture from developing countries, in particular, to comply with them.

This Sub-Committee is the forum where policy makers from importing and exporting countries, from aquaculture producers, Coastal, Flag and Market States can help create an enabling environment for the sector to develop, while successfully addressing the challenges development presents. We all recognize that sustainable trade of wild capture fish and seafood depends on a natural renewable resource base that is being managed in a sustainable and responsible way. Market access requirements can be shaped to create incentives to achieve sustainable fisheries. The challenge is for policy makers to ensure these measures are sound, science – based, transparent and do not create unnecessary barriers to trade. Likewise, synergies and partnerships between government, industry and NGO to achieve these measures should be sought.

These issues are touched upon in a number of the agenda items you will address over the next five days. These include agenda items related to market access requirements, ecolabels, traceability and CITES.

A relatively “new” agenda item we introduced at the last session of the Sub-Committee is the Report on Trade-Related Activities in FAO. We hope this document will give you a better appreciation of the work we do outside of the confines of the Sub-Committee on Fish Trade. This is not only an opportunity to inform you of what we have been doing but also for you to provide us with your feedback on what FAO priorities in fish utilization and trade should be.

The agenda item on fish trade and food security touches on FAO’s *raison d’être*: to achieve food security for all by making sure people have regular access to enough high-quality food to lead active, healthy lives. The role of the fisheries sector is often not sufficiently recognized in this regard and we hope this work will help highlight the important role the fisheries sector plays in achieving this objective.

Likewise, I look forward to your guidance regarding the future role of FAO in verifying that fisheries and aquaculture certification schemes operate in conformity with the FAO guidelines for eco-labeling and for certification in aquaculture.

You are also aware that for the first time, we will assess the possibility of reporting to this Sub-Committee on the status of implementation of provisions of the Code of Conduct for Responsible Fisheries related to fish utilization and trade. For this purpose a draft questionnaire has been prepared by the Secretariat for your comments and finalization.

Distinguished Representatives, Ladies and Gentlemen

I will close my opening remarks by stressing the high importance of your work within the COFI Sub-Committee on Fish Trade. Through your continuous dedication and guidance, this subcommittee continues to be a unique forum for deliberations on fish trade issues equally by developed and developing countries, with some unique recent milestone achievements such as the Guidelines for the Eco-labeling of Fish and Fishery Products from Marine Capture Fisheries, the Memorandum of Understanding between the Food and Agriculture Organization of the United Nations and the Secretariat of the Convention on International Trade in Endangered Species.

I wish you well in your deliberations regarding the Sub-Committee on Fish Trade.

Thank you.

ANNEXE D**Allocution d'ouverture du représentant du Directeur général de la FAO
M. Ichiro Nomura, Sous-Directeur général du Département des pêches et de l'aquaculture**

Mesdames et Messieurs les Ambassadeurs et Ambassadrices, Mesdames et Messieurs les délégués et observateurs, Mesdames et Messieurs,

C'est avec un très grand plaisir que je vous souhaite la bienvenue à cette douzième session du Sous-Comité du commerce du poisson du Comité des pêches. Permettez-moi d'emblée de saisir cette occasion pour remercier le Gouvernement argentin d'accueillir et de parrainer cette importante manifestation à Buenos Aires. Je souhaite également adresser tous mes remerciements à nos hôtes pour notre accueil dans l'espace raffiné du Palacio San Martin. Vous savez sans doute que c'est la première fois depuis 1984 que le Sous-comité se réunit hors de l'Europe. C'est aussi pour moi particulièrement important que cette réunion se tienne dans un pays du Groupe des 77. Les pays en développement occupent une place croissante dans les échanges internationaux de poisson et de produits de la pêche, d'où la signification accordée à la tenue de notre réunion ici même. À cet égard, je souhaite remercier le Gouvernement argentin d'avoir appuyé financièrement la participation de neuf représentants de pays en développement d'Afrique, d'Asie et d'Amérique latine.

Je suis également ravi d'accueillir tous les délégués représentant les États Membres de la FAO et les diverses organisations intergouvernementales et non gouvernementales présentes aujourd'hui. Nombre d'entre vous ont parcouru des distances considérables pour participer à cette réunion. Votre présence confirme l'importance du commerce du poisson et des travaux de ce Sous-Comité pour vos pays.

Au cours des deux années écoulées, de nombreuses évolutions ont marqué le commerce international du poisson et c'est avec grand intérêt que nous suivrons les fertiles échanges auxquels elles donneront lieu durant cette semaine.

Le secteur de la pêche et de l'aquaculture s'inscrit dans un contexte mondialisé où les marchés des biens et des services sont de plus en plus interdépendants. Cette situation a été une source d'ouvertures comme de défis pour le secteur. Nombre d'événements récents attestent les relations prévalant entre tous les maillons de la chaîne, des lieux de pêche ou de production jusqu'aux marchés. Cette évidence s'impose tout particulièrement dans les préoccupations des marchés concernant la viabilité des pêches et de l'aquaculture, la légalité des opérations de pêche et la nature des échanges qui en résultent. Afin de répondre à ces inquiétudes, les marchés ont introduit des mesures visant à certifier la légalité et la durabilité du poisson et des produits de la pêche faisant l'objet des échanges.

L'introduction de ces mesures imposées par les marchés et par les gouvernements est lourde d'incidences pour le secteur de la capture et de la production. Tout défaut d'application des nouvelles dispositions peut être sanctionné par une interdiction d'accès au marché. De nombreux pays, en particulier des pays en développement qui comptent sur le secteur de la pêche pour atteindre leurs objectifs de développement, ont des difficultés à se conformer aux exigences nouvelles que le marché leur impose. La finalité de ces nouvelles mesures ne saurait être remise en cause. Le problème est davantage la capacité des pays exportateurs à s'y conformer, principalement dans la pêche artisanale et le secteur aquacole.

Ce Sous-Comité est la tribune où les décideurs des pays importateurs et exportateurs, les pays aquacoles, les États côtiers, les États du pavillon et les États marchands peuvent contribuer à l'instauration d'un climat favorable au développement du secteur, tout en trouvant les réponses adéquates aux enjeux du développement. Nous convenons tous que le commerce durable de poissons et de produits de la mer prélevés sur les stocks sauvages exige l'existence d'une ressource naturelle renouvelable qui doit être gérée de manière durable et responsable. Les conditions d'accès au marché peuvent s'accompagner d'incitations à préserver la viabilité des pêcheries. Le défi qui se pose aux

décideurs est de veiller à ce que ces mesures soient avisées, fondées en science et transparentes, et qu'elles n'entravent pas inutilement le commerce. De même, il convient de rechercher les synergies et les partenariats nécessaires entre les gouvernements, le secteur et les ONG pour s'orienter dans ce sens.

Ces questions seront évoquées dans plusieurs des points à l'ordre du jour dont vous débattrez au cours des cinq prochaines journées, en particulier les points relatifs aux conditions d'accès au marché, à l'écoétiquetage, à la traçabilité et à la CITES.

Le rapport sur les activités de la FAO en matière d'échanges commerciaux est un thème relativement récent qui a été porté à l'ordre du jour à la dernière session du Sous-Comité. Nous espérons que ce rapport vous donnera une meilleure appréciation du travail qui se fait au-delà des limites strictes du Sous-Comité du commerce du poisson. Ce sera l'occasion de vous informer de nos activités, mais aussi d'entendre vos avis et commentaires sur les priorités que devrait se donner la FAO en matière d'utilisation et de commerce du poisson.

Le point de l'ordre du jour relatif au commerce du poisson et à la sécurité alimentaire touche à la mission même de la FAO: instaurer la sécurité alimentaire pour tous en s'assurant que les populations ont régulièrement accès à des aliments de qualité et en quantité suffisante pour mener une vie active et en bonne santé. Le rôle du secteur des pêches à cet égard est souvent sous-estimé et nous espérons que ce travail permettra de mettre en lumière sa contribution majeure à la réalisation de cet objectif.

C'est aussi avec grand intérêt que je recevrai vos orientations quant au rôle que devra jouer la FAO pour veiller à ce que les programmes de certification halieutique et aquacole soient conformes aux directives de l'Organisation en matière d'écoétiquetage et de certification aquacole.

Vous savez également que nous allons évaluer pour la première fois la possibilité de faire rapport à ce Sous-Comité sur le degré d'application des dispositions du Code de conduite pour une pêche responsable pour ce qui concerne l'utilisation et le commerce du poisson. À cet effet, le Secrétariat a préparé un projet de questionnaire, qu'il rédigera dans sa version finale après avoir pris connaissance de vos observations.

Éminents représentants, Mesdames et Messieurs,

Permettez-moi de conclure en soulignant l'extrême importance des travaux menés dans le cadre du Sous-Comité du commerce du poisson du Comité des pêches. Par votre engagement permanent et vos orientations, ce Sous-Comité demeure un lieu d'échange unique sur les questions relatives au commerce du poisson, pour les pays développés comme pour les pays en développement, et on lui doit récemment des réalisations qui feront date telles que les Directives de la FAO pour l'étiquetage écologique du poisson et des produits des pêches de capture marines et le Protocole d'accord entre l'Organisation des Nations Unies pour l'alimentation et l'agriculture et le Secrétariat de la Convention sur le commerce international des espèces de faune et de flore sauvages menacées d'extinction.

Je vous souhaite le meilleur succès dans vos délibérations au sein du Sous-Comité du commerce du poisson.

Merci.

APÉNDICE D

Declaración de apertura del representante del Director General de la FAO Sr Ichiro Nomura, Subdirector General del Departamento de Pesca y Acuicultura

Excelencias, distinguidos delegados y observadores, señoras y señores:

Es para mí un gran placer darles la bienvenida a la 12.^a reunión del Subcomité de Comercio Pesquero del Comité de Pesca de la FAO. Deseo ante todo aprovechar esta oportunidad para expresar mi agradecimiento al Gobierno de Argentina por haber patrocinado y hospedado en Buenos Aires este importante acontecimiento. Quiero también agradecer especialmente a nuestros anfitriones que nos reciban en esta elegante sede, el Palacio San Martín. Como ustedes sabrán, esta es la primera vez desde 1984 que el Subcomité celebra una reunión fuera de Europa. También considero especialmente significativo que el Subcomité se reúna en un país del Grupo de los 77. Los países en desarrollo desempeñan un papel cada vez más importante en el comercio mundial de pescado y productos pesqueros, lo que destaca la importancia de que hoy se celebre aquí esta reunión. En este sentido, deseo expresar mi reconocimiento al Gobierno de Argentina por el apoyo financiero prestado para permitir la asistencia de nueve participantes de países en desarrollo de África, Asia y América Latina.

Me siento además muy honrado al dar la bienvenida a todos los delegados que representan a los Estados Miembros de la FAO y a las distintas organizaciones intergubernamentales y no gubernamentales. Muchos de ustedes han realizado viajes considerablemente largos para asistir a esta reunión. Su presencia aquí confirma la importancia que sus países atribuyen al comercio pesquero y a la labor de este Subcomité.

Durante los últimos dos años ha habido muchas novedades en el mundo del comercio pesquero; esperamos vivamente que se mantengan provechosos debates al respecto en el transcurso de la semana.

El sector de la pesca y la acuicultura actúa hoy en un mundo globalizado, con una interdependencia cada vez mayor entre los mercados de bienes y servicios. Esto ha creado oportunidades así como desafíos para el sector. Varias novedades recientes subrayan las interconexiones a todo lo largo de la cadena que va desde el punto de recolección hasta el mercado. Esto se ha hecho especialmente evidente en relación con las preocupaciones que suscitan en los mercados la sostenibilidad de la pesca y la acuicultura y la legalidad de las actividades de pesca, así como de los productos pesqueros que son objeto de comercio. Con el fin de responder a esas inquietudes, los mercados están aplicando medidas para certificar la legalidad y sostenibilidad del pescado y los productos pesqueros que se compran y venden.

La introducción de estas medidas, establecidas por los mercados y los gobiernos, tiene consecuencias importantes para el sector de la recolección y la producción. El incumplimiento de las mismas puede hacer que se pierda el acceso al mercado. Muchos países, especialmente países en desarrollo que dependen del sector pesquero para alcanzar sus objetivos de crecimiento, a menudo deben esforzarse mucho para cumplir con los nuevos requisitos que les está imponiendo el mercado. No se pretende poner en tela de juicio la finalidad de estas nuevas disposiciones. Lo que despierta inquietud es la capacidad de los países exportadores y, en particular, del sector de pesca y acuicultura en pequeña escala de los países en desarrollo, para cumplirlas.

Este Subcomité es el foro en que los encargados de las políticas de los países importadores y exportadores, de los que tienen una producción acuícola y de los Estados ribereños, los Estados del pabellón y los de los mercados, pueden ayudar a crear un entorno propicio para el desarrollo del sector y, al mismo tiempo, abordar con buenos resultados los desafíos que plantea el desarrollo. Todos reconocemos que la sostenibilidad del comercio de pescado y mariscos capturados en su medio natural depende de una base de recursos naturales renovables sometida a una ordenación sostenible y responsable. Los requisitos para el acceso al mercado pueden formularse de manera que generen incentivos para lograr la pesca sostenible. El reto que se plantea a los responsables de las políticas es

el de garantizar que estas medidas sean sensatas, basadas en la ciencia y transparentes y que no creen obstáculos innecesarios al comercio. Al mismo tiempo deberían buscarse sinergias y asociaciones entre los gobiernos, la industria y las organizaciones no gubernamentales con miras a asegurar su observancia.

Estas cuestiones se relacionan con varios de los temas del programa que ustedes van a abordar en los próximos cinco días. Entre esos temas, el programa comprende los requisitos de acceso al mercado, el ecoetiquetado, la rastreabilidad y la Convención sobre el comercio internacional de especies amenazadas de fauna y flora silvestres (CITES).

Un tema relativamente nuevo que introdujimos en la última reunión del Subcomité es el informe sobre las actividades de la FAO relacionadas con el comercio. Esperamos que este documento les permita valorar mejor el trabajo que llevamos a cabo fuera del ámbito del Subcomité sobre Comercio Pesquero. Es una oportunidad no solo de informarles de lo que venimos haciendo, sino también de escuchar sus opiniones sobre cuáles deberían ser las prioridades de la FAO en lo que atañe a la utilización y el comercio de pescado.

El tema del programa relativo al comercio pesquero y la seguridad alimentaria se relaciona con la propia razón de ser de la FAO: lograr la seguridad alimentaria para todos, al garantizar el acceso constante de las personas a una cantidad suficiente de alimentos de alta calidad que les permitan llevar una vida activa y sana. El papel del sector pesquero en relación con este fin no suele reconocerse plenamente; es nuestra esperanza que esta labor ayude a poner de relieve la importante función que dicho sector desempeña al respecto.

Por el mismo motivo, aguardo con interés sus indicaciones sobre el papel futuro que compete a la FAO en la tarea de verificar que los planes de certificación de la acuicultura se desarrollen en consonancia con las directrices de la Organización relativas al ecoetiquetado y la certificación del sector.

Ustedes saben también que, por primera vez, consideraremos la posibilidad de que se notifique a este Subcomité el estado de la aplicación de las disposiciones del Código de Conducta para la Pesca Responsable relacionadas con el comercio y la utilización del pescado. A tal efecto la Secretaría ha preparado un cuestionario sobre el que se solicitarán las observaciones de ustedes, para su posterior finalización.

Distinguidos representantes, señoras y señores:

Deseo terminar mi discurso de apertura subrayando la notable importancia de la labor que ustedes realizan en el marco del Subcomité de Comercio Pesquero del COFI. Debemos a su dedicación y orientación constantes el hecho de que este Subcomité siga constituyendo un foro único para el debate en pie de igualdad entre países desarrollados y en desarrollo sobre las cuestiones relacionadas con el comercio pesquero, así como algunos logros fundamentales como las Directrices para el ecoetiquetado de pescado y productos pesqueros de la pesca de captura marina y el Memorando de entendimiento entre la Organización de las Naciones Unidas para la Agricultura y la Alimentación y la Secretaría de la CITES.

Les deseo el mayor de los éxitos en sus deliberaciones sobre el Subcomité de Comercio Pesquero.

Gracias.

APPENDIX E

Opening Address by Mr Norberto Gustavo Yauhar, Undersecretary for Fisheries and Aquaculture, Ministry of Agriculture, Livestock and Fisheries of the Argentine Republic

Mr Assistant Director-General of the Fisheries Department of FAO, Mr Ichiro Nomura, Distinguished Delegates of the Member States of the Committee, Distinguished Representatives of the United Nations and Specialized Agencies, Honourable Observers from Intergovernmental and International Non-governmental Organizations, Ladies and Gentlemen,

On behalf of the Government of the Argentine Republic, I have the honour to welcome you to the city of Buenos Aires and with these words to open the Twelfth Session of the Sub-Committee on Fish Trade of the FAO Committee on Fisheries. It is a great pleasure for us to host this meeting which is the first to take place outside its traditional setting, particularly in this year which is the 200th anniversary of the May Revolution of 1810, the historic birth of the Argentine Nation.

Our Government attaches great importance to the decisions of the Committee on Fisheries and its Sub-Committee on Fish Trade. During the last decades, the fisheries sector has become increasingly significant to the economy of our country, and issues such as sustainable fisheries, food security and safety, market access, fishery subsidies, ecolabelling, fisheries certification and fighting the scourge of illegal, unreported and unregulated fishing are priority issues in the national management of fishery resources.

Moreover, the reference framework that FAO provides with instruments like the Code of Conduct for Responsible Fisheries, the Precautionary Principle, the Guidelines for Responsible Fish Trade and the Ecosystem Approach to Fisheries Management are all crucial elements for formulating our fisheries management strategy.

The Argentine Republic promotes fisheries development that is biologically sustainable, economically viable and socially equitable, and we consider it to be the National State's inalienable duty to establish rules that stakeholders must respect and that will serve to assure a rational and equitable use of natural resources, under conditions of transparency and predictability.

We need to make clear that such a vision does not necessarily imply direct government incursion into markets. What it does imply, however, is active responsible intervention of the government whenever it is has to act as mediator or to mitigate the adverse effects of market distortions that may have undesired social consequences.

An example is the State's intervention to limit exports of shad (sábalo), our main inland fishery resource, to ensure not only the long-term sustainability of this fishery, but also to safeguard a resource that plays a vital ecological role in the lower La Plata River Basin and that allows an impoverished coastal population to access a key source of animal protein through subsistence artisanal fishing.

Far better known internationally and with a very different situation is Argentina's marine fisheries sector. We have valuable fishery resources and a distinct exporter profile. Like many developing countries, we supply developed countries which constitute our principal markets.

This being so, the Argentine Republic has discussed and will no doubt continue to discuss at meetings of this Sub-Committee on Fish Trade and WTO meetings, the problems that are raised by subsidies, tariffs, especially the tariff escalation that penalizes product processing, and export quotas – all issues that remain unresolved in the Doha Round.

Our strong condemnation of fishery subsidies is well known, as is our call for serious restrictions on such subsidies. Also, among the unfair imbalances in international fish trade that

handicap the fish supplier countries, we wish to signal the country agreements that generate tariff differentials and end up placing many developing countries at a relative disadvantage.

The contribution of fisheries to food security is a priority concern, but we know that without sustainability of fishery resources we cannot talk seriously about future food security.

In order to achieve that sustainability, Argentina has adopted a series of measures to ensure a modern, transparent and predictable long-term administration of its principal fishery resources through the adoption of administration by Individual Transferable Catch Quotas; it has approved and implemented three National Action Plans for Fisheries Management, the most recent being the Plan for the Mitigation of Incidental Mortality of Seabirds during Fishing Operations; and it has introduced new instruments of control and monitoring of fishing activity that have served to develop the National Legal Fishing System, in the belief that neither sustainability nor food security will be possible so long as illegal, unreported and unregulated fishing continues to exist.

All this underscores our conviction that combating illegal fisheries is a pressing and unavoidable obligation placed on the States. We recognize that market measures imposed by importing countries, such as catch certification schemes and ecolabelling, can often complement that obligation, but they cannot replace it and there is the risk that they will only act as unfair barriers to fish trade.

I am sure that these and many other essential topics relating to fish trade will be examined by this Sub-Committee during what I imagine will be a week of hard work, in this magnificent venue made available to us by Argentina's Ministry of Foreign Affairs. I wish you all an excellent stay in our country and hope that beyond the intense activity that will be unfolding these next days, you will also have the opportunity to enjoy the city of Buenos Aires and the hospitality of its people.

Thank you very much.

ANNEXE E**Allocution d'ouverture du M. Norberto Gustavo Yauhar, Sous-Secrétaire chargé de la pêche et de l'aquaculture, Ministère de l'agriculture, de l'élevage et des pêches de la République argentine**

M. Ichiro Nomura, Sous-Directeur général chargé du Département des pêches de la FAO, Mesdames et Messieurs les délégués des États membres du Comité, Mesdames et Messieurs les représentants de l'Organisation des Nations Unies et d'institutions spécialisées du système des Nations Unies, Mesdames et Messieurs les observateurs d'organisations intergouvernementales et d'organisations internationales non gouvernementales, Mesdames et Messieurs,

Au nom du Gouvernement de la République argentine, j'ai l'honneur de vous souhaiter la bienvenue dans la ville de Buenos Aires et d'ouvrir la douzième session du Sous-Comité du commerce de poisson du Comité des pêches de la FAO. Il nous est agréable d'accueillir cette rencontre, qui se réunit pour la première fois hors de son cadre normal, d'autant plus que nous fêtons cette année le deux centième anniversaire de la Révolution de mai 1810, jalon historique marquant la naissance de la nation argentine.

Notre Gouvernement accorde la plus grande importance aux décisions du Comité des pêches et du Sous-Comité du commerce de poisson. La pêche a pris au cours des dernières décennies une place de plus en plus importante pour l'économie de notre pays, et la viabilité à long terme de la pêche, la sécurité alimentaire et la sécurité sanitaire des aliments, l'accès aux marchés, les subventions à la pêche, l'écoétiquetage, la certification des pêches et la lutte contre le fléau qu'est la pêche illicite, non déclarée et non réglementée sont autant de questions prioritaires s'agissant de la gestion des ressources halieutiques au niveau national.

En outre, le cadre de référence que définissent les instruments de la FAO tels que le Code de conduite pour une pêche responsable, le critère de précaution, les directives relatives au commerce responsable de poisson et l'approche écosystémique de la gestion des pêches constituent des éléments prioritaires pour l'élaboration de notre stratégie de gestion des pêches.

La République argentine favorise un développement halieutique durable au plan biologique, économiquement rentable et socialement équitable et nous considérons qu'il est du devoir et du ressort exclusif de l'État de fixer des règles que sont tenus de respecter les intervenants de la filière et qui permettent de garantir une exploitation rationnelle et équitable des ressources naturelles, en créant des conditions de transparence et de prévisibilité.

Il convient de préciser que cette conception n'implique pas forcément une immixtion directe de l'État sur le marché, mais qu'en revanche il s'agit d'intervenir de manière active et responsable quand les circonstances l'exigent pour faire office de médiateur ou quand il devient nécessaire d'atténuer les effets négatifs provoqués par d'éventuels mécanismes faussant le jeu du marché et qui impliquent des impacts sociaux non souhaités.

Un exemple de ce qui précède pourrait être l'intervention de l'État national visant à limiter les exportations de sabalo (*Prochilodus lineatus*), qui est notre principale ressource halieutique continentale, afin de garantir non seulement la viabilité à long terme de ces activités de pêche, mais aussi de préserver cette ressource, qui joue un rôle écologique clé dans le bassin inférieur du Rio de la Plata, sans compter qu'il constitue une source extrêmement importante de protéines animales pour les populations côtières, dont les ressources économiques sont très maigres et qui ont accès à ces protéines animales grâce à une pêche artisanale de subsistance.

Les activités de pêche maritime en Argentine sont en revanche plus connues au plan international et sans aucun doute bien différentes. Riche d'abondantes ressources halieutiques, notre

pays affiche une balance des exportations nettement positive et, à l'instar de nombreux autres pays en développement, il approvisionne les pays développés, qui sont nos principaux marchés.

Ainsi, la République argentine a débattu, et continuera sans nul doute à débattre, dans les réunions du Sous-Comité du commerce de poisson ainsi qu'au sein de l'OMC, de la problématique posée par les subventions, les droits de douane et, en particulier, leur augmentation qui pénalise les produits les plus élaborés, les contingents ou les quotas d'exportation, questions qui n'ont pas encore été réglées par les négociations du Cycle de Doha.

Vous le savez sans doute, notre pays condamne fermement les subventions à la pêche et considère nécessaire d'y opposer des mesures de restriction efficaces. En outre, au sujet des asymétries injustes que le commerce international de produits de la pêche impose aux pays exportateurs de poisson, nous souhaitons souligner le rôle des accords conclus entre pays qui donnent lieu à des écarts de droits de douane et finissent par mettre en position défavorable relative de nombreux pays en développement.

La contribution de la pêche à la sécurité alimentaire est une question prioritaire qui retient toute notre attention, mais nous savons que, sans ressources halieutiques durables, on ne peut envisager sérieusement l'avenir de la sécurité alimentaire.

Afin de parvenir à la viabilité de ces ressources à long terme, la République argentine a adopté une série de mesures visant à garantir une administration moderne, transparente et prévisible à long terme de ses principales ressources halieutiques, moyennant l'adoption d'un régime de quotas de pêche individuels cessibles, elle a approuvé et mis en œuvre trois plans d'action nationaux relatifs à la gestion de ses pêches, dont le plus récent est le Plan pour l'atténuation de la mortalité accidentelle d'oiseaux marins au cours des manœuvres de pêche, et elle s'est dotée de nouveaux instruments de contrôle et surveillance pour les activités de pêche qui ont permis de mettre au point le Système national de capture légale, convaincue que ni la durabilité ni la sécurité alimentaire ne seront possibles tant que durera la pêche illicite, non déclarée et non réglementée.

Tout ce qui précède ne peut que renforcer notre conviction que la lutte contre les activités de pêche illégales sont un devoir prioritaire et impératif des États. Nous considérons que les mesures commerciales imposées par les États exportateurs, comme par exemple les plans de certification des captures ou l'écoétiquetage peuvent bien souvent être complémentaires, mais en aucun s'y substituer et il existe un risque qu'elles agissent uniquement comme obstacles déloyaux au commerce de la pêche.

Nul doute que ces questions, ainsi que d'autres questions essentielles en rapport avec le commerce des produits de la pêche seront l'objet de réflexions au sein de ce Sous-Comité et je vois que nous avons devant nous une semaine de travail intense dans ce cadre magnifique que le Gouvernement argentin a mis à notre disposition. Je vous souhaite à tous un excellent séjour dans notre pays et je suis certain que, malgré les activités qui nous occuperont intensément pendant les journées qui viennent, vous aurez l'occasion de profiter de la ville de Buenos Aires et que ses habitants vous feront bon accueil. Je vous remercie de votre attention.

APÉNDICE E

Discurso de apertura del Sr. Norberto Gustavo Yauhar, Subsecretario de Pesca y Acuicultura, Ministerio de Agricultura, Ganadería y Pesca de la República Argentina

Señor Subdirector General del Departamento de Pesca de la FAO, Don Ichiro Nomura, Distinguidos Delegados de los Estados Miembros del Comité, Señores Representantes de las Naciones Unidas y de Organismos Especializados, Señores Observadores de Organizaciones Intergubernamentales y de Organizaciones Internacionales No-Gubernamentales, señoras y señores:

En nombre del Gobierno de la República Argentina tengo el honor de darles la bienvenida a la ciudad de Buenos Aires y abrir con estas palabras el Décimo-segundo Período de Sesiones del Subcomité de Comercio Pesquero del Comité de Pesquerías de la FAO. Nos complace ser los anfitriones en esta ocasión en la que este foro se reúne por primera vez fuera sus ámbitos tradicionales, muy particularmente en este año en el que celebramos los 200 años de la Revolución de Mayo de 1810, el nacimiento histórico de la Nación Argentina.

Nuestro gobierno asigna trascendental importancia a las decisiones del Comité de Pesca y del Subcomité de Comercio Pesquero. La pesca ha adquirido en el curso de las últimas décadas una relevancia cada vez mayor para la economía de nuestro país y temas como la sustentabilidad pesquera, la seguridad y la inocuidad alimentaria, el acceso a mercados, los subsidios a la pesca, el ecoetiquetado, la certificación de pesquerías y la lucha contra el flagelo que constituye la pesca ilegal, no declarada y no reglamentada constituyen cuestiones prioritarias en la gestión de los recursos pesqueros a nivel nacional.

Más aún, el marco referencial que proporcionan los instrumentos de la FAO, tal el caso del Código de Conducta para la Pesca Responsable, el Criterio Precautorio, los lineamientos para el Comercio Pesquero Responsable y el Enfoque Ecosistémico para el Manejo de Pesquerías, constituyen elementos prioritarios para la elaboración de nuestra estrategia de gestión pesquera.

La República Argentina propicia un desarrollo pesquero biológicamente sustentable, económicamente rentable y socialmente equitativo y entendemos como obligación indelegable del Estado Nacional, establecer las reglas a las que deben atenerse los agentes intervinientes y que permitan asegurar esa utilización racional y equitativa de los recursos naturales, creando condiciones de transparencia y previsibilidad.

Cabe aclarar que esta visión no implica necesariamente una intromisión directa del Estado en el mercado, pero sí su intervención en forma activa y responsable toda vez que es reclamado para actuar como mediador o cuando se hace necesario mitigar efectos negativos causados por eventuales distorsiones que puedan producirse en el mercado y que acarreen impactos sociales no deseados.

Como ejemplo de lo dicho podemos mencionar la intervención del Estado Nacional limitando las exportaciones del sábalo, nuestro principal recurso pesquero continental, a fin de garantizar no sólo la sustentabilidad esta pesquería a largo plazo, sino también preservar este recurso que juega un rol ecológico clave en la Cuenca baja del Plata y que constituye además una importantísima fuente de proteína animal para una población costera, de muy escasos recursos económicos, que accede a la misma mediante una pesca artesanal de subsistencia.

Mucho más conocido en el ámbito internacional y ciertamente diferente es el panorama que ofrece la pesca marítima en la Argentina. Poseedor de valiosos recursos pesqueros, nuestro país tiene un perfil netamente exportador y es, al igual que muchos otros países en desarrollo, un proveedor para países desarrollados que constituyen nuestros principales mercados.

Como tal, la República Argentina ha discutido, y sin dudas seguirá discutiendo en las sesiones de este Subcomité de Comercio así como en las reuniones de la OMC, la problemática planteada por

los subsidios, los aranceles y en particular el escalamiento en los mismos que castiga a los productos más elaborados, las cuotas o cupos de exportación, temas éstos que aún no han encontrado solución en la Ronda de Doha.

Es ya conocida la fuerte condena de nuestro país a los subsidios a la pesca, y el planteo de la necesidad de fuertes restricciones a los mismos. También, como parte de las injustas asimetrías que el comercio internacional pesquero plantea a los países proveedores de pescado, deseamos señalar los acuerdos entre países que generan diferenciales de aranceles y terminan poniendo en posición de desventaja relativa a muchos países en desarrollo.

El aporte de la pesca a la seguridad alimentaria nos preocupa prioritariamente, pero sabemos que sin sustentabilidad de los recursos pesqueros no puede hablarse seriamente y a futuro de seguridad alimentaria.

En aras de alcanzar esa sustentabilidad, la República Argentina ha adoptado una serie de medidas para garantizar una administración moderna, transparente y previsible al largo plazo de sus principales recursos pesqueros, mediante la adopción de un régimen de administración por Cuotas Individuales Transferibles de Captura, ha aprobado e implementado tres Planes de Acción Nacional para la ordenación de sus pesquerías, el más reciente es el Plan para la mitigación de mortalidad incidental de aves marinas durante las maniobras de pesca, y ha introducido nuevos instrumentos de control y vigilancia para la actividad pesquera que han permitido desarrollar el Sistema Nacional de Captura Legal, en el convencimiento que ni la sustentabilidad, ni la seguridad alimentaria serán posibles mientras exista pesca ilegal, no declarada y no reglamentada.

Todo lo dicho sirve para enfatizar nuestra convicción que la lucha contra la ilegalidad en la pesca es una obligación prioritaria e indeclinable de los Estados. Reconocemos que las medidas de mercado impuestas por los estados importadores, tales como los esquemas de certificación de captura o el ecoetiquetado pueden, en muchos casos, complementar esa obligación, pero de ninguna manera pueden sustituirla y el riesgo existe en que funcionen únicamente como barreras inequitativas al comercio de la pesca.

Seguramente éstos y muchos otros temas trascendentes en relación con el comercio pesquero serán objeto de reflexión por parte de este Subcomité en lo que anticipo será una semana de arduo trabajo enmarcada por este ámbito magnífico que la Cancillería Argentina ha puesto a nuestra disposición. Les desero a todos ustedes una excelente estadía en nuestro país y confío también que más allá de la actividad intensa que se desarrollará durante estas jornadas, tenán ustedes ocasión de disfrutar de la Ciudad de Buenos Aires y de la hospitalidad de su gente.

Muchas gracias.

The Committee on Fisheries established the Sub-Committee on Fish Trade to serve as a multilateral framework for consultations on international trade in fishery products. The twelfth session of the Sub-Committee was held in Buenos Aires, Argentina, from 26 to 30 April 2010. The Sub-Committee took note of recent developments concerning international trade in fishery products. It also considered specific issues related to international trade and sustainable fisheries development, including: fisheries classification in the World Customs Organization; safety and quality of fishery products; integration of traceability requirements; FAO activities related to ecolabels; fish trade and the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES); fish trade and food security. In its capacity as the International Commodity Body for Fishery Products, the Sub-Committee endorsed four project proposals for funding by the Common Fund for Commodities.

Le Comité des pêches a constitué le Sous-Comité du commerce du poisson pour servir de cadre multilatéral à des consultations sur les échanges internationaux de produits de la pêche. La douzième session de ce Sous-Comité s'est tenue à Buenos Aires (Argentine) du 26 au 30 avril 2010. Le Sous-Comité a pris note des évolutions récentes du commerce international des produits de la pêche. Il s'est également penché sur des aspects spécifiques des échanges internationaux et du développement durable des pêches, notamment: la classification des pêches de l'Organisation mondiale des douanes; la sécurité sanitaire et la qualité des produits de la pêche; l'intégration des dispositions relatives à la traçabilité; les activités de la FAO en matière d'écoétiquetage; le commerce du poisson et la Convention sur le commerce international des espèces de faune et de flore sauvages menacées d'extinction; et le commerce du poisson et la sécurité alimentaire. En sa qualité d'organisme international compétent pour ce qui concerne les produits de la pêche, le Sous-Comité a approuvé quatre propositions de projets en vue de leur financement par le Fonds commun pour les produits de base.

El Comité de Pesca estableció el Subcomité de Comercio Pesquero como marco multilateral para las consultas sobre el comercio internacional de productos pesqueros. El Subcomité celebró su duodécima reunión en Buenos Aires (Argentina) del 26 al 30 de abril de 2010. El Subcomité tomó nota de las últimas novedades relacionadas con el comercio internacional de productos pesqueros. Examinó asimismo ciertas cuestiones específicas vinculadas con dicho comercio y con el fomento de la pesca sostenible, a saber: la clasificación de la pesca en la Organización Mundial de Aduanas; la inocuidad y calidad de los productos pesqueros; la integración de los requisitos de rastreabilidad; las actividades de la FAO relacionadas con el ecoetiquetado; el comercio pesquero y la Convención sobre el comercio internacional de especies amenazadas de fauna y flora silvestres; y el comercio pesquero y la seguridad alimentaria. En su calidad de organismo internacional de productos básicos encargado de los productos pesqueros, el Subcomité refrendó cuatro propuestas de proyectos para su financiación por el Fondo Común para los Productos Básicos.

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Report of the

**EXPERT CONSULTATION TO DEVELOP AN FAO EVALUATION
FRAMEWORK TO ASSESS THE CONFORMITY OF PUBLIC AND
PRIVATE ECOLABELLING SCHEMES WITH THE FAO GUIDELINES
FOR THE ECOLABELLING OF FISH AND FISHERY PRODUCTS
FROM MARINE CAPTURE FISHERIES**

Rome, 24–26 November 2010



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PREPARATION OF THIS DOCUMENT

This is the report of the Expert Consultation, held in Rome, from 24 to 26 November 2010, convened by the Food and Agriculture Organization of the United Nations (FAO) in response to the proposal by the Twelfth Session of the Sub-Committee on Fish Trade of the Committee on Fisheries (COFI:FT) that the FAO Secretariat should develop an evaluation framework to assess the conformity of public and private ecolabelling schemes with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries. The Twenty-eighth Session FAO Committee on Fisheries (COFI) in 2009 had requested COFI:FT to consider an approach to assess the conformity of ecolabelling schemes with the FAO Guidelines suggested by the FAO Secretariat.

FAO.

Report of the Expert Consultation to Develop an FAO Evaluation Framework to Assess the Conformity of Public and Private Ecolabelling Schemes with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries. Rome, 24–26 November 2010.

FAO Fisheries and Aquaculture Report. No. 958. Rome, FAO. 2011. 51p.

ABSTRACT

The FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries, originally adopted by the Committee on Fisheries (COFI) in 2005, were adopted in revised form by the Twenty-eighth Session of COFI in 2009. Following two Expert Consultations held in 2006 and 2008, a third Expert Consultation convened in May 2010 completed the draft Guidelines for the ecolabelling of fish and fishery products from inland capture fisheries for consideration by COFI in January–February 2011.

Following discussion in both COFI and the Sub-Committee on Fish Trade of the Committee on Fisheries (COFI:FT) relating to checking claims of compliance of ecolabelling schemes with the FAO Guidelines on ecolabelling of fish and fishery products, the Twenty-eighth Session of COFI requested the Secretariat to present a proposal to address this issue to COFI:FT. The Secretariat prepared and presented a document outlining various options for assessing the conformity of ecolabelling schemes with the FAO Guidelines to the Twelfth Session of COFI:FT. The Twelfth Session of COFI:FT agreed that, as a first step, the FAO Secretariat should convene an Expert Consultation to develop an FAO evaluation framework to assess the conformity of public and private ecolabelling schemes with the FAO Guidelines for the ecolabelling of fish and fishery products from marine capture fisheries. The Expert Consultation was convened in response to this decision.

COFI:FT also noted that it would be beneficial to develop a similar evaluation framework to assess the conformity of ecolabelling schemes with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Inland Fisheries after their adoption. Moreover, as these draft Guidelines follow very closely the marine Guidelines, the Expert Consultation also considered additional criteria relating specifically to the inland fisheries Guidelines. In the event of COFI adopting the Inland Guidelines, an evaluation framework for ecolabelling schemes certifying fish and fishery products from inland fisheries could readily be produced.

The Expert Consultation considered a number of issues relating to the Guidelines and the Evaluation Framework. *Inter alia*, it noted that the Guidelines, and therefore the draft Evaluation Framework, relate only to the biological sustainability of fishery resources and not to other aspects that might have an impact on sustainability. Also noted were the many commonalities between the Marine Ecolabelling Guidelines and the draft Inland Ecolabelling Guidelines, and that the major difference between them relates to the consideration of enhancement and the use of introduced and/or translocated species in the draft Inland Guidelines. The Expert Consultation noted that in both sets of Guidelines there is insufficient attention given to the chain of custody. The respective responsibilities of States and ecolabelling schemes in relation to assistance to developing countries was also discussed. The draft Evaluation Framework is provided in Appendix D with an explanation of the approach in the body of this report.

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OPENING OF THE MEETING AND ARRANGEMENTS FOR THE SESSION

1. The Expert Consultation to develop an FAO Evaluation Framework to Assess the Conformity of Public and Private Ecolabelling Schemes with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries was held in Rome, Italy, 24–26 November 2010.
2. The Agenda shown in Appendix A was adopted by the Expert Consultation.
3. The list of experts and other participants in the meeting is shown in Appendix B.
4. The meeting was called to order by Mr Árni M. Mathiesen, Assistant Director-General, Fisheries and Aquaculture Department, who delivered the opening statement. The text of his statement is reproduced in Appendix C.
5. Mr Alastair Macfarlane was elected as Chairperson.
6. Mr Graeme Parkes presented the salient features of the draft Evaluation Framework prepared as a discussion document for the Expert Consultation.

BACKGROUND, OBJECTIVES AND EXPECTED OUTCOME OF THE EXPERT CONSULTATION

7. The FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries were originally adopted by the FAO's Committee on Fisheries (COFI) at its Twenty-sixth Session in 2005. Revisions to these Guidelines¹ were subsequently endorsed by the Twenty-eighth Session of COFI in 2009.²
8. An Expert Consultation was held in May 2006 on drafting the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Inland Capture Fisheries.³ These draft Guidelines were again considered in 2008 by an Expert Consultation on the FAO Guidelines for Ecolabelling of Capture Fisheries.⁴ A third Expert Consultation, held in May 2010, finalized the draft Guidelines for the Ecolabelling of Fish and Fishery Products from Inland Capture Fisheries.⁵ The Twelfth Session of COFI:FT agreed that the outcome of this Expert Consultation should be forwarded to the Twenty-ninth Session of COFI (2011) for its consideration.⁶
9. The Twenty-eighth Session of COFI requested the Secretariat to present a proposal to COFI:FT for the assessment of compliance of ecolabelling schemes with the FAO ecolabelling Guidelines.⁷ The Twelfth Session of COFI:FT considered a document (COFI:FT/XII/2010/4) prepared by the Secretariat outlining various options for assessing conformity of ecolabelling schemes with the FAO Guidelines and decided that the Secretariat should develop an evaluation framework to assess the conformity of public and private ecolabelling schemes with the Guidelines.⁸ COFI:FT agreed that the

¹ FAO. 2009a. FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries (Revision 1), Rome, 97p.

² FAO. 2009b. Paragraph 26. Report of the Twenty-eighth Session of the Committee on Fisheries. Rome, 2–6 March 2009. *FAO Fisheries and Aquaculture Report*. No. 902. Rome. 64p.

³ FAO. 2006. Report of the Expert Consultation on the Development of International Guidelines for Ecolabelling of Fish and Fishery Products from Inland Capture Fisheries. Rome, 23–26 May 2006. FAO Fisheries Report. No. 804. Rome. 30p.

⁴ FAO. 2008. Report of the Expert Consultation on the FAO Guidelines for Ecolabelling for Capture Fisheries. Rome, 3–5 March 2008. FAO Fisheries Report. No. 864. Rome. 21p.

⁵ FAO. 2010b. Report of the Expert Consultation on the Development of Guidelines for the Ecolabelling of Fish and Fishery Products from Inland Capture Fisheries. Rome, 25–27 May 2010. FAO Fisheries Report. No. 943. Rome. 37p.

⁶ FAO. 2010a. Paragraph 28. Report of the Twelfth Session of the Sub-Committee on Fish Trade. Buenos Aires, Argentina, 26–30 April 2010. *FAO Fisheries and Aquaculture Report*. No. 939. Rome. 68p.

⁷ FAO. 2009b. Paragraph 31.

⁸ FAO. 2010a. Paragraph 24.

Secretariat should convene an Expert Consultation to initiate this work, the results of which should be considered by the Twenty-ninth Session of COFI in January–February 2011.⁹ The benefits were also noted of establishing evaluation frameworks to assess the conformity of certification schemes with the Aquaculture Certification Guidelines and with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Inland Capture Fisheries after their adoption.¹⁰

10. The FAO Secretariat thus convened the Expert Consultation with the objective of initiating the process of developing an evaluation framework to assess the conformity of public and private ecolabelling schemes with the Guidelines for consideration by COFI. The principal task was to develop an evaluation framework for marine capture fisheries. As COFI:FT had also noted that it would be beneficial to develop a similar evaluation framework to assess the conformity of ecolabelling schemes with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Inland Fisheries after their adoption, and as these draft Guidelines follow very closely the marine Guidelines, the Expert Consultation also considered additional criteria relating specifically to the inland fisheries Guidelines.¹¹ In the event of COFI adopting the Inland Guidelines, an evaluation framework for ecolabelling schemes certifying fish and fishery products from inland fisheries could be readily produced.

11. Prior to the Expert Consultation, the Secretariat provided the following documents to the Experts:

- The draft agenda.
- A background paper entitled “Development of an evaluation framework to assess the conformity of public and private ecolabelling schemes with the FAO Guidelines for the ecolabelling of fish and fishery products from marine and inland capture fisheries” that included a proposed Evaluation Framework to serve as a discussion document during the Consultation.
- The 2009 FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries (Revision 1).¹²
- The FAO draft Guidelines for the Ecolabelling of Fish and Fishery Products from Inland Capture Fisheries.¹³ Those paragraphs of the draft Guidelines that are not identical to the Marine Ecolabelling Guidelines were highlighted for ease of reference.
- The FAO Code of Conduct for Responsible Fisheries.

DISCUSSION

12. Ecolabelling schemes are designed to certify labels for products from sustainably managed marine and inland fisheries. The Evaluation Framework was developed to assess whether private or public ecolabelling schemes are in conformity with the FAO Guidelines for Marine Capture Fisheries and the draft FAO Guidelines for Inland Capture Fisheries¹⁴ (the Guidelines). The Evaluation Framework can also be used to assess schemes that, in addition, cover aspects other than those related to the biological sustainability of the fishery (e.g. social and economic aspects). The Evaluation Framework will, however, only provide an assessment in relation to the biological sustainability component of the scheme.

⁹ FAO. 2010a. Paragraph 25.

¹⁰ FAO. 2010a. Paragraph 26.

¹¹ An evaluation framework for aquaculture certification schemes was not considered as the Guidelines are very different to those for capture fisheries.

¹² FAO 2009a.

¹³ FAO 2010b.

¹⁴ Inland fisheries exist in natural waters such as streams, rivers, swamps, lakes and inland seas, temporary water bodies such as floodplains and seasonal water bodies, and also in man-made and modified habitats such as irrigation systems, rice paddies, reservoirs and enclosed natural water bodies.

13. The two sets of Guidelines (those for marine capture fisheries and the draft Guidelines for inland capture fisheries) are designed for third party voluntary ecolabelling schemes. These schemes potentially confer on the owner of a capture fishery product the opportunity to voluntarily affix a label on the packaging, or a list (e.g. a menu) containing the fishery product demonstrating that the product was sourced from a fishery that conforms to an environmental sustainability standard.

14. The Evaluation Framework may be used to assess conformity with FAO Guidelines through a variety of means. It could be used as a self-assessment tool by the ecolabelling scheme holder; it could also be used by third parties with an interest in assessing the conformity of ecolabelling schemes with the Guidelines. These would include governments, consumers, retailers, processors and harvesters that are seeking to make their own assessments against the agreed criteria. FAO will not actually undertake the conformity assessment of ecolabelling schemes, but will provide the tools with which to undertake the assessment.

15. The Guidelines recognize the special circumstances of developing countries and countries in transition including the need to use less data demanding approaches, financial and technical assistance, technology transfer, and training and scientific cooperation. In some instances these special circumstances can be addressed by ecolabelling schemes. In other instances these special circumstances can only be addressed by States, relevant intergovernmental and non-governmental organizations, and financial institutions. The Evaluation Framework only requires ecolabelling schemes to address the special circumstances when they fall within their capacity. The extent to which States, relevant intergovernmental and non-governmental organizations, and financial institutions respond to these requirements falls outside the scope of this Evaluation Framework. However, ecolabelling schemes should try to facilitate access to appropriate assistance from States, relevant intergovernmental and non-governmental organizations, and financial institutions.

16. The Consultation recognized the many commonalities between the marine and inland Guidelines. It was valuable to address the marine capture fisheries Guidelines and the draft inland capture fisheries Guidelines together. It was noted that the similarities between them made it possible to develop one Evaluation Framework for both of them.

17. The draft inland capture fisheries Guidelines are mainly differentiated from the marine capture guidelines on the issues of enhancement and the use of introduced and/or translocated species. The Expert Consultation (EC) noted that enhancement in marine fisheries is becoming more common and that this element is missing from the marine capture Guidelines. The EC considered that an amendment to the Guidelines would be required in order to address this issue in full.

18. The Guidelines require ecolabelling schemes to address the chain of custody certification. However, they do not provide effective minimum substantive requirements to ensure that the integrity of ecolabelled products is maintained at all points throughout the supply chain. The meeting has provided guiding comment in the Evaluation Framework in an effort to address the shortcomings. However, an amendment to the Guidelines would be required in order to address this issue in full.

19. The EC agreed that there is a need to assess the extent to which ecolabelling schemes in practice contribute to improved fisheries management and economic returns. The assertion is frequently made by proponents of ecolabelling schemes that they do. The meeting agreed that there is now a body of evidence emerging that should be analysed to verify whether these assertions have been borne out. The meeting considered that this was a task that FAO might consider undertaking.

20. The EC noted that the structure and function of fish sustainability recommendation lists (e.g. non-governmental organization [NGO] traffic light lists) could be evaluated using the Guidelines, but these lists are not equivalent to ecolabels and the Evaluation Framework is not directly applicable to them.

APPROACH

21. Appendix D sets out the Benchmarking Indicators developed by the EC and the corresponding paragraphs of the Guidelines for which these indicators can be used to assess conformance. The draft Evaluation Framework has been developed to cover both marine and inland fisheries with one set of indicators. Textual differences between the two sets of Guidelines, and associated differences in individual indicators, are identified in the text of the Framework. Text in the proposed Guidelines for inland fisheries that is not included in the Guidelines for marine capture fisheries (and the text in the corresponding performance indicators) is shown in grey highlight. Text in the Guidelines for marine capture fisheries that is not included in the proposed Guidelines for inland capture fisheries (and the text in the corresponding performance indicators) is shown in bold.

22. Three main parts of the Guidelines create the structure for the Evaluation Framework:

- The Principles (Guidelines, paragraphs 2.1 to 2.14).
- The Minimum Substantive Requirements, including ‘Management systems’, ‘Stocks under consideration’ and ‘Ecosystem’ (Guidelines, paragraphs 26 to 32).
- The Procedural and Institutional Aspects, including Guidelines for the setting of standards of sustainable fisheries, Guidelines for accreditation (of independent certifying bodies) and Guidelines for certification (of fisheries).

23. The Principles of the Guidelines describe a number of higher order requirements that are essential for all ecolabelling schemes. The details of how the schemes achieve these requirements are provided in the sections on Minimum Substantive Requirements and the Procedural and Institutional Aspects.

24. The links between the paragraphs in these sections and the Principles is shown in Table 1. This Table demonstrates that there are a large number of paragraphs dealing with the issues of transparency (Principle 2.4), non-discrimination (Principle 2.5), accountability (Principle 2.7), independence of auditing and verification (Principle 2.8), best scientific evidence (Principle 2.10), practicality, viability and verification (Principle 2.11) and communication of truthful information (Principle 2.12). The only Principles not covered directly by later paragraphs are equivalence (Principle 2.9) and clarity (Principle 2.10). Comments are provided in Table 1 with respect to these two Principles.

25. The tiered structure of the Evaluation Framework based on the Guidelines is illustrated in Figure 1.

26. The EC developed benchmark indicators covering all paragraphs in the Minimum Substantive Requirements and the Procedural and Institutional Aspects. No separate benchmark indicators were developed for the Principles. Conformance with the Principles is to be assessed through conformance with the benchmark indicators developed under the Minimum Substantive Requirements and the Procedural and Institutional Aspects.

27. The approach used in developing the Evaluation Framework has been to identify indicators that will permit an assessment of conformity with the FAO Guidelines to be made. In the section dealing with Minimum Substantive Requirements and Criteria for Ecolabels one or more indicators are identified for each paragraph in the Guidelines. In the section dealing with Procedural and Institutional Aspects indicators are often identified to cover groups of paragraphs where related issues are identified. The indicators can be found in the Appendix D and follow closely the text of the Guidelines.

28. The main components of the Guidelines that are not considered to be part of the key elements for benchmarking are the General Considerations (paragraphs 4 to 6), the Terms and Definitions (paragraphs 7 to 25), the introductory paragraphs to the section on Procedural and Institutional Aspects (paragraphs 33 to 38) and the Introduction of the draft Inland Guidelines (paragraphs i–iv).

Nevertheless, these are important components of the Guidelines and could be considered to describe issues of scope that may be significant. For example, for the purposes of clarity, the terms and definitions used in the ecolabelling schemes being evaluated should be reasonably equivalent to those used in the Guidelines (paragraphs 7 to 25) – or a table of equivalences drawn up – to support a proper and unambiguous assessment of conformance.

29. The assessment process, at present, enables an evaluation to be made as to whether the scheme being assessed is in conformity with the indicators identified in the Evaluation Framework (Appendix D) only on a pass/fail basis. Complete conformance is determined only where all indicators have been included in a scheme being assessed.

30. The meeting discussed the benefits of more flexible approaches (e.g. a traffic light approach) to assess the extent of conformity. It recognized that this would require weighting indicators in order to identify those that are critical to ensure conformance with the principles. The performance assessment of other indicators of a more operational nature might lead to determinations of partial but acceptable conformance with the Guidelines. The EC considered that there could be value in this approach but there was insufficient time to attempt it.

31. The Evaluation Framework includes a very large number of benchmark indicators (155 in total, six of which apply only to the inland fisheries guidelines). The Framework does not provide specific guidance on how evaluators should make a determination of conformance, for example, the types of objective evidence that might be used. In undertaking an evaluation using these indicators, evaluators are encouraged to identify the evidence used. In this regard, the EC envisaged three categories of evidence that might be used to assess conformance:

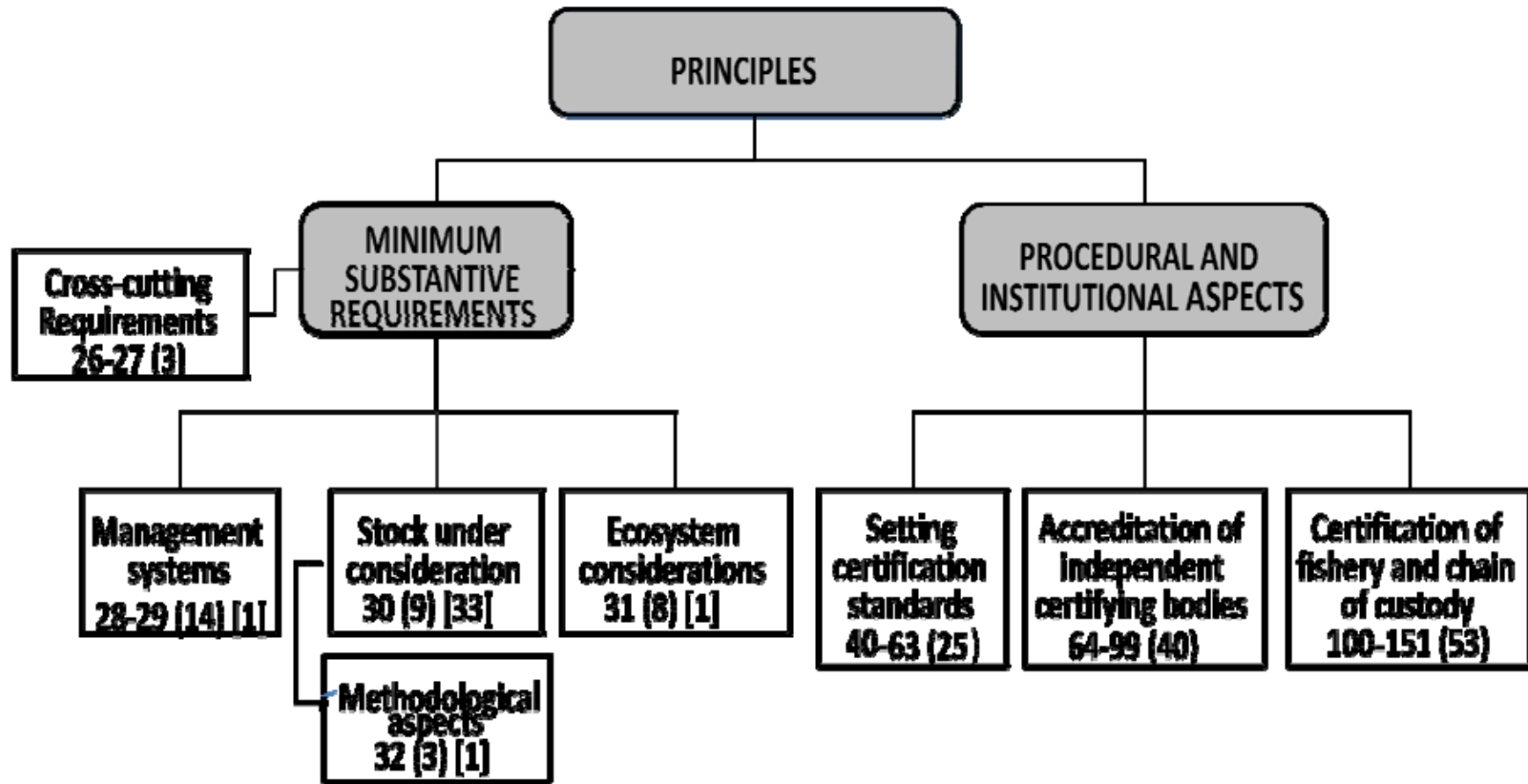
- (a) internal evidence (i.e. the scheme says it does something);
- (b) outcome evidence (i.e. the scheme demonstrably does what it says it does); and
- (c) independent evidence (i.e. an independent expert has determined that the scheme does what it says it does).

32. The EC considered ways in which evaluators might present the results of the evaluation of conformance of an ecolabelling scheme with each indicator. In the first instance, conformance should be summarized by each section of the Guidelines, as illustrated in Figure 1. A simple percentage of the total number of indicators that the ecolabelling scheme passed could be presented on a rosette diagram as illustrated in Figure 2. The EC noted, however, that these approaches suffered from a number of limitations, including the different numbers of benchmark indicators addressing conformance with each section of the Guidelines. The EC was unable to develop more elaborate approaches in the time available, but encouraged evaluators to develop a range of options that most accurately reflect the overall picture of conformance in such a way that areas of both conformance and non-conformance are clear and required improvements can be identified.

33. The Evaluation Framework has not yet been tested by assessing any ecolabelling scheme. Future revisions should take into account the experience gained from undertaking such a test.

ADOPTION OF THE REPORT

34. The report of the Expert Consultation, including the proposed draft evaluation framework to assess the conformity of public and private ecolabelling schemes with the FAO Guidelines for the ecolabelling of fish and fishery products from marine and inland capture fisheries, was adopted on 26 November 2010.



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Figure 1. The tiered structure of the Guidelines used for the Evaluation Framework. References to the Guidelines paragraph numbers are provided in each box. Numbers in curved brackets () are the total numbers of benchmark indicators in each case while the numbers in square brackets [] give those that apply only to inland fisheries. Benchmark indicators were developed for all paragraphs in the Guidelines in the Minimum Substantive Requirements and the Procedural and Institutional Aspects (Appendix D).

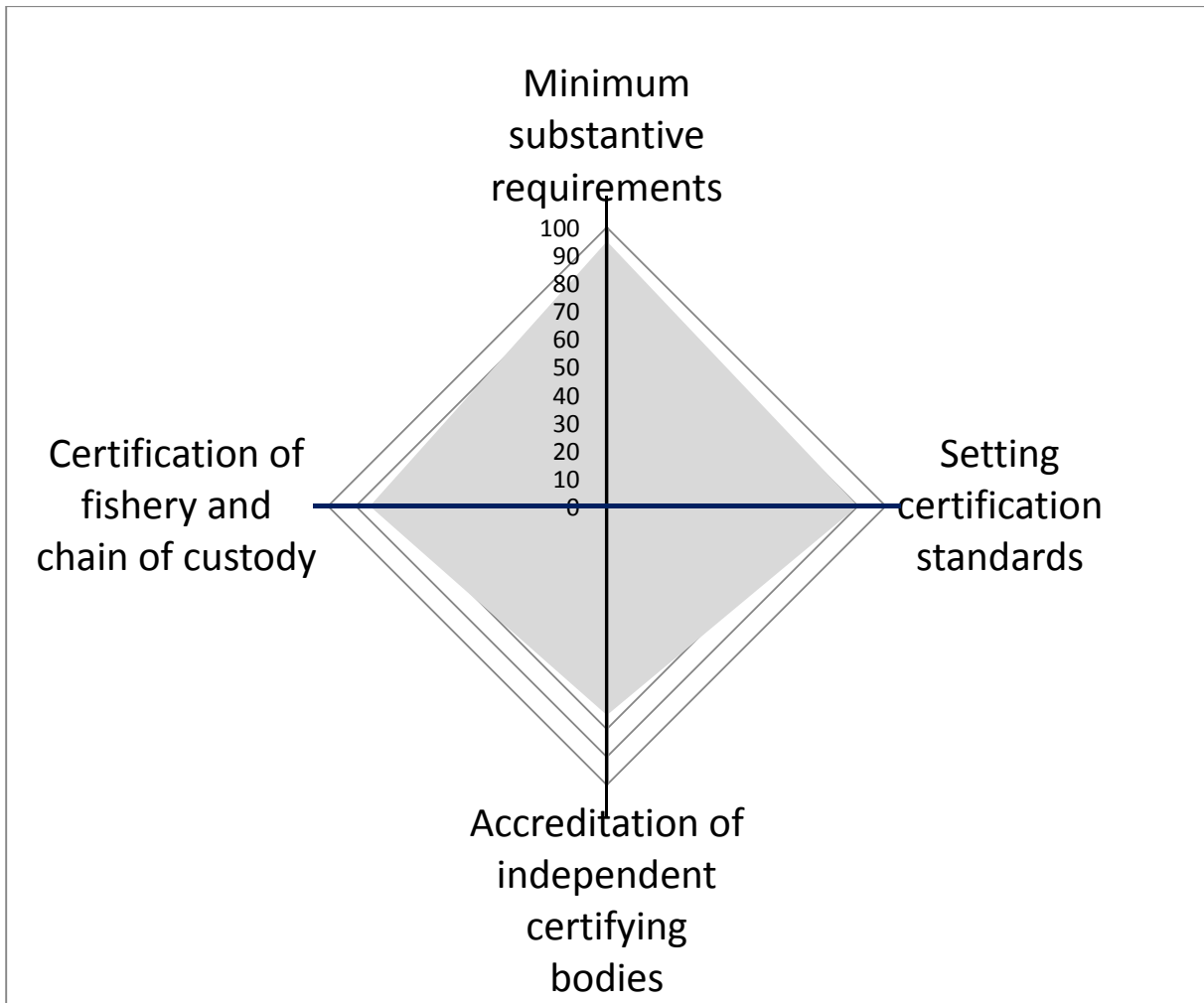


Figure 2: Stylized example of how the percentage of benchmark indicators passed by an ecolabelling scheme might be presented in a report of an evaluation.

Table 1. Relationships between paragraphs in the Principles of the Guidelines and the more detailed paragraphs in the Minimum Substantive Requirements and the Procedural and Institutional Aspects. Note: some paragraph numbers appear in more than one box.

Principle	Conformance with the Principles is to be assessed through compliance with the benchmark indicators for the Guideline paragraphs listed below			
	Minimum Substantive Requirements	Procedural and Institutional Aspects		
		Standards	Accreditation	Certification
<p>2.1 be consistent with [the 1982 United Nations Convention on the Law of the Sea and the Agreement for the Implementation of the Provisions of the United Nations Convention on the Law of the Sea of 10 December 1982 relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks], the FAO Code of Conduct for Responsible Fisheries, and the World Trade Organization (WTO) rules and other relevant international instruments</p> <p>2.1a Be consistent with the FAO Code of Conduct for Responsible Fisheries, the Convention on Biodiversity, the Ramsar Convention on Wetlands, and the World Trade Organization (WTO) rules and other relevant international instruments.</p> <p>2.1b Take into account the provisions of relevance for the management of inland capture fisheries contained in the 1982 United Nations Convention on the Law of the Sea and the Agreement for the Implementation of the Provisions of the United Nations Convention on the Law of the Sea of 10 December 1982 relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks</p>	28	42		104, 105, 106
2.2 Recognize the sovereign rights of States and comply with all relevant laws and regulations	28	42		
2.3 Be of a voluntary nature and market-driven		41		
2.4 Be transparent, including balanced and fair participation by all interested parties		46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 57, 58, 59, 60, 61, 62	67, 69, 82, 83, 84, 85, 86	109, 124, 125, 147, 148, 149, 150, 151
2.5 Be non-discriminatory, do not create unnecessary obstacles to trade and allow for fair trade and competition		41, 57, 58	67, 68, 96	112
2.6 Provide the opportunity to enter international markets		41		

2.7 Establish clear accountability for the owners of schemes and the certification bodies in accordance with international standards		43	64, 74, 75, 76, 77, 78, 87, 88	117, 118, 119, 126, 127
2.8 Incorporate reliable, independent auditing and verification procedures		54	39, 64, 65, 66, 69, 78, 79, 80, 81, 89, 90, 91, 92, 93, 94, 95	100, 101, 102, 104, 105, 107, 108, 109, 110, 111, 116, 128, 129, 130, 132, 133
2.9 be considered equivalent if consistent with these Guidelines	Schemes that meet all the requirements of the Guidelines are equivalent to each other in relation to their conformity with the Guidelines. The Schemes themselves do not need to explicitly recognize equivalence with each other.			
2.10 Be based on the best scientific evidence available, also taking into account traditional knowledge of the resources provided that its validity can be objectively verified	29.1, 29.2, 29.3, 30, 31, 32			
2.11 Be practical, viable and verifiable		40, 43, 44, 45, 56, 57, 58, 59, 63	64, 70, 71, 72, 73	113, 114, 115, 120, 121, 122, 123
2.12 Ensure that labels communicate truthful information		54	97, 98, 99	102, 103, 130, 134, 135, 136, 137, 138, 139, 140, 141, 142, 143, 144, 145, 146
2.13 Provide for clarity	<p>The scheme endeavours to ensure that ambiguity is avoided and its claims can be substantiated.</p> <p>The benchmarks used in the scheme itself for assessing conformance with the fishery and chain of custody standards should provide a clear and consistent vision of what is required to achieve a passing grade.</p> <p>Claims on the label and in associated literature should be clear, understandable to consumers and unambiguous.</p>			
2.14 Be based, at a minimum, on the minimum substantive requirements, criteria and procedures outlined in these Guidelines	All	All	All	All

AGENDA AND TIMETABLE***Wednesday, 24 November 2010***

Morning	
08.30–09.15	Arrival and registration
09.15–09.45	Welcome by Árni M. Mathiesen (Assistant Director-General, FAO Fisheries and Aquaculture Department)
	Introduction of participants
09.45–10.00	Nomination of Chairperson and Vice-Chairperson of the meeting
	Designation of rapporteur(s)
10.00–10.15	Adoption of the agenda
10.15–10.45	Presentation of background paper on the Evaluation Framework
10.45–11.30	Coffee break and collection of daily allowance
11.30–12.30	Discussion on the background paper
12.30–14.00	Lunch break
Afternoon	
14.00–15.30	Discussion on the background paper (cont.)
15.30–16.00	Coffee break
16.00–17.30	Development of an outline for the further elaboration of the Evaluation Framework

Thursday, 25 November 2010

Morning	
09.00–10.30	Drafting groups on the further elaboration of the Evaluation Framework
10.30–11.00	Coffee break
11.00–12.30	Drafting groups on the further elaboration of the Evaluation Framework (cont.)
12.30–14.00	Lunch break
Afternoon	
14.00–16.00	Drafting groups on the further elaboration of the Evaluation Framework (cont.)
16.00–16.30	Coffee break
16.30–17.30	Drafting groups on the further elaboration of the Evaluation Framework (cont.)

Friday, 26 November 2010

Morning	
09.00–10.30	Discussion of revised Evaluation Framework
10.30–11.00	Coffee break
11.00–12.30	Rapporteurs revise reports based on discussion and Secretariat consolidates draft report
12.30–14.00	Lunch break
Afternoon	
13.30–17.00	Plenary discussion/adoption of final report/closing of meeting

APPENDIX B

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OPENING STATEMENT BY MR ÁRNI M. MATHIESEN, ASSISTANT DIRECTOR-GENERAL, FAO FISHERIES AND AQUACULTURE DEPARTMENT

Ladies and Gentlemen, it is my pleasure to welcome you to Rome and to FAO.

I'm very grateful that you have accepted to serve as experts in this Consultation.

The Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries were adopted by the Twenty-sixth Session of the Committee on Fisheries in 2005. The FAO Guidelines are voluntary in nature. They are applicable to ecolabelling schemes that are designed to certify labels for products from well-managed fisheries and focus on issues related to the sustainable use of fisheries resources. The FAO Guidelines provide the framework for a level playing field in relation to the ecolabelling of fish and fishery products from marine capture fisheries.

A revised version of the Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries were adopted by the Twenty-eighth Session of COFI in 2009. The amendments in the FAO Guidelines address the recommendations from the Twenty-sixth Session of COFI in relation to the section on minimum substantive requirements and criteria, and in particular sections on the "stock under consideration" and the serious impacts of the fishery on the ecosystem.

In addition, building on the technical and political process and progress made for marine capture fisheries, COFI also recommended that international Guidelines be prepared by FAO on the ecolabelling of fish and fishery products from inland fisheries. Two Expert Consultations were convened in 2006 and 2010 to develop similar Guidelines for inland capture fisheries. An Expert Consultation in 2008, which proposed revisions to the marine capture fisheries Guidelines, also made recommendations regarding the Guidelines for inland capture fisheries.

At the Eleventh Session of the Sub-Committee on Fish Trade in June 2008, several members raised questions about the extent to which the FAO Guidelines were being used by private certification and ecolabelling schemes and whether claims by schemes that they were adhering to the FAO Guidelines were being checked. The Sub-Committee on Fish Trade requested the Secretariat to assess ways and means to enable all concerned to be informed in a transparent manner about which schemes meet the requirements of the FAO Guidelines on ecolabelling or certification in a credible manner.

The Twenty-eighth Session of COFI in 2009 requested the Secretariat to suggest an approach to assess the conformity of ecolabelling schemes with the FAO Guidelines for consideration by the Sub-Committee on Fish Trade.

The Twelfth Session of the Sub-Committee on Fish Trade that met earlier this year, agreed that the FAO Secretariat should develop an Evaluation Framework to assess the conformity of

public and private ecolabelling schemes with the FAO Guidelines. The Sub-Committee on Fish Trade also agreed that FAO itself would not undertake conformity assessments. Rather, it would make the Evaluation Framework available for third parties to undertake their own assessment. The Sub-Committee also agreed that as a first step in this process, the Secretariat should convene an Expert Consultation to initiate work on the Evaluation Framework.

The purpose of this Expert Consultation is, therefore, to follow-up on this recommendation and to develop an Evaluation Framework to assess the conformity of public and private ecolabelling schemes with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine and Inland Capture Fisheries. The result of this Expert Consultation will be forwarded to the Twenty-ninth Session of COFI in January 2011 for its consideration. COFI will then provide guidance on how to proceed with this issue.

For those of you who are not familiar with FAO rules and procedures, I should clarify that the participants in an Expert Consultation attend in their individual capacities and not as representatives of their governments or organizations.

Finally, I would like to express my thanks to the Government of Canada and to ALLFISH for providing the funds necessary to hold this Consultation. I wish you fruitful deliberations over the coming days and look forward with interest to the results of your work.

I hope you'll have an enjoyable stay in Rome in spite of all the work to be done.

Thank you very much, Ladies and Gentlemen, for your attention.

DRAFT EVALUATION FRAMEWORK

Coding: **Grey highlight** = text relating to the draft inland fisheries ecolabelling guidelines only; **bold** = text relating to the marine fisheries ecolabelling guidelines only; plain text is text common to both sets of Guidelines.

Minimum Substantive Requirements for the Ecolabel Standard

Guidelines Paragraph	Assessing Conformance	
	Comments	Benchmark Indicator
<p>Introduction</p> <p>26. The following sets forth the minimum substantive requirements and criteria for assessing whether a fishery can be certified and an ecolabel awarded to a fishery. Ecolabelling schemes may apply additional or more stringent requirements and criteria related to sustainable use of the resources. The requirements and criteria presented below are to be based on and interpreted in accordance with the current suite of agreed international instruments addressing fisheries, in particular the 1982 UN Convention on the Law of the Sea, the 1995 UN Fish Stocks Agreement and the 1995 Code of Conduct for Responsible Fisheries, as well as related documentation including the 2001 Reykjavik Declaration on Responsible Fisheries in the Marine Ecosystem. including the 1995 Code of Conduct for Responsible Fisheries, the Convention on Biodiversity, the Ramsar Convention on Wetlands, as well as provisions of relevance for the management of inland capture fisheries contained in the 1982 UN Convention on the Law of the Sea and the 1995 UN Fish Stocks Agreement.</p>	<p>Not necessary as part of benchmarking.</p> <p>Not necessary for benchmarking. See benchmarks for Guideline Paragraph 2.1.</p>	N/A
<p>27. Requirements are specified for each of three areas: the management systems, the fishery and associated “stock under consideration” for which certification is being sought (subsequently referred to as “stock under consideration”), and consideration of serious impacts of the fishery on the ecosystem including stock enhancement activities. Criteria and related measurable performance indicators and a corresponding monitoring system should be established in order to assess the conformity of the fishery concerned with the requirements and the criteria of the ecolabelling scheme. In developing and applying the criteria and assessing the conformity of the fishery with the standard of certification, the views and opinions of States, RFMOs, RFBs, relevant regional commissions or other organizations or arrangements and FAO should be fully considered.</p>	<p>The certification standard must be accompanied by a series of criteria and/or performance indicators that enable independent certifiers to assess compliance with the standard in an auditable and repeatable way.</p> <p>For details on the certification assessment and monitoring</p>	<p>The standard specifies requirements for three main areas:</p> <ol style="list-style-type: none"> (1) the management systems; (2) the fishery and associated “stock under consideration” for which certification is being sought; and (3) consideration of serious impacts of the fishery on the ecosystem, including stock enhancement activities. <p>The standard establishes criteria and related measurable performance indicators to assess conformity.</p> <p>In developing and applying the criteria and assessing the conformity of the fishery with the standard of certification,</p>

Guidelines Paragraph	Assessing Conformance	
	Comments	Benchmark Indicator
	procedure see Area 3.3: Paragraphs 100–151.	the views and opinions of States, RFBs, relevant regional commissions or other organizations or arrangements, RFMOs and FAO are fully considered.
<p><u>Management systems</u></p> <p>28. Requirement: The fishery is conducted under a management system which is based upon good practice and that ensures the satisfaction of the requirements and criteria described in Paragraph 29. The management system and the fishery operate in compliance with the requirements of local, national and international laws and regulations, including the requirements of any regional fisheries management organization agreement that manages directs the management of the fisheries on the “stock under consideration”.</p> <p>28.1 For the “stock under consideration” there are documented management approaches with a well based expectation that management will be successful taking into account uncertainty and imprecision, and the multipurpose nature of the use patterns in inland waters.</p> <p>28.2 There are objectives, and as necessary, management measures to address pertinent aspects of the ecosystem effects of fishing as per paragraph 31.</p>	The standard should include consideration of the management system (see also above – paragraph 27).	<p>The standard for the management system is based on current international norms with respect to good practice and satisfies benchmarking requirements established under Guideline Paragraphs 29 and 31</p> <p>The standard for the management system requires compliance with local, national and international laws and regulations, including the requirements of any regional fisheries management agreement that directs the management of the fisheries on the “stock under consideration”.</p>
<p>29. The following criteria will apply to management systems for any fisheries, but it must be recognized that special consideration needs to be given to small-scale fisheries, which are prevalent in inland capture fisheries, with respect to the availability of data and with respect to the fact that management systems can differ substantially for different types and scales of fisheries (e.g. small scale through to large scale commercial fisheries).</p> <p>29.1 Adequate and reliable data and/or information are collected, maintained and assessed in accordance with applicable international standards and practices for evaluation of the current state and trends of the stocks (see below: Methodological aspects). This can include relevant traditional, fisher or community knowledge, provided its their validity can be objectively verified.</p>	Whether the standard assesses if the management system ensures that reliable data are collected about the fishery.	<p>The standard is applicable to management systems for any fisheries, with due consideration to availability of data and the fact that management systems can differ substantially for different types and scales of fisheries.</p> <p>The standard includes a requirement for the management system to ensure reliable and current data and/or other information about the fishery are collected and maintained to assess the current status and trends of the stocks.</p>

Guidelines Paragraph	Assessing Conformance	
	Comments	Benchmark Indicator
<p>29.2a In determining suitable conservation and management measures, the best scientific evidence available is taken into account by the designated authority, as well as consideration of relevant traditional, fisher or community knowledge, provided its their validity can be objectively verified, in order to evaluate the current state of the “stock under consideration” in relation to, where appropriate, stock specific target and limit reference points.</p> <p>29.2bisb: Taking due account of paragraph 32, for the “stock under consideration” the determination of suitable conservation and management measures should include or take account of:</p> <ul style="list-style-type: none"> • Total fishing mortality from all sources is considered in assessing the state of the “stock under consideration”, including discards, unobserved mortality, incidental mortality, unreported catches and catches in other fisheries. • Management targets are consistent with achieving MSY (or a suitable proxy) on average, or a lesser fishing mortality if that is optimal in the circumstances of the fishery (e.g. multi-species fisheries) or to avoid severe adverse impacts on dependent predators. • The management system should specify limits or directions in key performance indicators (see 30.2), consistent with avoiding recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible, and specify the actions to be taken if the limits are approached or the desired directions are not achieved. 	<p>The management system must evaluate the state of the stock. Whether management and conservation measures are determined for the fishery is covered in paragraph 29.4 below.</p>	<p>The standard includes a requirement for the management system to take into account the best scientific evidence available and consider relevant valid and verifiable traditional, fisher and community knowledge in evaluating the state of the stocks in relation to stock-specific target and limit reference points, where appropriate.</p> <p>The standard includes a requirement for the management system, in assessing the status of the stock under consideration and determining suitable conservation and management measures, to take account of:</p> <ul style="list-style-type: none"> • Total fishing mortality from all sources including discards, unobserved mortality, incidental mortality, unreported catches and catches in other fisheries. • Management targets consistent with achieving MSY (or a suitable proxy) on average, or a lesser fishing mortality if that is optimal in the circumstances of the fishery (e.g. multi-species fisheries) or to avoid severe adverse impacts on dependent predators. <p>The standard includes a requirement for the management system to specify limits or directions in key performance indicators (see Indicators under Guideline Paragraph 30.2), consistent with avoiding recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.</p> <p>The standard includes a requirement for the management system to determine sustainability reference points and to specify in advance remedial actions to be taken if reference points are approached or exceeded or the desired directions are not achieved, including the specification of a recovery plan for stocks that become overfished.</p>

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<p>29.3 Similarly, data and information, including relevant traditional, fisher or community knowledge, provided its their validity can be objectively verified, are used to identify adverse impacts of the fishery on the ecosystem, and timely scientific advice is provided on the likelihood and magnitude of identified impacts (see Paragraph 31).</p> <p>29.4 The designated authorities adopt and effectively implement appropriate measures for the conservation and sustainable use of the “stock under consideration” based on the data, information, and scientific advice referred to in the preceding bullets. Short-term considerations should not compromise the long-term conservation and sustainable use of fisheries resources.</p> <p>29.5 An effective legal and administrative framework at the local, national or regional level, as appropriate, is established for the fishery and compliance is ensured through effective suitable mechanisms for monitoring, surveillance, control and enforcement. This could include relevant traditional, fisher or community approaches, provided their performance could be objectively verified (see also Paragraph 6).</p> <p>29.6 In accordance with the Code of Conduct for Responsible Fisheries Article 7.5, the precautionary approach is being implemented to protect the “stock under consideration” and to preserve the aquatic environment. This should take due account of stock enhancement procedures. <i>Inter alia</i> this will require that the absence of adequate scientific information should not be used as a reason for postponing or failing to take conservation and management measures: Further, relevant uncertainties are being taken into account through a suitable method of risk assessment, including those associated with the use of introduced or translocated species. Appropriate reference points are determined and remedial actions to be taken if reference points are approached or exceeded are specified.</p>	<p>The standard should assess whether management considers ecosystem impacts.</p> <p>Refer to the best scientific evidence available – as per Guidelines Paragraph 2.10.</p> <p>Precautionary Approach covered in conjunction with paragraph 29.4.</p> <p>Reference points covered under paragraph 29.2bis.</p>	<p>The standard includes a requirement for the management system to receive timely scientific advice regarding the likelihood and magnitude of adverse impacts of the fishery on the ecosystem, taking into account relevant and objectively verified traditional fisher or community knowledge.</p> <p>The standard includes a requirement for appropriate management measures for the conservation and sustainable use of the stock under consideration and the protection of the aquatic environment to be adopted and implemented, based on the best scientific evidence available and the precautionary approach. Such management measures take due account of stock enhancement procedures.</p> <p>The standard includes a requirement for an effective legal and administrative framework for the fishery, including relevant traditional, fisher or community approaches, provided their performance can be objectively verified.</p> <p>The standard includes a requirement for suitable monitoring, surveillance, control and enforcement, including relevant traditional, fisher or community approaches, provided their performance can be objectively verified.</p> <p>The standard includes a requirement for relevant uncertainties to be taken into account through a suitable method of risk assessment, including in the case of inland fisheries, those associated with the use of introduced or translocated species.</p>

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29.7 In the case of enhanced fisheries, the management system is able to demonstrate that the stocking material originating from aquaculture facilities meets the requirements of paragraph 30d.	Covered in 30.d.	
29.8 In the case of enhanced fisheries, the fishery management system should take due regard of the natural production processes and minimise adverse impacts on ecosystem structure and function.		For enhanced fisheries, the standard requires the fishery management system to take due regard of natural production processes and to minimise adverse impacts on ecosystem structure and function.
<p>Stocks under consideration</p> <p>30a Requirement: The “stock under consideration” is not overfished, and is maintained at a level which promotes the objective of optimal utilization and maintains its availability for present and future generations, taking into account that longer term changes in productivity can occur due to natural variability and/or impacts other than fishing. In the event that biomass drops well below such target levels, management measures (Code of Conduct Article 7.6), including measures to favourably enhance the environment, should allow for restoration within reasonable time frames of the stocks to such levels (see also paragraph 29.2.bis). This requirement also pertains to species introductions or translocations that have occurred historically and which become established as part of the natural ecosystem. The following criteria are applicable:</p>	<p>See also paragraph 29.2bis with respect to the specification of levels and a recovery plan.</p> <p>This requirement also pertains to species introductions or translocations that have occurred historically and which become established as part of the natural ecosystem.</p>	<p>The standard includes an assessment of the state of the stock under consideration (see also paragraph 27)</p> <p>The standard includes the requirement that the stock under consideration is not overfished and promotes the objective of optimal utilization and maintains its availability for present and future generations. The standard includes a clear understanding of what is meant by overfished and overfishing, conforming to current international norms (e.g. Code of Conduct) through the specification of levels (reference points). In the case of enhanced fisheries, this requirement applies to the naturally reproductive components of enhanced stocks. (compare with paragraph 29.2bis).</p> <p>The standard requires that naturally reproductive components of enhanced stocks are not substantially displaced by stocked components. In particular, displacement must not result in a reduction of the natural reproductive stock component below abundance-based target reference points (or their proxies). (also applies to paragraph 30.c)</p> <p>In the event that biomass drops well below a specified level consistent with the objective of optimal utilization and availability for present and future generations due to natural variability and/or impacts other than fishing, management measures (Code of Conduct Article 7.6) [including measures to favourably enhance the environment], should allow for restoration of the stocks to such levels within reasonable time frames.</p>

Guidelines Paragraph	Assessing Conformance	
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<p>30a.1 The “stock under consideration” is not overfished if it is above the associated limit reference point (or its proxy).</p> <p>30a.2 If fishing mortality (or its proxy) is above the associated limit reference point, actions should be taken to decrease the fishing mortality (or its proxy) below that limit reference point.</p> <p>30a.3 The structure and composition of the “stock under consideration” which contribute to its resilience are taken into account.</p> <p>30a.4 In the absence of specific information on the “stock under consideration”, generic evidence based on similar stocks can be used for fisheries with low risk to that “stock under consideration”. However, the greater the risk of overfishing the more specific evidence is necessary to ascertain the sustainability of intensive fisheries.</p>	<p>If the size of the stock under consideration is above its limit reference point (or its proxy), the standard does not consider it to be overfished.</p> <p>This language relates to the requirement for restoration of the stocks above. If management measures are in place and are working, then all should be well. If not, the certificate may need to be suspended or revoked.</p>	<p>If fishing mortality (or its proxy) is above the associated limit reference point, the standard requires actions to be taken to decrease the fishing mortality (or its proxy) below that limit reference point.</p> <p>The standard requires that the assessment of the stock under consideration takes into account the structure and composition of that stock which contribute to its resilience.</p> <p>For fisheries with low risk, when specific information on the “stock under consideration” is lacking, the standard allows for the use of generic evidence based on similar stocks. Where the risk of overfishing is greater, the standard requires more specific evidence to ascertain the sustainability of intensive fisheries.</p>
<p>30b. The scope of these guidelines extends to enhanced components of the “stock under consideration” provided that a natural reproductive stock component is maintained and fishery production is based primarily on natural biological production within the ecosystem of which the “stock under consideration” forms a part. Specifically, to be within the scope of these guidelines, enhanced fisheries must meet the following criteria:</p> <ul style="list-style-type: none"> • the species are native to the fishery’s geographic area or were introduced historically and have subsequently become established as part of the “natural” ecosystem. • there are natural reproductive components of the “stock under consideration” • the growth during the post-release phase is based upon food supply from the natural environment and the production system operates without supplemental feeding. 		<p>The standard includes enhanced components of the stock under consideration, only when:</p> <ul style="list-style-type: none"> • A natural reproductive stock component is maintained fishery production is based primarily on natural biological production within the ecosystem of which the “stock under consideration” forms a part. • The species are native to the fishery’s geographic area or were introduced historically and have subsequently become established as part of the “natural” ecosystem.

Guidelines Paragraph	Assessing Conformance	
	Comments	Benchmark Indicator
		<ul style="list-style-type: none"> • There are natural reproductive components of the “stock under consideration”. • The growth during the post-release phase is based upon food supply from the natural environment and the production system operates without supplemental feeding.
<p>30c. In the case of enhanced fisheries, “stock under consideration” may comprise naturally reproductive components and components maintained by stocking. The overall enhanced fishery should be managed in such a way that the naturally reproductive components are managed in accordance with the provisions of Article 7 of the Code of Conduct for Responsible Fisheries and with paragraph 30a. The following criteria are to be interpreted in the context of avoiding significant negative impacts of enhancement activities on the natural reproductive components of “stock under consideration”.</p> <ul style="list-style-type: none"> • naturally reproductive components of enhanced stocks are not overfished • naturally reproductive components of enhanced stocks are not substantially displaced by stocked components. In particular, displacement must not result in a reduction of the natural reproductive stock component below abundance-based target reference points (or their proxies) defined for the regulation of harvest in accordance with paragraph 30a. 	<p>Requirement for naturally reproductive components of enhanced stocks to be not overfished covered under paragraph 30a.</p> <p>The requirement that the natural reproductive stock component is not reduced below abundance-based target reference points (specifically due to displacement) could be incorporated in paragraph 29.2bis.</p>	<p>This guideline paragraph is met through conformance with Guideline Paragraph 30.a.</p>
<p>30d. Enhanced fisheries may be supported in part by stocking of organisms produced in aquaculture facilities or removed from wild stocks other than the “stock under consideration”. Aquaculture production of organisms for stocking should be managed and developed according to relevant provisions of Article 9 of the Code of Conduct for Responsible Fisheries, especially in relation to maintaining the integrity of the environment, the conservation of genetic diversity, disease control, and quality of stocking material. Removal of organisms from wild stocks other than the stock of consideration should be managed according to the provisions of Article 7 of the Code of Conduct for Responsible Fisheries with respect to the stock from which organisms are being removed.</p>		<p>The standard requires that stocking of enhanced fisheries, whether sourced from aquaculture facilities or wild stocks, is undertaken in such a way that:</p> <ul style="list-style-type: none"> • the integrity of the environment; • the conservation of genetic diversity; • disease control; and • quality of stocking material are maintained.

Guidelines Paragraph	Assessing Conformance	
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<p>Ecosystem considerations</p> <p>31. Requirement: Adverse impacts of the fishery and any associated culture and enhancement activity on the ecosystem should be appropriately assessed and effectively addressed. Enhanced fisheries will be managed to ensure biodiversity of aquatic habitats and ecosystems are conserved and endangered species protected. Any modifications to the habitat for enhancing the “stock under consideration” are reversible and do not cause serious or irreversible harm to the natural ecosystem’s structure and function. Much greater Significant scientific uncertainty is to be expected in assessing possible adverse ecosystem impacts of fisheries, than in assessing the state of target stocks including culture and enhancement activities. This issue can be addressed by taking a “risk assessment/risk management approach”. For the purpose of development of ecolabelling schemes, the most probable adverse impacts should be considered, taking into account available scientific information and traditional, fisher or community knowledge, provided that its their validity can be objectively verified. Those impacts that are likely to have serious consequences should be addressed. This may take the form of an immediate management response or further analysis of the identified risk. In this context, full recognition should be given to the special circumstances and requirements in developing countries and countries in transition, including financial and technical assistance, technology transfer, and training and scientific cooperation. The following criteria are to be interpreted in the context of avoiding high risk of severe adverse impacts:</p> <p>31.1 Non-target catches, including discards, of stocks other than the “stock under consideration” are monitored and should not threaten these non-target stocks with serious risk of extinction; if serious risks of extinction arise, effective remedial action should be taken. ...with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible arise, effective remedial action should be taken.</p>	<p>Basic requirement for inclusion of assessment and management of impacts of the fishery on the ecosystem covered under paragraph 29.3.</p> <p>Could cover risk assessment procedures and recognition of special circumstances of developing countries, etc.</p>	<p>The standard includes a requirement that adverse impacts of the fishery and any associated culture and enhancement activity on the ecosystem are assessed and addressed by management, and satisfied benchmarking requirements established under paragraphs 31.1–31.3. This issue can be addressed by taking a “risk assessment/risk management approach”.</p> <p>The standard requires that enhanced fisheries are managed to ensure biodiversity of aquatic habitats and ecosystems are conserved and endangered species protected. Any modifications to the habitat for enhancing the stock under consideration are reversible and do not cause serious or irreversible harm to the natural ecosystem’s structure and function.</p> <p>The standard requires that full recognition is given to the special circumstances and requirements in developing countries and countries in transition with respect to the management response to serious consequences to the ecosystem, which may depend on financial and technical assistance, technology transfer, and training and scientific cooperation.</p> <p>The standard includes a requirement that non-target catches, including discards, are monitored, and such catches do not threaten these non-target stocks with serious risk of extinction / with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible. The standard requires that effective remedial action be taken.</p>

Guidelines Paragraph	Assessing Conformance	
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<p>31.2 The role of the “stock under consideration” in the food-web is considered, and if it is a key prey species in the ecosystem, management measures are in place to avoid severe adverse impacts on dependent predators.</p> <p>31.3 There is knowledge of the essential habitats for the “stock under consideration” and potential fishery impacts on them. Impacts on essential habitats and on habitats that are highly vulnerable to damage by the fishing gear involved are avoided, minimized or mitigated (Code of Conduct for Responsible Fisheries 7.2.2). In assessing fishery impacts, the full spatial range of the relevant habitat should be considered, not just that part of the spatial range that is potentially affected by fishing.</p> <p>31.4 In the absence of specific information on the ecosystem impacts of fishing for the unit of certification, generic evidence based on similar fishery situations can be used for fisheries with low risk of severe adverse impact. However, the greater the risk the more specific evidence is necessary to ascertain the adequacy of mitigation measures.</p>		<p>The standard requires that the role of the “stock under consideration” in the food-web is considered, and if it is a key prey species in the ecosystem, management measures are in place to avoid severe adverse impacts on dependent predators.</p> <p>The standard includes a requirement that impacts on essential habitat for the stock under consideration and on habitats that are highly vulnerable to damage by the fishing gear involved are avoided, minimized or mitigated. In assessing fishery impacts, the standard full spatial range of the relevant habitat should be considered, not just that part of the spatial range that is potentially affected by fishing.</p> <p>When specific information on the ecosystem impacts is lacking, the standard allows for the use of generic evidence based on similar fishery situations for fisheries with low risk.</p> <p>Where the risk of ecosystem impacts is greater, the standard requires more specific evidence to ascertain the adequacy of mitigation measures.</p>

Guidelines Paragraph	Assessing Conformance	
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<p>Methodological aspects</p> <p><i>Assessing current state and trends in target stocks</i></p> <p>32a. There are many ways in which state and trends in stocks may be evaluated, that fall short of the highly quantitative and data-demanding approaches to fish stock assessment that are often used for large scale fisheries in developed countries. Use of less elaborate methods for stock assessment frequently used for inland capture fisheries should not preclude fisheries them from possible certification for ecolabelling. However it should be noted that, to the extent that the application of such methods may result in greater uncertainty about the state of the “stock under consideration”, more precautionary approaches to managing fisheries on such resources could will be required which may necessitate lower levels of utilization of the resource. There is a variety of management measures commonly used in small scale or low value fisheries that nonetheless can achieve quite adequate levels of protection for stocks in the face of uncertainty about the state of the resource. A past record of good management performance could be considered as supporting evidence of the adequacy of the management measures and the management system.</p>	<p>Ecolabelling schemes should have measures in place that facilitate participation by fisheries that use methods for stock assessment that are less quantitative and data-demanding as approaches often used for large scale fisheries in developed countries.</p>	<p>Certification of fisheries against the standard allows for the consideration of fisheries whose stock status is assessed using less quantitative and data-demanding approaches, but requires fisheries that fall into this category to demonstrate more precautionary approaches to management.</p> <p>The standard recognizes that a record of good management performance can be considered as supporting evidence of the adequacy of the management measures and the management system.</p>
<p>32b. With due regard to paragraph 32a, stock assessment of fisheries that are enhanced through aquaculture inputs must consider the separate contributions from aquaculture and natural production.</p>		<p>For fisheries that are enhanced through aquaculture inputs, the standard requires that stock assessments consider the separate contributions from aquaculture and natural production.</p>

Conformance: Procedural and Institutional Aspects

Setting of the certification standards for sustainable fisheries

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
	N.B.: Paragraph 39 moved to after paragraph 63.		
Purpose	<p>40. The setting of standards is among the most critical tasks of any ecolabelling scheme of products from sustainable marine inland capture fisheries, including enhanced fisheries. The standards reflect the objectives for sustainable inland capture fisheries that are being pursued through the scheme. Standards comprise quantitative and qualitative indicators of the governance system or management regime of a fishery as well as of its outcome in terms of sustainable fisheries use and conservation of marine fishery the resources and related ecosystems.</p> <p>41. Standards should not distort global markets and should not create unnecessary obstacles to international trade.</p>	<p>N/A</p> <p>Comment: We have drawn on the Mexico-US WTO dispute about dolphin-safe tuna to develop these indicators to try to address Guideline paragraph 41. See http://www.cuts-citee.org/pdf/DP-Eco-labels.pdf for a summary.</p>	<p>N/A</p> <p>The standards do not distort global markets and do not create unnecessary obstacles to international trade. Use of the standard is voluntary – there are no mandatory requirements by the scheme for a fishery to be certified in order to access any markets.</p>
Normative basis	<p>42. The normative basis of standards of sustainable fisheries is given by international fisheries instruments and applicable national legislation. Relevant international fisheries instruments include, <i>inter alia</i>, the FAO Code of Conduct for Responsible Fisheries, the Convention on Biodiversity, the Ramsar Convention on Wetlands, and the provisions of relevance for the management of inland capture fisheries contained in the 1982 UN Convention on the Law of the Sea and the 1995 UN Fish Stocks Agreement and the 1995 Code of Conduct for Responsible Fisheries.</p>	<p>Not necessary for benchmarking. See Table 1.</p>	<p>These normative documents are complied with.</p>

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
	<p>43. In procedural terms, the normative basis for standard development includes the following.¹⁵</p> <ul style="list-style-type: none"> • ISO/IEC Guide 59 <i>Code of good practice for standardization</i>. 1994. • WTO TBT, ANNEX 3 <i>Code of Good Practice for the Preparation, Adoption and Application of Standards</i>. • FAO. 1998. Report of the Technical Consultation on the Feasibility of Developing Non-Discriminatory Technical Guidelines for Eco-Labeling of Products from Marine Capture Fisheries, Rome, Italy, 21–23 October 1998. FAO Fisheries Report. No. 594. • ISEAL. P020 Guidance on ISEAL Code of Good Practice for Setting Social and Environmental Standards. Public Draft. July 2003. • ISEAL. Code of Good Practice for Voluntary Process and Production Method Standard-setting Procedures. Public Draft. 1 March 2003. • P005 ISEAL Code of Good Practice for Setting Social and Environmental Standards v5, April 2010. 		These normative documents are often updated. The most recent versions or their equivalent replacements, should they be superseded, are consulted and complied with.
Functions and organisational structure	<p>44. A standard setting organization or arrangement is assigned with the tasks of setting, reviewing, revising, assessing, verifying and approving standards. These tasks can be fulfilled through a specialized standard-setting body or through another suitable arrangement.</p> <p>45. Where there is no standard-setting body, the organizational structure of a standard-setting arrangement should include, <i>inter alia</i>, a technical committee of independent experts and a consultation forum whose mandates are established.</p>	<p>An ecolabel scheme must have a standard-setting body.</p> <p>Consultation on the standard is benchmarked through Guideline paragraphs 46 to 63.</p>	<p>A specialised standard-setting body or another suitable arrangement exists, with the role of establishing and managing the certification standard.</p> <p>A standard-setting arrangement includes a technical committee of independent experts and a consultation forum whose mandates are established.</p>

¹⁵ These normative documents are often updated; the most recent version should be consulted.

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
	46. Transparency in the development of standards is necessary to guarantee and to ensure consistency with relevant international standards and to facilitate access, and participation of all interested parties, especially those of developing countries and countries in transition.		This Guideline Paragraph is met through conformance with paragraphs 47–53.
Requirements: Transparency	<p>47. Standard-setting organizations or arrangements should carry out their activities in a transparent fashion and following written rules of procedure. Procedural rules should contain a mechanism for the impartial resolution of any substantive or procedural disputes about the handling of standard-setting matters.</p> <p>48. A standard is under preparation (under review or under revision) from the moment a decision has been taken to develop, review or revise a standard until that standard has been adopted.</p> <p>49. Once a standard has been adopted, it should be promptly published and should be accessible on the Internet.</p>	<p>Guideline paragraphs 47 to 53 (Transparency in standard setting) are amalgamated into a series of composite benchmarks under the headings of:</p> <ul style="list-style-type: none"> • Rules of procedure for standard setting; • Standards under preparation; • Adopted standards; • Publication of ongoing; programme of work in standard setting; and • Translation. <p>Fishing communities should be included in the development of standards of sustainable capture fisheries, including enhanced fisheries.</p> <p>Standards under preparation (draft standards, standards under review, or standards under revision, from the moment when a decision has been taken to prepare such standards, until those standards have been adopted. (Paragraph 48)</p> <p>The basis for the review of the standard is addressed under Guidelines paragraphs 60–63.</p>	<p>Rules of procedures (ROPs) for standard-setting:</p> <p>Written rules of procedures (ROPs) for standard-setting to guide decision making are established, followed, made readily available and provided promptly on request to any interested parties. (Paragraphs 47, 52, 56)</p> <p>ROPs include an impartial dispute resolution mechanism to resolve substantive and procedural disputes. (47)</p> <p>Interested parties participate in the standard-setting tasks through an appropriate consultation forum or appropriate alternative mechanism. The standard setting procedure is based on balanced participation by independent technical experts and by representatives of interested parties in the standard development, revision and approval process. Development of standards of sustainable capture fisheries, including enhanced fisheries includes, as appropriate and wherever possible, representatives of fisheries management authorities, the fishing industry, fishworkers organizations, the scientific community, environmental interest groups, fish processors, traders and retailers and hatchery managers as well as consumer associations. (Paragraphs 54 and 55)</p> <p>Where more than one consultation forum is designated, coordination requirements applicable to them are determined. (Paragraph 55)</p>

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
	<p>50. At least once every six months, the standard-setting organization or arrangement should publish a work programme containing:</p> <ul style="list-style-type: none"> – its name; – its address; – the list of standards currently under preparation; – the list of standards currently under reviewing or revision; – the list of standards which were adopted in the preceding period. <p>51. A notice of existence of the work programme should be published in a national or, as may be, regional or international publication of standardization activities and/or should be accessible on the Internet whenever possible.</p> <p>52. On the request of any interested party, the standardizing organization or arrangement should promptly provide, or arrange to provide a copy of its standard setting procedures, most recent work programme, draft standard or final standard.</p> <p>53. Translations into English, French or Spanish of standard setting procedures, most recent work programme, draft standards or final standards should be provided upon request, within the means of the standard-setting body or arrangement.</p>		<p>Publication of ongoing programme of work in standard setting and of standards under preparation</p> <p>A work programme for standard setting exists and notice of its existence is published in national, regional and international publications of standardization activities, as applicable, and on the internet. (Paragraph 51)</p> <p>The Work Programme itself is published at least every six months, including</p> <ul style="list-style-type: none"> – standard-setting organisation’s name and address – the list of standards currently under preparation; – the list of standards currently under reviewing or revision; – the list of standards which were adopted in the preceding period. (Paragraph 50) <p>The work programme and the standards under preparation are made available, on request, to any interested party by the standard-setting organisation. (Paragraph 52)</p> <p>Adopted standards</p> <p>Adopted standards are promptly published, made available on the internet, and on request, to any interested party by the standard-setting organisation. (Paragraphs 49 and 52)</p> <p>Translations</p> <p>All documents (ROPs, work programme, standards under preparation and final standards) are provided either in English, French or Spanish, within the means of the standard-setting body or arrangement, as requested by interested parties.</p>

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
Requirements: Participation by interested parties	<p>54. Standard-setting arrangements or organizations should ensure balanced participation by independent technical experts and by representatives of interested parties in the standard development, revision and approval process. Development of standards of for sustainable inland capture fisheries, including enhanced fisheries should, wherever possible, include representatives of fisheries management authorities, the fishing industry, fishworkers organizations, fishing communities, the scientific community, environmental interest groups, fish processors, traders, and retailers and hatchery managers as well as consumer associations.</p> <p>55. Interested parties should be associated in the standard-setting tasks through an appropriate consultation forum or be made aware of an appropriate alternative mechanisms by which they can participate. Where more than one forum is designated, coordination requirements applicable to them should be determined.</p> <p>56. Standardizing arrangements or organizations should have written procedures to guide decision-making.</p>	See above under Rules of procedures (ROPs) for standard-setting.	

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
Requirements: Notification provisions	<p>57. Before adopting a standard, the standardizing organization or arrangement should allow a period of at least 60 days for the submission of comments on the draft standard by interested parties. No later than the start of the comment period, the standardizing organization or arrangement should publish a notice announcing the period for commenting in a national or, as may be, regional or international publication of standardization activities and/or on the Internet.</p> <p>58. The standardizing organization or arrangement should take into account, in further processing of the standard, the comments received during the period for commenting. The reply should include an explanation why a deviation from relevant national or international standards is necessary.</p>		<p>Comment period on draft standards</p> <p>A period of at least 60 days is allowed for the submission of comments on the draft standard by interested parties prior to its adoption. (Paragraph 57)</p> <p>No later than the start of the comment period, the standardizing organization or arrangement publishes a notice announcing the period for commenting in a national or, as may be, regional or international publication of standardization activities and/or on the Internet. (Paragraph 57)</p> <p>Comments received during the period for commenting are taken into account by the standardizing organization or arrangement, in further processing of the standard. There is specific evidence that this is the case. (Paragraph 58)</p> <p>An explanation regarding any deviation from relevant national or international standards is explained. (Paragraph 58)</p>
Requirements: Keeping of records	<p>59. Proper records of standards and development activity should be prepared and maintained. The standard setting organization or arrangement should identify a central focal point for standards-related enquiries and for submission of comments. Contact information for this focal point should be made easily available including on the Internet.</p>		<p>Proper records of standards and development activity are prepared and maintained. A central focal point for standards-related enquiries and for submission of comments is identified by the standard setting organization or arrangement. Contact information for this focal point is readily available including on the Internet. (Paragraph 59)</p>

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
Requirements: Review and revision of standards and of standard setting procedures	<p>60. Standards should be reviewed at regular published intervals and, if appropriate, revised following such reviews. Certified fisheries should be given a period of at least three years to come into compliance with the revised standards.</p> <p>61. Proposals for revisions can be submitted by any interested party and should be considered by the standard-setting organization or arrangement through a consistent and transparent process.</p> <p>62. The procedural and methodological approach for setting standards should also be updated in the light of scientific and technical progress and of the experience gained in standard setting of sustainable fisheries.</p>	<p>Requirement for certified fisheries to have three years to come into compliance with the revised standards is addressed in Section on Maintenance of Certification (paragraphs 128–131).</p> <p>Procedures for review and revision of standards, including comment period are addressed under benchmarks for Guideline paragraphs 54–58.</p>	<p>The standard is and has been formally reviewed by the standard setting organization or arrangement at regular published intervals. Certified fisheries are given a period of at least three years to come into compliance with the revised standards.(Paragraph 60)</p> <p>The procedural and methodological approach for setting and revising standards has been updated in the light of scientific and technical progress and of the experience gained in standard setting of sustainable fisheries. (Paragraphs 62 and 63)</p> <p>The standard setting organization or arrangement makes provision for submission and consideration of proposals for revisions to the standard setting procedure by any interested party through a consistent and transparent process that is published in a national or, as may be, regional or international publication of standardization activities and/or on the Internet. (Paragraph 61)</p> <p>Proposals for revisions to the standard setting procedure submitted according to the established procedure are considered by the standard-setting organization. (Paragraph 61)</p>
Requirements: Validation of standards	<p>63. In developing and revising standards, an appropriate procedure should be put in place to validate the standard vis-à-vis the minimum requirements for sustainable marine inland capture fisheries, including enhanced fisheries, as laid out in these guidelines. Validation is also required to ensure that standards do not encompass criteria or requirements that are of no relevance for sustainable fisheries and could cause unnecessary unfair barriers of trade or mislead the consumer.</p>	<p>Additional benchmark; language taken from Guidelines paragraph 62.</p>	<p>The standard setting organization or arrangement has established a procedure to validate the standard vis-à-vis the minimum requirements for sustainable marine inland capture fisheries, including enhanced fisheries, as laid out in these guidelines.</p> <p>The standard does not encompass criteria or requirements that are of no relevance for sustainable fisheries and could cause unnecessary unfair barriers of trade or mislead the consumer.</p>

Accreditation of independent certifying bodies

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
Options for governance structures	39. The owner of an ecolabelling scheme should engage a separate independent specialist accreditation body to take on the task of accreditation of certification bodies on its behalf. The accreditation body could be private, public or an autonomous body governed by public service rules.	Independent accreditation body is a key part of conformance with the guidelines.	The ecolabelling scheme uses an independent accreditation body (AB) to carry out accreditation of certification bodies responsible for conducting conformity assessments with the standard and for chain of custody requirements. The AB meets the requirements specified in ISO Guide 61 ISO/IEC17011:2004 .
Purpose	64. Accreditation provides assurance that certification bodies responsible for conducting conformity assessments with sustainability standards and chain of custody requirements in fisheries are competent to carry out such tasks.	Not necessary as part of benchmarking.	N/A
Normative reference	65. ISO Guide 61. General Requirements for assessment and accreditation of certification/registration bodies. 1996. ISO/IEC 17011:2004. Conformity assessment. General requirements for accreditation bodies accrediting conformity assessment bodies.	Not applicable ISO Guide 61. <i>General Requirements for assessment and accreditation of certification/ registration bodies.</i> 1996 has been withdrawn and replaced by ISO/IEC 17011:2004. Conformity assessment. General requirements for accreditation bodies accrediting conformity assessment bodies.	ABs can objectively demonstrate conformity to the requirements set out in ISO/IEC Guide 17011, as appropriate.
Functions and organisational structure	66. Accreditation is carried out on the basis of a system that has its own rules and management, i.e. an accreditation system. The tasks of granting accreditation following successful assessment should be undertaken by competent accreditation bodies. In order to be recognized as competent and reliable in undertaking the assessment in a non-discriminatory, impartial and accurate manner, an accreditation body should fulfil, <i>inter alia</i> , the following requirements (set out below).		Accreditation is carried out on the basis of an accreditation system that has its own rules and management and meets the requirements in paragraphs 67 to 99.

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
Requirements: Non-discrimination	<p>67. Access to the services of the accreditation body should be open to all certification entities irrespective of their country of residence. Access should not be conditional upon the size of the applicant body or membership in any association or group, nor should accreditation be conditional upon the number of certification bodies already accredited.</p> <p>68. Full recognition should be given to the special circumstances and requirements of certification bodies in developing countries and countries in transition including financial and technical assistance, technology transfer, and training and scientific cooperation.</p>	Full recognition should be given to the special circumstances and requirements of certification bodies in developing countries and countries in transition including financial and technical assistance, technology transfer, and training and scientific cooperation.	Accreditation services are available to potential certifying bodies (CBs) irrespective of their country of residence, size and of the existing number of already accredited bodies.
Requirements: Independence, impartiality and transparency	<p>69. The accreditation body should be independent and impartial. In order to be impartial and independent, the accreditation body should:</p> <ul style="list-style-type: none"> – be transparent about its organizational structure and the financial and other kinds of support it receives from public or private entities. – be independent from vested interests, together with its senior executive and staff. – be free from any commercial, financial and other pressures which might influence the results of the accreditation process. – ensure that decision on accreditation is taken by a person(s) who has (ve) not participated in the assessment. – not delegate authority for granting, maintaining, extending, reducing, suspending or withdrawing accreditation to an outside person or body. 	Benchmark taken from World Wide Fund for Nature (WWF) benchmarking (together with second half of paragraph 66). Seems to be a practical way of specifying 'impartial, independent, free from pressures which might influence the results of the accreditation process'.	<p>The AB is:</p> <ul style="list-style-type: none"> – transparent about its organizational structure and the financial and other kinds of support it receives from public or private entities; – independent from vested interests, together with its senior executive and staff; – free from any commercial, financial and other pressures which might influence the results of the accreditation process. <p>Accreditation decisions are carried out by a person(s) who has(ve) not participated in the accreditation assessment.</p> <p>The AB does not subcontract or delegate authority for granting, maintaining, extending, reducing, suspending or withdrawing accreditation to an outside person or body.</p>

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
Requirements: Human and financial resources	<p>70. The accreditation body should have adequate financial resources and stability for the operation of an accreditation system and should maintain appropriate arrangements to cover liabilities arising from its operations and/or activities.</p> <p>71. The accreditation body should employ a sufficient number of personnel having the necessary education, training, technical knowledge and experience for performing accreditation functions in fisheries.</p> <p>72. Information on the relevant qualifications, training and experience of each member of the personnel involved in the accreditation process should be maintained by the accreditation body. Records of training and experience should be kept up to date.</p> <p>73. When an accreditation body decides to subcontract work related to accreditation to an external body or person, the requirements for such an external body should be no less than for the accreditation body itself. A properly documented contractual or equivalent agreement covering the arrangements including confidentiality and conflict of interests, should be drawn up.</p>		<p>The AB has adequate financial resources and stability for the operation of an accreditation system and maintains appropriate arrangements to cover liabilities arising from its operations and/or activities.</p> <p>The AB has adequate indemnity insurance to cover the professional liabilities that could arise from its operations and/or activities. The AB has up-to-date records of relevant qualifications, training and experience of personnel involved in accreditation.</p> <p>Records show that the AB employs sufficient staff to perform accreditation functions who have adequate education, training, technical knowledge and experience for performing its accreditation functions in fisheries.</p> <p>When accreditation work is subcontracted by the AB to an external body or person, a contractual or equivalent legally binding agreement between the AB and the contractor requires that the accreditation standards and procedures are equivalent to those of the AB itself.</p>

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
Requirements: Accountability and reporting .	<p>74. The accreditation body should be a legal entity and should have clear and effective procedures for handling applications for accreditation procedures. In particular, the accreditation body should maintain and provide to the applicants and accredited entities:</p> <ul style="list-style-type: none"> – a detailed description of the assessment and accreditation procedure; – the documents containing the requirements for accreditation; – the documents describing the rights and duties of accredited bodies. <p>75. A properly documented contractual or equivalent agreement describing the responsibilities of each party should be drafted.</p> <p>76. The accreditation body should have:</p> <ul style="list-style-type: none"> – defined objectives and commitment to quality; – procedures and instructions for quality documented in a quality manual; – an established effective and appropriate system for quality. <p>77. The accreditation body should conduct periodic internal audits covering all procedures in a planned and systematic manner to verify that the accreditation system is implemented and effective.</p> <p>78. The accreditation body may receive external audits on relevant aspects. The results of the audit should be accessible by the public.</p> <p>79. Qualified personnel, attached to the accreditation body’s team, should be nominated by the accreditation body to conduct the assessment against all applicable accreditation requirements.</p>	<p>Existence of written accreditation procedures covered in paragraph 66.</p>	<p>The AB is a legally-established entity.</p> <p>The AB has clear and effective documented procedures which are available to applicants and accredited entities on request, covering at least the following:</p> <ul style="list-style-type: none"> – assessment and accreditation procedures; – requirements for accreditation; – rights and duties of accredited bodies. <p>Contracts or equivalent arrangements are established between the AB and ecolabel scheme and between the AB and prospective CBs describing the responsibilities of all parties with respect to the accreditation process.</p> <p>The AB has:</p> <ul style="list-style-type: none"> – defined objectives and a commitment to quality; – procedures and instructions for quality documented in a quality manual; – an established effective and appropriate system for quality. <p>The AB conducts planned and systematic periodic internal audits covering all procedures to verify that the accreditation system is implemented and effective.</p> <p>The results of any external audits conducted on the AB are available for public scrutiny.</p> <p>The accreditation assessment is carried out by appropriately qualified personnel.</p>

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
	<p>80. Personnel nominated for the assessments should provide the accreditation body with a report of its findings as to the conformity of the body assessed to all of the accreditation requirements. The report should provide sufficiently comprehensive information such as:</p> <ul style="list-style-type: none"> – the qualification, experience and authority of the staff encountered; – the adequacy of the internal organization and procedures adopted by the certification body to give confidence in its services; – the actions taken to correct identified nonconformities including, where applicable, those identified at previous assessments. <p>81. The accreditation body should have policy and procedures for retaining records of what happened during the assessment visit for a period consistent with its contractual, legal or other obligations. The records should demonstrate that the accreditation procedures have been effectively fulfilled, particularly with respect to application forms, assessment reports and other documents relating to granting, maintaining, extending, reducing, suspending or withdrawing accreditation. The records should be identified, managed and disposed of in such a way as to ensure the integrity of the process and confidentiality of the information.</p>		<p>The accreditation procedure specifies that reports on the accreditation of certification bodies must be provided to the AB by the appropriately qualified personnel carrying out the assessments.</p> <p>Reports on the accreditation of CBs detail, <i>inter alia</i>, the qualifications, experience and authority of the staff encountered, the adequacy of the internal organization and procedures of the prospective CB, actions taken to correct identified nonconformities (including those identified at previous assessments where applicable).</p> <p>The AB has a written policy and procedures regarding retaining and managing records relating to the accreditation process, that enable it to demonstrate the accreditation procedure has been fulfilled, and handling of records ensures the confidentiality of the information. (see also paragraph 87-88 re. confidentiality)</p>
Requirements: Resolution of complaints concerning accreditation of certifying bodies	82. The accreditation body should have a written policy and procedures for dealing with any complaints in relation to any aspect of the accreditation or de-accreditation of certifying bodies.	See also paragraph 147 relating to complaints regarding certifications	<p>The AB has a written complaints policy and procedure for handling complaints relating to accreditation or de-accreditation of CBs. This policy and procedure are publicly available.</p> <p>The AB keeps a record of all complaints, remedial actions relative to accreditation and assesses the effectiveness of remedial actions.</p>

Guidelines Paragraph	Assessing Conformance	
	Comments	Benchmark Indicator
83. These procedures should include establishment, on an ad hoc basis as appropriate, of an independent and impartial committee to respond to a complaint. If possible, the committee should attempt to resolve any complaints through discussion or conciliation. If this is not possible, the committee should provide a written ruling to the accreditation body, which should transmit it to the other party or parties involved.		An independent and impartial committee is established by the AB to respond to a complaint. If discussion and/or conciliation fail, the committee provides a written ruling to the accreditation body, which transmits it to the other party or parties involved.
84. The accreditation body should: <ul style="list-style-type: none"> a. keep a record of all complaints, and remedial actions relative to accreditation; b. take appropriate corrective and preventive action; c. assess the effectiveness of remedial actions; d. safeguard confidentiality of information obtained during the investigation and resolution of complaints. 	See also paragraph 87 regarding confidentiality.	The AB takes appropriate corrective and preventive action following the determination of the committee but this does not exclude recourse to other forms of legal and administrative processes as provided for in national legislation or international law.
85. Information on procedures for handling complaints concerning accreditation should be made publicly available.	Covered under paragraph 82.	The AB safeguards the confidentiality of information obtained during the investigation and resolution of complaints.
86. The above does not exclude recourse to other forms of legal and administrative processes as provided for in national legislation or international law.	Covered under paragraph 83/84.	

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
Requirements: Confidentiality	<p>87. The accreditation body should have adequate arrangements, consistent with applicable laws, to safeguard confidentiality of the information obtained in the course of its accreditation activities at all levels of its organization, including committees and external bodies acting on its behalf.</p> <p>88. Where the law requires information to be disclosed to a third party, the body should be informed of the information provided, as permitted by the law. Otherwise information about an applicant certification body should not be disclosed to a third party without a written consent of the body.</p>	Combined with paragraph 87.	The AB has adequate policies and procedures that are effectively implemented to safeguard confidentiality of information, including in relation to committees and external bodies acting on its behalf. Information about an applicant CB is not disclosed to a third party unless required by law, in which case written consent must be obtained from the applicant CB. (Paragraphs 87 and 88)
Requirements: Maintenance and extension of accreditation	<p>89. The accreditation body should have arrangements to ensure that an accredited certification body informs it without delay of changes in any aspects of its status or operation.</p> <p>90. The accreditation body should have procedures to conduct reassessments in the event of changes significantly affecting the capabilities, or scope of accredited activities of the accredited body or the conformance with any other relevant criteria of competence specified by the accreditation body.</p> <p>91. Accreditation should be re-assessed at sufficiently close intervals to verify that the accredited certification body continues to comply with the accreditation requirements. The periodicity for carrying out reassessments should not exceed five years.</p>		<p>The accreditation procedure and arrangements with CBs include the requirement that CBs inform the AB without delay of changes in any aspect of its status or operation, and in the event of this, a reassessment must be carried out. (Paragraphs 89 and 90)</p> <p>The accreditation procedure specifies that re-accreditation must be carried out at a maximum of five-year intervals. (Paragraph 91)</p> <p>The accreditation procedure specifies the conditions under which accreditation may be suspended or withdrawn, partially or in total, for all or part of the scope of accreditation. (Paragraph 92)</p>

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
Suspension and withdrawal of accreditation	92. The accreditation body should specify the conditions under which accreditation may be suspended or withdrawn, partially or in total, for all or part of the scope of accreditation.		
Change in the accreditation requirements	<p>93. The accreditation body should give due notice of any changes it intends to make in its requirements for accreditation.</p> <p>94. It should take account of views expressed by interested parties before deciding on the precise form and effective date of the changes.</p> <p>95. Following a decision on, and publication of, the changed requirements, it should verify that each accredited body carries out any necessary adjustments to its procedures within such time as, in the opinion of the accreditation body, is reasonable.</p> <p>96. Special considerations should be given to accredited bodies in developing countries and countries in transition.</p>		<p>The policies and procedures of the AB require the AB to give due notice of any changes it intends to make in its accreditation requirements and due notice has been given. (Paragraph 93)</p> <p>The AB has a formal procedure to take due account of the views expressed by interested parties when changing its accreditation requirements. (Paragraph 94)</p> <p>Subsequent to any changes in the accreditation requirements, CBs are given a specified time period with which to conform to the changes, and the AB verifies the adjustments have been implemented. The time period for conformance should be considered separately for CBs in developing countries. (Paragraphs 95 and 96)</p>
Proprietor or licensee of an accreditation symbol or a logo	<p>97. The accreditation body which is proprietor or licensee of a symbol or logo, intended for use under its accreditation programme, should have documented procedures describing its use.</p> <p>98. The accreditation body should not allow use of its Accreditation mark or logo in any way which implies that the accreditation body itself approved a product, service or system certified by a certification body.</p>	Compare with paragraph 141.	<p>Where an AB has a symbol or logo relating to its accreditation of CBs, the AB has a written procedure regarding its use. (Paragraph 97)</p> <p>The AB's accreditation mark or logo is clearly separate and distinct from and cannot be confused with the symbol or logo of the ecolabelling scheme. (Paragraph 98)</p>

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
	99. The accreditation body should take suitable action to deal with incorrect references to the accreditation system or misleading use of accreditation logos found in advertisements, catalogues, etc.		Incorrect references to the accreditation system or misleading use of symbols and logos found in advertisements, catalogues, etc. are rectified in a timely manner by the accreditation body.

Certification of a fishery and the product chain of custody

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
Purpose	100. Certification ... is a necessary condition for the ecolabelling scheme to attain its objectives.	N/A	N/A
Scope	<p>101. There are two types of certification, certification of the fishery itself and certification of the chain of custody between the time the fish is harvested and the time the fish or fishery product is sold to the final consumer. Separate certificates may be issued for the fishery and for the chain of custody.</p> <p>102. Two types of assessments are required for certification:</p> <ul style="list-style-type: none"> a) conformity assessment of whether a fishery conforms with the standard and related certification criteria; b) chain of custody assessment of whether adequate measures are in place to identify fish from a certified fishery at subsequent stages of fish processing, distribution and marketing. <p>103. Fish and fishery products that are labelled to indicate to the consumer their origin from a sustainable fishery require both types of assessments and certificates.</p>	To ensure fish from a certified fishery is correctly identified as such, and fish from non-certified fisheries are not labelled as originating from a certified fishery.	<p>A current conformity certification exists for all fisheries from which products carrying the ecolabel are sourced.</p> <p>A current chain of custody certification, involving all stages of fish processing, distribution and marketing, exists for all products carrying the ecolabel.</p>
Normative references	<p>104. ISO Guide 62, General Requirements for bodies operating assessment and certification/registration of quality systems. 1996. ISO/IEC 17021:2006 Conformity assessment Requirements for bodies providing audit and certification of management systems</p> <p>105. [ISO/IEC Guide 65, General requirements for bodies operating product certification systems. 1996. ISO/IEC CD 17065 Conformity assessment – Requirements for certification bodies certifying products, processes and services.</p> <p>106. WTO. Agreement on Technical Barriers to Trade, Article 5.</p>	<p>For compliance with WTO, see Benchmarks for Guideline paragraph 2.1</p> <p>ISO/IEC CD 17065 Conformity assessment – Requirements for certification bodies certifying products, processes and services is scheduled to replace ISO 65.</p>	These normative documents or their equivalent replacements, if updated, are complied with.

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
Functions and structure	107. The tasks of carrying out conformity and chain of custody assessments should be undertaken by recognized and accredited certification bodies. In order to be recognized as competent and reliable in undertaking the assessments in a non-discriminatory, impartial and accurate manner, a certification body has to fulfil, <i>inter alia</i> , the following requirements (set out below).	Minimum Substantive Requirements assessment by independent accredited CBs COC assessment by independent accredited CBs.	Assessments against the certification standard and chain of custody standard are carried out by independent accredited certification bodies (CBs), with no legal or financial connection to the owner of the ecolabelling scheme.
Requirements: Independence and impartiality	<p>108. The certification body should be legally and financially independent from the owner of the ecolabelling scheme.</p> <p>109. The certification body and its assessment and certifying staff, whether directly employed by the certification body or sub-contracted by it, should have no commercial, financial or any other interest in the fishery or chain of custody to be assessed other than for its certification services.</p> <p>110. The certification body should ensure that different personnel conduct the certification decision and the certification assessments.</p> <p>111. The certifying body should not delegate authority for granting, maintaining, extending, reducing, suspending or withdrawing certification to an outside person or body.</p>	Paragraph 108 covered in paragraph 107.	<p>CBs and their staff have verified through signature of a legal declaration that they have no commercial, financial or any other interest in the fishery or chain of custody to be assessed.(Paragraph 109)</p> <p>CBs have suitably qualified individuals to undertake certification decisions based on the results of the certification assessment who are different from the individuals undertaking the assessments. (Paragraph 110)</p> <p>The CB does not delegate authority for granting, maintaining, extending, reducing, suspending or withdrawing certification to an outside person or body. (Paragraph 111)</p>

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
Requirements: Non-discrimination	112. Access to the services of the certification body should be open to all types of fisheries whether managed by a regional, governmental, parastatal or non-governmental fisheries management organizations or arrangement. Access to certification should not be conditional upon the size or scale of the fishery nor should certification be conditional upon the number of fisheries already certified.		<p>All types of fishery may apply for certification from a certification body, regardless of their scale, size, or management arrangements. (Paragraph 112)</p> <p>There is no upper limit to the number of fisheries that can be certified. (Paragraph 112)</p>
Requirements: Human and financial resources	<p>113. The certification body should have adequate financial resources and stability for the operation of a certification system and should maintain appropriate arrangements to cover liabilities arising from its operations and/or activities.</p> <p>114. The certification body should employ a sufficient number of personnel having the necessary education, training, technical knowledge and experience for performing conformity and/or chain of custody assessments in fisheries.</p> <p>115. Information on the relevant qualifications, training and experience of each member of the personnel involved in the certification process should be maintained by the certification body. Records of training and experience should be kept up to date.</p> <p>116. When a certification body decides to sub-contract work related to certification to an external body or person, the requirements for such an external body should be no less than for the certification body itself. A properly documented contractual or equivalent agreement covering the arrangements including confidentiality and conflict of interests, should be drawn up.</p>		<p>The CB has adequate financial resources and stability for the operation of a certification system and maintains appropriate arrangements to cover liabilities arising from its operations and/or activities. (Paragraph 113)</p> <p>The CB has adequate indemnity insurance to cover the professional liabilities that could arise from its operations and/or activities. (Paragraph 113)</p> <p>CBs have up-to-date records of relevant qualifications, training and experience of personnel involved in certification. (Paragraph 115)</p> <p>Records show that the CB employs sufficient staff to perform certification functions who have adequate education, training, technical knowledge and experience for performing its certification functions in fisheries. (Paragraph 114)</p> <p>When certification work is subcontracted by the CB to an external body or person, a contractual or equivalent legally binding agreement between the CB and the contractor requires that the certification standards and procedures are equivalent to those of the CB itself, including, but not limited to confidentiality and conflict of interests. (Paragraph 116)</p>

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
Requirements: Accountability and reporting	<p>117. The certification body should be a legal entity and have clear and effective procedures for handling applications for certification of the fishery and/or the chain of custody. In particular, the certification body should maintain and provide to the applicants and certified entities:</p> <ul style="list-style-type: none"> – a detailed description of the assessment and certification procedure; – the documents containing the requirements for certification; – the documents describing the rights and duties of certified entities. 	<p>This could be assessed in individual CBs, or check whether the accreditation requirements specify this is needed? Verify through accreditation requirements. Other evidence could investigate individual CB procedures.</p>	<p>Certification bodies are legal entities.</p>
	<p>118. A properly documented contractual or equivalent agreement describing the rights and duties of each party should be drafted between the certification body and its clients.</p>		<p>CBs have clear and effective procedures for handling applications for certification against the standard and chain of custody, which are available to applicants and certified entities on request, covering at least the following:</p> <ul style="list-style-type: none"> – description of the assessment and certification procedure; – requirements for certification; – rights and duties of certified entities. (Paragraph 117)
	<p>119. The certification body should have:</p> <ul style="list-style-type: none"> – defined objectives and commitment to quality; – policies and procedures for quality documented in a quality manual; – an established effective, appropriate system for quality. 		<p>Contracts or equivalent arrangements are established between the CBs and their clients for certification. (Paragraph 118)</p>
	<p>120. The certification body should conduct periodic internal audits covering all procedures in a planned and systematic manner to verify that the certification system is implemented and effective.</p>		<p>The CBs can demonstrate:</p> <ul style="list-style-type: none"> – defined objectives and a commitment to quality; – procedures and instructions for quality documented in a quality manual; – an established effective and appropriate system for quality. (Paragraph 119)
	<p>121. The certification body may receive external audits on relevant aspects. The results of the audits should be accessible by the public.</p>		<p>CBs can demonstrate through documented evidence that they conduct periodic internal audits covering all procedures to verify that the certification system is implemented and effective. (Paragraph 120)</p>
	<p>Need to be more clear about what “external audits” means. If it is audits carried out by the AB then this is fine. If it is something more, such as financial audits then this may be beyond “relevant aspects”.</p>	<p>The results of external audits on relevant aspects of CBs carried out by a ABs or others are made publically available. (Paragraph 121)</p>	

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
	<p>122. The certification body should have a policy and procedures for retaining records for a period consistent with its contractual, legal or other obligations. The records should demonstrate that the certification procedures have been effectively fulfilled, particularly with respect to application forms, assessment reports and other documents relating to granting, maintaining, extending, reducing, suspending or withdrawing certification. The records should be identified, managed and disposed of in such a way as to ensure the integrity of the process and confidentiality of the information.</p> <p>123. The certification body should ensure that, in the event of changes, all affected parties are notified.</p> <p>124. The certification body should make appropriate documents available on request.</p>	<p>Confidentiality of information is addressed in paragraphs 126 and 127.</p> <p>Request by whom? Not sufficiently clear for a benchmark</p>	<p>The CB has a written policy and procedures regarding retaining and managing records relating to the certification process, that enable it to demonstrate the certification procedure has been fulfilled, and handling of records ensures the confidentiality of the information. (See paragraph 126 and 127); (paragraph 122)</p> <p>The CB informs all affected parties of any changes that impair its capacity to undertake certifications. (Paragraph 123)</p> <p>The CB makes documents available on request, subject to confidentiality restrictions. (See paragraphs 126 and 127).</p>
Requirements: Certification fees	<p>125. The certification body should maintain a written fee structure for applicants and certified fisheries which should be available on request. In establishing the fee structure and in determining the specific fee of a certification assessment, the certification body should take into account, <i>inter alia</i>, the requirements for accurate and truthful assessments, the scale, size and complexity of the fishery or chain of custody, the requirement of non-discrimination of any client, and the special circumstances and requirements of developing countries and countries in transition.</p>		<p>CBs maintain a written fee structure that is available on request by applicants and certified fisheries.</p> <p>Fees are adequate to support accurate and truthful assessments commensurate with the scale, size and complexity of the fishery or chain of custody.</p> <p>The fee structure is non-discriminatory and takes into account the special circumstances and requirements of developing countries and countries in transition.</p>
Requirements: Confidentiality	<p>126. The certification body should have adequate arrangements, consistent with applicable laws, to safeguard confidentiality of the information obtained in the course of its certification at all levels of its organization.</p>		<p>The CBs have adequate policies and procedures that are effectively implemented to safeguard confidentiality of information obtained in the course of certifications; information about a particular product or fishery is disclosed to a third party only with a written consent of the client.</p>

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
	127. Where the law requires information to be disclosed to a third party, the client should be informed of the information provided, as permitted by the law. Otherwise information about a particular product or fishery should not be disclosed to a third party without a written consent of the client.		If disclosure of information about a particular product or fishery is required by law, the client is informed of the information disclosed.
Requirements: Maintenance of certification	<p>128. The certification body should carry out periodic surveillance and monitoring at sufficiently close intervals to verify that certified fisheries and/or certified chains of custody continue to comply with the certification requirements.</p> <p>129. The certification body should require the client to notify it promptly of any intended changes to the management of the fishery, or the chain of custody, or other changes which may affect conformity.</p> <p>130. The certificate body should have procedures to conduct reassessments in the event of changes significantly affecting the status and management of the certified fishery, or the chain of custody, or if analysis of a complaint or any other information indicates that the certified fishery and/or the chain of custody no longer comply with the required standard and/or related requirements of the certification body.</p>	<p>Reassessment: see also paragraphs 130 and 131.</p> <p>With paragraphs 128 and 131.</p>	<p>Maintenance and renewal of certification</p> <p>Periodic surveillance and monitoring is carried out by the CB ensuring that that certified fisheries and/or certified chains of custody continue to comply with the certification requirements. (Paragraph 128)</p> <p>New and renewed certificates are valid for no more than five years in the case of a fishery and three years in the case of the chain of custody. (Paragraph 131)</p> <p>Re-certification requires a full reassessment, taking into account changes that have been made in the conduct of the fishery or in the management practices, and on any new conditions that changes in standards might require. (Paragraph 131)</p> <p>The certification procedure or related documentation specifies that the client must notify the CB promptly of any intended changes to the management of the fishery, or the chain of custody, or other changes which may affect conformity with the certification requirements. (Paragraph 129)</p> <p>When a fishery that is currently certified is targeting a stock under consideration that becomes overfished, the scheme requires an expedited review of that aspect of the certification by the Certifying Body to determine whether the certificate should be suspended until such time as the stock under consideration is no longer considered to be overfished, according to the best scientific evidence available. (30.a) In the event of changes significantly affecting the status or management of a certified fishery or chain of custody (including information from a substantiated complaint or other source), a reassessment is carried out. (Paragraph 130)</p>

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
	131. The period of validity of a certificate should not exceed five years in the case of a fishery and three years in the case of the chain of custody. The assessment required for re-certification should give particular attention to changes that have been made in the conduct of the fishery or in the management practices, and on any new conditions that changes in standards might require.	See paragraphs 128 and 130.	
Requirements: Renewal of certification	132. On the basis of prior regular monitoring and auditing exercises and a full reassessment, the validity of certification can be renewed up to the time limits of five years in the case of a fishery and three years in the case of the chain of custody.	Combined with paragraph 128.	
Requirements: Suspension and withdrawal of certification	133. The certification body should specify the conditions under which certification may be suspended or withdrawn, partially or in total, for all or part of the scope of certification. 134. The certification body should require that a certified fishery and/or chain of custody upon suspension or withdrawal of its certification (however determined), discontinues use of all advertising matter that contains any reference thereto and returns any certification documents as required by the certification body. The certification body should also be responsible for informing the public about the withdrawal or suspension after the appeals process is exhausted.		A certification may be suspended or withdrawn, partially or in total, for all or part of the certification according to the CB's written policy. (Paragraph 133) Upon suspension or withdrawal of a certification (however determined), the CB requires the former certificate holder to discontinue use of all advertising matter that contains any reference to the certification and return any certification documents as required. (Paragraph 134) CB informs the public about the withdrawal or suspension after the appeals process is exhausted, including posting on the Internet. (Paragraph 134)
Requirements: Maintaining the chain of custody	135. Chain of custody procedures are implemented at the key points of transfer. At each point of transfer, which may vary according to the type of fish or fishery product traded, all certified fish or fishery products must be identified and/or segregated from non-certified fish or fishery products. 136. The certification body should ensure that a recipient of certified fish or fishery products should maintain pertinent chain of custody records, including all records relating to shipment, receipt and invoicing.	A separate assessment of the control systems at each point of transfer in the chain of custody will be required to assure segregation. This will require a contract for chain of custody certification between the entity receiving the fish and an accredited CB.	At each key point of transfer in the chain of custody all certified fish or fishery products are identified and/or segregated from non-certified fish or fishery products. (Paragraph 135) The CB ensures that each recipient of certified fish or fishery products maintains pertinent chain of custody records, including all records relating to shipment, receipt and invoicing. (Paragraph 136)

Guidelines Paragraph	Assessing Conformance	
	Comments	Benchmark Indicator
<p>137. The certification body should have documented procedures defining auditing methods and periodicity of audits. The periodicity of audits should depend on:</p> <ul style="list-style-type: none"> – the technical processes undertaken at the point of transfer; – such risk factors as the value and volume of the certified output. <p>138. Any breach or apparent breach of the chain of custody identified during an inspection/audit should be explicitly recorded in the inspection/audit report together with:</p> <ul style="list-style-type: none"> – an explanation of the factors that allowed the breach to occur; – an explanation of the corrective actions taken or required to ensure that a similar breach does not re-occur. <p>139. All inspection/audit records should be incorporated into a written inspection/audit report that is available to pertinent parties and filed at the certification body office.</p> <p>140. The inspection/audit report should contain as a minimum:</p> <ul style="list-style-type: none"> – the date of the inspection/audit; – the name(s) of the person(s) responsible for the report; – the names and addresses of the sites inspected/audited; – the scope of the inspection/audit; – comments on the conformity of the client with the chain of custody requirements. 		<p>The CB maintains documented procedures for auditing methods and periodicity of audits. (Paragraph 137)</p> <p>Audit periodicity depends on risk factors and the technical processes undertaken at the point of transfer. (Paragraph 137)</p> <p>A written report is prepared following an inspection/audit, recording inspection/audit records including</p> <ul style="list-style-type: none"> – the date of the inspection/audit; – the name(s) of the person(s) responsible for the report; – the names and addresses of the sites inspected/audited; – the scope of the inspection/audit; – comments on the conformity of the client with the chain of custody requirements. (Paragraph 140) <p>The written inspection/audit report records any breach or apparent breach of the chain of custody identified, including</p> <ul style="list-style-type: none"> – an explanation of the factors that allowed the breach to occur; – an explanation of the corrective actions taken or required to ensure that a similar breach does not re-occur. (Paragraph 138) <p>The written inspection/audit report is available to pertinent parties and filed at the CB office. (Paragraph 139)</p>

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
Requirements: Use and control of a certification claim, symbol or a logo	<p>141. The certification body, accreditation body or owner of the ecolabelling scheme should have documented procedures describing the requirements, restrictions or limitations on the use of symbols or logos indicating that a fish or fishery product comes from a sustainable fishery. In particular, the ecolabelling scheme is required to ensure that symbols or logos should not relate to claims that are of no relevance for sustainable fisheries and could cause barriers of trade or mislead the consumer.</p> <p>142. The certification body, accreditation body or owner of the ecolabelling scheme should not issue any license to affix its mark/claim/logo or issue any certificate for any fishery or fishery product unless it is assured that the product bearing it is in fact produced from certified sources.</p> <p>143. The certification body, accreditation body or owner of the ecolabelling scheme is responsible for ensuring that no fraudulent or misleading use is made with the use and display of its certification mark and logos.</p> <p>144. If the certification body, accreditation body or owner of the ecolabelling scheme confers the right to use a symbol or logo to indicate certification, the fishery and any fish or fishery product from such fishery may use the specified symbol or logo only as authorized in writing by it.</p> <p>145. The certification body, accreditation body or owner of the ecolabelling scheme should take suitable action to deal with incorrect references to the certification system or misleading use of symbols and logos found in advertisements, catalogues, etc.</p>	Compare with paragraph 97.	<p>The scheme owner has a written procedure regarding the use of the symbol or logo. (Paragraph 141)</p> <p>Symbols or logos do not relate to claims that are of no relevance for sustainable fisheries and could cause barriers of trade or mislead the consumer. (Paragraph 141)</p> <p>The scheme owner and/or CB, as appropriate, issue written authorizations and/or licences to affix the scheme's mark/claim/logo only when the fishery and chain of custody have been certified as being in conformity with the scheme. (Paragraphs 142 and 144)</p> <p>The CB, AB or owner of the ecolabelling scheme has mechanisms in place to ensure that no fraudulent or misleading use is made with the use and display of its certification mark and logos. (Paragraph 143)</p> <p>The CB, AB or owner of the ecolabelling scheme takes suitable action to deal with incorrect references to the certification system or misleading use of symbols and logos found in advertisements, catalogues, etc. (Paragraph 145)</p>

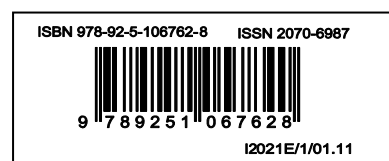
	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
	<p>146. All certificates issued should include:</p> <ul style="list-style-type: none"> – the name and address of the accreditation body or owner of the ecolabelling scheme; – the name and address of the certification body; – the name and address of the certification holder; – the effective date of issue of the certificate; – the substance of the certificate; – the term for which the certification is valid; – signature of the issuing officer. 		<p>Certificates for use of the scheme’s mark/claim/logo include:</p> <ul style="list-style-type: none"> – the name and address of the AB or scheme owner; – the name and address of the certification body; – the name and address of the certification holder; – the effective date of issue of the certificate; – the substance of the certificate; – the term for which the certification is valid; – signature of the issuing officer. (Paragraph 146)
Resolution of complaints and appeals	<p>147. The accreditation body or owner of the ecolabelling scheme should have a written policy and procedures, applicable to accredited certification bodies, for dealing with any complaints and appeals from involved parties in relation to any aspect of certification or de-certification. Such procedures should be timely, clearly define the scope and nature of appeals that will be considered and should be open only to parties involved in, or consulted, during the assessment. Costs of appeals should be borne by the appellant.</p> <p>148. These procedures should include an independent and impartial committee to respond to any complaint. If possible, the committee should attempt to resolve any complaint through discussion or conciliation. If this is not possible, the committee should provide a written finding to the certification body, accreditation body or owner of the ecolabelling scheme as appropriate, which should transmit the finding to the party or parties involved.</p>	See also paragraph 82 relating to accreditation procedure.	<p>The ecolabel scheme owner or AB has a written policy and procedure applicable to accredited certification bodies for dealing with complaints and appeals related to certification or de-certification from parties involved in, or consulted, during the assessment. This policy and procedure are publicly available. (Paragraphs 147 and 151)</p> <p>The complaints procedure is timely and clearly defines the scope and nature of appeals that will be considered. (Paragraph 147)</p> <p>Costs of appeals are borne by the appellant. (Paragraph 147)</p> <p>An independent and impartial committee is established by the scheme owner or the AB to respond to any complaint. If discussion and/or conciliation fail, the committee provides a written finding to the CB, AB or scheme owner which transmits it to the other party or parties involved. (Paragraphs 148 and 149)</p> <p>The CB, AB or scheme owner, as appropriate, takes appropriate corrective and preventive action following the determination of the committee but this does not exclude recourse to other forms of legal and administrative processes as provided for in national legislation or international law. (Paragraph 149)</p>

	Guidelines Paragraph	Assessing Conformance	
		Comments	Benchmark Indicator
	149. The above does not exclude recourse to other forms of legal and administrative processes as provided for in national legislation or international law.		<p>The CB, AB or promoter/owner of the ecolabelling scheme (as appropriate) keeps a record of all complaints, remedial actions relative to certification and assesses the effectiveness of remedial actions. (Paragraph 150)</p> <p>The CB, AB or promoter/owner of the ecolabelling scheme (as appropriate) safeguards the confidentiality of information obtained during the investigation and resolution of complaints. (Paragraph 150)</p>
Keeping of records on complaints and appeals concerning certification	<p>150. The certification body, accreditation body or promoter/owner of the ecolabelling scheme should:</p> <ul style="list-style-type: none"> – keep a record of all complaints and appeals, and remedial actions related to certification; – take appropriate corrective and preventive action; – assess the effectiveness of remedial actions; – safeguard confidentiality of information obtained during the investigation and resolution of complaints and appeals concerning certification. <p>151. Information on procedures for handling of complaints and appeals concerning certification should be made publicly available.</p>	Covered by indicators for paragraphs 147–149.	

This is the Report of the Expert Consultation to Develop an FAO Evaluation Framework to Assess the Conformity of Public and Private Ecolabelling Schemes with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries. The Expert Consultation was held in Rome, Italy, on 24–26 November 2010. The FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries, originally adopted by the FAO Committee on Fisheries (COFI) in 2005, were adopted in revised form by the Twenty-eighth Session of COFI in 2009.

Expert Consultations held in 2006 and 2008 were followed by a third Expert Consultation convened in May 2010 to complete the draft Guidelines for the ecolabelling of fish and fishery products from inland capture fisheries for consideration by COFI in January–February 2011.

Discussions in both COFI and the Sub-Committee on Fish Trade of the Committee on Fisheries (COFI:FT), relating to checking claims of compliance of ecolabelling schemes with the FAO Guidelines on ecolabelling of fish and fishery products, led the Twenty-eighth Session of COFI to request the Secretariat to present a proposal to address this issue to COFI:FT. The Secretariat prepared and presented a document outlining various options for assessing the conformity of ecolabelling schemes with the FAO Guidelines to the Twelfth Session of COFI:FT. The Twelfth Session of COFI:FT agreed that, as a first step, the FAO Secretariat should convene an Expert Consultation to develop an FAO evaluation framework to assess the conformity of public and private ecolabelling schemes with the FAO Guidelines for the ecolabelling of fish and fishery products from marine capture fisheries. The Expert Consultation was convened in response to this decision. COFI:FT also noted that it would be beneficial to develop a similar evaluation framework to assess the conformity of ecolabelling schemes with the FAO Guidelines for the ecolabelling of fish and fishery products from inland fisheries after their adoption. Moreover, as these draft Guidelines follow very closely the marine Guidelines, the Expert Consultation also developed additional indicators relating specifically to the inland fisheries Guidelines.



COMMITTEE ON FISHERIES
COMITÉ DES PÊCHES
COMITÉ DE PESCA

Report of the fifth session of the

SUB-COMMITTEE ON AQUACULTURE

Phuket, Thailand, 27 September–1 October 2010

Rapport de la cinquième session du

SOUS-COMITÉ DE L'AQUACULTURE

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Informe de la quinta reunión del

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Phuket, Tailandia, 27 de septiembre-1.º de octubre de 2010



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PREPARATION OF THIS DOCUMENT

This is the final report approved by the fifth session of the Sub-Committee on Aquaculture of the Committee on Fisheries.

PRÉPARATION DE CE DOCUMENT

Le présent document est le rapport final approuvé par le Sous-Comité de l'aquaculture du Comité des pêches à sa cinquième session.

PREPARACIÓN DEL PRESENTE INFORME

Este es el informe final aprobado por la quinta reunión del Subcomité de Acuicultura del Comité de Pesca.

FAO Committee on Fisheries/Comité des pêches/Comité de Pesca.

Report of the fifth session of the Sub-Committee on Aquaculture. Phuket, Thailand, 27 September–1 October 2010.

Rapport de la cinquième session du Sous-Comité de l'aquaculture. Phuket, Thaïlande, 27 septembre-1 octobre 2010.

Informe de la quinta reunión del Subcomité de Acuicultura. Phuket, Tailandia, 27 septiembre-1 octubre 2010.

FAO Fisheries and Aquaculture Report/FAO Rapport sur les pêches et l'aquaculture/FAO Informe de Pesca y Acuicultura. No. 950. Rome/Roma, FAO. 2010. 158p.

ABSTRACT

The fifth session of the Sub-Committee on Aquaculture of the Committee on Fisheries (COFI) was held in Phuket, Thailand, from 27 September to 1 October 2010 at the kind invitation of the Royal Thai Government. It was attended by 58 Members of FAO, and by observers from three intergovernmental and three international non-governmental organizations. The Sub-Committee appreciated the efforts of the FAO Fisheries and Aquaculture Department in responding to the recommendations of the past session of the Sub-Committee. Several working documents, including the *Technical Guidelines on Aquaculture Certification*, were presented by the Secretariat for information, discussion and decision by the Sub-Committee. The Secretariat also held a special event on the outcome of the Global Conference on Aquaculture 2010: Farming the Waters for People and Food. All documents presented and the activities conducted were well received. The Sub-Committee adopted the Technical Guidelines on Aquaculture Certification for eventual endorsement by the twenty-ninth session of the COFI in early 2011. It requested the Secretariat to ensure the implementation of recommendations by the Sub-Committee at its fifth session during the intersessional period. The Sub-Committee expressed its appreciation to the Royal Thai Government and staff from the Thai Department of Fisheries for their hospitality and the excellent facilities provided for the session. The Sub-Committee agreed that its next session should be held in 2012 and appreciated the offer made by the Government of South Africa to host it.

RÉSUMÉ

La cinquième session du Sous-Comité de l'aquaculture du Comité des pêches (COFI) a eu lieu à Phuket (Thaïlande) du 27 septembre au 1^{er} octobre 2010 à l'aimable invitation du Gouvernement du Royaume de Thaïlande. Y ont assisté 58 Membres de la FAO et des observateurs de trois organisations intergouvernementales et de trois organisations non gouvernementales internationales. Le Sous-Comité s'est félicité des efforts consentis par le Département des pêches et de l'aquaculture de la FAO pour donner suite aux recommandations formulées par le Sous-Comité à sa dernière session. Plusieurs documents de travail, dont les *Directives techniques relatives à la certification de l'aquaculture*, ont été présentés par le Secrétariat au Sous-Comité pour information, examen et décision. Le Secrétariat a en outre organisé une manifestation spéciale sur les résultats de la Conférence mondiale sur l'aquaculture 2010, sur le thème « l'aquaculture au service des personnes et de l'alimentation ». Tous les documents présentés et activités menés ont reçu un bon accueil. Le Sous-Comité a adopté les Directives techniques relatives à la certification en aquaculture, qui seront approuvées sous leur forme finale par le Comité des pêches à sa vingt-neuvième session début 2011. Il a demandé au Secrétariat de veiller à donner suite, dans l'intervalle entre les sessions, aux recommandations formulées par le Sous-Comité à sa cinquième session. Le Sous-Comité a remercié le Gouvernement du Royaume de Thaïlande et le personnel du Département thaïlandais des pêches pour leur hospitalité et pour les excellents moyens mis à sa disposition pour la session. Le Sous-Comité est convenu que sa prochaine session aurait lieu en 2012 et il a remercié le Gouvernement de l'Afrique du Sud pour sa proposition d'accueillir la session.

RESUMEN

La quinta reunión del Subcomité de Acuicultura del Comité de Pesca (COFI) se celebró en Phuket (Tailandia) del 27 de septiembre al 1.º de octubre de 2010 por amable invitación del Gobierno Real de Tailandia. Asistieron a ella 58 Miembros de la FAO así como observadores de tres organizaciones intergubernamentales y tres organizaciones no gubernamentales internacionales. El Subcomité elogió al Departamento de Pesca y Acuicultura de la FAO por las medidas adoptadas en respuesta a las recomendaciones hechas por el Subcomité en su anterior reunión. La Secretaría presentó varios documentos, entre ellos las *Directrices técnicas para la certificación en la acuicultura*, para información del Subcomité o para que este los debatiera y adoptara decisiones al respecto. La Secretaría organizó también un acto especial acerca de los resultados de la Conferencia Mundial sobre la Acuicultura de 2010: Cultivar las aguas para las personas y la alimentación. Todos los documentos presentados, así como las actividades realizadas, recibieron una acogida favorable. El Subcomité aprobó las Directrices técnicas para la certificación en la acuicultura con vistas a su posible aprobación por el COFI en su vigésimo noveno de sesiones, a comienzos de 2011, y pidió a la Secretaría que, en el lapso entre la presente reunión y la siguiente, velara por la aplicación de las recomendaciones formuladas por el Subcomité en su quinta reunión. El Subcomité manifestó su agradecimiento al Gobierno Real de Tailandia y al personal del Departamento de Pesca de Tailandia por su hospitalidad y los excelentes servicios que habían facilitado para la reunión. El Subcomité acordó que su siguiente reunión se celebrara en 2012 y manifestó su aprecio por el ofrecimiento del Gobierno de Sudáfrica de acogerla.

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OPENING OF THE SESSION

1. The fifth session of the Sub-Committee on Aquaculture of the Committee on Fisheries (COFI) was held in Phuket, Thailand, from 27 September to 1 October 2010 at the kind invitation of the Royal Thai Government. It was attended by 58 Members of FAO, and by observers from three intergovernmental and three international non-governmental organizations. The list of delegates and observers is provided in Appendix B to this report.

2. On behalf of the Fisheries and Aquaculture Department and of the Director-General of FAO, Mr Jacques Diouf, Mr Kevern Cochrane, Director, Fisheries and Aquaculture Resources Use and Conservation Division of the Fisheries and Aquaculture Department, expressed the Organization's gratitude to the Royal Thai Government for hosting the meeting. Mr Cochrane welcomed all delegates to the meeting and outlined some of the most important emerging issues in the sector which would be addressed by the Sub-Committee. The full text of the opening statement is contained in Appendix D.

3. Ms Somying Piumsombun, Director-General, Department of Fisheries, Thailand, welcomed the delegates on behalf of the Department and highlighted the vital role that fisheries and aquaculture play both on the global and the national levels and in particular their contribution to food security. The welcoming address is attached as Appendix E to this report.

4. His Excellency, Mr Theera Wongsamut, Minister of Agriculture and Cooperatives, Thailand, delivered the opening address on behalf of the Royal Thai Government. He reaffirmed the commitment of the Royal Thai Government to the mission of FAO and its support to all efforts geared towards sustainable fisheries and aquaculture. The opening address is attached as Appendix F to this report.

ELECTION OF THE CHAIRPERSON AND VICE-CHAIRPERSONS AND DESIGNATION OF THE DRAFTING COMMITTEE

5. In the absence of the chair of the Sub-Committee, the Secretary introduced this agenda item. The Secretary thanked the outgoing chair of the Sub-Committee, Ms Marisol Álvarez (Chile), for her contributions to the Sub-Committee.

6. Ms Supranee Chinabut (Thailand) was elected Chairperson of the Sub-Committee. Mr Motseki Hlatshwayo (South Africa) was elected first Vice-Chairperson. Chile and France were elected second and third Vice-Chairpersons respectively.

7. The Sub-Committee elected Mr Yngve Torgersen (Norway) Chairperson of the Drafting Committee with the membership of Canada, Germany, India, Norway, Papua New Guinea, South Africa, Thailand and the United States of America.

ADOPTION OF THE AGENDA AND ARRANGEMENTS FOR THE SESSION

8. The Agenda was adopted by the Sub-Committee with no changes as outlined in Appendix A. The documents which were before the Sub-Committee are listed in Appendix C.

FAO FISHERIES AND AQUACULTURE DEPARTMENT'S EFFORTS IN IMPLEMENTING THE RECOMMENDATIONS OF THE PAST SESSION OF THE COFI SUB-COMMITTEE ON AQUACULTURE

9. The Secretariat introduced document COFI:AQ/V/2010/2, and referred to COFI:AQ/V/2010/Inf.5, providing a brief overview of activities undertaken by the FAO

Fisheries and Aquaculture Department towards implementing the recommendations and addressing priority areas identified at the fourth session of the Sub-Committee.

10. A number of countries congratulated FAO for the comprehensive document regarding the FAO Fisheries and Aquaculture Department's efforts undertaken so far towards implementing the recommendations of the past sessions of the COFI Sub-Committee on Aquaculture. The Sub-Committee reaffirmed its support for FAO activities and expressed its satisfaction on the progress achieved, especially considering limited financial resources. The accomplishments in terms of studies, thematic reviews, workshops and other activities during the past period contribute to sustainable development of aquaculture and FAO should continue along these lines and promote better integration of environmental issues and social considerations.

11. The Sub-Committee reiterated that further support and priority be continuously provided to Africa. Participating countries from the Pacific requested the Sub-Committee to focus support also to the least developed aquaculture countries, for example the Pacific Island countries, who are interested in mariculture development following the Code of Conduct for Responsible Fisheries (CCRF) and supporting aquaculture development technical guidelines, while at the same time preserving biodiversity in the region, which is among the highest in the world.

12. Many countries appreciated the role played by FAO in promoting and establishing different web-based information systems, networks and other programmes among countries. Special reference was made to SPADA (Special Programme on Aquaculture Development in Africa), ANAF (Aquaculture Network for Africa) and ANA (Aquaculture Network of the Americas) and FAO was urged to take up further efforts to strengthen these networks among countries. The role and status of Network of Aquaculture Centres in Asia-Pacific (NACA) as a successful regional network was acknowledged.

13. Some Members emphasized the need for regional fishery bodies (FAO and non-FAO bodies) and aquaculture networks to work with FAO to avoid duplication and to maximize synergies for the benefit of Members. Active involvement of such bodies and networks in programming as well as implementation of field level activities was advised.

14. Members from Central Asia and Caucasus region reported on the dramatic decline in aquaculture production in the region and emphasized the need to revitalize the sector. They requested urgent support from FAO and other donors. The Central Asian and Caucasus Regional Fisheries and Aquaculture Commission (CACFAC) and the Central Asian Regional Programme for Fisheries and Aquaculture Development (FishDev Central Asia) will be important players in meeting the objectives in the region.

15. Considering its importance and utmost urgency, a large number of countries requested the speeding up of the process of finalizing the technical guidelines on aquaculture certification so that countries can start and plan for their implementation. Some countries also requested assistance for capacity building (including financial support), where necessary, to implement the technical guidelines so as to make sure that there is a level playing field among countries as not all countries have adequate capacity and are prepared to implement the certification guidelines once they are accepted.

16. The Sub-Committee recognized that technical support and capacity building (e.g. guidelines, training, education and support services) in the areas of feed, genetics and conservation and sustainable use of aquatic genetic resources, alien species, ecosystem approach to aquaculture, aquatic biosecurity be continuously provided to Members. In particular, a number of countries requested FAO to develop technical guidelines on use of

alien species in aquaculture. Several Members noted the importance of access and benefit sharing with respect to aquatic genetic resources.

17. It was reiterated that the creation of a strategic framework for the Sub-Committee (as per recommendations of the fourth session) would permit FAO to better identify and evaluate completed and ongoing activities as well as priorities that could not be completed due to resource constraints. The importance of working closely with the Sub-Committee on Fish Trade was also stressed. The Sub-Committee was informed that the Department of Fisheries and Aquaculture and FAO is undergoing a reform process to better respond to increasing demands from Members, while the capacity and resources remain largely constant. The Secretariat informed the Sub-Committee that it is important to ensure that resources and capacity be used in the process as efficiently as possible and that FAO is pursuing a results-based management approach in this biennium to facilitate this. Progress is being monitored and Members will be informed of further developments through the Sub-Committee meetings and through COFI. With respect to extra-budgetary funding, the Secretariat reported that the Department is continuously interacting with donors and exploring every opportunity to secure funding to support the priorities of the Members. The third element of attempts by FAO to respond to requests from Members was the need to set clear priorities. In this regard, advice from Members was essential and the Sub-Committee was encouraged to consider and advise on the elements of the strategic framework. Some Members expressed their interest to be involved in the process.

IMPROVING THE PROGRESS REPORTING ON THE IMPLEMENTATION OF THE CODE OF CONDUCT FOR RESPONSIBLE FISHERIES (CCRF), PROVISIONS RELEVANT TO AQUACULTURE AND CULTURE-BASED FISHERIES AND THE PROPOSAL FOR A REVISED REPORTING MECHANISM ON CCRF WITH AN INTERACTIVE QUESTIONNAIRE FORMAT

18. The Secretariat introduced document COFI:AQ/V/2010/3 under Agenda Item 5 Improving the progress reporting on the implementation of the Code of Conduct for Responsible Fisheries (CCRF), provisions relevant to aquaculture and culture-based fisheries and the proposal for a revised reporting mechanism on CCRF with an interactive questionnaire format.

19. The document provided an overview of the status and trends in the progress of implementation of the Code based on data from surveys during the period 2004–2008 and proposed a revised questionnaire and further improvement to the reporting mechanism following recommendations of fourth session of the Sub-Committee.

20. The Sub-Committee was invited to comment on the analysis and proposal, to recommend specific follow-up actions to develop and implement the recommended reporting mechanism and to recommend a time-frame for the completion of the task.

21. Many Members expressed their appreciation to the FAO Secretariat for the significant improvement of the questionnaire. A number of countries emphasized the importance of the questionnaire as a tool for self-assessment and initiating a dialogue between FAO Secretariat and FAO Members. The questionnaire could assist countries to improve governance in aquaculture.

22. A number of Members stressed the need to include space in the questionnaire for countries to provide details and clarifications beyond numerical scoring, which will allow the Secretariat to carry out an in-depth analysis. It was also suggested that the instruction manual,

with guidelines for completion of the questionnaire, should provide clear explanations on the ranking system.

23. One Member considered that Part 3 contains issues that are in some cases outside of the governments' responsibility, jurisdiction or control and go beyond the evaluating compliance with the Code. Another intervention, however, emphasized that such a section is called an enhancing mechanism and therefore is provided for each country to consider such mechanisms as options for improved compliance. The Secretariat clarified that this section could be optional in the reporting mechanism.

24. Some Members requested that the revised version should also include questions on the existence of aquaculture data-collection system and information-gathering, including the relevant institutional frameworks for such purposes. Some Members suggested that a simplified questionnaire could foster a higher response rate.

25. Various Members noted that it is important to be consistent and coherent in monitoring the progress made on the implementation of the Code when monitoring Article 9 (Aquaculture Development) and Article 11 (Fish Trade).

26. Some Members requested FAO to make an effort to ensure that the questionnaire reaches a focal point in each country who is in the position to coordinate the accurate completion of the questionnaire and suggested that the FAO Regional and Sub-Regional Offices could play a role in circulation of the questionnaires and coordination of the responses in order to increase the response rate.

27. Although it was suggested that the questionnaire be sent for trial to a limited number of countries, the Sub-Committee recommended that the questionnaire should be completed on a biennial basis by all Members and that the two consecutive reporting periods should be used to test the new questionnaire for trends and consistency, with interim reporting on the two reporting cycles to the Sub-Committee.

28. In relation to the recent inclusion of aquatic genetic resources in the multi-year programme of work of the Commission of Genetic Resources for Food and Agriculture (CGRFA), it was requested that FAO continue and be proactive in the work with the Commission towards the preparation of the State of the World on Aquatic Genetic Resources for Food and Agriculture, subject to the availability of financial resources.

GUIDELINES ON AQUACULTURE CERTIFICATION

29. The Secretariat introduced documents COFI:AQ/V/2010/4 and COFI:AQ/V/2010/Inf.7 under Agenda Item 6. These documents presented the preparatory FAO consultative process and the resulting Draft Technical Guidelines on Aquaculture Certification which the Sub-Committee was requested to finalize and adopt.

30. The Secretariat informed the Sub-Committee that during the last Technical Consultation, in Rome in February 2010, significant progress had been made on the finalization of the draft guidelines and consensus built on the document except for paragraphs 7 on scope and 17 (m) on principles.

31. The Sub-Committee thanked FAO and the Members of the Technical Consultation for their hard work in preparing the draft guidelines. It stressed that the draft guidelines on aquaculture certification are necessary to foster harmonization and to minimize confusion in light of the proliferation of certification schemes.

32. Several Members stressed that it is important to include all four principal areas of certification in the draft guidelines i.e. a) animal health and welfare, b) food safety, c) environmental integrity, and d) socio-economic aspects, in light of the fact that these issues are addressed in the context of the Code of Conduct for Responsible Fisheries and the draft guidelines must reflect and be consistent with the relevant articles of the Code.

33. Some Members pointed out that inclusion of all the principal areas in the draft guidelines at the onset would be a burden for small-scale farmers and for countries with limited capacity to implement the guidelines. They recommended including only some of the principal areas and to incorporate the others in an incremental manner.

34. Several Members noted that some of these principal areas of certification were covered in the mandates of other international agreements, e.g. animal health and welfare by the World Animal Health Organization (OIE) and food safety by the Codex Alimentarius. Similarly, they expressed the opinion that for other areas, there are no agreed international standards e.g. animal welfare, environmental integrity, and social aspects; therefore these should not be included as principal areas.

35. Some Members noted that the guidelines once adopted could form the basis for national legislation and regulations. Additionally, some delegates expressed a concern that the draft guidelines could be used in a manner resulting in barriers to trade.

36. Since a consensus could not be reached even after extensive discussion in the Plenary, the Chair created a “Friends of the Chair” (FOC) group comprising Brazil, Canada, Chile, Egypt, Germany, India, Kenya, Namibia, Norway, Senegal, South Africa, Thailand, Uganda and the United States of America in order to assist the Chair in reaching consensus. The Chair advised the group to focus on paragraphs 7 and 17 (m) as a priority and report back to the plenary. India was elected as the Chair of this group.

37. This agenda item was suspended until the FOC could deliberate. Following resumption of the agenda item, India as Chair of the FOC reported that a consensus had been reached resulting in amendments to paragraphs 7, 17 (m) and 18.

38. The amended paragraphs are as follows:

Para 7:

The guidelines consider a range of issues which should be considered relevant for the certification in aquaculture, including: a) animal health and welfare, b) food safety, c) environmental integrity and d) socio-economic aspects associated with aquaculture.

Para 17 (m) deleted

Para 17 (*bis*)

These aquaculture certification guidelines should recognize the special needs of farmers and governments in developing countries. These guidelines should also recognize the special role of FAO in assisting developing countries in devising an implementation framework which is both attainable and measurable. Similarly, FAO should facilitate the assessment of the capacity of farmers and governments to meet the proposed requirements of aquaculture certification schemes, and to develop realistic expectations with regard to the farmers and governments meeting these requirements.

Para 18:

Minimum substantive criteria for developing aquaculture certification standards are provided in this section for a) animal health and welfare, b) food safety, c) environmental integrity and d) socio-economic aspects. The extent to which a certification scheme seeks to address these issues depends on the objectives of the scheme, which should be explicitly and transparently stated by the scheme. Development of certification schemes should consider the importance of being able to measure performance of aquaculture systems and practices, and the ability to assess conformity with certification standards.

39. Several Members, while supporting adoption of the draft guidelines, expressed their concern that the guidelines could result in barriers to trade. The Secretariat and other Members recognized these concerns, but emphasized that every effort had been made in the text of the guidelines to avoid this. Furthermore, the Secretariat informed that it is standard practice for FAO to work towards avoiding the creation of barriers to trade.

40. Argentina expressed reservations on inclusion of environmental integrity and socio-economic aspects associated with aquaculture as principal areas in the scope of the draft guidelines.

41. Brazil expressed a reservation in regard to the approval of the draft guidelines on aquaculture certification. The main areas of concern, reflected in their paper distributed at the meeting, were related to animal welfare, environmental integrity, traceability, precautionary approach and non-tariff trade barriers, among others. Therefore, Brazil considered that further work is required on the text and that the text should not be adopted at this stage. Brazil stressed that the Guidelines on Aquaculture Certification are an effective tool to guide the development of private certification schemes and that they should not lead to non-tariff trade barriers.

42. Many Members referred to the need to review the guidelines in the future. The Sub-Committee agreed that the performance and implementation of the guidelines along with a mechanism for review should be discussed at the next session of the Sub-Committee.

43. With the above explanations and revisions, the Sub-Committee adopted the draft guidelines and requested the Committee on Fisheries (COFI) to approve them at its 29th Session (See Appendix G for the guidelines).

44. The Chair and the Sub-Committee thanked the Friends of the Chair for their excellent work and the cooperative, constructive and transparent spirit in which they operated. The skillful guidance of India as chair of the “Friends of the Chair” was also greatly appreciated. The Sub-Committee acknowledged with appreciation the valuable contribution of Norway as Chair of the Technical Consultation.

AQUATIC BIOSECURITY: A KEY FOR SUSTAINABLE AQUACULTURE DEVELOPMENT

45. The Secretariat introduced document COFI:AQ/V/2010/5 providing an introductory discussion on major biosecurity concerns affecting modern aquaculture. These include transboundary aquatic animal diseases, food safety concerns, public health risks on the irresponsible use of veterinary medicines, biological invasions, aquaculture issues pertaining to aquatic genetically modified organisms, and climate change.

46. The Sub-Committee congratulated FAO for the comprehensive document covering many important issues within the broad concept of biosecurity and expressed appreciation to

FAO for highlighting the subject of biosecurity as an essential element of sustainable aquaculture. Several Members also expressed their appreciation for the assistance provided by FAO to their countries, in particular, with the emergence of epizootic ulcerative syndrome (EUS) in Southern Africa.

47. Many Members shared their national experiences in addressing biosecurity issues in aquaculture, for example, policies, disease diagnostics, surveillance and reporting, on-farm biosecurity, vaccination, risk analysis and risk management, and spatial planning. Some members presented their needs and opportunities for improving biosecurity, for example, appropriate policy development, aspects of epidemiology, and farm-level biosecurity.

48. Many Members supported the biosecurity actions presented in the working document insisting that action should be taken as soon as possible on the principle that prevention is better than cure. However, it was also noted that some actions could be costly and require infrastructure and human capacity development. Members from Central Asia and Caucasus region noted the importance of ongoing work towards developing a regional strategy for responsible fish introductions and transfers, as a first step towards protecting aquatic biodiversity in that region.

49. The Sub-Committee recognized that the transboundary dimension of biosecurity requires regional cooperation and capacity building to deal with biosecurity emergencies. Impacts on biodiversity were also identified as an important concern. Several Members requested assistance to develop regional and national biosecurity strategies and plans. Many Members echoed the importance of continuing assistance to southern Africa towards addressing the issue of rapidly spreading EUS in the Zambezi basin and other water bodies and requested technical support to develop a regional policy framework and an implementation strategy on aquatic biosecurity.

50. Members recognized the need to address the possible impacts of biosecurity measures on livelihoods, especially of the rural poor.

51. Many members requested FAO to develop technical guidelines on species introductions. Considering the importance of addressing the interaction between aquaculture and fisheries, some members requested FAO to incorporate biosecurity in the preparation of the FAO CCRF Technical Guidelines on Recreational Fisheries. Members also emphasized the need for coherence in the work of aquatic biosecurity between FAO and other international standard-setting bodies under the World Trade Organization's agreement on the Application of Sanitary and Phytosanitary Measures.

52. Members shared the view that significant biosecurity risks can arise from irresponsible use of veterinary medicines, and variations in regulatory frameworks and enforcement in different countries. Relative to the assessment of biosecurity risks it was noted that the application of a precautionary approach should be based on best available science and agreed international instruments and should not be used as a barrier to trade.

53. The Sub-Committee recognized that biosecurity is a key matter not only for sustainable aquaculture development but also for human health and rural livelihoods. Such considerations should therefore be addressed at all levels using both top-down and bottom-up approaches targeting policy-makers, farmers and all relevant stakeholders along the value chain, especially the small-scale producers and fishers.

54. The Sub-Committee also recognized that biosecurity cuts across many sectors, thus it requires a better understanding of the risk factors involved when taking action in an integrated manner.

55. The Sub-Committee encouraged Members to use risk assessment and analysis as an important decision-making tool to decide how to achieve the overlapping and sometimes conflicting goals of food security, economic growth and protection of biodiversity.

CLIMATE CHANGE AND AQUACULTURE: OPPORTUNITIES AND CHALLENGES FOR ADAPTATION AND MITIGATION

56. The Secretariat introduced document COFI/AQ/V/2010/6 under agenda Item 8 “Climate Change and Aquaculture Opportunities and Challenges for Adaptation and Mitigation”.

57. The document presented a brief analysis of the potential impacts, both direct and indirect, of climate change on aquaculture development and on options to increase resilience and adaptability in aquaculture. The Sub-Committee complimented the Secretariat for including the topic of climate change in the agenda and on the quality of the document.

58. The Sub-Committee identified several groups that would be particularly vulnerable to the impacts of climate change, notably small-scale farmers who may have limited resources to adapt. Some Members noted that the impact of sea level rise is already affecting small island developing states and countries with low-lying coastal areas.

59. One Member stated that Africa was the least prepared continent to deal with impacts of climate change and recommended that increasing the capacity to adapt to and mitigate impacts of climate change be given high priority in SPADA.

60. Members stated that both short and long-term adaptation and mitigation strategies are needed and a multi-disciplinary approach should be pursued. Short-term adaptation strategies could include changes in management, improved zoning for aquaculture, aquatic health management, the development of early warning systems and use of weather monitoring systems. Longer-term strategies included the use of new technologies, domestication and development of new aquaculture species, and development of aquaculture systems. A key aspect for mitigation will be to reduce the emission of green-house gases.

61. Climate change may affect availability of key resources used in aquaculture e.g. water and feed. In areas that are already water-stressed, climate change may further reduce the quantity and quality of water. Therefore an integrated ecosystem approach will need to be pursued with the aquaculture sector as a key stakeholder.

62. Fish meal and fish oil may become similarly limited. In seeking replacements for these ingredients in aquafeeds, it was noted that nutritional value of the feed as well as nutritional value, quality and consumer acceptance of the end product should be considered.

63. Many Members identified innovations that could help in reducing and mitigating the effects of climate change, such as marine spatial planning to optimize the use of marine areas including the location of farms and to reduce conflicts with other users, the use of carbon offsets, multi-trophic aquaculture and poly-culture to reduce eutrophication and create additional food, and recirculating systems and aquaponics to improve the efficiency of the use of water.

64. The use of improved varieties of aquatic species will further assist adaptations to climate change. Improved varieties could include specific pathogen free stocks, domesticated stocks, and varieties derived from genetic improvement programmes. The responsible use of alien species could also help with adaptation to climate change.

65. Members recommended to expand the knowledge-base on climate change and its impacts. Particular areas of emphasis were temperature rise, ocean acidification, use of predictive models, and alternative energy sources. A database for monitoring the impacts of climate change on aquaculture and for cataloguing projects dealing with climate change were also recommended.

66. One Member expressed that climate change should be dealt with in other fora and that the Sub-Committee should focus on other priority areas. In response, the Secretariat acknowledged the mandate of the United Nations Framework Convention on Climate Change (UNFCCC) but also drew attention to FAO's expertise in fisheries and aquaculture. It is important for FAO to link with other international fora on climate change, especially the UNFCCC, which did not have the breadth of sector-specific experience of FAO in order to provide synergies and avoid duplication of effort.

67. The need for harmonized methods of analysis of the impacts of climate change was suggested so that information generated by different fora will be comparable.

68. Members noted the importance and urgency of good governance to enable appropriate responses to address the uncertainty and unforeseen impacts of climate change.

MOVING AQUACULTURE FURTHER OFFSHORE: GOVERNANCE ISSUES AND CHALLENGES

69. The Secretariat introduced document COFI/AQ/V/2010/7 under Agenda item 9 "Moving Aquaculture further offshore: governance issues and challenges" which reviews and shares recent important developments in offshore aquaculture and discusses the major impediments to its development and some of their possible mitigating strategies whilst highlighting challenges ahead.

70. The Sub-Committee was invited to (i) revise, as appropriate, the information presented in this document; (ii) share national experiences on the governance of offshore aquaculture; and (iii) provide guidance to the Secretariat on a suitable way forward on this issue of governance of offshore aquaculture.

71. The Sub-Committee commended the Secretariat for the document, with some Members calling the document thought provoking or visionary whilst suggesting new points for discussion in future papers and clarification of terminology on the subject. In response to the working paper, one Member considered that concepts such as traceability, certification and consumer preference should not be further discussed and suggested that the focus of new discussions should be related to the practice of offshore aquaculture and its legal and environmental effects.

72. Most Members thought it inevitable that aquaculture will move further offshore if the world is to meet its growing demand for seafood and urged the development of appropriate technologies for its expansion and assistance to developing countries in accessing them.

73. Some Members shared their national experiences in offshore aquaculture governance. They reported that participation of all stakeholders in decision-making processes, legal and regulatory reforms, research and development and innovation, planning and implementation of best management practices including Integrated Coastal Zone Management and Integrated Multitrophic Aquaculture are important in supporting sustainability of the industry.

74. Some Members noted that aquaculture may also develop offshore in large inland water bodies and discussion should extend to inland waters as well.

75. There were a number of requests from developing countries for FAO and other partners to provide targeted assistance including capacity building, identification of suitable potential commodities and assessing the socio-economic impacts on communities as well as on the society as a whole when developing offshore aquaculture.

76. One Member was concerned that offshore aquaculture was premature in situations where inland and coastal aquaculture were under-developed. It expressed the view that priority instead should be given to assisting countries develop current aquaculture practices.

77. Some Members suggested caution regarding potential negative impacts when developing offshore aquaculture.

78. A number of Members did not find working on a governance framework for aquaculture in the High Seas an immediate priority. Some Members suggested placing a moratorium on aquaculture in the high seas until its impacts were documented and the related international legal implications understood. However, a number of Members indicated that the laws of the coastal State fully apply in territorial waters and exclusive economic zones while the legal framework provided under the United Nations Convention on Law of the Sea may be sufficient to regulate aquaculture activities in areas beyond national jurisdiction including the High Seas. One Member also stated the opinion that there was insufficient scientific justification for a moratorium on high seas aquaculture. Consequently, there was no consensus on this matter.

79. The Sub-Committee recommended that:

- a. FAO should work towards clarifying the technical and legal terminology related to offshore aquaculture in order to avoid confusion;
- b. Further work should be conducted to:
 - i. Document and assess the positive and negative impacts of developing offshore aquaculture, including its legal and regulatory implications;
 - ii. Analyse the geographical distribution of marine aquaculture and document trends related to the development of offshore aquaculture, including to areas beyond national jurisdiction;
 - iii. Document strategies to develop offshore aquaculture technologies and related issues such as husbandry and aquatic animal health and potential impacts on the ecosystem.

COORDINATING WORKING PARTY ON FISHERIES STATISTICS: AQUACULTURE

80. The Secretariat introduced document COFI:AQ/V/2010/8 under Agenda Item 10 “Coordinating Working Party (CWP) on Fisheries Statistics”.

81. The increased needs for reliable and timely aquaculture statistics and the need to expand the scope of aquaculture statistics to better monitor and manage aquaculture development worldwide were recognized by the Sub-Committee. FAO’s efforts in updating the aquaculture statistics framework, including the development of CWP Handbook for Aquaculture Statistics to streamline the definitions, standards and methodologies required for data collection and reporting were regarded by the Sub-Committee as relevant.

82. Several Members informed the meeting of the urgent need to strengthen aquaculture statistics in their respective countries. They requested FAO to provide technical assistance in

capacity building in data collection and welcomed the move towards the development of statistical standards to accommodate certain aquaculture production practices measured in numbers instead of weight.

83. The European Union informed the Sub-Committee of its Council Regulation No. 672/2008 which requires all its Members to submit aquaculture statistics of expanded scope to EuroStat.

84. There was widespread agreement that socio-economic aspects of aquaculture, especially the livelihoods of small-scale farmers in developing countries, should be included as an integral part of the aquaculture statistical data collection and reporting, wherever possible.

85. Some Members suggested that the expansion in the scope of the existing statistics framework should be practical and reasonable, so that all members can participate and benefit from the improvements.

86. The Network of Aquaculture Centres in Asia-Pacific (NACA) as a member of the CWP Aquaculture Work Group reemphasized the need for aquaculture statistics to cover the production of ornamental fishes which is an important livelihood of small-scale producers in many countries and that relevant statistical standards should be developed. The FAO Secretariat replied by reminding the meeting that the primary focus of FAO was on food production but that incorporation of statistics on ornamental fish could be considered if reliable data were available.

87. The Sub-Committee commended the work of the CWP and supported the continuation of its efforts.

SPECIAL EVENT ON THE GLOBAL CONFERENCE ON AQUACULTURE: FARMING THE WATERS FOR PEOPLE AND FOOD

88. The Secretariat introduced this special event through a visual presentation that provided a summarized review of the process and outcome of the Global Conference on Aquaculture 2010 (GCA) which took place in Phuket, Thailand from 22 to 25 September 2010. The conference was co-organized by FAO, the Network of Aquaculture Centres in Asia-Pacific (NACA) and the Department of Fisheries of the Royal Government of Thailand.

89. The Secretariat indicated that the main objectives of the Conference were to evaluate the global aquaculture development during the past decade since the Conference on Aquaculture in the Third Millennium and to examine the sector development and performance along the lines of the Bangkok Declaration and Strategy. The Secretariat explained the planning process of the Conference. It was attended by over 650 participants from 69 countries. The Conference technical programme included two keynote addresses, three invited guest lectures, six regional reviews, a global aquaculture synthesis, 41 scholarly presentations, six thematic sessions, 20 expert panels and over 140 poster presentations.

90. The Sub-Committee was informed that the Global Conference on Aquaculture 2010 adopted a document entitled "Phuket Consensus". It was further informed that this document aimed at re-affirming the commitment to the Bangkok Declaration and Strategy as the key guidance for aquaculture development during the first quarter of the millennium. The document addresses elements that require further strengthening to increase effectiveness, achieve development goals, and address emerging threats and opportunities in the sector.

91. The Sub-Committee commended the organizers of the Conference and thanked FAO for the presentation. The Sub-Committee took note of the Bangkok Declaration and Strategy, the Conference and the Phuket Consensus in seeking to enhance the aquaculture sector's contribution to achieving the Millennium Development Goals.

ANY OTHER MATTERS

92. The Cook Islands on behalf of the Pacific Island members present at the Session asked for an FAO inter-regional technical cooperation project to strengthen cooperation among aquaculture networks. The delegate of the Cook Islands also requested FAO to develop technical guidelines for the use of alien species in aquaculture. He stressed that this issue should be addressed through an international process and using the Code of Conduct for Responsible Fisheries as the main framework. To develop the guidelines, FAO was requested to convene an Expert Consultation that would include, *inter alia*, the issue of alien and invasive species that are nevertheless important for food security.

93. Turkey informed the Sub-Committee on the creation of the FAO Central Asia Regional Programme for Fisheries and Aquaculture Development, under the FAO Turkey Partnership Programme, which also provide support to the establishment of the Central Asian and Caucasus Regional Fisheries and Aquaculture Commission.

94. Azerbaijan, on behalf of the Central Asian and Caucasus countries, thanked the Russian Federation for facilitating Russian language interpretation during this session of the Sub-Committee and requested that FAO continue to use the Russian Language Trust Fund to assist future Sub-Committee sessions with both translation and interpretation in Russian. It also thanked FAO and Turkey for providing assistance to attend the Session.

95. The delegate from Senegal mentioned that following the construction of dams without fish passages in many African rivers there is hybridization between species, thus pure strains are disappearing. Alien species are being introduced into degraded freshwater habitats. In order to reduce incentives for importing alien species, Senegal and other African countries need to increase the use of native species by making them more productive through genetic improvement programmes. They requested FAO's assistance for this purpose.

ACKNOWLEDGMENTS

96. The Sub-Committee expressed its appreciation and gratitude to the Thai people and the Royal Thai Government for their warm hospitality and excellent organization in hosting this event.

DATE AND PLACE OF THE SIXTH SESSION

97. The sixth session of the Sub-Committee will be held in South Africa in 2012. The Sub-Committee expressed its gratitude to the Government of South Africa for its offer to host the session. The exact date and place of the sixth session will be decided in consultation with the South African government and will be communicated to Members during the 29th session of the Committee on Fisheries. South Africa invited all Members and, in particular, the other African countries to participate in making the event a success.

ADOPTION OF THE REPORT

98. The report of the fifth session of the Sub-Committee on Aquaculture was adopted on 1 October 2010.

OUVERTURE DE LA SESSION

1. La cinquième session du Sous-Comité de l'aquaculture du Comité des pêches s'est tenue à Phuket (Thaïlande) du 27 septembre au 1^{er} octobre 2010, à l'aimable invitation du Gouvernement du Royaume de Thaïlande. Étaient présents 58 Membres de la FAO et les observateurs de trois organisations intergouvernementales et de trois organisations internationales non gouvernementales. On trouvera à l'Annexe B au présent rapport la liste des délégués et observateurs.

2. Au nom du Département des pêches et de l'aquaculture et du Directeur général de la FAO, M. Jacques Diouf, M. Kevern Cochrane, Directeur de la Division de l'utilisation et de la conservation des ressources des pêches et de l'aquaculture du Département des pêches et de l'aquaculture, a remercié le Gouvernement du Royaume de Thaïlande d'avoir accueilli la réunion. M. Cochrane a souhaité la bienvenue à tous les délégués qui assistaient à la réunion et présenté certains des grands problèmes récemment apparus dans le secteur et qui étaient soumis au Sous-Comité. On trouvera à l'Annexe D le texte complet de l'allocution d'ouverture.

3. Mme Somying Piumsombun, Directrice générale au Département des pêches de la Thaïlande, a souhaité la bienvenue aux délégués au nom du Département et souligné le rôle essentiel que les pêches et l'aquaculture jouent aux niveaux national et mondial et en particulier leur contribution à la sécurité alimentaire. On trouvera le texte de l'allocution de bienvenue à l'Annexe E au présent rapport.

4. M. Theera Wongsamut, Ministre thaïlandais de l'agriculture et des coopératives, a prononcé le discours d'ouverture au nom du Gouvernement du Royaume de Thaïlande. Il a réaffirmé l'attachement de son pays à la mission de la FAO et son appui à tous les efforts axés sur le développement durable des pêches et de l'aquaculture. On trouvera le discours d'ouverture à l'Annexe F au présent rapport.

ÉLECTION DU PRÉSIDENT ET DES VICE-PRÉSIDENTS ET DÉSIGNATION DES MEMBRES DU COMITÉ DE RÉDACTION

5. En l'absence du Président du Sous-Comité, le Secrétaire a présenté ce point de l'ordre du jour. Le Secrétaire a remercié la présidente sortante, Mme Marisol Álvarez (Chili), de sa contribution aux activités du Sous-Comité.

6. Mme Supranee Chinabut (Thaïlande) a été élue Présidente du Sous-Comité. M. Motseki Hlatshwayo (Afrique du Sud) a été élu premier vice-président. Les représentants du Chili et de la France ont été élus respectivement deuxième et troisième vice-présidents.

7. Le Sous-Comité a élu M. Yngve Torgersen (Norvège) aux fonctions de Président du Comité de rédaction, qui était composé des Membres suivants: Afrique du Sud, Allemagne, Canada, États-Unis d'Amérique, Inde, Norvège, Papouasie-Nouvelle-Guinée et Thaïlande.

ADOPTION DE L'ORDRE DU JOUR ET ORGANISATION DE LA SESSION

8. L'ordre du jour reproduit à l'Annexe A été adopté par le Sous-Comité sans modifications. La liste des documents dont était saisi le Sous-Comité figure à l'Annexe C.

MISE EN ŒUVRE PAR LE DÉPARTEMENT DES PÊCHES ET DE L'AQUACULTURE DE LA FAO DES RECOMMANDATIONS FORMULÉES LORS DE LA PRÉCÉDENTE SESSION DU SOUS-COMITÉ DE L'AQUACULTURE DU COMITÉ DES PÊCHES

9. Le Secrétariat a présenté le document COFI:AQ/V/2010/2, et s'est référé au document COFI:AQ/V/2010/Inf.5, qui donne un aperçu des activités conduites par le Département des pêches et de l'aquaculture de la FAO pour mettre en œuvre les recommandations et intervenir dans des domaines prioritaires définis par le Sous-Comité à sa quatrième session.

10. Plusieurs pays ont félicité la FAO du caractère exhaustif du document concernant les efforts déployés à ce jour par le Département des pêches et de l'aquaculture pour mettre en œuvre les recommandations issues des précédentes sessions du Sous-Comité. Le Sous-Comité a réaffirmé son appui aux activités de la FAO et s'est déclaré satisfait des progrès accomplis, au regard notamment du caractère limité des ressources financières. Les réalisations, qu'il s'agisse d'études, d'évaluations thématiques, d'ateliers et d'autres activités conduites pendant la période précédente, contribuent au développement durable de l'aquaculture. La FAO doit continuer dans ce sens et promouvoir une meilleure intégration des aspects environnementaux et sociaux.

11. Le Sous-Comité a réaffirmé qu'il fallait continuer de soutenir l'Afrique et de lui donner la priorité. Les pays participants du Pacifique ont demandé au Sous-Comité d'apporter aussi un appui à l'aquaculture des pays les moins avancés, notamment des pays insulaires du Pacifique, qui souhaitent développer la mariculture en se conformant au Code de conduite pour une pêche responsable (CCPR) et à ses directives techniques concernant le développement de l'aquaculture et en veillant à préserver la biodiversité régionale, l'une des plus riches du monde.

12. De nombreux pays ont apprécié le rôle joué par la FAO dans la promotion et l'établissement de différents systèmes d'information du web, de réseaux et d'autres programmes internationaux. Il a été fait état notamment du programme SPADA (Programme spécial pour le développement de l'aquaculture en Afrique), du réseau ANAF (Réseau aquacole régional pour l'Afrique) et du réseau ANA (Réseau aquacole pour les Amériques). La FAO a été instamment priée de déployer des efforts supplémentaires pour renforcer ces réseaux. Il a été pris acte que le Réseau de centres d'aquaculture pour la région Asie et Pacifique (RCAAP) jouait un rôle important et qu'il constituait un réseau régional utile.

13. Certains Membres ont souligné que les organes régionaux des pêches (organes relevant ou non de la FAO) et les réseaux aquacoles devaient coopérer avec la FAO, éviter les chevauchements d'efforts et optimiser les synergies, au profit des Membres. Ils ont également recommandé que ces organes et réseaux participent activement à la programmation et à la mise en œuvre des activités de terrain.

14. Des Membres d'Asie centrale et de la région du Caucase ont fait état du recul spectaculaire de la production aquacole dans la région et ont souligné la nécessité de revitaliser le secteur. Ils ont demandé un appui urgent de la FAO et d'autres donateurs. La Commission des pêches et de l'aquaculture pour l'Asie centrale et le Caucase et le Programme régional pour le développement des pêches et de l'aquaculture en Asie centrale (FishDev – Asie centrale) seront des acteurs importants pour la réalisation des objectifs dans la région.

15. Compte tenu de son importance et de son extrême urgence, un grand nombre de pays ont demandé l'accélération du processus de mise au point des directives techniques relatives à la certification en aquaculture afin que les pays puissent démarrer et planifier leur mise en

œuvre. Certains pays ont aussi demandé une assistance en matière de renforcement des capacités (y compris un appui financier), le cas échéant, pour mettre en œuvre les directives techniques afin que les règles du jeu soient les mêmes pour tous. En effet, les pays n'ont pas tous les capacités voulues et ne seront donc pas tous prêts à appliquer les directives de certification lorsqu'elles seront acceptées.

16. Le Sous-Comité a reconnu qu'il fallait continuer de fournir aux Membres un appui technique et une aide au renforcement des capacités (directives, formation, éducation et services d'appui, par exemple) dans les domaines de l'alimentation animale, de la génétique, de la conservation et de l'utilisation durable des ressources génétiques aquatiques, des espèces exotiques, de l'approche écosystémique de l'aquaculture et de la biosécurité aquatique. En particulier, un certain nombre de pays ont demandé à la FAO d'élaborer des directives techniques sur l'utilisation d'espèces exotiques en aquaculture. Plusieurs Membres ont relevé l'importance de l'accès aux ressources génétiques aquatiques et du partage des avantages en découlant.

17. Il a été réaffirmé que la création d'un cadre stratégique à l'intention du Sous-Comité (conforme aux recommandations formulées lors de la quatrième session) permettrait à la FAO de mieux cerner et de mieux évaluer les activités achevées et en cours ainsi que les activités prioritaires non achevées faute de ressources. L'importance de coopérer étroitement avec le Sous-Comité du commerce du poisson a été également soulignée. Le Sous-Comité a été informé que le Département des pêches et de l'aquaculture et la FAO étaient en train de se réformer pour mieux répondre aux demandes croissantes des Membres, alors que les capacités et les ressources restaient en grande partie constantes. Le Secrétariat a informé le Sous-Comité qu'il était important que les ressources et les capacités utilisées dans le processus le soient aussi efficacement que possible et que pour y parvenir la FAO mettait en œuvre une approche de gestion fondée sur les résultats dès le présent exercice biennal. Les progrès en la matière faisaient l'objet d'un suivi et les Membres seraient tenu informés des résultats lors des réunions du Sous-Comité et du Comité des pêches. En ce qui concerne le financement extrabudgétaire, le Secrétariat a indiqué que le Département était en contact permanent avec les donateurs et examinait toute possibilité de mobiliser des fonds à l'appui des priorités des Membres. La nécessité de définir des priorités claires était le troisième élément par lequel la FAO s'efforçait de répondre aux demandes des Membres. À cet égard, les avis des Membres étaient essentiels et le Sous-Comité a été encouragé à examiner les éléments d'un cadre stratégique et à donner son avis à ce sujet. Certains Membres ont indiqué qu'ils souhaitaient participer à ce processus.

AMÉLIORATION DES RAPPORTS SUR LA MISE EN ŒUVRE DU CODE DE CONDUITE POUR UNE PÊCHE RESPONSABLE (CCPR), DANS SES DISPOSITIONS INTÉRESSANT L'AQUACULTURE ET LA PÊCHE FONDÉE SUR L'ÉLEVAGE, ET PROPOSITION PRÉCONISANT UN MÉCANISME RÉVISÉ D'ÉTABLISSEMENT DE RAPPORTS SOUS FORME DE QUESTIONNAIRE INTERACTIF

18. Le Secrétariat a présenté le document COFI:AQ/V/2010/3 au titre du point 5 de l'ordre du jour intitulé « Amélioration des rapports sur la mise en œuvre du Code de conduite pour une pêche responsable (CCPR), dans ses dispositions intéressant l'aquaculture et la pêche fondée sur l'élevage, et proposition préconisant un mécanisme révisé d'établissement de rapports sous forme de questionnaire interactif ».

19. Ce document donnait un aperçu de la situation et des tendances concernant la mise en œuvre du Code, d'après les données issues des enquêtes réalisées pendant la période 2004-2008. Il proposait également de réviser le questionnaire et d'apporter des améliorations

au système d'établissement de rapports afin de donner suite aux recommandations formulées par le Sous-Comité à sa quatrième session.

20. Le Sous-Comité était invité à formuler ses observations sur l'analyse et la proposition contenues dans le document, à recommander des mesures de suivi spécifiques pour la conception et l'application du système de rapport proposé, et à définir un calendrier pour mener à bien ce travail.

21. De nombreux Membres ont remercié le Secrétariat de la FAO pour les importantes améliorations apportées au questionnaire. L'importance de cet outil d'autoévaluation, qui permet d'établir un dialogue entre le Secrétariat de la FAO et les Membres de celle-ci, a été soulignée par divers pays. Il pourrait aider les pays à améliorer la gouvernance du secteur aquacole.

22. Plusieurs Membres ont souligné qu'il fallait prévoir dans le questionnaire un espace qui permettrait aux pays d'apporter éventuellement des précisions et éclaircissements, en sus de la simple notation numérique, afin que le Secrétariat puisse procéder à une analyse plus approfondie. Il a aussi été suggéré de veiller à ce que le système de notation soit expliqué clairement dans le manuel d'instructions, qui contient des directives pour remplir le questionnaire.

23. Un Membre a estimé que la troisième partie du questionnaire traitait de questions qui ne relevaient pas toujours de la responsabilité, de la juridiction ni de l'action des gouvernements, et allaient au-delà de l'évaluation de la mise en œuvre du Code. Un autre intervenant a cependant souligné que cette section portait sur la promotion de mécanismes utiles à cette fin et visait donc à permettre à chaque pays d'étudier les solutions possibles pour assurer une meilleure application du Code. Le Secrétariat a précisé que cette section pouvait être un élément facultatif du mécanisme d'établissement de rapports.

24. Certains Membres ont demandé que la version révisée du questionnaire contienne également des questions relatives à l'existence de systèmes de collecte de données sur l'aquaculture et notamment sur les cadres institutionnels applicables à cet effet. Certains Membres ont estimé qu'une simplification du questionnaire pourrait permettre d'obtenir un pourcentage de réponses plus élevé.

25. Plusieurs Membres ont fait observer qu'il était important de faire preuve de cohérence en matière de suivi des progrès accomplis dans la mise en œuvre du Code en ce qui concerne l'Article 9 (relatif au développement de l'aquaculture) et l'Article 11 (Commerce du poisson).

26. Certains Membres ont demandé à la FAO de veiller à ce que les questionnaires soient soumis, dans chaque pays, à un coordonnateur qui soit en mesure de veiller à ce que le questionnaire soit rempli méticuleusement, et ils ont indiqué que les bureaux régionaux et sous-régionaux de la FAO pourraient jouer un rôle dans la distribution du questionnaire et dans la coordination des réponses, et assurer ainsi un meilleur pourcentage de réponse.

27. Même s'il avait été proposé que le questionnaire soit envoyé, à titre expérimental, à un nombre limité de pays, le Sous-Comité a recommandé que le questionnaire soit rempli tous les deux ans par l'ensemble des Membres et que l'on voit ce que donnera le nouveau questionnaire sur deux périodes biennales consécutives, s'agissant de la cohérence et des réponses obtenues, avec rapport intérimaire au Sous-Comité à l'issue de chacune des deux périodes.

28. S'agissant de la récente adjonction des ressources génétiques aquatiques au programme de travail pluriannuel d'activités de la Commission des ressources génétiques pour l'alimentation et l'agriculture (CRGAA), il a été demandé à la FAO de poursuivre activement

ses travaux avec la Commission en vue de l'élaboration du Rapport sur l'état des ressources génétiques aquatiques pour l'alimentation et l'agriculture dans le monde, en fonction des ressources financières disponibles.

DIRECTIVES SUR LA CERTIFICATION EN AQUACULTURE

29. Le Secrétariat a présenté les documents COFI:AQ/V/2010/4 et COFI:AQ/V/2010/Inf.7 au titre du Point 6. Ces documents étaient consacrés au processus consultatif préparatoire de la FAO et au projet de Directives techniques sur la certification en aquaculture auquel ce processus avait abouti et que le Sous-Comité était invité à mettre au point et à adopter.

30. Le Secrétariat a informé le Sous-Comité que lors de la dernière Consultation technique, à Rome, en février 2010, des progrès importants avaient été faits en matière de mise au point du projet de Directives et qu'on était parvenu à un consensus sur le document à l'exception des paragraphes 7 et 17 m), respectivement consacrés au champ d'application et aux principes.

31. Le Sous-Comité a remercié la FAO et les membres de la Consultation technique des importants travaux qu'ils avaient menés pour préparer le projet de Directives. Il a souligné que le projet de Directives sur la certification en aquaculture était nécessaire pour stimuler l'harmonisation et limiter le plus possible la confusion, compte tenu de la prolifération des programmes de certification.

32. Plusieurs membres ont souligné qu'il était important d'insérer les quatre principaux domaines de certification dans le projet de Directives, à savoir: a) la santé animale et le bien-être animal, b) la sécurité sanitaire des aliments, c) la conservation de l'environnement et d) les aspects socioéconomiques, compte tenu du fait que ces questions étaient traitées dans le contexte du Code de conduite pour une pêche responsable et que le projet de Directives devait tenir compte des articles pertinents du Code et être cohérent avec eux.

33. Certains membres ont fait observer que l'insertion, dès le début, de l'ensemble des principaux domaines dans le projet de Directives constituerait un fardeau pour les petits aquaculteurs et pour les pays disposant d'une capacité limitée pour l'application des Directives. Ils ont recommandé que ne soient insérés que certains des principaux domaines et que les autres soient ajoutés progressivement.

34. Plusieurs membres ont noté que certains des principaux domaines de certification relevaient des mandats d'autres accords internationaux, par exemple, le bien-être des animaux était du ressort de l'Organisation mondiale de la santé animale (OIE) et la sécurité sanitaire des aliments, de celui du Codex Alimentarius. De même, ils ont estimé que pour d'autres domaines, il n'y avait pas de normes internationales convenues, notamment en ce qui concernait le bien-être animal, la conservation de l'environnement et les aspects sociaux; ces éléments ne devraient donc pas être insérés en tant que domaines principaux.

35. Certains membres ont noté que les Directives, une fois adoptées, pourraient constituer la base de la législation et des réglementations nationales. De surcroît, certains délégués ont indiqué qu'ils craignaient que le projet de Directives ne soit utilisé pour ériger des obstacles au commerce.

36. Les participants n'ayant pu parvenir à un consensus malgré des débats approfondis en plénière, le Président a mis en place un groupe des « Amis du Président » chargé de parvenir à un consensus et composé des pays suivants: Afrique du Sud, Allemagne, Brésil, Canada, Chili, Égypte, États-Unis d'Amérique, Inde, Kenya, Namibie, Norvège, Ouganda, Sénégal et Thaïlande. Le Président a demandé au groupe de se concentrer en priorité sur les

paragraphe 7 et 17 (m) et de faire rapport en plénière. L'Inde a été élue à la présidence de ce groupe.

37. L'examen du point de l'ordre a été suspendu en attendant les délibérations du groupe des Amis du Président. Après la reprise de l'examen du point de l'ordre du jour, l'Inde, en tant que présidente du groupe des Amis du Président, a indiqué qu'un consensus s'était dégagé et que des amendements avaient été apportés aux paragraphes 7, 17 (m) et 18.

38. Les paragraphes, tels que modifiés, ont la teneur suivante:

Paragraphe 7:

Les Directives portent sur un ensemble de questions qui devraient être considérées comme pertinentes pour la certification en aquaculture, dont: a) la santé animale et le bien-être animal, b) la sécurité sanitaire des aliments, c) la préservation de l'environnement et d) les aspects socioéconomiques liés à l'aquaculture.

Paragraphe 17 (m): supprimé

Paragraphe 17 (*bis*)

Les présentes Directives relatives à la certification dans le domaine de l'aquaculture devraient tenir compte des besoins spécifiques des aquaculteurs et des gouvernements des pays en développement. Elles devraient également reconnaître que la FAO a un rôle particulier à jouer du fait qu'elle aide les pays en développement à concevoir un cadre d'application qui à la fois soit réaliste et permette des mesures. De même, la FAO devrait faciliter l'évaluation de la capacité des aquaculteurs et des gouvernements en matière de respect des exigences des systèmes de certification proposés, et énoncer des attentes réalistes en ce qui concerne le respect de ces exigences par les aquaculteurs et les gouvernements.

Paragraphe 18:

Des critères minimaux de fond pour l'élaboration de normes de certification en aquaculture sont fournis dans la présente section concernant a) la santé animale et le bien-être animal, b) la sécurité sanitaire des aliments, c) la préservation de l'environnement et d) les aspects socioéconomiques. La mesure dans laquelle un programme de certification cherche à aborder ces problématiques dépend de la finalité dudit programme et doit être présentée dans celui-ci de manière claire et transparente. Lors de l'élaboration de systèmes de certification, il faudrait tenir compte du fait qu'il importe de pouvoir mesurer le fonctionnement des systèmes et pratiques aquacoles et évaluer la conformité aux normes de certification.

39. Plusieurs membres, tout en appuyant l'adoption du projet de Directives, ont indiqué qu'ils craignaient que les Directives n'aboutissent à la création d'obstacles au commerce. Le Secrétariat et d'autres membres en étaient bien conscients, mais ils ont souligné que dans le texte des Directives tout avait été fait pour l'éviter. De surcroît, le Secrétariat a indiqué qu'il était d'usage à la FAO de s'efforcer d'éviter la création d'obstacles au commerce.

40. L'Argentine a formulé des réserves quant à l'insertion de la préservation de l'environnement et des aspects socioéconomiques associés à l'aquaculture en tant que domaines principaux dans le champ d'application du projet de Directives.

41. Le Brésil a fait part de réserves en ce qui concerne l'approbation du projet de Directives sur la certification en aquaculture. Les principaux domaines de préoccupation,

exposés dans le document qu'il avait établi et qui avait été distribué aux participants, concernaient notamment le bien-être animal, la préservation de l'environnement, la traçabilité, l'approche de précaution et les obstacles non tarifaires au commerce. Le Brésil a donc estimé que le texte devrait être remanié et ne pouvait être adopté en l'état, et il a souligné que les Directives sur la certification en aquaculture constituaient un outil efficace pour orienter l'élaboration de systèmes de certification privés et ne devraient pas aboutir à la création d'obstacles non tarifaires au commerce.

42. De nombreux membres ont évoqué la nécessité de réexaminer les Directives ultérieurement. Le Sous-Comité a reconnu que le fonctionnement et la mise en œuvre des Directives, assortis d'un mécanisme d'examen, devraient faire l'objet de débats à la prochaine session du Sous-Comité.

43. Compte tenu des explications et révisions qui précèdent, le Sous-Comité a adopté le projet de Directives et il a demandé au Comité des pêches de les approuver à sa vingt-neuvième session (elles sont reproduites à l'Annexe G).

44. Le Président et le Sous-Comité ont remercié les Amis du Président de leur excellent travail et de l'esprit constructif, de coopération et de transparence, dans lequel ils avaient opéré. La présidence habile et compétente de l'Inde avait également été très appréciée. Le Sous-Comité a pris acte avec satisfaction de la précieuse contribution de la Norvège à la présidence de la Consultation technique.

LA BIOSÉCURITÉ AQUATIQUE: ÉLÉMENT CLÉ POUR LE DÉVELOPPEMENT DURABLE DE L'AQUACULTURE

45. Le Secrétariat a présenté le document COFI:AQ/V/2010/5, qui contient une amorce de réflexion sur les grandes questions de biosécurité qui pèsent sur l'aquaculture moderne. Ces questions ont trait, entre autres, aux maladies transfrontières affectant les animaux aquatiques, aux préoccupations relatives à la sécurité sanitaire des aliments, aux risques pesant sur la santé publique liés à l'usage irresponsable de médicaments vétérinaires, aux invasions biologiques, ou encore à des problèmes affectant l'aquaculture en rapport avec des organismes génétiquement modifiés ou avec le changement climatique.

46. Le Sous-Comité a félicité la FAO pour un document de travail très complet, abordant de nombreux problèmes importants relevant de la notion générale de biosécurité, et il l'a remerciée d'avoir mis en avant la question de la biosécurité comme élément essentiel de l'aquaculture durable. Plusieurs membres se sont par ailleurs dits satisfaits de l'aide prêtée par la FAO à leur pays, en particulier après l'apparition du syndrome ulcératif épizootique (SUE) en Afrique australe.

47. De nombreux membres ont fait part de l'expérience par leur pays s'agissant de traiter les problèmes de biosécurité en aquaculture, par exemple dans les domaines des politiques, du dépistage des maladies, de la veille sanitaire et de la déclaration de maladies, de la biosécurité au niveau des exploitations agricoles, de la vaccination, de l'analyse et de la gestion des risques et de l'aménagement du territoire. Certains membres ont présenté leurs besoins au plan de la biosécurité et les possibilités d'améliorer celle-ci dans leur pays, par exemple en mettant au point des politiques appropriées, en suivant une démarche épidémiologique ou en examinant la question au niveau des exploitations.

48. De nombreux membres ont dit approuver les mesures de biosécurité présentées dans le document de travail et ont insisté sur la nécessité de prendre des mesures dès que possible, faisant valoir qu'il valait mieux prévenir que guérir. Il a toutefois été noté que certaines de ces mesures pouvaient être coûteuses et nécessiter un renforcement des infrastructures et des

capacités humaines. Des membres de la sous-région de l'Asie centrale et de la région du Caucase ont relevé qu'il était important de poursuivre le travail sur une stratégie régionale relative à l'introduction et au transfert responsables de poissons, qui serait un premier pas vers la protection de la biodiversité aquatique dans la sous-région.

49. Le Sous-Comité a reconnu que, compte tenu de la dimension transnationale de la biosécurité, il fallait une coopération régionale et un renforcement des capacités pour remédier aux situations d'urgence. Il a également été dit que les impacts sur la diversité biologique représentaient un problème important. Plusieurs membres ont demandé de l'aide pour mettre au point des stratégies et des plans de biosécurité régionaux et nationaux. De nombreux membres, joignant leur voix à celle d'orateurs précédents, ont déclaré qu'il était important de continuer à aider les pays d'Afrique australe à lutter contre la propagation rapide de l'épidémie de SUE dans le bassin du Zambèze et dans d'autres bassins hydrologiques et ont demandé un appui technique pour que soient mis en place un cadre de décision et une stratégie d'application régionaux sur pour la biosécurité aquatique.

50. Des membres se sont dits conscients qu'il fallait remédier aux impacts possibles des mesures de biosécurité sur les conditions de subsistance, en particulier chez les populations rurales pauvres.

51. De nombreux membres ont demandé à la FAO de définir des directives techniques sur l'introduction d'espèces allochtones. Compte tenu du fait qu'il est important d'examiner l'interaction entre aquaculture et pêche, certains membres ont demandé à la FAO d'intégrer la biosécurité dans l'élaboration de directives techniques de la FAO sur la pêche de loisir dans le cadre du Code de conduite pour une pêche responsable. Certains membres ont mis l'accent sur la nécessaire cohérence entre le travail de la FAO et celui mené par d'autres organes normatifs internationaux, dans le cadre de l'accord de l'Organisation Mondiale du Commerce sur l'application des mesures sanitaires et phytosanitaires, sur la question de la biosécurité aquatique.

52. Des membres ont affirmé que l'utilisation irresponsable de médicaments vétérinaires et les différences de cadres réglementaires et de modalités d'application selon les pays pouvaient être à l'origine de risques importants de biosécurité. Au sujet de l'évaluation des risques liés à la biosécurité, il a été noté que l'approche de précaution devait être étayée par des données scientifiques indiscutables et appliquée au moyen d'instruments internationaux reconnus et qu'elle ne saurait être employée pour faire obstacle au commerce.

53. Le Sous-Comité a reconnu que la biosécurité était une question essentielle non seulement pour le développement durable de l'aquaculture, mais aussi du point de vue de la santé publique et des moyens de subsistance ruraux. Ces considérations devaient donc être examinées à tous les niveaux, par des approches de la base vers le sommet et l'inverse visant les responsables politiques, les exploitants et toutes les parties prenantes sur l'ensemble de la filière, notamment les petits producteurs et les pêcheurs.

54. Le Sous-Comité a aussi reconnu que la biosécurité était une question qui concernait de nombreux secteurs et que, par conséquent, il fallait mieux comprendre les facteurs de risque au moment d'agir de manière intégrée.

55. Le Sous-Comité a encouragé les Membres à utiliser l'évaluation des risques et l'analyse des risques, instruments de prise de décisions importants, à l'heure de décider comment atteindre les objectifs convergents ou parfois contradictoires que sont la sécurité alimentaire, la croissance économique et la protection de la diversité biologique.

CHANGEMENT CLIMATIQUE ET AQUACULTURE: OPPORTUNITÉS ET DÉFIS EN MATIÈRE D'ADAPTATION ET D'ATTÉNUATION

56. Le Secrétariat a présenté le document COFI/AQ/V/2010/6 au titre du point 8 de l'ordre du jour, intitulé « Changement climatique et aquaculture: opportunités et défis en matière d'adaptation et d'atténuation ».

57. Ce document fournissait une brève analyse des incidences potentielles, directes et indirectes, du changement climatique sur le développement de l'aquaculture et sur les possibilités de renforcement de la résilience et de l'adaptabilité dans ce secteur. Le Sous-Comité a remercié le Secrétariat d'avoir inscrit le thème du changement climatique à l'ordre du jour et l'a félicité de la qualité du document.

58. Le Sous-Comité a recensé les groupes susceptibles d'être particulièrement exposés aux incidences du changement climatique, notamment les petits aquaculteurs qui ne disposent pas de ressources suffisantes pour pouvoir s'adapter. Certains Membres ont fait observer que les effets de l'élévation du niveau de la mer touchaient déjà les petits États insulaires en développement et les pays côtiers de faible altitude.

59. Un Membre a souligné que l'Afrique était le continent le moins préparé à faire face à l'impact du changement climatique, et a donc recommandé qu'un rang de priorité élevé soit attribué au renforcement des capacités d'adaptation et d'atténuation de ces effets, dans le cadre du Programme spécial pour le développement de l'aquaculture en Afrique (SPADA).

60. Certains Membres ont fait part de la nécessité de stratégies d'adaptation et d'atténuation à court et à long terme, et déclaré qu'une approche multidisciplinaire devait être mise en œuvre. Parmi les stratégies d'adaptation à court terme, ils ont indiqué: des changements dans la gestion, un meilleur zonage en aquaculture, la gestion de la santé des organismes aquatiques, la mise au point de systèmes d'alerte rapide et la météorologie. À long terme, ces stratégies comportaient le recours aux nouvelles technologies, la domestication et la sélection de nouvelles espèces aquacoles, et la mise au point de systèmes aquacoles. La réduction des émissions de gaz à effet de serre serait un élément essentiel de la stratégie d'atténuation.

61. Le changement climatique pouvait avoir des répercussions sur la disponibilité des ressources essentielles utilisées en aquaculture, notamment l'eau et les aliments aquacoles. Dans les zones qui étaient déjà en situation de déficit hydrique, l'évolution du climat risquait de contribuer à réduire encore plus la quantité et la qualité des ressources en eau. Il faudrait donc adopter une approche écosystémique intégrée dans laquelle le secteur de l'aquaculture jouerait un rôle clé.

62. La farine et l'huile de poisson risquaient elles aussi de se raréfier. Pour ce qui était des produits susceptibles de remplacer ces ingrédients dans les aliments aquacoles, il a été noté qu'il fallait prendre en compte la valeur nutritionnelle des aliments aquacoles ainsi que la valeur nutritionnelle et la qualité des produits finals et l'accueil fait par le consommateur à ces produits.

63. De nombreux Membres ont fait état d'innovations qui pourraient permettre de réduire et d'atténuer les effets du changement climatique, comme par exemple: l'aménagement de l'espace marin, notamment le positionnement des fermes aquacoles, pour optimiser l'utilisation des zones marines; l'utilisation des contreparties de la fixation du carbone, pour réduire les conflits avec d'autres utilisateurs; l'aquaculture multitrophique et la polyculture pour réduire l'eutrophisation et créer de la nourriture supplémentaire; et les systèmes de recyclage et l'aquaponie pour une utilisation plus efficace de l'eau.

64. L'introduction de variétés aquatiques améliorées favorisera également l'adaptation au changement climatique. Il pourrait notamment s'agir de stocks spécifiques exempts d'agents pathogènes, de stocks domestiques, ou de variétés mises au point dans le cadre de programmes d'amélioration génétique. L'utilisation responsable d'espèces exotiques pourrait également favoriser l'adaptation au changement climatique.

65. Les Membres ont recommandé que la base de connaissances sur le changement climatique et ses effets soit élargie. Ils ont insisté en particulier sur l'élévation de la température, l'acidification des océans, l'utilisation de modèles de prévision et les nouvelles sources d'énergie. Il a également été recommandé de mettre en place une base de données pour le suivi des incidences du changement climatique sur l'aquaculture et pour le catalogage des projets relatifs au changement climatique.

66. Un Membre était d'avis que la question du changement climatique devait être examinée dans le cadre d'autres tribunes, et que le Sous-Comité devait axer ses efforts sur d'autres domaines prioritaires. Dans sa réponse, le Secrétariat a rappelé le mandat de la Convention-cadre des Nations Unies sur les changements climatiques (CCNUCC), mais a également appelé l'attention sur les compétences spécialisées de la FAO dans le domaine des pêches et de l'aquaculture. Il était important que la FAO travaille en liaison avec d'autres instances internationales s'occupant du changement climatique, notamment la CCNUCC, qui n'avaient pas la vaste expérience de l'Organisation dans le secteur, afin de créer des synergies et pour éviter tout chevauchement des efforts.

67. Il a été suggéré que les méthodes d'analyse des incidences du changement climatique soient harmonisées, afin que les informations issues des différentes instances puissent faire l'objet d'analyses comparatives.

68. Les Membres ont noté qu'il était urgent de mettre en place une bonne gouvernance qui permette d'apporter des réponses appropriées aux incertitudes et aux conséquences imprévisibles du changement climatique.

VERS UNE EXPANSION DE L'AQUACULTURE PLUS AU LARGE DES CÔTES: QUESTIONS DE GOUVERNANCE ET DÉFIS

69. Le Secrétariat a présenté le document COFI/AQ/V/2010/7 au titre du point 9 de l'ordre du jour "Vers une expansion de l'aquaculture plus au large des côtes: questions de gouvernance et défis", qui présente et développe les grandes problématiques récentes touchant à l'aquaculture en mer, aborde les principaux obstacles au développement de celle-ci et quelques stratégies susceptibles d'y remédier, et décrit les défis qui se dessinent.

70. Le Sous-Comité a été invité à: i) réviser, si besoin, les informations présentées dans le document; ii) faire connaître les enseignements tirés au niveau national sur la gouvernance de l'aquaculture en haute mer et iii) fournir des indications au Secrétariat sur la juste marche à suivre concernant la gouvernance de l'aquaculture en haute mer.

71. Le Sous-Comité s'est félicité de la qualité du document du Secrétariat, que certains membres ont qualifié d'éclairant ou de visionnaire, tout en suggérant de nouvelles questions à développer ultérieurement et en demandant des éclaircissements d'ordre terminologique. Au sujet du contenu du document de travail, un membre a estimé qu'il ne devait pas être débattu plus avant de concepts tels que la traçabilité, la certification et la préférence des consommateurs et il a suggéré que les débats se concentrent sur la pratique de l'aquaculture en mer et ses effets aux plans juridique et environnemental.

72. La plupart des membres ont estimé qu'il était inévitable que l'aquaculture se développe plus loin au large des côtes pour que la planète puisse répondre à la demande croissante de

produits de la mer et ils ont préconisé que des technologies appropriées soient mises au point d'urgence dans ce domaine et qu'une assistance soit apportée aux pays en développement pour qu'ils aient accès à ces technologies.

73. Certains membres ont fait part de l'expérience de leur pays en matière de gouvernance de l'aquaculture au large des côtes. Ils ont indiqué que la participation de l'ensemble des parties prenantes aux prises de décisions, la réforme des dispositions légales et réglementaires, la recherche-développement et l'innovation, la planification et la mise en œuvre de pratiques de gestion optimales, y compris en matière de gestion intégrée des zones côtières et d'aquaculture multitrophique intégrée, étaient importantes pour assurer la viabilité du secteur à long terme.

74. Quelques membres ont fait observer que l'aquaculture pouvait aussi se développer hors des côtes dans les grands espaces aquatiques intérieurs et estimé que le débat devait donc porter aussi sur les eaux intérieures.

75. Les pays en développement ont adressé des demandes à la FAO et à d'autres partenaires du développement dans le sens d'une assistance ciblée, notamment en matière de renforcement des capacités, de définition de produits susceptibles de convenir et d'évaluation des impacts socioéconomiques dans les communautés ainsi que sur la société dans son ensemble à l'heure de développer l'aquaculture en haute mer.

76. Un membre a dit craindre que le développement de l'aquaculture en mer ne soit prématuré là où l'aquaculture continentale et côtière était insuffisamment développée. Il a fait valoir qu'il fallait plutôt prioritairement aider les pays à développer les pratiques aquacoles actuellement en usage.

77. Certains membres ont suggéré la prudence compte tenu des effets négatifs que risquait d'avoir le développement de l'aquaculture en haute mer.

78. Un certain nombre de membres ont estimé que l'élaboration d'un cadre de gouvernance pour l'aquaculture en haute mer n'était pas une priorité immédiate. Quelques membres ont suggéré que soit imposé un moratoire sur l'aquaculture en haute mer jusqu'à ce qu'on soit informé précisément des impacts et qu'on en comprenne les répercussions internationales au plan juridique. Mais plusieurs membres ont indiqué que les lois de l'État côtier s'appliquaient intégralement dans les eaux territoriales et les zones économiques exclusives et que, par ailleurs, le cadre juridique que constitue la Convention des Nations Unies sur le droit de la mer pouvait suffire à réglementer les activités aquacoles dans les zones situées au-delà de la juridiction nationale, y compris en haute mer. Un membre a par ailleurs estimé qu'il n'y avait pas assez d'éléments scientifiques justifiant un moratoire sur l'aquaculture en haute mer. Par conséquent, les membres n'ont pas abouti à un consensus sur la question.

79. Le Sous-Comité a recommandé:

- a. que la FAO s'emploie à préciser la terminologie technique et juridique relative à l'aquaculture au large des côtes, dans un souci de clarté.
- b. que de nouvelles activités soient menées afin de:
 - i. documenter et évaluer les impacts positifs et négatifs du développement de l'aquaculture au large des côtes, notamment les répercussions aux plans réglementaire et juridique;
 - ii. analyser la répartition géographique de la mariculture et rassembler des informations sur le développement de l'aquaculture au large des côtes, y compris dans les zones ne relevant pas d'une juridiction nationale;

- iii. établir un dossier documentaire sur les stratégies de développement des techniques d'aquaculture au large des côtes et sur des questions connexes, comme par exemple l'élevage, la santé des espèces animales aquatiques et les impacts possibles sur l'écosystème.

GROUPE DE TRAVAIL CHARGÉ DE COORDONNER LES STATISTIQUES DES PÊCHES: AQUACULTURE

80. Le Secrétariat a présenté le document COFI:AQ/V/2010/8 au titre du point 10 de l'ordre du jour, intitulé « Groupe de travail chargé de coordonner les statistiques des pêches ».

81. Le Sous-Comité a reconnu la nécessité accrue de disposer de statistiques aquacoles fiables et d'actualité, et d'élargir le champ de ces statistiques de façon à mieux surveiller et à gérer l'évolution de cette activité dans le monde entier. Il a jugé très pertinents les efforts de la FAO pour mettre à jour le cadre de statistiques aquacoles, y compris la mise au point d'un manuel du Groupe de travail pour les statistiques de l'aquaculture, qui vise à harmoniser les définitions, les normes et les méthodologies utilisées dans la collecte et la communication de données.

82. Plusieurs Membres ont informé les participants de l'urgente nécessité de renforcer les statistiques aquacoles dans leurs pays respectifs. Ils ont demandé l'assistance technique de la FAO pour renforcer leurs capacités en matière de collecte de données et ont salué la décision de mettre au point des normes statistiques tenant compte de certaines pratiques de production aquacole (mesures en nombre plutôt qu'en poids).

83. L'Union Européenne a informé le Sous-Comité de son Règlement du Conseil no. 672/2008, qui impose à tous ses membres de soumettre à EuroStat des statistiques aquacoles élargies.

84. De l'avis général, la collecte et la communication de données statistiques sur l'aquaculture devraient intégrer, dans la mesure du possible, les aspects socioéconomiques de l'aquaculture, notamment les moyens d'existence des petits aquaculteurs des pays en développement.

85. Certains Membres ont suggéré que le champ du cadre actuel de statistiques soit élargi de façon pratique et dans une mesure raisonnable, afin que tous les membres puissent participer et tirer parti des améliorations qui seraient apportées.

86. En sa qualité de membre du Groupe de travail chargé de coordonner les statistiques des pêches, le Réseau de centres d'aquaculture pour la région Asie et Pacifique (NACA) a réaffirmé la nécessité d'intégrer aux statistiques de l'aquaculture la production de poissons ornementaux, qui constitue un important moyen d'existence des producteurs artisanaux de nombreux pays, et de mettre au point des normes statistiques pertinentes. Dans sa réponse, le Secrétariat de la FAO a rappelé aux participants que la FAO s'intéressait avant tout à la production de denrées alimentaires, mais que l'incorporation de statistiques sur les poissons ornementaux pourrait être envisagée si l'on disposait de données fiables.

87. Le Sous-Comité a félicité le Groupe de travail et l'a encouragé à poursuivre ses travaux.

ÉVÉNEMENT SPÉCIAL - CONFÉRENCE MONDIALE SUR L'AQUACULTURE

88. Le Secrétariat a résumé, dans une présentation visuelle, le déroulement et les résultats de la Conférence mondiale sur l'aquaculture, tenue à Phuket, en Thaïlande, du 22 au 25 septembre 2010. La conférence avait été co-organisée par la FAO, le Réseau de centres d'aquaculture pour la région Asie et Pacifique (RCAAP) et le Ministère des pêches du Royaume de Thaïlande.

89. Ses principaux objectifs, comme l'a indiqué le Secrétariat, étaient d'évaluer les progrès de l'aquaculture dans le monde au cours des dix dernières années, depuis la Conférence sur l'aquaculture au troisième millénaire, et d'examiner l'évolution du secteur sur la base de la Déclaration et Stratégie de Bangkok. Le Secrétariat a expliqué le processus de planification de la Conférence. Plus de 650 personnes issues de 69 pays différents y avaient participé. Au programme technique avaient figuré deux discours liminaires, trois exposés présentés par des personnalités invitées, six examens régionaux, une synthèse sur l'aquaculture mondiale, 41 exposés d'universitaires, six sessions thématiques, 20 groupes d'experts et plus de 140 exposés affichés sur des panneaux.

90. Le Sous-Comité a été informé que la Conférence mondiale sur l'aquaculture 2010 avait adopté un document intitulé « Consensus de Phuket », qui réaffirmait l'engagement à suivre la Déclaration et Stratégie de Bangkok comme principale orientation pour le développement de l'aquaculture entre 2000 et 2025. Ce document analysait les éléments qui devaient être renforcés si l'on voulait plus d'efficacité, et si l'on voulait atteindre les objectifs de développement, faire face aux menaces et saisir les opportunités naissantes dans le secteur.

91. Le Sous-Comité a félicité les organisateurs de la Conférence et remercié la FAO de sa présentation. Il a pris note que la Déclaration et la Stratégie de Bangkok et la Conférence et le Consensus de Phuket avaient pour objet de renforcer la contribution du secteur aquacole à la réalisation des objectifs du Millénaire pour le développement.

QUESTIONS DIVERSES

92. Les Îles Cook, au nom des membres des îles du Pacifique présents à la session, ont demandé que soit mis en place un projet de coopération technique interrégionale de la FAO dont l'objet serait de renforcer la coopération entre les réseaux d'aquaculture. Le délégué des Îles Cook a également demandé à la FAO d'élaborer des directives techniques concernant l'utilisation d'espèces exotiques en aquaculture. Il a souligné que cette question devrait être traitée via un processus international et principalement dans le cadre du Code de conduite pour une pêche responsable. Aux fins de l'élaboration des directives, la FAO a été invitée à organiser une consultation d'experts, qui aurait pour mission d'examiner, entre autres, la question des espèces allochtones et envahissantes qui sont néanmoins importantes pour la sécurité alimentaire.

93. La Turquie a informé le Sous-Comité de la création du Programme régional pour le développement des pêches et de l'aquaculture en Asie Centrale dans le cadre du Programme de partenariat FAO/Turquie, qui prévoit également une aide à la mise en place de la Commission régionale des pêches et de l'aquaculture pour l'Asie centrale et le Caucase.

94. Le représentant de l'Azerbaïdjan, prenant la parole au nom des pays d'Asie centrale et du Caucase, a remercié la Fédération de Russie d'avoir facilité l'interprétation en russe lors de la session du Sous-Comité et a demandé à la FAO de continuer à avoir recours au Fonds fiduciaire pour la langue russe afin d'aider à assurer aux futures sessions du Comité la

traduction et l'interprétation en russe. Il a également remercié la FAO et la Turquie pour l'aide apportée pour lui permettre d'assister à la session.

95. Le délégué du Sénégal a indiqué que, suite à la construction de barrages sans passes à poissons dans de nombreux cours d'eau en Afrique, on avait constaté l'hybridation de diverses espèces et que, partant, des souches pures étaient en train de disparaître; que des espèces exotiques étaient introduites dans les habitats d'eau douce dégradés; et que, pour réduire les incitations à l'importation d'espèces exotiques, le Sénégal et d'autres pays africains devaient renforcer l'emploi d'espèces indigènes en les rendant plus productives grâce à des programmes d'amélioration génétique. Ils ont demandé l'aide de la FAO à cet effet.

REMERCIEMENTS

96. Le Sous-Comité a adressé ses remerciements et fait part de sa gratitude au peuple et au gouvernement du Royaume de Thaïlande pour leur chaleureuse hospitalité et pour l'excellente organisation de la session.

DATE ET LIEU DE LA SIXIÈME SESSION

97. La sixième session du Sous-Comité se tiendrait en 2012, en Afrique du Sud. Le Sous-Comité a remercié le Gouvernement sud-africain d'avoir proposé d'accueillir la session. La date et le lieu exacts seraient décidés en accord avec le Gouvernement sud-africain et communiqués aux membres lors de la vingt-neuvième session du Comité des pêches. L'Afrique du Sud a invité tous les membres, et en particulier les autres pays africains, à œuvrer à la réussite de cet événement.

ADOPTION DU RAPPORT

98. Le rapport de la cinquième session du Sous-Comité de l'aquaculture a été adopté le 1^{er} octobre 2010.

APERTURA DE LA REUNIÓN

1. La quinta reunión del Subcomité de Acuicultura del Comité de Pesca (COFI) se celebró en Phuket (Tailandia) del 27 de septiembre al 1.º de octubre de 2010 por amable invitación del Gobierno Real de Tailandia. Asistieron a ella 58 Miembros de la FAO, observadores de tres organizaciones intergubernamentales y tres organizaciones no gubernamentales internacionales. En el Apéndice B del presente informe figura la lista de delegados y observadores.

2. En nombre del Departamento de Pesca y Acuicultura y del Director General de la FAO, Sr. Jacques Diouf, el Sr. Kevern Cochrane, Director de la División de Utilización y Conservación de los Recursos de la Pesca y la Acuicultura, expresó la gratitud de la Organización al Gobierno Real de Tailandia por haber acogido la reunión. El Sr. Cochrane dio la bienvenida a todos los delegados que asistieron a la reunión y esbozó algunas de las cuestiones emergentes más importantes del sector que serían abordadas por el Subcomité. El texto íntegro de la declaración inaugural figura en el Apéndice D.

3. La Sra. Somying Piumsombun, Directora General del Departamento de Pesca de Tailandia dio la bienvenida a los delegados en nombre del Departamento y subrayó la función vital que desempeñan la pesca y la acuicultura tanto a nivel mundial como nacional y, en particular, su contribución a la seguridad alimentaria. El discurso de bienvenida se adjunta como Apéndice E del presente informe.

4. El Excmo. Sr. Theera Wongsamut, Ministro de Agricultura y Cooperativas de Tailandia pronunció el discurso de apertura en nombre del Gobierno Real de Tailandia. Reafirmó el compromiso del Gobierno Real de Tailandia respecto de la misión de la FAO y su apoyo a todos los esfuerzos orientados hacia la pesca y la acuicultura sostenibles. En el Apéndice F de este informe podrá encontrarse el texto del discurso de apertura.

ELECCIÓN DEL PRESIDENTE Y LOS VICEPRESIDENTES Y DESIGNACIÓN DEL COMITÉ DE REDACCIÓN

5. En ausencia del Presidente del Subcomité, el Secretario presentó este tema del programa. El Secretario dio las gracias a la Presidenta saliente del Subcomité, Sra. Marisol Álvarez (Chile), por sus aportaciones al Subcomité.

6. La Sra. Supranee Chinabut (Tailandia) fue elegida Presidenta del Subcomité. El Sr. Motseki Hlatshwayo (Sudáfrica) fue elegido primer Vicepresidente. Chile y Francia fueron elegidos Vicepresidentes segundo y tercero, respectivamente.

7. El Subcomité eligió al Sr. Yngve Torgersen (Noruega) Presidente del Comité de Redacción, que estaba integrado por, Alemania, Canadá, los Estados Unidos de América, India, Noruega, Papúa Nueva Guinea, Sudáfrica y Tailandia.

APROBACIÓN DEL PROGRAMA Y DISPOSICIONES ORGANIZATIVAS PARA LA REUNIÓN

8. El Subcomité aprobó el programa sin ningún cambio, tal como figura en el Apéndice A. En el Apéndice C se enumeran los documentos que se presentaron al Subcomité.

ESFUERZOS REALIZADOS POR EL DEPARTAMENTO DE PESCA Y ACUICULTURA DE LA FAO A FIN DE APLICAR LAS RECOMENDACIONES FORMULADAS POR EL SUBCOMITÉ DE ACUICULTURA DEL COFI EN SU ÚLTIMA REUNIÓN

9. La Secretaría presentó el documento COFI: AQ/IV/2010/2 e hizo referencia al documento COFI:AQ/IV/2010/Inf.5, proporcionando una breve exposición de las actividades emprendidas por el Departamento de Pesca y Acuicultura de la FAO con vistas a aplicar las recomendaciones formuladas por el Subcomité en su cuarta reunión y abordar las esferas prioritarias por él señaladas.

10. Varios países felicitaron a la FAO por el documento exhaustivo sobre los esfuerzos realizados hasta la fecha por el Departamento de Pesca y Acuicultura de la FAO a fin de aplicar las recomendaciones formuladas por el Subcomité de Acuicultura del COFI en sus últimas reuniones. El Subcomité reafirmó su apoyo a las actividades de la FAO y expresó su satisfacción por los progresos realizados, especialmente considerando lo limitado de los recursos financieros. Las realizaciones en materia de estudios, examen de cuestiones temáticas, talleres y otras actividades durante el pasado período siguen contribuyendo al desarrollo sostenible de la acuicultura, por lo que la FAO debería seguir en esta línea y promover una integración mejor de las cuestiones ambientales y las consideraciones sociales.

11. El Subcomité reiteró la necesidad de proporcionar nuevo apoyo y dar prioridad de forma continua a África. Los países del Pacífico participantes en la reunión pidieron al Subcomité que destinara la ayuda también a los países acuícolas menos adelantados, por ejemplo, los países insulares del Pacífico que están interesados en el desarrollo de la maricultura de conformidad con el Código de Conducta para la Pesca Responsable (CCPR) y respaldando las directrices técnicas para el desarrollo de la acuicultura, a la vez que se preserva la biodiversidad en la región, que es una de las más elevadas del mundo.

12. Muchos países apreciaron la función que desempeña la FAO en la promoción y el establecimiento de diferentes sistemas, redes y otros programas de información basados en la web entre los países. Se hizo especial referencia al Programa especial para el desarrollo de la acuicultura en África (SPADA), la Red africana de acuicultura (ANAF) y la Red de acuicultura de las Américas (RAA), y se instó a la FAO que realizara nuevos esfuerzos para fortalecer estas redes entre los países. Se reconocieron el papel y el estatus de la Red de centros de acuicultura de Asia y el Pacífico (NACA) en cuanto red regional exitosa.

13. Algunos Miembros subrayaron la necesidad de que los órganos regionales de pesca (órganos de la FAO y ajenos a la FAO) y las redes de acuicultura trabajaran con la FAO para evitar toda duplicación de actividades y aumentar al máximo las sinergias, en beneficio de los Estados Miembros. Se recomendó la participación activa de dichos órganos y redes en la programación, así como la aplicación de actividades sobre el terreno.

14. Miembros de la región de Asia central y el Cáucaso informaron sobre la disminución espectacular de la producción acuícola en la región e hicieron énfasis en la necesidad de revitalizar el sector. Solicitaron el apoyo urgente de la FAO y otros donantes. La Comisión de Pesca y Acuicultura para Asia Central y el Cáucaso (CACFAC) y el Programa regional de Asia central para el desarrollo de la pesca y la acuicultura (FishDev Asia central) serán protagonistas importantes en lograr los objetivos en la región. la Comisión Regional.

15. Teniendo en cuenta su importancia y la máxima urgencia, un amplio número de países pidió la aceleración del proceso de finalización de las directrices técnicas sobre la certificación de la acuicultura para que los países puedan iniciar y planificar su aplicación. Algunos países solicitaron también asistencia para la creación de capacidad (incluido el apoyo

financiero), allí donde sea necesario, para poder aplicar las directrices técnicas a fin de asegurar la igualdad de condiciones entre los países, ya que no todos los países tienen la capacidad adecuada ni están en condiciones de aplicar las directrices de certificación una vez aceptadas.

16. El Subcomité reconoció la necesidad de proporcionar a los Miembros constante apoyo técnico y creación de capacidad (por ejemplo, directrices, formación, enseñanza y servicios de apoyo) en los sectores de la alimentación animal, la genética, y la conservación y utilización sostenibles de los recursos genéticos acuáticos, las especies exóticas, el enfoque ecosistémico de la acuicultura y la bioseguridad acuática. En particular, varios países pidieron a la FAO que elaborara directrices técnicas sobre el uso de especies exóticas en la acuicultura. Varios miembros señalaron la importancia del acceso y la distribución de beneficios con respecto a los recursos genéticos acuáticos.

17. Se reiteró que la creación de un marco estratégico para el Subcomité (de acuerdo con las recomendaciones de la cuarta reunión) permitiría a la FAO identificar y evaluar mejor las actividades concluidas y las que estaban en curso, así como las prioridades que no pudieron atenderse a causa de las limitaciones de recursos. Se subrayó también la importancia de trabajar en estrecha colaboración con el Subcomité de Comercio Pesquero. Se informó al Subcomité de que el Departamento de Pesca y Acuicultura y la FAO están llevando a cabo un proceso de reforma para responder a las crecientes demandas de los Miembros, mientras la capacidad y los recursos siguen siendo en gran medida constantes. La Secretaría informó al Subcomité de que es importante asegurar que los recursos y la capacidad se utilicen en el proceso de la manera más eficiente posible y que, para facilitar esta tarea, la FAO está llevando a cabo un enfoque de gestión basada en los resultados. Se están siguiendo de cerca los progresos y se informará a los Miembros acerca de su evolución a través de las reuniones del Subcomité y por medio del COFI. Por lo que respecta a la financiación extrapresupuestaria, la Secretaría informó de que el Departamento está interactuando constantemente con los donantes y explorando todas las oportunidades para asegurar la financiación destinada a apoyar las prioridades de los Miembros. El tercer elemento de los intentos de la FAO para responder a las peticiones de los Miembros era la necesidad de establecer prioridades claras. A este respecto, el asesoramiento de los Miembros era esencial, por lo que se alentó al Subcomité a examinar y asesorar sobre los elementos del marco estratégico. Algunos Estados Miembros expresaron su interés en participar en el proceso.

MEJORA DE LA INFORMACIÓN DE LOS PROGRESOS REALIZADOS EN LA APLICACIÓN DE LAS DISPOSICIONES DEL CÓDIGO DE CONDUCTA PARA LA PESCA RESPONSABLE (CCPR) RELATIVAS A LA ACUICULTURA Y LA PESCA BASADA EN EL CULTIVO Y LA PROPUESTA DE MECANISMO REVISADO DE PRESENTACIÓN DE INFORMACIÓN SOBRE EL CCPR CON UNA ESTRUCTURA DE CUESTIONARIO INTERACTIVO

18. La Secretaría presentó el documento COFI:AQ/V/2010/3 en el marco del tema 5 del programa (Mejora de la información de los progresos realizados en la aplicación de las disposiciones del Código de Conducta para la Pesca Responsable (CCPR) relativas a la acuicultura y la pesca basada en el cultivo y la propuesta de mecanismo revisado de presentación de información sobre el CCPR con una estructura de cuestionario interactivo).

19. En el documento se proporcionaba un panorama general de la situación y las tendencias en el avance de la aplicación del Código sobre la base de estudios realizados durante el período 2004-2008 y se proponía un cuestionario revisado, así como nuevas mejoras en el mecanismo de presentación de información con motivo de las recomendaciones del Subcomité en su cuarta reunión.

20. Se invitó al Subcomité a realizar comentarios sobre el análisis y la propuesta, a recomendar iniciativas específicas de seguimiento a fin de elaborar y aplicar el mecanismo recomendado de presentación de información, así como a recomendar un calendario para la finalización de la tarea.

21. Muchos Miembros expresaron su agradecimiento a la Secretaría de la FAO por la notable mejora del cuestionario. Algunos países destacaron la importancia del cuestionario como instrumento para la autoevaluación y el inicio del diálogo entre la Secretaría de la FAO y los Miembros de la FAO. El cuestionario podría ayudar a los países a mejorar la gobernanza en la acuicultura.

22. Algunos Miembros destacaron la necesidad de incluir espacio en el cuestionario para los países con el fin de proporcionar detalles y clarificaciones más allá de la puntuación numérica, lo que permitirá que la Secretaría realice un análisis en profundidad. También se sugirió que el manual de instrucciones, con orientaciones para completar el cuestionario, proporcionara explicaciones claras sobre el sistema de clasificación.

23. Un Miembro consideró que en la Parte 3 se incluían cuestiones que se encuentran, en algunos casos, fuera de la responsabilidad, jurisdicción o control de los gobiernos y superan los requisitos de cumplimiento del Código en cuanto a la evaluación. Sin embargo, en otra intervención se destacó que la sección se denomina mecanismo de mejora y, por tanto, se pone a disposición para que cada país considere dichos mecanismos como opciones para la mejora del cumplimiento. La Secretaría puntualizó que esta sección podría ser optativa en el mecanismo de presentación de información.

24. Algunos Miembros pidieron que en la versión revisada se incluyeran cuestiones sobre la existencia de un sistema de recolección de datos e información, así como los marcos institucionales pertinentes a tales efectos. Algunos Miembros sugirieron que un cuestionario simplificado podría dar lugar a una tasa de respuesta más elevada.

25. Diferentes Miembros destacaron que es importante ser congruente y coherente en la supervisión del progreso alcanzado con respecto al cumplimiento del Código al supervisar el Artículo 9 (Desarrollo de la acuicultura) y el Artículo 11 (Comercio pesquero).

26. Algunos Miembros pidieron que la FAO hiciera un esfuerzo para asegurar que el cuestionario llegue a un coordinador en cada país con capacidad de coordinar las tareas consistentes en rellenar el cuestionario y propuso que las oficinas regionales y subregionales de la FAO desempeñaran una función en la distribución de los cuestionarios y en la coordinación de las respuestas con el fin de incrementar la tasa de respuesta.

27. Si bien se sugirió que el cuestionario fuese enviado a modo de prueba a un número determinado de países, el Subcomité recomendó que el cuestionario lo rellenasen todos los Miembros cada bienio y que los dos períodos siguientes de presentación de información se utilizaran para poner a prueba el nuevo cuestionario en lo referente a sus tendencias y congruencia, y se elaborasen informes intermedios en cada uno de los dos ciclos de presentación de informes al Subcomité.

28. En relación con la reciente inclusión de los recursos genéticos acuáticos en el programa de trabajo plurianual de la Comisión de Recursos Genéticos para la Alimentación y la Agricultura (CRGAA), se solicitó que la FAO continuara y promoviera el trabajo con la Comisión a fin de preparar el Estado mundial de los recursos genéticos acuáticos para la alimentación y la agricultura, siempre que se dispusiera de recursos financieros.

DIRECTRICES PARA LA CERTIFICACIÓN EN LA ACUICULTURA

29. La Secretaría presentó los documentos COFI:AQ/V/2010/4 y COFI:AQ/V/2010/Inf.7 en relación con el tema 6 del programa. En ellos se exponía el proceso consultivo preparatorio que había desarrollado la FAO y el proyecto de Directrices técnicas para la certificación en la acuicultura resultante, para el que se solicitaba la finalización y aprobación por el Subcomité.

30. La Secretaría informó al Subcomité de que durante la última Consulta técnica, celebrada en Roma en febrero de 2010, se habían logrado progresos importantes hacia la finalización del proyecto de Directrices y se había alcanzado el consenso sobre el documento con la excepción del párrafo 7 relativo al alcance y el párrafo 17 m) referente a los principios.

31. El Subcomité agradeció a la FAO y a los miembros de la Consulta técnica el intenso trabajo realizado para preparar el proyecto de Directrices. Subrayó la necesidad del proyecto de Directrices técnicas para la certificación en la acuicultura a fin de fomentar la armonización y reducir la confusión en la mayor medida posible ante la proliferación de planes de certificación.

32. Varios miembros subrayaron la importancia de que en el proyecto de Directrices se incluyeran las cuatro áreas principales de certificación, a saber, a) la salud y el bienestar de los animales b) la inocuidad de los alimentos c) la integridad ambiental, y d) los aspectos socioeconómicos, teniendo en cuenta que estas cuestiones se abordaban en el contexto del Código de Conducta para la Pesca Responsable y que el proyecto de Directrices debía reflejar los artículos pertinentes de dicho Código y ser consecuente con ellos.

33. Algunos miembros señalaron que la inclusión de todas las áreas principales desde un principio en el proyecto de Directrices supondría una carga para los acuicultores en pequeña escala y para aquellos países que disponían de capacidad limitada para aplicar las Directrices. Recomendaron que se incluyeran sólo algunas de esas áreas y que las demás se fueran incorporando progresivamente.

34. Varios miembros observaron que algunas de esas áreas de certificación principales estaban incluidas en los mandatos de otros acuerdos internacionales, por ejemplo, la salud y el bienestar de los animales en el de la Organización Mundial de Sanidad Animal (OIE) y la inocuidad de los alimentos en el del Codex Alimentarius. Se expresó también que para otras áreas, como el bienestar de los animales, la integridad ambiental y los aspectos sociales, no existían normas internacionales acordadas, motivo por el cual no debían figurar entre las áreas principales.

35. Algunos miembros observaron que una vez aprobadas, las Directrices podrían servir de base para la legislación y la reglamentación internacionales. Además, algunos delegados manifestaron preocupación por la posibilidad de que el proyecto de directrices se utilizara de forma tal que constituyera un obstáculo para el comercio.

36. En vista de que en la sesión la plenaria no había sido posible llegar a un consenso ni siquiera tras un extenso debate, el Presidente estableció un grupo de “Amigos del Presidente” integrado por Alemania, Brasil, Canadá, Chile, Egipto, Estados Unidos de América, India, Kenya, Namibia, Noruega, Senegal, Sudáfrica, Tailandia y Uganda para que le ayudara a lograr tal consenso. El Presidente recomendó al grupo que se dedicara con carácter prioritario a los párrafos 7 y 17 (m), y que presentara luego un informe ante la plenaria. Se eligió a la India para presidir dicho grupo.

37. Este tema del programa se dejó en suspenso en espera de las deliberaciones del grupo de Amigos del Presidente. Al reanudarse el debate sobre el tema la India, en su calidad de

Presidente de dicho Grupo, notificó que se había llegado un consenso en virtud del cual se enmendarían los párrafos 17 (m) y 18.

38. Los párrafos enmendados dicen lo siguiente:

Párr. 7:

Las Directrices tratan una variedad de temas que deberían considerarse pertinentes para la certificación en la acuicultura, a saber: a) la salud y el bienestar de los animales; b) la inocuidad alimentaria; c) la integridad ambiental; d) los aspectos socioeconómicos relacionados con la acuicultura.

Párr. 17 (m): suprimido.

Párr. 17 *bis*:

Las presentes Directrices para la certificación en la acuicultura deberían reconocer las necesidades especiales de los acuicultores y los gobiernos de los países en desarrollo. Deberían reconocer asimismo la función especial que compete a la FAO de ayudar a los países en desarrollo a elaborar un marco de aplicación que sea realizable y mensurable. Al mismo tiempo la FAO debería facilitar la evaluación de la capacidad de los acuicultores y los gobiernos para satisfacer los requisitos propuestos de los sistemas de certificación de la acuicultura y fomentar expectativas realistas con respecto al cumplimiento de dichos requisitos por parte de los acuicultores y los gobiernos.

Párr. 18:

En esta sección se indican los criterios sustantivos mínimos para elaborar normas de certificación en la acuicultura en relación con a) la salud y el bienestar de los animales, b) la inocuidad alimentaria, c) la integridad ambiental y d) los aspectos socioeconómicos. El grado en que un sistema de certificación busca tratar estas cuestiones depende de los objetivos del sistema, que deberían declararse de manera explícita y transparente en el mismo. Al elaborar los sistemas de certificación debería considerarse la importancia de poder medir el desempeño de los sistemas y prácticas de acuicultura así como la capacidad de evaluar la conformidad con las normas de certificación.

39. Varios miembros, aunque respaldaban la adopción del proyecto de Directrices, expresaron su inquietud por la posibilidad de que estas crearan obstáculos para el comercio. La Secretaría y otros miembros reconocieron estas inquietudes pero insistieron en que en el texto de las Directrices se había hecho todo lo posible por evitar tal riesgo. Además, la Secretaría informó de que era práctica habitual de la FAO esforzarse por evitar que se crearan obstáculos al comercio.

40. La Argentina expresó sus reservas con respecto a la inclusión de la integridad ambiental y los aspectos socioeconómicos vinculados a la acuicultura entre las esferas principales mencionadas en el alcance del proyecto de Directrices.

41. El Brasil manifestó sus reservas sobre la aprobación del proyecto de Directrices para la certificación en la acuicultura. Sus principales motivos de preocupación, según se exponían en un documento distribuido durante la reunión, se relacionaban con el bienestar de los animales, la integridad ambiental, la rastreabilidad, el enfoque precautorio y los obstáculos comerciales no arancelarios, entre otros aspectos. Por consiguiente, el Brasil consideraba que era necesario seguir trabajando en el texto y que el mismo no debía aprobarse en esta etapa. El Brasil subrayó que las Directrices para la certificación en la acuicultura constituían un

instrumento eficaz para guiar la elaboración de planes de certificación privada y que no deberían traducirse en obstáculos no arancelarios.

42. Muchos miembros mencionaron la necesidad de revisar las Directrices en el futuro. El Subcomité convino en que en su reunión siguiente se examinaría el desempeño y la aplicación de las Directrices junto con un mecanismo de revisión.

43. Con las explicaciones y revisiones mencionadas, el Subcomité aprobó el proyecto de Directrices y pidió que el Comité de Pesca (COFI) las aprobara en su 29.º período de sesiones (véanse las Directrices en el Apéndice G).

44. El Presidente y el Subcomité agradecieron a los Amigos del Presidente la excelente labor realizada y el espíritu de cooperación constructiva y transparente con que habían trabajado. También se agradeció calurosamente la atinada orientación que había impartido la India en su conducción del grupo de Amigos del Presidente. El Subcomité manifestó su reconocimiento profundo por la valiosa contribución aportada por Noruega en su calidad de Presidente de la Consulta Técnica.

BIOSEGURIDAD ACUÁTICA: UNA CLAVE PARA EL DESARROLLO DE LA ACUICULTURA SOSTENIBLE

45. La Secretaría presentó el documento COFI:AQ/V/2010/5, que contenía un examen introductorio de las preocupaciones más importantes en materia de bioseguridad que afectaban a la acuicultura moderna. Estas se relacionaban con las enfermedades transfronterizas de los animales acuáticos, con aspectos de la inocuidad de los alimentos, con los riesgos para la salud pública derivados del uso irresponsable de medicamentos veterinarios, con las invasiones biológicas, con los problemas vinculados a la presencia de organismos acuáticos modificados genéticamente en la acuicultura y con el cambio climático.

46. El Subcomité se congratuló con la FAO por este documento, que trataba con amplitud muchas cuestiones importantes relacionadas con el concepto general de bioseguridad, y manifestó su reconocimiento a la Organización por destacar el tema de la bioseguridad como elemento fundamental de la acuicultura sostenible. Varios miembros también manifestaron su aprecio por la asistencia que había brindado la FAO a sus países, en particular ante la emergencia relacionada con el síndrome ulceroso epizoótico (SUE) en África meridional.

47. Numerosos miembros expusieron sus experiencias nacionales en el tratamiento de las cuestiones relativas a la bioseguridad en la acuicultura, por ejemplo en lo relativo a las políticas, el diagnóstico, la vigilancia y la notificación de las enfermedades, la bioseguridad en las explotaciones, la vacunación, el análisis y la gestión de los riesgos y la planificación espacial. Algunos miembros expresaron sus necesidades y oportunidades de mejorar la bioseguridad, por ejemplo en lo tocante a la formulación de las políticas apropiadas, los aspectos epidemiológicos y la bioseguridad en las explotaciones.

48. Muchos miembros respaldaron las medidas de bioseguridad presentadas en el documento de trabajo e insistieron en que debían comenzar a adoptarse lo antes posible, aplicando el principio de que prevenir es mejor que curar. Al mismo tiempo se observó que algunas de estas medidas podían tener un costo elevado y requerir el desarrollo de la infraestructura y la capacidad humana. Miembros de la región de Asia central y el Cáucaso destacaron la importancia del trabajo en curso dirigido a elaborar una estrategia regional para la introducción y transferencia responsable de pescado como primer paso hacia la protección de la biodiversidad acuática en la región.

49. El Subcomité reconoció que la dimensión transfronteriza del tema hacía necesaria la cooperación regional y la creación de capacidad para enfrentar emergencias relacionadas con la bioseguridad. También se señaló que las repercusiones de esta última en la biodiversidad constituían un importante motivo de preocupación. Varios miembros pidieron asistencia para elaborar sus planes y estrategias nacionales en materia de bioseguridad. Además, muchos miembros reiteraron la importancia de que se siguiera brindando ayuda para enfrentar el problema de la rápida difusión de la epidemia de SUE en la cuenca del Zambezi y en otras masas de aguas y pidieron apoyo técnico para elaborar un marco normativo regional sobre bioseguridad acuática y una estrategia de aplicación.

50. Los miembros reconocieron la necesidad de abordar las posibles repercusiones de la bioseguridad en los medios de vida, sobre todo de la población rural pobre.

51. Muchos miembros pidieron que la FAO elaborara directrices técnicas sobre la introducción de especies. Considerando la importancia de abordar la interacción entre la acuicultura y la pesca, algunos miembros pidieron a la FAO que incorporara la bioseguridad en la preparación de las Directrices técnicas sobre pesca recreativa del Código de Conducta para la Pesca Responsable. Los miembros destacaron también la necesidad de asegurar la coherencia entre el trabajo de la FAO relacionado con la bioseguridad acuática y el de otros órganos internacionales que establecían normas en virtud del Acuerdo sobre la Aplicación de Medidas Sanitarias y Fitosanitarias de la Organización Mundial del Comercio.

52. Los miembros compartían la opinión de que el uso irresponsable de los medicamentos veterinarios, así como las diferencias entre los marcos de regulación y la aplicación de los mismos en los distintos países, podían entrañar riesgos considerables para la bioseguridad. Con respecto a la evaluación de dichos riesgos, se observó que la aplicación de un enfoque precautorio debía basarse en los mejores conocimientos científicos disponibles y en los instrumentos internacionales acordados y no debía utilizarse como obstáculo para el comercio.

53. El Subcomité reconoció que la bioseguridad era una cuestión fundamental no solamente en el desarrollo sostenible de la acuicultura sino también para la salud humana y los medios de vida rurales. Por consiguiente estas consideraciones debían abordarse a todos los niveles mediante enfoques descendentes y ascendentes dirigidos a los responsables de las políticas, a los acuicultores y a todos los grupos interesados a lo largo de la cadena de valor, en particular los pequeños productores y pequeños pescadores.

54. El Subcomité reconoció también que la bioseguridad era un tema transversal que atravesaba diversos sectores, por lo que requería una comprensión más profunda de los factores de riesgo a la hora de abordar una acción integrada.

55. El Subcomité alentó a los miembros a utilizar la evaluación y el análisis de riesgos como una importante herramienta de adopción de decisiones a fin de establecer cómo podían alcanzarse los objetivos, en parte superpuestos y a veces conflictivos, de la seguridad alimentaria, el crecimiento económico y la protección de la biodiversidad.

CAMBIO CLIMÁTICO Y ACUICULTURA: OPORTUNIDADES Y EXIGENCIAS PARA LA ADAPTACIÓN Y LA MITIGACIÓN

56. La Secretaría presentó el documento COFI/AQ/V/2010/6, relativo al tema 8 del programa, titulado “Cambio climático y acuicultura: oportunidades y exigencias para la adaptación y la mitigación”.

57. En el documento se presentaba un breve análisis de las posibles repercusiones, tanto directas como indirectas, del cambio climático en el desarrollo de la acuicultura y en las opciones para aumentar la capacidad de resistencia y la adaptabilidad del sector. El Subcomité felicitó a la Secretaría por haber incluido la cuestión del cambio climático en el programa y por la calidad del documento.

58. El Subcomité identificó varios grupos que serían particularmente vulnerables a las repercusiones del cambio climático, en especial los acuicultores en pequeña escala que quizás cuenten con recursos limitados para adaptarse. Algunos miembros observaron que el efecto del aumento del nivel del mar está afectando ya a los pequeños Estados insulares en desarrollo (PEID) y a los países con zonas costeras bajas.

59. Un miembro declaró que África era el continente menos preparado para hacer frente a las repercusiones del cambio climático y recomendó que en el Programa especial para el desarrollo de la acuicultura en África (SPADA) se concediera una elevada prioridad al incremento de la capacidad de adaptación al cambio climático y mitigación de sus efectos.

60. Los miembros señalaron que eran necesarias estrategias de adaptación y mitigación tanto a corto como a largo plazo y que debería aplicarse un enfoque multidisciplinario. Las estrategias a corto plazo podrían incluir cambios de la ordenación, la mejora de la zonificación para la acuicultura, la gestión de la sanidad acuática, el establecimiento de sistemas de alerta temprana y el uso de sistemas de vigilancia meteorológica. Las estrategias a más largo plazo comprendían el uso de nuevas tecnologías, la domesticación y el fomento de nuevas especies de acuicultura y el desarrollo de sistemas de acuicultura. Un aspecto esencial para la mitigación será reducir las emisiones de gases de efecto invernadero.

61. El cambio climático podría afectar a la disponibilidad de recursos fundamentales para la acuicultura, como el agua y los piensos. En zonas que ya sufren el estrés hídrico, el cambio climático podría causar una reducción aun mayor de la cantidad de agua y de su calidad. Por consiguiente, tendrá que aplicarse un enfoque ecosistémico integrado y el sector de la acuicultura representa una parte interesada importante a ese respecto.

62. También podrían llegar a ser más limitada la disponibilidad de harina y aceite de pescado. Con vistas a encontrar sustitutos para el pescado usado en los piensos acuícolas, se observó que debía considerarse el valor del pienso así como el valor nutricional, la calidad y la aceptación por los consumidores del producto final.

63. Muchos miembros señalaron innovaciones que podrían ayudar a reducir y mitigar los efectos del cambio climático, como la planificación espacial marina con objeto de optimizar el uso de las zonas marinas (incluida la ubicación de las granjas) y reducir los conflictos con otros usuarios, el uso de la compensación del carbono, la acuicultura multitrófica y el policultivo a fin de reducir la eutroficación y producir alimentos adicionales, así como sistemas de recirculación y de hidropónica para favorecer un uso más eficiente del agua.

64. También será de ayuda para la adaptación al cambio climático el uso de variedades mejoradas de especies acuáticas. Entre las variedades mejoradas podrían figurar poblaciones libres de agentes patógenos específicos, poblaciones domesticadas y variedades derivadas de programas de mejoramiento genético. El uso responsable de especies exóticas podría contribuir asimismo a la adaptación al cambio climático.

65. Los miembros recomendaron que se ampliara la base de conocimientos en relación con el cambio climático y sus repercusiones. Algunas esferas de especial interés eran el aumento de las temperaturas, la acidificación de los océanos, el uso de modelos predictivos y fuentes de energía alternativas. Asimismo se recomendó el establecimiento de una base de datos para

seguir las repercusiones del cambio climático en la acuicultura y catalogar los proyectos relativos al cambio climático.

66. Un miembro manifestó que el cambio climático debía abordarse en otros foros y que el Subcomité debía centrarse en otras esferas prioritarias. En respuesta a esa observación, la Secretaría reconoció el mandato de la Convención Marco de las Naciones Unidas sobre el Cambio Climático (CMNUCC), pero señaló también a la atención del Subcomité la experiencia de la FAO en relación con la pesca y la acuicultura. Era importante que la FAO estableciera vínculos con otros foros internacionales sobre el cambio climático, especialmente el CMNUCC, que no contaban con la amplitud de la experiencia en sectores específicos de la FAO a fin de lograr sinergias y evitar la duplicación de esfuerzos.

67. Se sugirió que serían necesarios métodos de análisis armonizados sobre las repercusiones del cambio climático de manera que la información generada en los diferentes foros fuera comparable.

68. Los miembros señalaron la importancia y la urgencia de una buena gobernanza que permitiera reaccionar de modo apropiado para abordar la incertidumbre y los efectos imprevistos del cambio climático.

EXTENSIÓN DE LA ACUICULTURA EN MAR ABIERTO: DESAFÍOS Y CUESTIONES RELATIVAS A LA GOBERNANZA

69. La Secretaría presentó el documento COFI/AQ/V/2010/7 relacionado con el tema 9 del programa, “Extensión de la acuicultura en mar abierto: desafíos y cuestiones relativas a la gobernanza”; en el informe se exponían importantes novedades en el ámbito de la acuicultura en mar abierto y se analizaban los principales impedimentos para su desarrollo así como algunas de las posibles estrategias para mitigarlos, a la vez que se destacaban los retos futuros.

70. Se invitó al Subcomité a que i) revisara, según procediera, la información presentada en el documento; ii) pusiera en común las experiencias nacionales sobre la gobernanza de la acuicultura en mar abierto y iii) proporcionara orientación a la Secretaría sobre el camino adecuado por seguir con respecto a esta cuestión.

71. El Subcomité se congratuló con la Secretaría por el documento, que algunos miembros calificaron de conceptuoso o de visionario al tiempo que propusieron nuevos aspectos para su examen en documentos futuros, así como la aclaración de la terminología sobre el tema. En respuesta al documento de trabajo, un miembro consideró que conceptos como la rastreabilidad, la certificación y las preferencias de los consumidores no debían seguir examinándose y sugirió que los nuevos debates se centraran en la práctica de la acuicultura en mar abierto y sus efectos legales y ambientales.

72. La mayoría de los miembros consideraban inevitable que se siguiera extendiendo la acuicultura en mar abierto a fin de que el mundo pudiera satisfacer su demanda cada vez mayor de alimentos marinos, por lo que exhortaron a elaborar tecnologías apropiadas para tal extensión y a prestar asistencia a los países en desarrollo para acceder a las mismas.

73. Algunos miembros expusieron sus experiencias en materia de gobernanza de la acuicultura en mar abierto. Indicaron que a fin de respaldar la sostenibilidad del sector era importante la participación de todos los interesados directos en los procesos de adopción de decisiones, así como la aplicación de reformas legislativas y reglamentarias, la investigación y desarrollo y la innovación, la planificación y la aplicación de las mejores prácticas de

ordenación, en particular la ordenación integrada de zonas costeras y la acuicultura multitrófica integrada.

74. Algunos miembros observaron que la acuicultura también podría extenderse lejos de la costa en las grandes masas acuáticas continentales, por lo que el debate debía ampliarse también a las aguas continentales.

75. Los países en desarrollo formularon diversos pedidos de que la FAO y otros asociados proporcionaran asistencia específica, en particular para el aumento de la capacidad, la identificación de posibles productos idóneos y la evaluación de las repercusiones socioeconómicas que podría tener en las comunidades, así como en la sociedad en su conjunto, el desarrollo de la acuicultura en mar abierto.

76. Un miembro expresó su preocupación de que la acuicultura en mar abierto resultara prematura en circunstancias de subdesarrollo de esta actividad en las aguas continentales y ribereñas. Manifestó la opinión de que era oportuno, en cambio, que se diera prioridad a brindar asistencia a los países para el fomento de las prácticas acuícolas vigentes.

77. Algunos países sugirieron una actitud prudente con respecto a los posibles efectos negativos del desarrollo de la acuicultura en mar abierto.

78. Varios miembros manifestaron que no consideraban que la elaboración de un marco de gobernanza de la acuicultura en mar abierto constituyera una prioridad inmediata. Algunos miembros propusieron que se adoptara una moratoria para la acuicultura en mar abierto hasta tanto se documentaran sus consecuencias y se conocieran sus implicaciones legales. Sin embargo, varios miembros indicaron que en las aguas territoriales y las zonas económicas exclusivas tenían plena aplicación las leyes del Estado ribereño mientras que el marco jurídico proporcionado por la Convención de las Naciones Unidas sobre el Derecho del Mar podría ser suficiente para regular las actividades acuícolas en las zonas ajenas a la jurisdicción nacional, incluidas las de alta mar. Un miembro expresó además la opinión de que no existía justificación científica suficiente para establecer una moratoria de la acuicultura en alta mar. Por consiguiente no se logró el consenso sobre el tema.

79. El Subcomité formuló las recomendaciones siguientes:

- a. La FAO debía esforzarse por aclarar la terminología técnica y legal relacionada con la acuicultura en mar abierto, a efectos de evitar toda confusión;
- b. Debían realizarse nuevos trabajos a fin de:
 - i. documentar y evaluar las repercusiones positivas y negativas del desarrollo de la acuicultura en mar abierto y, en particular, sus implicaciones legales y reglamentarias;
 - ii. analizar la distribución geográfica de la acuicultura marina y documentar las tendencias relativas al desarrollo de la acuicultura en mar abierto incluso en zonas no pertenecientes a jurisdicción nacional;
 - iii. documentar las estrategias de desarrollo de tecnologías de acuicultura en mar abierto y aspectos conexos como los sistemas de cría y la salud de los animales acuáticos, así como las posibles consecuencias para el ecosistema.

GRUPO COORDINADOR DE TRABAJO SOBRE ESTADÍSTICAS DE PESCA: ACUICULTURA

80. La Secretaría presentó el documento COFI:AQ/V/2010/8 en el marco del tema 10 del programa (Grupo coordinador de trabajo sobre estadísticas de pesca).

81. El Subcomité reconoció las mayores necesidades de estadísticas fiables y puntuales sobre acuicultura, así como la necesidad de ampliar el alcance de las estadísticas sobre acuicultura a fin de supervisar y gestionar mejor el desarrollo del sector en todo el mundo. Los esfuerzos de la FAO en la actualización del marco estadístico de la acuicultura, incluida la elaboración del Manual del Grupo coordinador de trabajo para las estadísticas de la acuicultura a fin de simplificar las definiciones, las normas y las metodologías exigidas para la recolección y comunicación de datos fueron considerados pertinentes por el Subcomité.

82. Varios miembros informaron a los asistentes de la necesidad urgente de reforzar las estadísticas de la acuicultura en sus países respectivos. Pidieron que la FAO proporcionara asistencia técnica en creación de capacidad referente a la recopilación de datos y acogieron favorablemente la evolución hacia la elaboración de normas estadísticas a fin de dar cabida a determinadas prácticas de producción de la acuicultura medidas en cifras y no en peso.

83. La Unión Europea dio noticia al Subcomité acerca de su Reglamento del Consejo n.º 672/2008, por el cual se exige que todos sus miembros presenten estadísticas sobre acuicultura de alcance ampliado a Eurostat.

84. Hubo un amplio acuerdo en el sentido de que los aspectos socioeconómicos de la acuicultura, especialmente los medios de vida de los acuicultores en pequeña escala en los países en desarrollo, se incluyan como parte integrante de la recolección de datos estadísticos sobre acuicultura y de la elaboración de informes sobre los mismos, siempre que sea posible.

85. Algunos miembros sugirieron que la expansión en el alcance del actual marco estadístico debería resultar práctica y razonable, de manera que todos los miembros puedan participar en las mejoras y beneficiarse de ellas.

86. La Red de centros de acuicultura de Asia y el Pacífico (NACA), en tanto que miembro del Grupo de trabajo sobre acuicultura del Grupo coordinador de trabajo, destacó nuevamente la necesidad de que las estadísticas sobre acuicultura abarquen la producción de peces ornamentales, que es un importante medio de vida de los productores en pequeña escala en muchos países, y que deberían elaborarse las normas estadísticas pertinentes para ello. La Secretaría de la FAO respondió recordando a los asistentes que la atención principal de la FAO se fijaba en la producción de alimentos, pero que podría examinarse la incorporación de estadísticas sobre los peces ornamentales en caso de disponerse de datos fiables.

87. El Subcomité elogió la labor del Grupo Coordinador de Trabajo y apoyó la continuación de sus esfuerzos.

ACTO ESPECIAL ACERCA DE LA CONFERENCIA MUNDIAL SOBRE ACUICULTURA: CULTIVAR LAS AGUAS PARA LAS PERSONAS Y LA ALIMENTACIÓN

88. La Secretaría inauguró este acto especial mediante una presentación visual en la que se proporcionaba un examen resumido del proceso y resultado de la Conferencia Mundial sobre la Acuicultura 2010 que se celebró en Phuket (Tailandia), del 22 al 25 de septiembre de 2010. La conferencia fue organizada conjuntamente por la FAO, la Red de centros de acuicultura en Asia-Pacífico (RCAAP) y el Departamento de Pesca del Gobierno Real de Tailandia.

89. La Secretaría indicó que los objetivos principales de la Conferencia fueron la evaluación del desarrollo mundial de la acuicultura durante el decenio anterior desde la Conferencia sobre Acuicultura en el Tercer Milenio y examinar el desarrollo y el rendimiento del sector en consonancia con la Declaración y la Estrategia de Bangkok. La Secretaría explicó el proceso de planificación de la Conferencia. Asistieron a la misma más de 650 participantes de 69 países. El programa técnico de la Conferencia comprendió dos discursos de presentación, tres conferencias de oradores invitados, seis exámenes regionales, una síntesis mundial de la acuicultura, 41 intervenciones académicas, seis sesiones temáticas, 20 grupos de expertos y más de 140 presentaciones de carteles.

90. Se informó al Subcomité de que la Conferencia Mundial sobre la Acuicultura 2010 aprobó un documento titulado “Consenso de Phuket”. Se le informó además de que el documento iba dirigido a reafirmar el compromiso de la Declaración y Estrategia de Bangkok como la orientación principal para el desarrollo de la acuicultura durante el primer cuarto del milenio. En el documento se tratan elementos que exigen un mayor refuerzo para aumentar la eficacia, alcanzar los objetivos de desarrollo y abordar las nuevas amenazas y oportunidades del sector.

91. El Subcomité elogió a los organizadores de la Conferencia y agradeció su intervención a la FAO. El Subcomité tomó nota de la Declaración y Estrategia de Bangkok, de la Conferencia y del Consenso de Phuket, con vistas a tratar de impulsar la contribución del sector de la acuicultura a la consecución de los Objetivos de Desarrollo del Milenio.

OTROS ASUNTOS

92. El delegado de las Islas Cook, en nombre de los miembros de las Islas del Pacífico presentes en la reunión, pidió que se realizara un proyecto interregional de cooperación técnica de la FAO a fin de reforzar la cooperación entre las redes sobre acuicultura. Asimismo pidió a la FAO que elaborase unas directrices técnicas para el uso de especies exóticas en la acuicultura. Recalcó que esta cuestión debía abordarse mediante un proceso internacional y usando el Código de Conducta para la Pesca Responsable como marco principal. Con objeto de elaborar las directrices, se pidió a la FAO que convocara una consulta de expertos y que en ella se examinara, entre otras cosas, la cuestión de las especies exóticas e invasivas que son pese a todo importantes para la seguridad alimentaria.

93. Turquía informó al Subcomité de la creación del Programa regional de la FAO para Asia central para el desarrollo de la pesca y la acuicultura, preparado en el marco del Programa de asociación entre la FAO y Turquía, que también prestaba apoyo para el establecimiento de la Comisión de Pesca y Acuicultura de Asia Central y el Cáucaso.

94. Azerbaiyán, en nombre de los países de Asia central y el Cáucaso, agradeció a la Federación de Rusia que hubiera facilitado la interpretación al ruso durante la reunión en curso del Subcomité y pidió que la FAO continuara usando el Fondo fiduciario para el idioma ruso con objeto de prestar asistencia al Subcomité en futuras reuniones respecto de la traducción y la interpretación al ruso. Asimismo agradeció a la FAO y a Turquía la ayuda que habían prestado para facilitar la asistencia a la reunión.

95. El delegado de Senegal mencionó que, como resultado de la construcción de presas sin pasos para peces en muchos ríos africanos, se estaba produciendo una hibridación entre especies y estaban desapareciendo las razas puras. Asimismo estaban introduciéndose especies exóticas en hábitats de agua dulce degradados. Con miras a reducir los incentivos para la importación de especies exóticas, Senegal y otros países africanos tenían que incrementar el uso de especies nativas aumentando su productividad mediante programas de mejoramiento genético. A tal fin, solicitaron la asistencia de la FAO.

AGRADECIMIENTOS

96. El Subcomité expresó su reconocimiento y gratitud al pueblo tailandés y al Real Gobierno de Tailandia por su cálida hospitalidad y por la excelente organización de la reunión que habían hospedado.

FECHA Y LUGAR DE CELEBRACIÓN DE LA SEXTA REUNIÓN

97. La sexta reunión del Subcomité se celebrará en Sudáfrica en 2012. El Subcomité expresó su gratitud al Gobierno de Sudáfrica por su ofrecimiento de hospedar la reunión. La fecha y el lugar de celebración exactos de la sexta reunión se decidirán en consulta con el Gobierno de Sudáfrica y se comunicarán a los miembros durante el 29.º período de sesiones del Comité de Pesca. Sudáfrica invitó a todos los miembros, y en particular a los demás países africanos, a participar y contribuir así al éxito de la reunión.

APROBACIÓN DEL INFORME

98. El informe de la quinta reunión del Subcomité de Acuicultura fue aprobado el 1.º de octubre de 2010.

APPENDIX/ANNEXE/APÉNDICE A**Agenda**

1. Opening of the session
2. Election of the Chairperson and Vice-Chairpersons and designation of the Drafting Committee
3. Adoption of the Agenda and arrangements for the Session
4. FAO Fisheries and Aquaculture Department's efforts in implementing the recommendations of the past sessions of the COFI Sub-Committee on Aquaculture
5. Improving the progress reporting on the implementation of the Code of Conduct for Responsible Fisheries (CCRF), provisions relevant to aquaculture and culture-based fisheries and the proposal for a revised reporting mechanism on CCRF with an interactive questionnaire format
6. Guidelines on aquaculture certification
7. Aquatic biosecurity: a key for sustainable aquaculture development
8. Climate change and aquaculture: opportunities and challenges for adaptation and mitigation
9. Moving aquaculture further offshore: governance issues and challenges
10. Coordinating Working Party on Fisheries Statistics: Aquaculture
11. Special event
12. Any other matters
13. Date and place of the Sixth Session
14. Adoption of the Report

Ordre du jour

1. Ouverture de la session
2. Élection du Président et des Vice-Présidents et désignation des membres du Comité de rédaction
3. Adoption de l'ordre du jour et organisation de la session
4. Mise en oeuvre par le Département des pêches et de l'aquaculture de la FAO des recommandations des sessions antérieures du Sous-Comité de l'aquaculture du Comité des pêches

5. Amélioration des rapports sur la mise en œuvre du Code de conduite pour une pêche responsable (CCPR), dans ses dispositions intéressant l'aquaculture et la pêche fondée sur l'élevage, et proposition préconisant un mécanisme révisé d'établissement de rapports sous forme de questionnaire interactif
6. Directives sur la certification en aquaculture
7. La biosécurité aquatique: élément clé pour le développement durable de l'aquaculture
8. Changement climatique et aquaculture: opportunités et défis en matière d'adaptation et d'atténuation
9. Vers une expansion de l'aquaculture plus au large des côtes: questions de gouvernance et défis
10. Groupe de travail chargé de coordonner les statistiques des pêches: aquaculture
11. Événement spécial
12. Questions diverses
13. Date et lieu de la sixième session
14. Adoption du rapport

Programa

1. Apertura de la reunión
2. Elección del Presidente y los Vicepresidentes y designación del Comité de redacción
3. Aprobación del programa y organización de la reunión
4. Esfuerzos realizados por el Departamento de Pesca y Acuicultura de la FAO a fin de aplicar las recomendaciones formuladas por el Subcomité de Acuicultura del COFI en sus reuniones
5. Mejora de la información de los progresos realizados en la aplicación de las disposiciones del Código de Conducta para la Pesca Responsable (CCPR) relativas a la acuicultura y la pesca basada en el cultivo y la propuesta de mecanismo revisado de presentación de información sobre el CCPR con una estructura de cuestionario interactivo
6. Directrices para la certificación de la acuicultura
7. Bioseguridad acuática: una clave para el desarrollo de la acuicultura sostenible
8. Cambio climático y acuicultura: oportunidades y exigencias para la adaptación y la mitigación
9. Extensión de la acuicultura en mar abierto: desafíos y cuestiones relativas a la gobernanza

10. Grupo coordinador de trabajo sobre estadísticas de pesca: acuicultura
11. Acto especial
12. Otros asuntos
13. Fecha y lugar de celebración de la sexta reunión
14. Aprobación del informe

APPENDIX/ANNEXE/APÉNDICE B

**List of delegates and observers
Liste des délégués et observateurs
Lista de delegados y observadores**

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APPENDIX C

List of documents

COFI:AQ/V/2010/1	Agenda and Timetable
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COFI:AQ/V/2010/3 Rev.1	Improving the progress reporting on the implementation of the Code of Conduct for Responsible Fisheries (CCRF), provisions relevant to aquaculture and culture-based fisheries and the proposal for a revised reporting mechanism on CCRF with an interactive questionnaire format
COFI:AQ/V/2010/4	Guidelines on aquaculture certification
COFI:AQ/V/2010/5	Aquatic biosecurity: a key for sustainable aquaculture development
COFI:AQ/V/2010/6	Climate change and aquaculture: opportunities and challenges for adaptation and mitigation
COFI:AQ/V/2010/7	Moving aquaculture further offshore: governance issues and challenges
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COFI:AQ/V/2010/Inf.2	List of participants
COFI:AQ/V/2010/Inf.3	Opening Statement
COFI:AQ/V/2010/Inf.4	Statement of Competence and Voting Rights submitted by the European Union (EU) and its Member States
COFI:AQ/V/2010/Inf.5	Report of the fourth session of the COFI Sub-Committee on Aquaculture
COFI:AQ/V/2010/Inf.6	Report of the eleventh session of the COFI Sub-Committee on Fish Trade
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ANNEXE C

Liste des documents

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COFI:AQ/V/2010/3/ Rev.1	Amélioration des rapports sur la mise en œuvre du Code de conduite pour une pêche responsable (CCPR), dans ses dispositions intéressant l'aquaculture et la pêche fondée sur l'élevage, et proposition préconisant un mécanisme révisé d'établissement de rapports sous forme de questionnaire interactif
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APÉNDICE C

Lista de documentos

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COFI:AQ/V/2010/4	Directrices para la certificación de la acuicultura
COFI:AQ/V/2010/5	Bioseguridad acuática: una clave para el desarrollo de la acuicultura sostenible
COFI:AQ/V/2010/6	Cambio climático y acuicultura: oportunidades y exigencias para la adaptación y la mitigación
COFI:AQ/V/2010/7	Extensión de la acuicultura en mar abierto: desafíos y cuestiones relativas a la gobernanza
COFI AQ/V/2010/8	Grupo coordinador de trabajo sobre estadísticas de pesca: acuicultura
COFI:AQ/V/2010/Inf.1/ Rev.1	Lista de documentos
COFI:AQ/V/2010/Inf.2	Lista de participantes
COFI:AQ/V/2010/Inf.3	Declaración inaugural
COFI:AQ/V/2010/Inf.4	Declaración de competencias y derechos de voto presentada por la Unión Europea (UE) y sus Estados miembros
COFI:AQ/V/2010/Inf.5	Informe de la cuarta reunión del Subcomité de Acuicultura del Comité de Pesca
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COFI:AQ/V/2010/Inf.7	Informe de la Consulta técnica sobre las Directrices técnicas para la certificación en la acuicultura

APPENDIX D

**Opening Statement by the representative of the Assistant Director-General of the FAO
Fisheries and Aquaculture Department, Mr Kevern Cochrane
Discours d'ouverture prononcé par M. Kevern Cochrane,
représentant du Sous-Directeur général chargé du
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Your Excellency Mr Theera Wongsamut, Minister of Agriculture and Cooperatives, Distinguished Ms Somying Piumsombun, Director-General of the Department of Fisheries, Kingdom of Thailand, Distinguished Delegates, Colleagues, Ladies and Gentlemen.

It gives me much pleasure and is an honour to be with you today on this auspicious occasion of the fifth Session of the FAO COFI-Sub-Committee on Aquaculture. As you may know, Mr Ichiro Nomura, our previous Assistant Director-General, retired at the end of July and his successor has not yet been appointed. In the interim, I am pleased to be able to say a few words on behalf of the Fisheries and Aquaculture Department and of the Director-General, Mr Jacques Diouf. Allow me first, to convey to you his warm greetings and best wishes for a constructive and fruitful meeting.

At this juncture, I would like to pay a special tribute to the Government of the Kingdom of Thailand for hosting this important meeting in this charming city of Phuket. It is a clear indication that the Government of Thailand places great importance on the development of aquaculture, not only in your own country, Thailand, but also to the sector's sustainable development throughout the world.

I should also like to convey a warm welcome to all Delegates representing FAO member countries and representatives of various Inter-Governmental Organizations and international non-governmental organizations. We see in your active and continued participation in this and other sessions of the Sub-Committee, a clear expression of commitment to ensuring the achievement of the shared and agreed objectives, not only of combating hunger and poverty, but also of enhancing economic and social conditions through responsible aquaculture development worldwide. A commitment of this nature is of utmost importance if the world is to feed its ever growing population and improve the livelihoods of communities and aquaculture is to play its full role in achieving this. When we consider that the human population of the world is projected to grow from just under 7 billion today to over 9 billion in 2050, the essential role of aquaculture in ensuring food security now and in the future becomes even clearer.

Information at our disposal reveals that in 2008, the sector produced 52.5 million tonnes of fishery products, which represented about 37 percent of the fishery products produced worldwide and contributed nearly 46 percent of the world's fish production for human consumption. The total value was more than 98 billion US dollars. In addition, close to 16 million tonnes of algae were produced by this sector, value at more than 7 billion US dollars.

Though the information on trade of aquaculture products is often weak, there are credible indications that important quantities of fish from farms move into global trade, bringing significant amounts of money into national economies.

Further, a recent FAO estimate of employment in aquaculture indicates that, in 2008, the sector provided over 30 million full-time-equivalent jobs, including about 21 million on-farm and 9 million off-farm positions.

Distinguished Delegates, Ladies and Gentlemen, I do not wish to anticipate the Agenda of the meeting, but I should like to call your attention to the fundamental problem we face today: aquaculture has made laudable efforts to meet the growing demand for fish and seafood products in a sustainable

way, but there are substantial challenges ahead of us. Many of these are due to be discussed over the next five days.

The current levels of exploitation of wild fish resources are at their maximum and in some cases above it. There is therefore no scope for an increase in capture fishery production to respond to the increasing demands and needs for fish for the ever-growing world population. Aquaculture will have to fill this void.

To do so, because of the scarcity of inland environmental capacity for aquaculture development, including the availability of land and water, more and more sea and ocean resources will have to be utilised for aquaculture purposes. Coastal areas suitable and available for aquaculture development are also limited and the expansion of aquaculture operations into the sea might require adjustments in the way the sector is governed.

A failure to govern the sector properly in accordance with the Code of Conduct for Responsible Fisheries could threaten bio-security efforts, which, in turn could hamper efforts to manage aquatic animal health, conserve aquatic biodiversity and produce fish which is safe to eat for all.

Other serious obstacles to aquaculture expansion are likely to come from climate change and climatic uncertainty. Both will need adaptation and mitigation strategies, which should include, collection, dissemination and exchange of information.

Through its globalized hygiene and traceability requirements, domestic and international trade could also influence the pace at which the sector develops, and also how it develops. This implies that the issue of certification of aquaculture products is and will remain important in the years ahead; it needs to be addressed, and this Sub-Committee is making a valuable contribution in this regard.

Ladies and Gentlemen,

These are some of the most important emerging issues in the sector; they are placed in front of you for your guidance to the FAO Fisheries and Aquaculture Department on how to proceed in addressing them.

With these remarks, allow me to close my intervention, wish you fruitful deliberations and thank you for your kind attention.

APPENDIX E

**Welcome address by
Ms Somying Piumsombun, Director-General, Department of Fisheries, Thailand
Allocation de bienvenue prononcée par Mme Somying Piumsombun,
Directrice générale du Département des pêches de la Thaïlande**

Excellency, Theera Wongsamut, Minister of Agriculture and Cooperatives of Thailand, Mr Kevern Cochrane, Director of the Fisheries and Aquaculture Resources Use and Conservation Division of FAO, Distinguished Delegates, Ladies and Gentlemen, on behalf of the Department of Fisheries, I wish to extend our warm welcome to FAO colleagues and all delegates from more than 50 countries for their participation in the Fifth Session of the COFI Sub-Committee on Aquaculture held this week in beautiful Phuket. I would also like to express our sincere thanks to FAO for the close collaboration that made this meeting possible today.

Fisheries and aquaculture plays a vital role not only to rural development but also to the global and national economy in particular its contribution to food security. Thailand, as one member of FAO, has been very committed to the sustainable practices of fisheries and aquaculture for many decades. In fact, this year the Department of Fisheries has reached its 84th year of national service. Through the eight decades of experiences and development, our Department has contributed toward various activities including capture fisheries, aquaculture, post-harvest technology, fisheries conservation, fisheries technology transfer, high sea fisheries and international fisheries affairs. In 2008, fisheries and aquaculture contributed about 3.2 million metric tonnes, of which 42 percent came from aquaculture. As for aquaculture, Thailand has extensive experience in marine shrimp culture which led us to significant success during the past three decades. Last year, we exported 1.9 million metric tonnes of fishery products valuing USD 6.5 billion. Of that figure, nearly four hundred thousand tonnes of shrimp were exported amounting to USD 2.6 billion.

Thailand as an ASEAN member country, which contributes 20 percent of global fisheries and aquaculture production, has worked hand-in-hand with the other nine countries to strengthen our fisheries and aquaculture in the region. The close collaboration with various regional and international organizations such as FAO, SEAFDEC, NACA, World Fish Center, INFOFISH etc. has enabled us to strengthen our cooperation for the improvement of fisheries and aquaculture development in the region.

We appreciate the kind support from FAO in continuously developing technical guidelines on aquaculture certification since the request of the third session of the Sub-Committee on Aquaculture in India. The guidelines have been a long process through a global review of six expert workshops, the fourth session of the Sub-Committee on Aquaculture in Chile and the latest technical consultation at FAO headquarters early this year. We look forward to see the technical guidelines on aquaculture certification endorsed by the fifth session of the Sub-Committee so that they can be implemented globally both for public and private sectors. We all hope that the success in the implementation of these guidelines will minimize the confusion among the different certification schemes worldwide.

Whilst the technical guidelines on aquaculture certification were under process, ASEAN joined hands through the mechanism of ASEAN Shrimp Alliance using the principles of the guidelines as a basis to develop ASEAN Shrimp GAP. In fact, both ASEAN Shrimp GAP and its Development Strategy have just been endorsed, in principle, by the ASEAN Sectoral Working Group on Fisheries last June.

Ladies and Gentlemen,

The meeting agenda includes a three day discussion with various important matters. On Thursday, as a break for the Sub-Committee Members, we have provided a series of study trips combined with a

technical and leisure tour. Towards the end of the tour, as promised in Chile, we will invite all delegates to a party by the beautiful Phuket beach where they will enjoy a variety of Thai quality seafood selections. For today's reception we are pleased to invite you to enjoy our welcome dinner at the Phuket Fantasy, an ultimate Thai cultural theme park.

Lastly, I hope this meeting is a great success and all delegates have a pleasant stay in Phuket. If there is anything that we could be of assistance with, you are welcome to contact our staff at the secretariat office. Thank you very much.

APPENDIX F

**Opening Address by
His Excellency Mr Theera Wongsamut, Minister for Agriculture and Cooperatives,
Thailand**

**Allocution d'ouverture prononcée par S.E. M. Theera Wongsamut,
Ministre de l'agriculture et des coopératives de la Thaïlande**

Director General of the Department of Fisheries, Thailand, Director of Fisheries and Aquaculture Resources Use and Conservation Division of FAO, Distinguished Delegates, Ladies and Gentlemen, I have great pleasure in being here at the opening ceremony of the Fifth Session of the FAO COFI Sub-Committee on Aquaculture held this week in Phuket. On behalf of the Ministry of Agriculture and Cooperatives of the Royal Thai Government, I would like to take this opportunity to extend our heartfelt welcome to you all.

Hosting this important meeting is not just a great honour for Thailand, it also provides us with an opportunity to reaffirm our cooperation and commitment to the Organization's mission and efforts towards sustainable fisheries and aquaculture, in particular, food security and poverty alleviation.

For many decades, FAO has been our best partner in coping with emerging challenges faced by agriculture and food production. Fisheries and aquaculture is always an activity which FAO has given much priority as it provides significant contribution of food fish to global consumption. The recent FAO report, global capture fisheries and aquaculture production, supplied the world with about one hundred and ten million tonnes of food fish in 2006. Of this total, aquaculture accounted for 47 percent and the majority of production as 89 percent comes from the Asia and Pacific regions. Thailand is, in fact, one of the top five aquaculture producers of food fish supply but when considering shrimp production we have been the number one shrimp exporter for nearly two decades. To maintain or even enhance this global quantity and growth, cooperation among the aquaculture producing countries and international organizations certainly needs to be strengthened.

We appreciate FAO as well as other regional organizations such as NACA, SEAFDEC, World Fish and INFOFISH, including various partnership programmes from the European Union GTZ and many others have enabled us to closely link and establish cooperation with technical assistance among us to improve fisheries and aquaculture development. These, in fact, allow us all to share and learn experiences from each other, and find the means to eliminate the risk and secure the sustainable aquaculture production.

Ladies and Gentlemen,

I notice that, besides FAO's efforts in implementing the recommendations of the past sessions of the COFI Sub-Committee on Aquaculture and the Code of Conduct for Responsible Fisheries focusing on aquaculture, the agenda of the Meeting covers arising important matters. These include climate change and aquaculture, aquatic biosecurity as well as challenges of offshore aquaculture. All these issues are relevant not only to Thailand but also to all regions. The development of the aquaculture certification guidelines is one of these important issues. After the 4-year development process, we look forward to having the aquaculture certification guidelines finally endorsed in Phuket by the Sub-Committee. We appreciate the continuous efforts and commitment of FAO and the Sub-Committee on Aquaculture regarding this issue. We believe that the application of the guidelines will bring tremendous effectiveness to sustainability of global aquaculture both for public and private sectors.

Ladies and Gentlemen,

This Meeting gives us the right forum to share experiences among FAO member countries and international organizations. Over the next five days, I am sure that the Sub-Committee will have extensive discussions and come up with valuable outcomes.

As the host country, we will try our utmost to ensure the smooth running of the meeting. With our Thai hospitality we will do our best to offer you comfort during your stay in Phuket.

With this, I declare open of the fifth session of the FAO COFI Sub-Committee on Aquaculture. I wish you all success in your deliberations and a pleasant stay in Phuket.

Thank you.

APPENDIX G

Technical Guidelines on Aquaculture Certification Version adopted by the COFI Sub-Committee on Aquaculture at its fifth session in Phuket, Thailand

BACKGROUND

1. Global production from aquaculture is growing substantially and provides increasingly significant volumes of fish and other aquatic food for human consumption, a trend that is projected to continue. Although aquaculture growth has potential to meet the growing need for aquatic foods and to contribute to food security, poverty reduction and, more broadly, to achieving sustainable development and the Millennium Development Goals, it is increasingly recognised that improved management of the sector is necessary to achieve this potential.
2. Aquaculture is a highly diverse production sector comprising many different systems, sites, facilities, practices, processes and products, conducted under a wide range of political, social, economic and environmental conditions.
3. Efforts to promote aquaculture development should recognize the special concerns and interests of resource-poor small-scale aquaculture farmers, and encourage corporate social responsibility in engaging small-scale farmers and other small-scale stakeholder in market chains. Certification schemes should not create obstacles to trade or exclude small-scale farmer aquaculture products from market chains.
4. Aquaculture production and trade have increased, but concerns have emerged regarding possible negative impacts on the environment, communities and consumers. Solutions to many of these issues have been identified and addressed. The application of certification in aquaculture is now viewed as a potential market-based tool for minimising potential negative impacts and increasing societal and consumer benefits and confidence in the process of aquaculture production and marketing.
5. Although aquatic animal health and food safety issues of aquaculture have been subjected to certification and international compliance for many years, aspects of animal welfare, environmental issues and socio-economic aspects have not been subjected to compliance or certification.

SCOPE

6. These guidelines provide guidance for the development, organization and implementation of credible aquaculture certification schemes.
7. The guidelines consider a range of issues which should be considered relevant for the certification in aquaculture, including: a) animal health and welfare, b) food safety, c) environmental integrity and d) socio-economic aspects associated with aquaculture.
8. Sustainable development of aquaculture depends on three factors, social, economic and environmental sustainability, all of which have to be addressed proportionally.
9. There is an extensive national and international legal framework in place for various aspects of aquaculture and its value chain, covering such issues as aquatic animal disease control, food

safety and conservation of biodiversity. Legislation is particularly strong for processing, export and import of aquatic products. Recognised competent authorities are normally empowered to verify compliance with mandatory national and international legislation. Other issues such as environmental sustainability and socio-economic aspects may not be covered in such a binding manner and open the opportunity for voluntary certification as a means to demonstrate that a particular aquaculture system is managed responsibly.

10. Credible aquaculture certification schemes consist of three main components: (i) standards; (ii), accreditation, and (iii) certification. The guidelines therefore cover:
- standard setting processes required to develop and review certification standards;
 - accreditation systems needed to provide formal recognition to a qualified body to carry out certification;
 - certification bodies required to verify compliance with certification standards.
11. Developing and implementing a certification scheme may be undertaken by any entity qualified to do so in accordance with the requirements of these guidelines. Such an entity can include, inter alia, a government, an intergovernmental organization, a non-governmental organization, private sector group (e.g. a producer or trade association), a civil society arrangements, or consortium comprising some or all of these different stakeholder groups, as direct users of the guidelines. The guidelines provide information on the institutional and organizational arrangements for aquaculture certification, including governance requirements, particularly to ensure that conflicts of interest are avoided.

TERMS AND DEFINITIONS

12. For the purpose of these international guidelines on aquaculture certification, the following terms and definitions apply. These terms and definitions come from or were derived from existing recognized material (e.g. FAO 1, ISO 2, Codex Alimentarius 3, OIE 4, FAO Ecolabelling Guidelines, FAO Code of Conduct for Responsible Fisheries (CCRF) and many others), and stakeholder inputs received during the process of developing the guidelines.

Accreditation

Procedure by which a competent authority consistent with applicable law gives formal recognition that a qualified body or person is competent to carry out specific tasks.

(Modified from ISO/IEC Guide 2:1996, 12.11)

Accreditation body

Body that conducts and administers an accreditation system and grants accreditation.

(ISO Guide 2, 17.2)

Accreditation system

System that has its own rules of procedure and management for carrying out accreditation. Accreditation of certification bodies is normally awarded following successful assessment and is followed by appropriate surveillance.

(ISO Guide 2, para. 17.1)

¹ Food and Agriculture Organization of the United Nations

² International Standards Organization

³ Codex Alimentarius Commission

⁴ World Organisation for Animal Health

Aquaculture

The farming of aquatic organisms involving intervention in the rearing process to enhance production and the individual or corporate ownership of the stock being cultivated.

(Modified from the FAO Glossary of Aquaculture - <http://www.fao.org/fi/glossary/aquaculture/>)

Audit

A systematic and functionally independent examination to determine whether activities and related results comply with planned objectives.

(Codex Alimentarius, Principles for Food Import and Export Certification and Inspection, CAC/GL 20)

Certification

Procedure by which certification body or entity gives written or equivalent assurance that a product, process or service conforms to specified requirements. Certification may be, as appropriate, based on a range of audit activities that may include continuous audit in the production chain.

(Modified from ISO Guide 2, 15.1.2; Principles for Food Import and Export Certification and Inspection, CAC/GL 20; Ecolabelling Guidelines)

Certification body or entity

Competent and recognized body, governmental or non-governmental, that conducts certification and audit activities. A certification body may oversee certification activities carried out on its behalf by other bodies.

(Based on ISO Guide 2, 15.2)

Certification scheme

The processes, systems, procedures and activities related to standard setting, accreditation and implementation of certification. (Adapted from the Report of the First Expert Workshop on Aquaculture Certification held in Bangkok, Thailand. March 2007)

Chain of custody

The set of measures that verify that a certified product originates from a certified aquaculture production chain, and is not mixed with non-certified products. Chain of custody verification measures should cover the tracking/traceability of the product all along the production, processing, distribution and marketing chain, the tracking of documentation, and the quantity concerned.

Form FAO Fisheries Ecolabelling Guidelines

Conformity assessment

Any activity concerned with determining directly or indirectly that relevant requirements are fulfilled.

(Modified from ISO Guide 2, 12.2)

Group certification

Certification for a group of small-scale aquaculture farmers or aquaculture farmer cooperative who has key characteristics in common in term of nature of production, proximity of farm location, common marketing as a group. The group has an Internal Control System to ensure compliance with the standards by all members of the group.

Small-scale aquaculture

Aquaculture farms with small production volume, and/or relatively small surface area, mainly without permanent labour, and typically lacking technical and financial capacity to support individual certification.

(Adapted from the Report of the First Expert Workshop on Aquaculture Certification held in Bangkok, Thailand. March 2007)

Standard

An approved document that provides for common and repeated use, rules, guidelines or characteristics for products or related processes and production methods, with which compliance is not mandatory under international trade rules. It may also include or deal exclusively with terminology, symbols, packaging, marking or labelling requirements as they apply to a product, process or production method. A public sector standard is prepared by the international standardization community, and is always approved by an officially recognised body. A private sector standard is prepared by a private body and is not in all cases approved by an officially recognised body.

(Based on TBT agreement, Annex 1, para. 2)

Standard setting body, organization or entity

Organization or entity that has recognized activities in standard setting.

(Based on ISO Guide 2, para. 4.3)

Third party

Person or body that is recognized as being independent of the parties involved, as concerns the issue in question, and involves no conflict of interest.

(ISO/IEC Guide 2:1996; Ecolabelling Guidelines)

Traceability

The ability to follow the movement of a product of aquaculture or inputs such as feed and seed, through specified stage(s) of production, processing and distribution. (Adapted from Codex)

Unit of certification

The scale or extent of the aquaculture operation(s) assessed and monitored for compliance. The unit of certification could consist of a single farm, production unit or other aquaculture facility. The certification unit could also consist of a group or cluster of farms that should be assessed and monitored collectively.

Veterinary Medicinal Products

Any substance or combination of substances presented for treating or preventing disease in animals or which may be administered to animals with a view to making a medical diagnosis or to restoring, correcting or modifying physiological functions in animals. (EU Directive 2001/82/EC)

APPLICATION

13. These guidelines for voluntary certification schemes are to be interpreted and applied in their entirety in a manner consistent with national laws and regulations and, where they exist, international agreements.
14. Entities responsible for new and existing aquaculture certification schemes should undertake to assess, verify and document that these certification schemes have been developed and are being implemented in accordance with the guidelines. If there are deficiencies in the way an existing scheme was developed and/or in how it is being implemented, the entities responsible for the functions (i.e. standard setting, accreditation, or certification) should act accordingly to define and implement a corrective action plan. When this is completed, the entities should verify and document that the scheme is in accordance with the guidelines. There should not be any conflict of interest among the entities involved.

15. If the entities responsible for a private aquaculture certification scheme do not provide credible assurance that the scheme has been developed and is being implemented in accordance with the guidelines, stakeholder groups (especially those being certified under the scheme) may use these guidelines to have the scheme evaluated by a body with appropriate expertise or undertake such evaluation themselves. See chapter on Institutional and Procedural Requirements for details.
16. The evaluation would use these guidelines to assess whether a certification scheme is developed and implemented in accordance with the guidelines regarding, *inter alia*:
 - whether the principles have been adhered to;
 - whether the special considerations have been addressed;
 - whether the objectives of the scheme and issue areas have been addressed in accordance with the appropriate minimum substantive requirements; and
 - whether the standard setting, accreditation and/or certification have been developed and implemented in accordance with the institutional and procedural requirements.

PRINCIPLES

17. Aquaculture certification schemes:

- a. should be based on international standards or guidelines, where applicable, and must recognise the sovereign rights of States and comply with relevant local, national and international laws and regulations. They must be consistent with relevant international agreements, conventions, standards, codes of practice and guidelines.
- b. should recognise that any person or entity undertaking aquaculture activities is obliged to comply with all national laws and regulations.
- c. should be developed based on the best scientific evidence available, also taking into account traditional knowledge, provided that its validity can be objectively verified.
- d. should be developed and implemented in a transparent manner and should ensure that there is no conflict of interest among the entities that are responsible for standard setting, accreditation, and certification. These entities should facilitate mutual recognition, strive to achieve harmonization and recognise equivalence, based on the requirements and criteria outlined in these guidelines.
- e. should be open to scrutiny by consumers, civil society, and their respective organisations and other interested parties, while respecting legitimate concerns to preserve confidentiality.
- f. should be credible and robust, be fully effective in achieving their designated objectives.
- g. should promote responsible aquaculture during production as outlined in the FAO Code of Conduct for Responsible Fisheries, in particular the Article 9, Aquaculture Development.

- h. should include adequate procedures for maintaining chain of custody and traceability of certified aquaculture products and processes.
- i. should establish clear accountability for all involved parties, including the owners of certification schemes, accreditation bodies and the certification bodies, in conformity with international requirements, as necessary.
- j. should not discriminate against any group of farmers practising responsible aquaculture based on scale, intensity of production, or technology; promote cooperation among certification bodies, farmers and traders; incorporate reliable, independent auditing and verification procedures; and should be cost-effective to ensure inclusive participation of responsible farmers.
- k. should strive to encourage responsible trade, consistent with the FAO Technical Guidelines on Responsible Fish Trade, and should provide the opportunity for aquaculture products to enter international markets without obstacles to trade.
- l. should ensure special considerations are provided to address the interests of resource- poor small-scale farmers, especially the financial costs and benefits of participation, without compromising food safety.
- m. these aquaculture certification guidelines should recognize the special needs of farmers and governments in developing countries. These guidelines should also recognize the special role of FAO in assisting developing countries in devising an implementation framework which is both attainable and measurable. Similarly, FAO should facilitate the assessment of the capacity of farmers and governments to meet the proposed requirements of aquaculture certification schemes, and to develop realistic expectations with regard to the farmers and governments meeting these requirements.

MINIMUM SUBSTANTIVE CRITERIA

18. Minimum substantive criteria for developing aquaculture certification standards are provided in this section for a) animal health and welfare, b) food safety, c) environmental integrity and d) socio-economic aspects. The extent to which a certification scheme seeks to address the issues depends on the objectives of the scheme, which should be explicitly and transparently stated by the scheme. Development of certification schemes should consider the importance of being able to measure performance of aquaculture systems and practices, and the ability to assess conformity with certification standards.

Animal health and welfare⁵

19. Aquaculture activities should be conducted in a manner that assures the health and welfare of farmed aquatic animals, by optimizing health through minimizing stress, reducing aquatic animal disease risks and maintaining a healthy culture environment at all phases of the production cycle. Guidelines and standards set by OIE should be the specific normative basis.

⁵ For the purpose of these guidelines, reference to animal welfare applies only insofar as it affects animal health consistent with current and future OIE.

Minimum substantive criteria for addressing aquatic animal health and welfare in aquaculture certification schemes:

20. Aquaculture operations should implement aquatic animal health management programmes set up in compliance with relevant national legislation and regulations, taking into account the FAO CCRF Technical Guidelines on Health Management for Responsible Movement of Live Aquatic Animals and relevant OIE Standards.
21. Movement of aquatic animals, animal genetic material and animal products should take place in accordance with the relevant provisions in the OIE Aquatic Animal Health Code to prevent introduction or transfer of diseases and infectious agents pathogenic to aquatic animals while avoiding unwarranted sanitary measures.
22. A culture environment should be maintained at all phases of the production cycle adapted to the species raised, to benefit aquatic animal health and welfare, and reduce the risks of introduction and spread of aquatic animal diseases. In particular by
 - Allowing for quarantining of stock where appropriate;
 - Routine monitoring of stock and environmental conditions for early detection of aquatic animal health problems; and
 - Implementation of management practices that reduce the likelihood of disease transmission within and between aquaculture facilities and natural aquatic fauna, and reduce stress on animals for the purpose of optimizing health.
23. Veterinary medicines should be used in responsible manner and in accordance with applicable national legislation or relevant international agreements that ensure effectiveness, safety of public and animal health and protection of the environment.
24. Use of species in polyculture or integrated multitrophic aquaculture should be carefully considered in order to reduce potential disease transmission between cultured species.
25. Aquaculture animals should be kept under farming conditions suitable for the species concerned, in particular taking into account water temperature and quality.
26. Workers should be trained on good aquatic animal health and welfare management practices to ensure they are aware of their roles and responsibilities in maintaining aquatic animal health and welfare in aquaculture.

Food safety

27. Aquaculture activities should be conducted in a manner that ensures food safety by implementing appropriate national or international standards and regulations including those defined by FAO/WHO *Codex Alimentarius*. Although *Codex Alimentarius* covers both safety and quality issues concerning aquatic products, for the purpose of these guidelines, quality aspects are not currently addressed in detail.

Minimum substantive criteria for addressing food safety in aquaculture certification schemes:

28. Aquaculture facilities should be located in areas where the risk of contamination is minimized and where sources of pollution can be controlled or mitigated.
29. Where feed is used, aquaculture operations should include procedures for avoiding feed contamination in compliance with national regulations or as determined by internationally agreed standards. Aquaculture operations should use feeds and feed ingredients which do not contain unsafe levels of pesticides, biological, chemical and physical contaminants and or other adulterated substances. Feed which is manufactured or prepared on the farm should contain only substances permitted by the national competent authorities.
30. All veterinary drugs and chemicals for use in aquaculture shall comply with national regulations , as well as international guidelines. Wherever applicable, veterinary drugs and chemicals should be registered with the competent national authority. Veterinary drugs should be scheduled (classified). Control of diseases with veterinary drugs and antimicrobials should be carried out only on the basis of an accurate diagnosis and knowledge that the drug is effective for control or treatment of a specific disease. In some classifications, veterinary drugs may only be prescribed and distributed by personnel authorized under national regulations. All veterinary drugs and chemicals or medicated feeds should be used according to the instructions of the manufacturer or other competent authority, with particular attention to withdrawal periods. Banned non-registered and/or non permitted antimicrobial agents, veterinary drugs and/or chemicals must not be used in aquaculture production, transportation or product processing. Prophylactic use of veterinary medicinal products, particularly antimicrobial agents⁶, should not take place.
31. Water used for aquaculture should be of a quality suitable for the production of food which is safe for human consumption. Waste water should not be used in aquaculture. If wastewater is used, the WHO guidelines for the safe use of wastewater and excreta in aquaculture should be followed.
32. The source of broodstock and seed for culture (larvae, post larvae, fry and fingerling, etc.) should be such to reduce the risk of carryover of potential human health hazards (e.g. antibiotics, parasites, etc.) into the growing stocks.
33. Traceability and record-keeping of farming activities and inputs which impact food safety should be ensured by documenting, *inter alia*:
 - the source of inputs such as feed, seed, veterinary drugs and antibacterials, additives, chemicals; and
 - type, concentration, dosage, method of administration and withdrawal times of chemicals, veterinary drugs and antibacterials and the rationale for their use.
34. Aquaculture facilities and operations should maintain good culture and hygienic conditions, including:
 - Good hygiene practices in the farm surroundings should be applied aiming at minimizing contamination of growing water, particularly from waste materials or faecal matter from animals or humans;

⁶ Antimicrobial agents do not include vaccines.

- Good Aquaculture Practices should be applied during culture to ensure good hygienic culture conditions and safety and quality of aquaculture produce;
 - Farms should institute a pest control programme, so that rodents, birds and other wild and domesticated animals are controlled, especially around feed storage areas;
 - Farm grounds should be well maintained to reduce or eliminate food and feed safety hazards; and
 - Appropriate techniques for harvesting, storing and transportation of aquaculture products should be applied to minimize contamination and physical damage.
35. Identification, classification, integrated management and monitoring programmes should be implemented in bivalve molluscs growing areas to prevent microbiological, chemical and reduce biotoxin contamination. Relaying and depuration of bivalve molluscs to remove microbial contamination should be carried in accordance with the requirements of Codex.
36. Workers should be trained in good hygienic practices to ensure they are aware of their roles and responsibilities for protecting aquaculture products from contamination and deterioration.

Environmental integrity

37. Aquaculture should be planned and practiced in an environmentally responsible manner, in accordance with appropriate local, national and international laws and regulations.
38. Aquaculture certification schemes should encourage restoration of habitats and sites damaged by previous uses in aquaculture.
39. Aquaculture can impact on the environment and aquaculture certification schemes should ensure these impacts are identified and adverse impacts are managed or mitigated to an acceptable level in accordance with local and national laws. Whenever possible, native species should be used for culture and measures should be taken to minimise unintentional release or escape of cultured species into natural environments.
40. Management practices that address environmental impacts of aquaculture differ substantially for different types of scale of aquaculture and for different aquaculture farming systems. Certification schemes should not be overly prescriptive, but set measurable benchmarks that encourage improvement and innovation in environmental performance of aquaculture.
41. Certification schemes may consider application of the “precautionary approach” in accordance with the relevant provisions of the Code of Conduct for Responsible Fisheries.
42. In undertaking risk analysis, risks should be addressed through a suitable scientific method of assessing the likelihood of events and the magnitude of impacts, and take into account relevant uncertainties. Appropriate reference points should be determined and remedial actions taken if reference points are approached or exceeded.
43. Certification schemes should endeavour to promote the internalization of environmental costs and the use of economic instruments, taking into account the approach that the polluter should,

in principle, bear the cost of pollution, with due regard to the public interest and without distorting international trade and investment⁷.

Minimum substantive criteria for addressing environmental integrity in aquaculture certification schemes:

44. Environmental impact assessments should be conducted, according to national legislation, prior to approval of establishment of aquaculture operations.
45. Regular monitoring of on-farm and off-farm environmental quality should be carried out, combined with good record keeping and use of appropriate methodologies.
46. Evaluation and mitigation of the adverse impacts on surrounding natural ecosystems, including fauna, flora and habitats should be carried out.
47. Measures should be adopted to promote efficient water management and use as well as proper management of effluents to reduce impacts on surrounding land and water resources should be adopted.
48. Where possible, hatchery produced seed should be used for culture. When wild seeds are used, they should be collected using responsible practices.
49. Exotic species are to be used only when they pose an acceptable level of risk to the natural environment, biodiversity and ecosystem health.
50. With reference to paragraph 9.3.1 of the Code of Conduct for Responsible Fisheries, where genetic material of an aquatic organism has been altered in a way that does not occur naturally, science-based risk assessment should be used to address possible risks on a case-by-case basis. Induction of polyploidy is not included.
51. Infrastructure construction and waste disposal should be conducted responsibly.
52. Feeds, feed additives, chemicals, veterinary drugs including antimicrobials, manure and fertilizer should be used responsibly to minimize their adverse impacts on the environment and to promote economic viability.

Socio-economic aspects

53. Aquaculture should be conducted in a socially responsible manner, within national rules and regulations, having regard to the ILO convention on labour rights, not jeopardizing the livelihood of aquaculture workers, and local communities. Aquaculture contributes to rural development, enhances benefits and equity in local communities, alleviates poverty and promotes food security. As a result, socio-economic issues should be considered at all stages of aquaculture planning, development and operation.
54. The importance of corporate social responsibility from aquaculture to local communities should be recognized.

⁷ Based on the principle 16 of the Rio Declaration on Environment and Development, June 1992.

Minimum substantive criteria for addressing socio-economic aspects in aquaculture certification schemes:

55. Workers should be treated responsibly and in accordance with national labour rules and regulations and, where appropriate, relevant ILO conventions.
56. Workers should be paid wages and provided benefits and working conditions according to national laws and regulations.
57. Child labour should not be used in a manner inconsistent with ILO conventions and international standards.

INSTITUTIONAL AND PROCEDURAL REQUIREMENTS

58. The institutional and procedural requirements for establishing and implementing credible aquaculture certification schemes are presented here in four parts: 1) Governance, 2) Standard setting, 3) Accreditation and 4) Certification.
59. The sections on Standards setting, Accreditation, and Certification are each subdivided into four sections: i) Purpose, ii) Normative references, iii) Functions and structure and iv) Requirements. The requirements are considered the minimum requirements that a body or entity should meet to be recognized as credible and reliable in executing its duties and responsibilities. The principles provided in this document apply equally to procedural and institutional aspects of certification schemes for aquaculture.
60. The guidance presented here draws on other internationally accepted guidance, especially those produced by the International Organization for Standardization (ISO) and the International Labour Organization (ILO) , and the Codex Alimentarius Commission (CAC). Any certification scheme implemented pursuant to these guidelines must conform with a country's WTO commitments, particularly those under the WTO Agreement on Technical Barriers to Trade and the Agreement on the Application of Sanitary and Phyto-Sanitary Measures.

Governance

61. The procedures used and institutions involved in establishing and implementing a certification scheme should be transparent, credible and robust with good governance.
62. There are various options for the geographical range of a scheme. It could be national, regional or international in scope.
63. It is essential that the owner of a private or non-governmental certification scheme is not directly engaged in its operational affairs, i.e. undertaking accreditation or certification, to avoid conflicts of interest. The owner or developer of a private or non-governmental certification scheme must have a formal arrangement with a separate independent specialized accreditation body or entity to take on the task of accreditation of certification bodies on its behalf. The accreditation body or entity could be private, public or an autonomous body governed by national rules and regulations.

64. The owner or developer of a certification scheme should have clear written procedures to guide the decision-making process.
65. Certification must be handled by an organization (certification body or entity) that has been specifically set up for this purpose. It could be government, public, non-governmental or private. The certification scheme should lay down rules and regulations under which the certification body or entity is required to operate. The certification body or entity may be involved in certification for one certification scheme for one specific sector (e.g. aquaculture) or may be involved with a number of sectors or schemes.

Standard setting

Purpose

66. Standards provide the necessary requirements, the quantitative and qualitative criteria and the indicators for certification of aquaculture. Standards should reflect the objectives, results and outcomes that are being pursued through the certification scheme to address animal health and welfare, food safety, environmental integrity and/or socio-economic aspects in aquaculture.

Normative basis

67. The normative basis for development of standards includes the following existing documented procedures:
- *WTO Agreement on technical barriers to trade*
 - *WTO Agreement on the application of sanitary and phytosanitary measures*
 - *Codex guidelines on food import and export inspection and certification systems*
 - *ISO/IEC Guide 59. Code of good practice for standardization. 1994*
 - *ISO/IEC 22003:2007 Food safety management systems: Requirements for bodies providing audit and certification of food safety management systems*
 - *ISEAL. ISEAL Code of Good Practice for Setting Social and Environmental Standards. 2006*
 - *OIE Aquatic Animal Health Code*
 - *International Council for the Exploration of the Sea (ICES) Code of Practice on the Introductions and Transfers of Marine Organisms*
 - *Code of Practice on the Introductions and Transfers of Marine Organisms*
 - *ISO/IEC 22000:2005 Food safety management systems- Requirements for any organization in the food chain*
 - *ISO/TS 2004:2005 Food safety management systems - Guidance on the application of ISO 22000:2005*
 - *ISO 22005:2007 Traceability in the feed and food chain - General principles and basic requirements for system design and implementation*
 - *ISO/IEC 16665 Water quality - Guidelines for quantitative sampling and sample processing of marine soft-bottom macrofauna*
 - *ISO 23893-1:2007 Water quality - Biochemical and physiological measurements on fish - Part 1: Sampling of fish, handling and preservation of samples*

- ISO/IEC 17021:2006 *Conformity assessment - Requirements for bodies providing audit and certification of management systems*
- ISO/IEC 17065
- ISO/IEC 22003:2007 *Food safety management systems: Requirements for bodies providing audit and certification of food safety management systems*
- ISO/IEC 17021. *Management Systems certification*
- ISO/IEC 22003. *Food safety management systems*
- ISO/IEC 17025. *Laboratory testing*
- ISO/IEC 22005. *Chain of Custody*

Functions and organizational structure

68. Standard setting encompasses the tasks of developing, monitoring, assessing, reviewing, and revising standards. These tasks can be fulfilled through a specialized standard setting body or entity, or through another suitable entity and be either a government or non government entity. The standard setting body or entity is also responsible for ensuring appropriate communications and outreach regarding the standard and the standard setting process, and ensuring that the standard and associated documents are available.
69. The organizational structure of a standard setting body or entity should include, *inter alia*, a technical committee of independent experts and a consultation forum with relevant stakeholder representatives whose mandates are clearly established.
70. A standard setting body or entity must be a legal entity, with sufficient resources to support its standard setting function. The process should include adequate stakeholder representation. Governance, administration and other support staff should be free of conflicts of interest.

Requirements

Transparency

71. Transparency in the setting of standards is essential. Transparency helps facilitate consistency with relevant national and international standards and facilitates access to information and records pertaining to certification and participation of all interested parties, including those of developing countries and countries in transition, particularly small-scale stakeholders.
72. The standard setting body or entity should carry out activities in a transparent fashion, following written rules of procedure. Procedural rules should contain a mechanism for the impartial resolution of any substantive or procedural disputes about the handling of standard setting matters.
73. On a regular basis as appropriate, the standard setting body or entity should publicize its work programme as widely as possible.
74. On the request of any interested party, the standards setting body or entity should provide, or arrange to provide, within reasonable time, a copy of its standard setting procedures, most recent work programme, draft standards or final standards.

75. Based on the needs of users, a standards setting body or entity should translate the standard setting procedures, most recent work programme, draft standards or final standards into appropriate languages.

Participation by interested parties

76. The standards setting body or entity should strive to achieve balanced participation by independent technical experts and by representatives of interested parties in the standards development, revision and approval process. Interested parties can include, *inter alia*, governments, non-governmental organizations, private sector groups, civil society arrangements, representatives of the aquaculture industry (input suppliers, producers, processors, traders and retailers), the scientific community, community groups and various consortia, as indirect users of the guidelines.
77. Interested parties should be associated in the standard setting process through an appropriate consultation forum or be made aware of appropriate alternative mechanisms by which they can participate. Where more than one forum is designated, appropriate coordination and communication requirements should be determined and provided.

Content and comparable systems

78. The standards setting process should seek to:
- include international reference standards in animal health and welfare, food safety, environmental integrity and socio-economic aspects;
 - identify and review comparable systems;
 - identify research needs and knowledge gaps;
 - include requirements of relevant international agreements; and
 - encourage mutual recognition among certification schemes.

Notification provisions

79. Before adopting a standard(s), the standards setting body or entity should allow a period of an appropriate duration for the submission of comments on the draft standards by interested parties. No later than the start of the comment period, the standard setting body or entity should publish a notice announcing the period for commenting in a national or, as appropriate, regional or international publication of standardization activities and/or on the Internet.
80. In further processing of the standards, the standards setting body or entity should take into account the comments received during the period for commenting.

Keeping of records

81. Proper records of standards and development activity should be prepared and maintained. The standards setting organization or entity should identify a central focal point for standards-related enquiries and for submission of comments. Contact information for this focal point should be made easily available including on the Internet.

Review and revision of standards and of standards setting procedures

82. Standards should be reviewed at regular published intervals in consultation with appropriate stakeholders and, if appropriate, revised following such reviews. Certified aquaculture operations should be given an appropriate period to come into compliance with the revised standards.
83. Proposals for revisions can be submitted by any interested party and should be considered by the standard setting body or entity through a consistent and transparent process.
84. The procedural and methodological approach for setting standards should also be updated in the light of scientific and technical progress and of the experience gained in the application of the standard in aquaculture.

Validation of standards

85. In developing and revising standards, an appropriate procedure should be put in place to corroborate the standard vis-à-vis the minimum requirements for aquaculture as laid out in these guidelines. Validation is also required to ensure that standards:
 - are effective in meeting the certification goals, meaningful, objective and auditable;
 - do not contain criteria or requirements that could cause unnecessary barriers to trade or mislead the aquaculture community; and
 - take into consideration practicality and cost of standards development and maintenance.

Accreditation

Purpose

86. Accreditation provides assurance that certification bodies responsible for conducting conformity assessments according to standards for aquaculture in relation to animal health and welfare, food safety, environmental integrity and socio-economic aspects are competent to carry out such tasks. Accreditation provides assurance that the certification body or entity is able to assess and certify that a specific aquaculture product, method or process comes from a certified aquaculture operation and conforms to the standards.

Normative reference

- ISO/IEC 17011. *Conformity assessment - General requirements for accreditation bodies accrediting conformity assessment bodies.*

Functions and structure

87. Accreditation is an independent assessment of the competence of the certification body or entity. The task of granting accreditation following successful assessment should be undertaken by competent accreditation bodies. Accreditation is carried out on the basis of a system that has its own rules and management, i.e. an accreditation system.
88. An accreditation body or entity must be a legal entity, with sufficient resources to support its functions in undertaking accreditation. The governance structure should include appropriate stakeholder representation. Governance, administration and other support staff should be free

of conflicts of interest. In order to be recognized as competent and reliable in undertaking the assessment of certification bodies or entities in a non-discriminatory, impartial and accurate manner, an accreditation body or entity should fulfill, *inter alia*, the following requirements.

Requirements

Non-discrimination

89. Access to the services of the accreditation body or entity should be open to all certification entities irrespective of their location. Access should not be conditional upon the size of the applicant body or membership in any association or group, nor should accreditation be conditional upon the number of certification bodies already accredited.
90. Full recognition should be given to the special circumstances and requirements of certification bodies in developing countries and countries in transition including financial and technical assistance, technology transfer, and training and scientific cooperation, without compromising the integrity of the accreditation and certification process.

Independence, impartiality and transparency

91. The accreditation body or entity should be independent and impartial. In order to be impartial and independent, the accreditation body should:
 - be transparent about its organizational structure and the financial and other kinds of support it receives from public or private entities;
 - be independent from vested interests, together with its senior executive and staff;
 - be free from any commercial, financial and other pressures that might influence the results of the accreditation process;
 - ensure that decision on accreditation is taken by a person(s) who has(ve) not participated in certification (conformity assessment); and
 - not delegate authority for granting, maintaining, extending, reducing, suspending or withdrawing accreditation to an outside person or body.

Human and financial resources

92. The accreditation body or entity should have adequate financial resources and stability for the operation of an accreditation system and should maintain appropriate arrangements to cover liabilities arising from its operations and/or activities.
93. The accreditation body or entity should employ a sufficient number of personnel having the necessary training, technical knowledge and experience for performing accreditation functions in aquaculture.
94. Information on the relevant qualifications, training and experience of each member of the personnel involved in the accreditation process should be maintained by the accreditation body or entity. Record of training and experience should be kept up to date.
95. When an accreditation body or entity decides to subcontract work related to accreditation other than work exempted in paragraph 91 to an external body or person, the requirements for such an external body should be no less than for the accreditation body or entity itself. A

properly documented contractual or equivalent agreement covering the arrangements including confidentiality and conflict of interests, should be drawn up.

Accountability and reporting

96. The accreditation body or entity should be a legal entity and should have clear and effective procedures for handling applications for accreditation procedures. In particular, the accreditation body or entity should maintain and provide to the applicants and accredited entities:
- a detailed description of the assessment and accreditation procedure;
 - the documents containing the requirements for accreditation; and
 - the documents describing the rights and duties of accredited bodies.
97. A properly documented contractual or equivalent agreement describing the responsibilities of each party should be drafted.
98. The accreditation body or entity should have:
- defined objectives and commitment to quality;
 - procedures and instructions for quality documented in a quality manual; and
 - an established effective and appropriate system for quality.
99. The accreditation body or entity should conduct periodic internal audits covering all procedures in a planned and systematic manner to verify that the accreditation system is implemented and effective.
100. The accreditation body or entity may receive external audits on relevant aspects. The results of the audit should be accessible by the public.
101. Qualified personnel, attached to the accreditation body or entity, should be nominated by the accreditation body or entity to conduct the assessment against all applicable accreditation requirements.
102. Personnel nominated for the assessments should provide the accreditation body or entity with a report of its findings as to the conformity of the body assessed to all of the accreditation requirements. The report should provide sufficiently comprehensive information such as:
- the qualification, experience and authority of the staff encountered;
 - the adequacy of the internal organization and procedures adopted by the certification body or entity to give confidence in its services; and
 - the actions taken to correct identified nonconformities including, where applicable, those identified at previous assessments.
103. The accreditation body or entity should have policy and procedures for retaining records of what happened during the assessment visit for a period consistent with its contractual, legal or other obligations. The records should demonstrate that the accreditation procedures have been

effectively fulfilled. The records should be identified, managed and disposed of in such a way as to ensure the integrity of the process and confidentiality of the information.

Resolution of complaints concerning accreditation of certifying bodies

104. The accreditation body or entity should have a written policy and procedures for dealing with any complaints in relation to any aspect of the accreditation or de-accreditation of certifying bodies.
105. These procedures should include establishment, on an ad hoc basis as appropriate, of an independent and impartial committee to respond to a complaint. The committee should seek to resolve any complaints through discussion or conciliation. If this is not possible, the committee should provide a written ruling to the accreditation body or entity, which should transmit it to the other party or parties involved.
106. The accreditation body or entity should:
- keep a record of all complaints, and remedial actions relative to accreditation;
 - take appropriate corrective and preventive actions;
 - assess the effectiveness of remedial actions; and
 - safeguard confidentiality of information obtained during the investigation and resolution of complaints.
107. Information on procedures for handling complaints concerning accreditation should be made publicly available.
108. The above does not exclude recourse to other forms of legal and administrative processes as provided for in national legislation or international law.

Confidentiality

109. The accreditation body or entity should have adequate arrangements, consistent with applicable laws, to safeguard confidentiality of the information obtained in the course of its accreditation activities at all levels of its organization, including committees and external bodies acting on its behalf.
110. Where the law requires information to be disclosed to a third party, the body should be informed of the information provided, as permitted by the law. Otherwise information about an applicant certification body or entity should not be disclosed to a third party without a written consent of the body.

Maintenance and extension of accreditation

111. The accreditation body or entity should have arrangements to define the period of accreditation of a certifying body or entity, with clear monitoring procedures.
112. The accreditation body or entity should have arrangements to ensure that an accredited certification body or entity informs it without delay of changes in any aspects of its status or operation.

113. The accreditation body or entity should have procedures to conduct reassessments in the event of changes significantly affecting the capabilities or scope of activities of the accredited body or entity or the conformance with any other relevant criteria of competence specified by the accreditation body or entity.
114. Accreditation should be re-assessed at sufficiently close intervals or as necessary to verify that the accredited certification body or entity continues to comply with the accreditation requirements. The period for carrying out reassessments should not exceed five years.

Suspension and withdrawal of accreditation

115. The accreditation body or entity should specify the conditions under which accreditation may be suspended or withdrawn, partially or in total, for all or part of the scope of accreditation.

Change in the accreditation requirements

116. The accreditation body or entity should give due notice of any changes it intends to make in its requirements for accreditation to all stakeholders involved.
117. It should take account of views expressed by interested parties before deciding on the precise form and effective date of the changes.
118. Following a decision on and publication of the changes, it should verify that each accredited body or entity carries out any necessary adjustments to its procedures within such time as, in the opinion of the accreditation body or entity, is reasonable.
119. Special considerations should be given to accredited bodies in developing countries and countries in transition, without compromising the integrity of the certification process.

Proprietor or licensee of an accreditation symbol, label or a logo

120. The provisions on the use and control of a certification claim, symbol, label or logo are addressed in the following section on certification.
121. The accreditation body or entity that is proprietor or licensee of a symbol or logo, intended for use under its accreditation programme, should have documented procedures describing its use.
122. The accreditation body or entity should not allow use of its accreditation mark or logo in any way that implies that the accreditation body or entity itself approved a product, service or system certified by a certification body or entity.
123. The accreditation body or entity should take suitable action to deal with incorrect references to the accreditation system or misleading use of accreditation logos found in advertisements, catalogues, etc.

Certification

Purpose

124. Certification is the procedure by which a body or entity gives written or equivalent assurance that the aquaculture operation or activity under consideration conforms to the relevant aquaculture certification standards. Impartial certification based on an objective assessment of relevant factors provides assurance to buyers and consumers that a certified aquaculture product comes from an aquaculture operation that conforms to the certification standards.

Scope

125. Certification could include an aquaculture activity e.g. an aquaculture operation of the chain of custody of a product. Separate certificates may be issued for the aquaculture activity and the chain of custody of a product.

126. Two types of assessments are required for certification:

- Conformity assessment: Whether an aquaculture activity conforms to the standards and related certification criteria.
- Chain of custody assessment: Whether adequate measures are in place to identify and differentiate products from a certified aquaculture operation including production and subsequent stages of processing, distribution and marketing (traceability).

127. Aquaculture products that are labelled to indicate to the buyer and consumer of their origin from a certified aquaculture operation and chain of custody require both types of assessments and certificates.

Normative references

- ISO Guide 62, General Requirements for bodies operating assessment and certification/registration of quality systems. 1996
- ISO/IEC Guide 65, General requirements for bodies operating product certification systems. 1996
- WTO. Agreement on Technical Barriers to Trade
- ISO/IEC 17021. Management Systems certification
- ISO/IEC 22003. Food safety management systems
- ISO/IEC 17025. Laboratory testing
- ISO/IEC 22005. Chain of Custody
- OIE Aquatic Animal Health Code/Guidelines
- TBT Articles 5-6. Conformity Assessment

Functions and structure

128. The tasks of carrying out conformity and chain of custody assessments should be undertaken by accredited certification bodies. In order to be recognized as competent and reliable in undertaking the assessments in a non-discriminatory, impartial and accurate manner, a certification body or entity should fulfill the following requirements.

Requirements

Independence and impartiality

129. The certification body or entity should be legally and financially independent from the owner of the certification scheme and should not have any conflict of interest.
130. The certification body or entity and its assessment and certifying staff, whether directly employed by the certification body or entity or sub-contracted by it, should have no commercial, financial or any other interest in the aquaculture operation or chain of custody to be assessed other than for its certification services.
131. The certification body or entity should ensure that the personnel who conduct assessment in view of certification are different from the personnel which grant the certificate.
132. The certifying body or entity should not delegate authority for granting, maintaining, extending, reducing, suspending or withdrawing certification to an outside person or body.

Non-discrimination

133. Access to the services of the certification body or entity should be open to all types of aquaculture operations.
134. Access to the certification body or entity should not be conditional upon the size or scale of the aquaculture operations nor should certification be conditional upon the number of aquaculture operations already certified.

Human and financial resources

135. The certification body or entity should have adequate financial resources and stability for its conduct and should maintain appropriate arrangements to cover liabilities arising from its operations and/or activities.
136. The certification body or entity should employ a sufficient number of personnel having the necessary qualifications, training, technical knowledge, education and experience for performing conformity and/or chain of custody assessments in aquaculture.
137. Information on the relevant qualifications, training and experience of each member of the personnel involved in the certification process should be maintained by the certification body or entity. Record of training and experience should be kept up to date.
138. When a certification body or entity decides to sub-contract work related to certification, to an outside body or person other than work exempted in paragraph 132, the requirements for such an external body should be no less than for the certification body or entity itself. A properly documented contractual or equivalent agreement, covering the arrangements including confidentiality and conflict of interests, should be drawn up. A sub-contractor should be periodically audited and evaluated.

Accountability and reporting

139. The certification body or entity should be a legal entity and have clear and effective procedures for handling applications for certification of aquaculture operations and/or chains of custody for aquaculture products. In particular, the certification body or entity should maintain and provide to the applicants and certified entities:
- a detailed description of the assessment and certification procedure;
 - the documents containing the requirements for certification; and
 - the documents describing the rights and duties of certified entities.
140. A properly documented contractual or equivalent agreement describing the rights and duties of each party should be drafted between the certification body or entity and its clients.
141. The certification body or entity should conduct periodic internal audits covering all procedures in a planned and systematic manner to verify that the certification system is implemented and effective.
142. The certification body or entity may receive external audits on relevant aspects. The results of the audits should be accessible by the public.
143. The certification body or entity should have a policy and procedures for retaining records for a period consistent with its contractual, legal or other obligations. The records should demonstrate that the certification procedures have been effectively fulfilled, particularly with respect to application forms, assessment reports and other documents relating to granting, maintaining, extending, reducing, suspending or withdrawing certification. The records should be identified, managed and disposed of in such a way as to ensure the integrity of the process and confidentiality of the information. The certification body or entity should ensure that any changes to the agreed procedures are notified to all affected parties.
144. The certification body or entity should make appropriate, non-confidential documents available on request.

Certification fees

145. If the certification body or entity charges fees, it should maintain a written fee structure for applicants and certified aquaculture operations that should be available on request. In establishing the fee structure and in determining the specific fee of certification, the certification body or entity should take into account, *inter alia*, the requirements for accurate and truthful assessments, the scale, size and complexity of the aquaculture operation or chain of custody, the requirement of non-discrimination of any client, and the particular circumstances and requirements of small-scale farmers, developing countries and countries in transition.

Confidentiality

146. The certification body or entity should have adequate arrangements, consistent with applicable laws, to safeguard confidentiality of the information obtained in the course of its certification at all levels of its organization.

147. Where the law requires information to be disclosed to a third party, the client should be informed of the information provided, as permitted by the law. Otherwise information about a particular product or aquaculture operation should not be disclosed to a third party without a written consent of the client.

Maintenance of certification

148. The certification body or entity should carry out periodic surveillance and monitoring at appropriate intervals to verify that certified aquaculture operations and/or certified chains of custody continue to comply with the certification requirements.
149. The certification body or entity should require the client to notify it promptly of any intended changes to the management of the aquaculture, or the chain of custody, or other changes that may affect conformity to certification standards.
150. The certification body or entity should have procedures to conduct reassessments in the event of changes significantly affecting the status and management of the certified aquaculture operation, or the chain of custody, or if analysis of a complaint or any other information indicates that the certified aquaculture operation and/or the chain of custody no longer comply with the required standard and/or related requirements of the certification body or entity.
151. The period of validity of a certificate should not exceed five years. The assessment required for re-certification should give particular attention to changes made in the conduct of the aquaculture operation or in the management practices.

Renewal of certification

152. On the basis of proper monitoring and auditing, the validity of certification should be renewed for an agreed period, not to exceed five years, or more frequently if warranted by changes in the operation under certification.

Suspension and withdrawal of certification

153. The certification body or entity should specify the conditions under which certification may be suspended or withdrawn, partially or in total, for all or part of the scope of certification.
154. The certification body or entity should require that a certified aquaculture operation and/or chain of custody upon suspension or withdrawal of its certification (however determined), discontinues use of all advertising matter that contains any reference thereto and returns any certification documents as required by the certification body or entity. The certification body or entity should also be responsible for informing the public about the withdrawal or suspension after the appeals process is exhausted.

Maintaining the chain of custody

155. Chain of custody procedures are implemented at the key points of transfer. At each point of transfer, which may vary according to the type of aquaculture product traded, all certified aquaculture products must be identified and differentiated from non-certified aquaculture products.

156. The certification body or entity should ensure that a recipient of certified aquaculture products should maintain pertinent chain of custody records, including all records relating to shipment, receipt and invoicing.
157. The certification body or entity should have documented procedures defining auditing methods and periodicity of audits.
158. Any breach or apparent breach of the chain of custody identified during an inspection/audit should be explicitly recorded in the inspection/audit report together with:
- an explanation of the factors that allowed the breach to occur; and
 - an explanation of the corrective actions taken or required to deal with the product affected by the breach and to ensure that a similar breach does not occur again.
159. All inspection/audit records should be incorporated into a written inspection/audit report that is available to pertinent parties and filed at the office of the certification body or entity.
160. The inspection/audit report should contain, as a minimum:
- the date of the inspection/audit;
 - the name(s) of the person(s) responsible for the report;
 - the names and addresses of the sites inspected/audited;
 - the scope of the inspection/audit; and
 - comments on the conformity of the client with the chain of custody requirements.

Use and control of a certification claim, symbol, label or a logo

161. The owner of the certification scheme should have documented procedures describing the requirements, restrictions or limitations on the use of symbols, labels or logos indicating that an aquaculture product comes from a certified aquaculture operation. In particular, the certification scheme is required to ensure that symbols, labels or logos should not relate to claims that are of no relevance for certified aquaculture operations or products and could cause barriers of trade or mislead the consumer.
162. The owner of the certification scheme should not issue any license to affix its mark/claim/label/logo or issue any certificate for any aquaculture operations or products unless it is assured that the product bearing it is in fact produced from certified sources.
163. The certification body or entity, accreditation body or entity or owner of the certification scheme is responsible that no fraudulent or misleading use is made with the use and display of its certification mark, labels or logos.
164. If the certification body or entity, accreditation body or entity or owner of the certification scheme confers the right to use a symbol, label or logo to indicate certification, the aquaculture operation and any aquaculture product from it may use the specified symbol, label or logo only as authorized in writing by it.

165. The certification body or entity, accreditation body or entity or owner of the certification scheme should take suitable action to deal with incorrect references to the certification system or misleading use of symbols, labels and logos found in advertisements and catalogues.

166. All certificates issued should include:

- the name and address of the accreditation body or entity or owner of the certification scheme;
- the name and address of the certification body or entity;
- the name and address of the certification holder;
- the effective date of issue of the certificate;
- the substance of the certificate;
- the term for which the certification is valid; and
- the signature and the stamp of the issuing officer.

Resolution of complaints and appeals

Policy and procedures

167. The accreditation body or entity or owner of the certification scheme should have written policy and procedures, applicable to accredited certification bodies, for dealing with any complaints and appeals from involved parties in relation to any aspect of the certification or de-certification. Such procedures should be timely, clearly define the scope and nature of appeals that will be considered and should be open only to parties involved in, or consulted during the assessment. Costs of appeals should be borne by the appellant.

168. These procedures should include an independent and impartial committee to respond to any complaint. If possible, the committee should attempt to resolve any complaint through discussion or conciliation. If this is not possible, the committee should provide a written finding to the certification body or entity, accreditation body or entity or owner of the certification scheme as appropriate, which should transmit the finding to the party or parties involved.

169. The above does not exclude recourse to other forms of legal and administrative processes as provided for in national and regional legislation or international law.

Keeping of records on complaints and appeals concerning certification

170. The certification body or entity, accreditation body or entity or promoter/owner of the certification scheme should:

- keep a record of all complaints and appeals, and remedial actions related to certification;
- take appropriate corrective and preventive action;
- assess the effectiveness of remedial actions; and
- safeguard confidentiality of information obtained during the investigation and resolution of complaints and appeals concerning certification.

171. Information on procedures for handling of complaints and appeals concerning certification should be made publicly available.

SPECIAL CONSIDERATIONS FOR IMPLEMENTATION

172. National and relevant international organizations, whether governmental or non-governmental, the aquaculture industry and financial institutions should recognize the special circumstances and requirements of aquaculture producers and other stakeholders in developing countries, especially those in least-developed countries and small island developing states, to support the effective and progressive implementation of these guidelines. States, relevant intergovernmental and non-governmental organizations, buyers and traders, and financial institutions should work to address these implementation needs, especially in the areas of financial and technical assistance, technology transfer, capacity building and training. Such assistance should also consider direct support towards the possible high costs of accreditation and certification.
173. Assistance is needed for building the capacity and enhancing the ability of stakeholders to participate in developing and complying with aquaculture certification schemes consistent with these guidelines. This includes ensuring that stakeholders have access to, and understanding of, these guidelines, as well as provisions of relevant international conventions and applicable standards that are essential for responsible aquaculture. Appropriate and up-to-date technologies may be required to comply with certification standards. Full benefit from such technologies would require extension, training, skill development and other local capacity building programmes for farmers and local communities and other stakeholders. Governmental and other institutions should support cooperation, especially at regional and sub-regional levels, in capacity building for developing and complying with aquaculture certification systems most suitable to their regions, and in the elaboration of mechanisms and protocols for the exchange of knowledge, experience and technical assistance in support of these objectives.
174. Different aquaculture certification schemes may be capable of meeting the same objective and to that extent may be equivalent. Memoranda of understanding, mutual recognition agreements, and unilateral recognition may be developed for mutual recognition of aquaculture certification schemes, all of which should include appropriate controls and verification of the certification systems involved. Tools and technical assistance may be required to ensure fairness, transparency and uniformity in developing agreements and monitoring that facilitates the development and implementation of aquaculture certification schemes consistent with the certification, accreditation and standards development procedures provided in these guidelines.
175. Notwithstanding the other provisions of this chapter, third-party certification schemes implemented in application of these guidelines should not replace related certification schemes or official certificates issued by States.
176. FAO will facilitate and monitor implementation of these guidelines on certification in aquaculture and promote exchange of knowledge and experience. Development agencies and donor institutions are encouraged to support FAO in facilitating financial and technical assistance to developing countries and countries in transition.

ANNEXE G

Directives techniques relatives à la certification en aquaculture Version adoptée par le Sous-Comité de l'aquaculture du Comité des pêches à sa cinquième session, à Phuket (Thaïlande)

CONTEXTE

1. La production aquacole mondiale augmente de manière importante et fournit un volume significatif croissant de poissons et de produits aquatiques pour la consommation humaine, tendance qui devrait se prolonger. Bien que la croissance de l'activité aquacole pourrait permettre de répondre à une demande croissante en produits aquatiques et pourrait participer à la sécurité alimentaire, à la réduction de la pauvreté, et d'une manière générale, permettre un développement responsable et atteindre les objectifs du Millénaire pour le développement, il est de plus en plus reconnu qu'il est nécessaire d'améliorer les pratiques utilisées dans ce secteur pour atteindre ce potentiel.
2. L'aquaculture est un secteur très diversifié, comprenant de nombreux systèmes différents de production, dans des sites variés avec des pratiques, des moyens, des processus et des produits différents, dans des conditions politiques, sociales, économiques et environnementales diverses.
3. Les efforts faits pour promouvoir l'aquaculture devraient tenir compte des préoccupations et des intérêts particuliers des petits exploitants aquacoles ayant peu de ressources et encourager la responsabilité sociale des entreprises, lorsqu'il s'agit d'intégrer les petits exploitants et autres parties prenantes marginales aux filières de commercialisation. Les systèmes de certification ne devraient pas créer d'obstacles aux échanges ni exclure des filières de commercialisation les produits des petits exploitants aquacoles.
4. La production aquacole et le commerce de produits aquacoles ont augmenté mais des inquiétudes sont apparues à propos de possibles impacts négatifs sur l'environnement, les communautés et les consommateurs. Pour nombre de ces points, des solutions ont été identifiées et appliquées. La certification en aquaculture est maintenant perçue comme un outil envisageable, basé sur les marchés, pour minimiser les possibles impacts négatifs et augmenter d'une part les avantages pour la société et les consommateurs et d'autre part la confiance dans les systèmes de productions aquacoles et de commercialisation.
5. Si les questions de la santé des animaux aquatiques et de la sécurité sanitaire des aliments dans le domaine l'aquaculture sont l'objet de dispositions de certification et de contrôle de la conformité au niveau international depuis de nombreuses années, il en va différemment des aspects relatifs au bien-être animal, à l'environnement et à des questions socioéconomiques, qui ne sont pas visés par des mesures de cette nature.

DOMAINE D'APPLICATION

6. Les présentes directives fournissent des conseils pour le développement, l'organisation, et la mise en place de systèmes crédibles de certification pour l'aquaculture.
7. Les directives portent sur un ensemble de questions qui devraient être considérées comme pertinentes pour la certification en aquaculture, dont: a) la santé animale et le bien-être

animal, b) la sécurité sanitaire des aliments, c) la conservation de l'environnement et d) les aspects socioéconomiques liés à l'aquaculture.

8. Le développement durable de l'aquaculture dépend de trois facteurs – la viabilité écologique, économique et sociale – chacun devant être pris en compte à raison de leur importance respective.
9. Il existe un cadre légal national et international important pour de nombreux aspects de l'aquaculture et de sa chaîne de valorisation qui couvre des enjeux tels que le contrôle des maladies des animaux aquatiques, la sécurité sanitaire des aliments et la conservation de la biodiversité. La législation est particulièrement forte pour la transformation, l'exportation et l'importation de produits aquatiques. Les autorités compétentes reconnues sont normalement habilitées à vérifier la conformité avec la législation nationale et internationale. Les autres enjeux tels que la viabilité environnementale et les aspects socioéconomiques peuvent ne pas être couverts par un tel cadre légal et offrent des opportunités pour des certifications volontaires comme un moyen de démontrer qu'un système aquacole particulier est géré de façon responsable.
10. Des schémas crédibles de certification en aquaculture devraient avoir trois composantes principales: i) les normes; ii) l'homologation et iii) la certification. Ces directives couvrent de ce fait:
 - les procédés de normalisation nécessaires pour développer et réviser des normes de certification;
 - les systèmes d'homologation nécessaires pour donner une reconnaissance formelle à une entité qualifiée agréée pour procéder à la certification ;
 - les organismes de certification requis pour vérifier la conformité aux normes de la certification.
11. Développer et mettre en place un système de certification peut être entrepris par toute entité qualifiée pour le faire, en accord avec les exigences des présentes directives. Ces entités peuvent être, entre autres, un Gouvernement, une organisation intergouvernementale, un groupe du secteur privé (par exemple une association de producteurs ou de négociants), un dispositif de la société civile, ou un consortium comprenant ces différents groupes de parties prenantes ou certains d'entre eux, en tant qu'utilisateurs directs des directives. Ces présentes directives fournissent des informations pour les dispositifs institutionnels et organisationnels relatifs à la certification en aquaculture, notamment des exigences en matière de gouvernance, et visent notamment à éviter les conflits d'intérêts.

TERMES ET DÉFINITIONS

12. Aux fins des présentes directives internationales, les termes et définitions applicables sont présentés ci-après. Ces termes et définitions proviennent de documents existants (par exemple FAO¹, ISO², Codex Alimentarius³, OIE⁴, le Code de conduite pour une pêche responsable de la FAO (CCPR) et bien d'autres) et des commentaires des parties prenantes reçus durant la phase de développement de présentes directives.

¹ Organisation des Nations Unies pour l'alimentation et l'agriculture

² Organisation internationale de normalisation

³ Commission Codex Alimentarius

⁴ Organisation mondiale de la Santé Animale

Homologation

Procédure par laquelle un organisme ayant compétence en vertu du droit applicable reconnaît officiellement qu'un organisme ou une personne à la compétence nécessaire pour l'exécution de tâches spécifiques.

(D'après le Guide ISO/CEI 2:1996, 12.11; définition modifiée du terme « accréditation »)

Aquaculture

Élevage d'organismes aquatiques, impliquant une intervention dans le processus d'élevage en vue d'en améliorer la production, et la propriété individuelle ou juridique du stock en élevage. (D'après le Glossaire FAO de l'aquaculture <http://www.fao.org/fi/glossary/aquaculture/>)

Audit

Examen méthodique et indépendant sur le plan fonctionnel visant à déterminer si les activités et les résultats obtenus satisfont aux objectifs préétablis.

(Codex Alimentarius, Principes applicables à l'inspection et à la certification des importations et des exportations alimentaires, CAC/GL 20)

Chaîne de responsabilité

Série de mesures visant à vérifier qu'un produit certifié provient d'une chaîne de production aquacole certifiée et n'est pas mélangé à des produits non certifiés. Ces mesures devraient couvrir le traçage/traçabilité du produit tout au long de la chaîne de production, transformation, distribution et commercialisation, le traçage de la documentation, et la quantité visée. (Directives FAO sur l'écoétiquetage des pêches)

Évaluation de la conformité

Toute activité visant à déterminer directement ou indirectement que les exigences requises sont remplies.

(Adapté de ISO, Guide 2, 12.2)

Certification

Procédure par laquelle un tiers donne par écrit, ou de manière équivalente, l'assurance qu'un produit, un procédé ou un service est conforme aux exigences spécifiées. La certification peut, selon le cas, s'appuyer sur toute une série de contrôles qui peuvent inclure l'inspection continue sur la chaîne de production. (D'après Guide ISO 2, 15.1.2; principes relatifs à la certification et à l'inspection des importations et exportations d'aliments, CAC/GL 20; directives relatives à l'écoétiquetage)

Certification collective

Certification pour un groupe d'aquaculteurs artisanaux ou une coopérative d'aquaculteurs qui ont des caractéristiques importantes communes: type de production, proximité des exploitations aquacoles, commercialisation des produits en commun.,Le groupe a un système de contrôle interne pour garantir la conformité aux normes de tous ses membres.

Produits médicinaux vétérinaires

Toute substance ou composition présentée comme possédant des propriétés curatives ou préventives à l'égard des maladies animales ou pouvant être administrée à l'animal en vue d'établir un diagnostic médical ou de restaurer, corriger ou modifier des fonctions physiologiques chez l'animal. (Directive de l'UE 2001/82/EC)

Petite exploitation aquacole (artisanale)

Fermes aquacoles ayant de petits volumes de production et/ou d'une superficie relativement petite, n'ayant généralement pas de personnel permanent et les moyens

techniques et financiers d'obtenir une certification individuelle. Rapport du premier atelier d'experts sur la certification aquacole, Bangkok (Thaïlande), mars 2007.
(Adapté du rapport de l'atelier de Bangkok)

Norme

Document approuvé qui fournit, pour des utilisations usuelles et répétées, des règles, des directives ou des caractéristiques applicables aux produits ou aux processus et méthodes de production connexes, et dont le respect n'est pas obligatoire en vertu des règles de commerce international. Ledit document peut également comporter, exclusivement ou non, des exigences de terminologie, de symboles, d'emballage, de marquage ou d'étiquetage applicables à un produit, un processus ou une méthode de production.

(D'après l'accord OTC, Annexe 1, par. 2)

Organisme ou entité de certification

Organisme compétent et reconnu, gouvernemental ou non gouvernemental, qui effectue des activités de certification et d'audit. Un organisme de certification peut superviser des activités de certification menées pour son compte par d'autres organismes. (D'après le Guide ISO 2, 15.2)

Organisation ou entité de normalisation

Organisation ou dispositif exerçant des activités reconnues en matière de normalisation.
(D'après le Guide ISO 2, par. 4.3)

Organismes d'homologation

Organisme qui conduit et gère un système d'accréditation et accorde l'accréditation (Guide ISO 2, 17.2).

Système d'homologation

Système qui utilise ses propres règles de fonctionnement et de gestion pour procéder à une accréditation. Normalement, l'accréditation des organismes de certification est accordée au vu du résultat positif d'une évaluation, à laquelle une surveillance appropriée fait suite (ISO Guide 2, par. 17.1).

Système de certification

Processus, systèmes, procédures et activités liés à l'établissement des normes, à l'homologation et à la mise en œuvre de la certification. (D'après le rapport du premier atelier d'experts sur la certification aquacole, Bangkok (Thaïlande), mars 2007)

Tierce partie

Personne ou organisme dont l'indépendance à l'égard des parties concernées est reconnue, aux fins de la question examinée.
(Guide ISO/CEI 2:1996; Directives de la FAO pour l'étiquetage écologique des produits halieutiques)

Traçabilité

La capacité à suivre les mouvements d'un produit aquacole ou d'intrants tels que l'aliment et les alevins/larves au cours de différentes étapes spécifiées de production, transformation et distribution.
(D'après Codex)

Unité de certification

La taille ou l'étendue de(s) la structure(s) aquacole(s) analysées et suivies pour la conformité. L'unité de certification peut consister en une ferme unique, une unité de production ou autre installation aquacole. L'unité de certification peut englober un

groupe de fermes ou de grappe d'entreprises (cluster) qui devraient être analysées et suivies de manière collective.

APPLICATION

13. Les directives relatives aux systèmes de certification facultatifs doivent être interprétées et appliquées dans leur totalité d'une manière qui soit conforme aux lois et réglementations nationales et, lorsqu'ils existent, aux accords internationaux.
14. Les entités responsables de systèmes de certification en aquaculture existants ou nouveaux devraient analyser, vérifier, et documenter que ces systèmes ont été développés ou mis en place selon les présentes directives. S'il existe des écarts dans la manière dont un système existant a été développé et/ou dont il est mis en place, l'entité responsable de ces fonctions (c'est à dire normalisation, homologation, certification) devrait agir en conséquence pour définir et mettre en place un plan d'actions correctives. Lorsque celui-ci est achevé, l'entité devrait vérifier et documenter que le système est en accord avec les présentes directives. Il ne devrait pas avoir de conflit d'intérêt entre les parties impliquées.
15. Si les entités responsables d'un système privé de certification en aquaculture ne fournissent pas une garantie sérieuse que le système en question a été élaboré et qu'il est appliqué conformément aux présentes directives, des groupes de parties prenantes (en particulier, ceux certifiés par ce système) peuvent utiliser les présentes directives pour faire évaluer le système par un organe ayant les compétences techniques voulues ou pour l'évaluer eux-mêmes. Voir le chapitre sur les exigences institutionnelles et les procédures pour plus de détails.
16. L'évaluation utiliserait les présentes directives pour définir si un système de certification est développé et mis en place sur la base de celles-ci à savoir vérifier, notamment:
 - si les principes sont respectés
 - si les éléments d'appréciation particuliers ont été considérés
 - si les objectifs du système et les enjeux ont été définis et traités en accord avec les exigences minimales requises appropriées et
 - si la normalisation, l'homologation et/ou la certification a/ont été développé(s) et mise(s) en place selon les exigences institutionnelles et procédurales

PRINCIPES

17. **Les systèmes de certification pour l'aquaculture:**
 - a. Devraient être basés sur les normes ou directives internationales, lorsqu'elles s'appliquent et doivent reconnaître les droits souverains des États et être en conformité avec les lois et les réglementations locales, nationales et internationales concernées. Ils doivent être compatibles avec les accords, les conventions, les normes, les codes d'usage et les directives internationaux concernés.
 - b. Devraient reconnaître que toute personne ou entité qui entreprend des activités aquacoles est obligée de se conformer à toutes les lois et réglementations nationales.
 - c. Devraient être créés sur la base des meilleures connaissances scientifiques disponibles, en prenant en compte également les connaissances traditionnelles, sous réserve que leur pertinence puisse être vérifiée objectivement.

- d. Devraient être développés et mis en place de manière transparente et devraient assurer l'absence de conflit d'intérêt entre les entités responsables de la normalisation, de l'homologation et de la certification. Ces entités devraient faciliter la reconnaissance mutuelle, s'efforcer d'atteindre une harmonisation et reconnaître une équivalence sur la base des conditions et des critères identifiés dans les présentes directives.
- e. Devraient être ouverts à l'appréciation des consommateurs, de la société civile et de leurs organisations respectives et des autres parties intéressées, tout en respectant les préoccupations légitimes de confidentialité.
- f. Devraient être crédibles et robustes et être totalement efficaces aux fins de la réalisation des objectifs fixés.
- g. Devraient promouvoir une aquaculture responsable au stade de la production, comme souligné dans le Code de conduite de la FAO pour une pêche responsable, en particulier à l'article 9 (Développement de l'aquaculture).
- h. Devraient comporter des procédures adaptées permettant de maintenir la chaîne des responsabilités et d'assurer la traçabilité des produits et procédés aquacoles certifiés.
- i. Devraient établir clairement les obligations de rendre compte de toutes les parties intéressées, y compris les titulaires de systèmes de certification, les organes d'homologation et les organismes de certification, en conformité avec les exigences internationales lorsqu'elles s'appliquent.
- j. Ne devraient pratiquer de discrimination contre aucun groupe de producteurs pratiquant une aquaculture responsable, que ce soit sur la base de l'échelle, de l'intensité ou de la technologie de la production; devraient encourager la coopération entre les organismes de certification, fermiers et négociants, comprendre des procédures d'audit et de vérification fiables et indépendantes et devraient être rentables pour s'assurer de la participation des producteurs responsables.
- k. Devraient s'efforcer d'encourager le commerce responsable, conformément aux Directives techniques pour un commerce responsable du poisson et devraient faire en sorte que les produits de l'aquaculture puissent accéder aux marchés internationaux sans rencontrer d'obstacles aux échanges.
- l. Devraient garantir que les intérêts des petits producteurs aux ressources financières limitées soient pris spécialement en compte, en particulier en ce qui concerne le coût et les avantages financiers d'une participation, sans compromettre la sécurité sanitaire des aliments.
- m. Ces directives relatives à la certification en aquaculture doivent prendre en compte les besoins particuliers des producteurs et des pouvoirs publics dans les pays en développement. Elles doivent aussi reconnaître le rôle particulier que joue la FAO s'agissant d'aider les pays en développement à mettre au point un cadre d'application permettant d'engager des activités qui soient à la fois réalistes et mesurables. De même, la FAO doit faciliter l'évaluation des capacités des aquaculteurs et des États de répondre aux exigences imposées par les systèmes de certification des produits de l'aquaculture qui sont proposées et de faire des prévisions réalistes en la matière.

CRITÈRES MINIMUMS REQUIS

18. Des critères minimums pour développer des normes de une certification en aquaculture sont fournis dans cette partie pour a) la santé animale et le bien être animal, b) la sécurité sanitaire des aliments, c) la conservation de l'environnement et d) les aspects socioéconomiques. Le fait qu'un programme de certification cherche à aborder les problématiques dépend de la finalité du système qui devrait être présenté de manière claire et transparente par le système en question. Le développement de systèmes de certification devrait considérer l'importance d'être capable de mesurer la performance de systèmes et pratiques aquacoles et la capacité à évaluer la conformité aux normes de certification.

Santé animale et bien-être animal⁵

19. Les activités aquacoles devraient être conduites de manière à assurer la santé des animaux élevés et leur bien-être en améliorant la santé par le biais d'une réduction maximum du stress, d'une réduction du risque d'apparition de maladie et d'un maintien d'un milieu d'élevage sain à toutes les phases du cycle de production. Les directives et les normes établies par l'OIE devraient être la base d'une norme spécifique.

Critères minimums requis pour considérer la santé des animaux aquatiques et leur bien-être dans un programme de certification

20. Les exploitations aquacoles devraient mettre en place des programmes de gestion de la santé des animaux aquatiques conformes aux lois et réglementations nationales, compte tenu des directives techniques de la FAO/CCRF sur la gestion de la santé pour un mouvement responsable des animaux aquatiques vivants ainsi que des normes de l'OIE.

21. Les mouvements d'animaux aquatiques, de matériel génétique animal et de produit animal devraient avoir lieu conformément aux dispositions pertinentes du code sanitaire de l'OIE pour les animaux aquatiques afin de prévenir l'introduction ou la transmission de maladies et d'agents infectieux pathogènes à des animaux aquatiques, tout en évitant les mesures sanitaires injustifiées.

22. Un milieu aquacole adapté aux espèces élevées devrait être maintenu à toutes les phases du cycle de production pour assurer la santé et le bien-être des animaux aquatiques et réduire les risques d'introduction et de communication de maladies, et à cette fin il faudrait, en particulier:

- Faire en sorte que les stocks puissent être mis en quarantaine, s'il y a lieu;
- Suivre régulièrement les stocks et l'état du milieu pour y détecter rapidement les problèmes de santé des animaux aquatiques; et
- Mettre en place des pratiques de gestion qui permettent de réduire les probabilités de transmission de maladie au sein des installations aquacoles, entre elles et entre les installations aquacoles et la faune aquatique naturelle, et de réduire, aux fins d'optimiser leur état de santé, le stress subi par les animaux.

⁵ Aux fins des présentes directives, les références du bien-être animal ne s'appliquent que dans la mesure où celui-ci a trait à la santé animale conformément aux normes actuelles et futures de l'OIE.

23. Les médicaments vétérinaires devraient être utilisés de manière responsable et conformément à la législation nationale applicable et aux accords internationaux pertinents visant à assurer efficacement la sécurité sanitaire des animaux et du public et la protection de l'environnement.
24. L'utilisation des espèces en polyculture ou en aquaculture multitrophique intégrée devrait être examinée dans le but de réduire les risques de transmission de maladies entre espèces cultivées.
25. Les animaux d'aquaculture devraient être élevés dans des conditions adaptées à l'espèce, s'agissant en particulier de la température et de la qualité de l'eau.
26. Les employés devraient être formés aux bonnes pratiques de gestion de la santé animale et du bien-être animal de façon à ce qu'ils sachent quels sont leurs rôles et leurs responsabilités dans le maintien de la santé et du bien-être des animaux aquatiques en élevage.

Sécurité sanitaire des aliments

27. Les activités aquacoles devraient être conduites de manière à assurer la sécurité sanitaire des aliments par la mise en place de normes nationales ou internationales appropriées, notamment celles qui ont été définies par le Codex Alimentarius de la FAO et de l'Organisation mondiale de la santé. Même si le Codex Alimentarius s'occupe à la fois des questions de sécurité sanitaire et des questions de qualité pour ce qui est des produits aquatiques, aux fins des présentes directives, les aspects liés à la qualité ne sont pas traités ici en détail.

Critères minimums requis pour considérer la sécurité sanitaire des aliments dans un système de certification:

28. Les installations aquacoles devraient être situées dans des zones où le risque de contamination est minime et où les sources de pollution peuvent être contrôlées ou atténuées.
29. Lorsque des aliments pour poissons sont utilisés, les entreprises aquacoles devraient inclure des procédures pour éviter la contamination de ces aliments conformément aux réglementations nationales ou selon les modalités établies par les normes convenues sur le plan international. Les entreprises aquacoles devraient utiliser des aliments pour poissons dont les ingrédients ne contiennent pas des niveaux dangereux de pesticides, de contaminants biologiques, chimiques et physiques et/ou des substances frelatées. L'aliment pour poissons fabriqué ou préparé à la ferme ne devrait contenir que des substances autorisées par les autorités nationales compétentes.
30. Tous les médicaments vétérinaires ou les produits chimiques utilisés en aquaculture devront être en conformité avec la réglementation nationale, ainsi que aussi bien que des directives internationales. Partout où cela est possible, les médicaments vétérinaires ou les produits chimiques devraient être reconnus par les autorités compétentes nationales. Les médicaments vétérinaires devraient figurer sur une liste (classés). La lutte contre les maladies à l'aide de médicaments vétérinaires et d'agents antimicrobiens ne devrait être réalisée que sur la base d'un diagnostic et des connaissances précis de l'efficacité du médicament pour la lutte contre une maladie spécifique ou le traitement de celle-ci. Dans

certaines classifications les médicaments vétérinaires ne peuvent être prescrits et distribués que par le personnel autorisé selon la réglementation nationale. Tous les médicaments vétérinaires, les produits chimiques ou les aliments médicamenteux devraient être utilisés selon les instructions du fournisseur ou autre autorité compétente, en faisant attention en particulier au délai de carence. Les agents antimicrobiens, les médicaments vétérinaires et/ou les produits chimiques interdits non homologués et/ou non autorisés ne doivent pas être utilisés en aquaculture dans les phases de production, de transport et de transformation. L'emploi préventif de produits médicinaux vétérinaires, en particulier les agents antimicrobiens⁶, ne devrait pas être pratiqué.

31. L'eau utilisée pour l'aquaculture devrait être de qualité convenable pour la production d'aliment sans danger pour la consommation humaine. Les fermes ne devraient pas être installées là où il existe un risque de contamination chimique ou biologique de l'eau d'élevage. Les eaux usées ne doivent pas être utilisées dans l'aquaculture. Si des eaux usées sont utilisées, les directives de l'Organisation Mondiale de la Santé pour l'utilisation sans danger des eaux usées et des déjections en aquaculture devraient être respectées.
32. L'origine des géniteurs et des semences pour les cultures (larves, postlarves, alevins, juvéniles, etc.) devraient être de nature à éviter reporter le risque potentiel pour la santé humaine (par exemple antibiotiques, parasites, etc.) dans les stocks en élevage.
33. La traçabilité et les enregistrements des activités d'élevage et des intrants qui ont une incidence sur la sécurité sanitaire des aliments devraient être assurés en consignnant notamment:
 - les sources des intrants tels que l'aliment, les semences, les médicaments vétérinaires et les antibiotiques, les additifs et les produits chimiques; et
 - le type, la concentration, le dosage, le mode d'administration et le délai de carence des produits chimiques, des médicaments vétérinaires et des antibiotiques et la justification de leur emploi.
34. Les installations et les fermes aquacoles devraient maintenir de bonnes conditions d'élevage et d'hygiène incluant:
 - De bonnes pratiques d'hygiène aux alentours de la ferme devraient être appliquées dans le but de réduire le plus possible la contamination de l'eau des élevages, en particulier par les déchets et les matières fécales animales ou humaines;
 - De bonnes pratiques d'aquaculture devraient être appliquées pendant l'élevage pour garantir de bonnes conditions hygiéniques d'élevage et la sécurité sanitaire et la qualité des produits aquacoles;
 - Les fermes devraient établir un programme de lutte contre les organismes nuisibles, de façon que les rongeurs, oiseaux et animaux sauvages et domestiques soient contrôlés, en particulier aux alentours des zones de stockage de l'aliment pour poissons;
 - Les sols des fermes devraient être entretenus correctement de manière à réduire ou éliminer les risques pour la sécurité sanitaire des aliments destinés à la consommation humaine et animale; et

⁶ Les vaccins ne font pas partie de la catégorie des agents antimicrobiens.

- Des techniques appropriées pour la pêche, le stockage et le transport de produits aquacoles devraient être utilisées pour réduire le plus possible la contamination et les blessures physiques.
35. Des programmes d'identification, de classification, de gestion intégrée et de surveillance devraient être mis en place dans les zones d'élevage des mollusques bivalves afin de prévenir une contamination microbiologique, chimique et réduire la contamination par des biotoxines. Le déplacement et la dépuration des mollusques bivalves visant à éliminer la contamination microbienne devraient être opérés conformément aux prescriptions du Codex.
 36. Les employés devraient être formés aux bonnes pratiques d'hygiène pour faire en sorte qu'ils soient informés de leurs rôles et de leurs responsabilités en matière de protection des produits aquacoles contre la contamination et la détérioration.

Protection de l'environnement

37. Les activités aquacoles devraient être planifiées et réalisées de manière responsable d'un point de vue environnemental, en accord avec les règles et réglementations locales, nationales et internationales appropriées.
38. Les systèmes de certification de l'aquaculture devraient encourager la remise en état des habitats et sites endommagés par une utilisation en aquaculture.
39. L'aquaculture peut avoir un impact sur l'environnement et les systèmes de certification en aquaculture devraient être tels que ces impacts soient identifiés, contrôlés ou ramenés à un niveau acceptable conformément aux législations locales et nationales. Autant que possible, les espèces locales devraient être utilisées pour l'élevage et des mesures devraient être prises pour limiter le plus possible le lâcher ou l'échappement d'espèces d'élevage dans les milieux naturels.
40. Les pratiques managériales concernant les impacts environnementaux de l'aquaculture varient considérablement selon les différentes échelles d'aquaculture et les systèmes d'élevage. Les systèmes de certification ne devraient pas être trop normatifs mais devraient définir des points de référence mesurables qui encouragent l'amélioration et l'innovation en matière de performance environnementale en aquaculture.
41. Les systèmes de certification peuvent envisager l'application de « l'approche de précaution », conformément aux dispositions y relatives du Code de conduite pour une pêche responsable.
42. Dans le cadre de l'analyse des risques, ces derniers devraient être examinés suivant une méthode scientifique appropriée pour l'évaluation de la probabilité des événements et l'ampleur des impacts en tenant compte des incertitudes véritables. Des points de référence appropriés devraient être déterminés et des actions correctives prises si ces points de référence sont approchés ou dépassés.
43. Les systèmes de certification devraient, dans toute la mesure possible, favoriser l'intégration des coûts environnementaux et l'utilisation d'outils économique, compte tenu du principe selon lequel le pollueur devrait prendre à sa charge le coût de la

pollution, compte dûment tenu de l'intérêt général et sans effet de distorsion sur les échanges et l'investissement internationaux⁷.

Critères minimums requis à observer en matière de respect de l'environnement dans les systèmes de certification en aquaculture:

44. Des études d'impact environnementales devraient être menées, selon les dispositions légales, préalablement à l'agrément d'opérations aquacoles.
45. Des suivis réguliers de la qualité de l'environnement au niveau de la ferme et de ses alentours devraient être menés, de pair avec un bon archivage des données et l'utilisation de méthodologies appropriées.
46. Il faudrait veiller à évaluer et à atténuer les impacts négatifs sur les écosystèmes naturels avoisinants y compris la faune, la flore et les habitats.
47. Des mesures devraient être prises pour favoriser une gestion et une utilisation efficaces de l'eau efficiente ainsi qu'une gestion appropriée des effluents pour réduire les impacts sur les terres et les ressources en eau avoisinantes.
48. Lorsque c'est possible, il faudrait utiliser les produits d'écloserie pour l'élevage. Les alevins ou larves sauvages ne devraient être utilisés que s'ils sont prélevés de manière responsable.
49. Les espèces exotiques ne doivent être utilisées que quand elles posent un niveau de risque acceptable à l'environnement, à la biodiversité et à l'équilibre de l'écosystème.
50. Suivant le paragraphe 9.3.1 du Code de conduite pour une pêche responsable, quand le matériel génétique d'un organisme aquatique a été modifié dans des conditions qui ne se produisent pas naturellement, une évaluation scientifique des risques devrait être menée en vue de traiter les risques possibles de manière individuelle. L'induction de la polyploïdie n'est pas visée.
51. La construction des infrastructures et l'élimination des déchets devraient faire l'objet de pratiques responsables.
52. Il faudrait utiliser de manière responsable les aliments pour animaux, les additifs alimentaires et autres substances chimiques, les médicaments vétérinaires – dont les antimicrobiens –, les excréments et les engrais pour en réduire à un niveau minimal les effets sur l'environnement et favoriser la viabilité économique.

Aspects socioéconomiques

53. L'aquaculture devrait être menée d'une manière socialement responsable, dans le cadre des dispositions légales et réglementaires nationales, eu égard aux conventions de l'OIT sur les droits des travailleurs, sans mettre en danger les conditions de vie des ouvriers aquacoles ni des communautés locales. L'aquaculture contribue au développement rural, apporte des avantages aux communautés locales et y favorise l'équité, réduit la pauvreté

⁷ Suivant le principe 16 de la Déclaration de Rio sur l'environnement et le développement (juin 1992).

et accroît la sécurité alimentaire. Ainsi, les aspects socioéconomiques devraient être pris en compte à tous les niveaux de la planification de projets aquacoles, de leur développement et des opérations.

54. L'importance de la responsabilité sociale des entreprises de l'aquaculture vis-à-vis des communautés locales devrait être reconnue.

Critères minimums requis pour considérer les aspects socioéconomiques dans les systèmes de certification en aquaculture:

55. Les ouvriers devraient être traités de manière responsable et dans le respect des dispositions légales et réglementaires nationales relatives au travail et, s'il y a lieu, des conventions de l'OIT.
56. Les ouvriers devraient toucher des salaires et jouir d'avantages sociaux et de conditions de travail conformes aux dispositions légales et réglementaires nationales.
57. Il ne saurait être fait appel au travail des enfants selon des modalités qui contreviendraient aux conventions et normes de l'OIT.

EXIGENCES INSTITUTIONNELLES ET PROCÉDURALES

58. Les exigences institutionnelles et procédurales pour établir et mettre en place des systèmes de certification en aquaculture crédibles sont présentées comme suit: 1) Gouvernance, 2) Normalisation, 3) Homologation et 4) Certification.
59. Les sections sur la Normalisation, l'Homologation et la Certification sont divisées en 4 sous-sections: i) Objectifs; ii) Références normatives; iii) Fonctions et structures; iv) Conditions requises. Les conditions requises sont les exigences minimales auxquelles un organisme ou une personne morale devrait satisfaire pour être reconnue comme crédible et fiable en ce qui concerne les devoirs et les responsabilités qui sont les siens. Les principes présentés dans le présent document s'appliquent également aux aspects institutionnels et de procédure des systèmes de certification en aquaculture.
60. Les orientations présentées ici prennent appui sur d'autres guides acceptés de manière internationale, notamment ceux publiés par l'organisation internationale de normalisation (ISO), l'Organisation internationale du Travail (OIT) et la Commission du Codex Alimentarius (CCA). Tout système de certification établi conformément à ces directives doit être conforme aux engagements des pays de l'OMC, notamment ceux qui ont signé l'accord de l'OMC sur les obstacles techniques au commerce et l'Accord sur l'application des mesures sanitaires et phytosanitaires.

Gouvernance

61. Les procédures utilisées et les institutions impliquées dans l'établissement et la mise en place d'un système de certification devraient être transparentes, crédibles et robustes, et disposer d'une bonne gouvernance.
62. Il y a diverses options quant au champ d'application géographique d'un système de certification, celui-ci pouvant être national, régional ou international.

63. Afin d'éviter les conflits d'intérêts, il est essentiel que le titulaire d'un système de certification privé ou non gouvernemental n'intervienne pas directement dans ses activités opérationnelles, c'est-à-dire n'effectue pas l'homologation ou la certification. Le promoteur/titulaire d'un système de certification privé ou non gouvernemental doit avoir un accord formel avec un organisme ou entité d'homologation indépendant et spécialisé pour que ce dernier homologue en son nom les organismes de certification. Les organismes ou entités d'homologation peuvent être privés, publics, ou un organisme autonome régi par des règles et des règlements nationaux.
64. Le promoteur/titulaire d'un système de certification devrait s'appuyer sur une procédure claire et écrite guidant la prise de décision.
65. La certification doit être conduite par une organisation (organisme ou entité de certification) établie à cet effet. Il peut s'agir d'un gouvernement, ou d'une entité publique, non gouvernementale ou privée. Le système de certification devrait établir ses règles et règlements dans le cadre desquels l'organisme ou l'entité de certification est appelé à opérer. L'organisme ou l'entité de certification peut être impliqué dans la certification d'un système pour un secteur spécifique (par exemple l'aquaculture) ou peut être impliqué dans plusieurs secteurs ou systèmes.

Normalisation

Objectifs

66. Les normes fournissent les conditions nécessaires, les critères quantitatifs et qualitatifs et les indicateurs pour la certification en aquaculture. Elles devraient être l'expression des objectifs poursuivis et des résultats recherchés dans le cadre du système de certification concernant la santé des animaux et le bien-être animal, la sécurité sanitaire des aliments, la protection de l'environnement, et/ou certains aspects socioéconomiques en aquaculture.

Cadre normatif

67. Le cadre normatif pour l'élaboration de normes comprend les documents existants suivants:
- Accord de l'Organisation Mondiale du Commerce sur les obstacles techniques au commerce (OTC)
 - Accord de l'Organisation Mondiale du Commerce sur l'application des mesures sanitaires et phytosanitaires
 - Directives du Codex sur les systèmes d'inspection et de certification des importations et des exportations alimentaires
 - ISO/IEC Guide 59. Code de bonne pratique pour la normalisation. 1994
 - ISO/TS 22003:2007. Systèmes de management de la sécurité des denrées alimentaires – Exigences pour les organismes procédant à l'audit et à la certification de systèmes de management de la sécurité des denrées alimentaires
 - ISEAL Code of Good Practice for Setting Social and Environmental Standards [Code de bonnes pratiques pour la mise en place de normes sociales et environnementales], ISEAL (Alliance internationale pour l'accréditation et la labellisation sociales et environnementales), 2006.
 - OIE. Code sanitaire pour les animaux aquatiques

- Conseil International pour l'exploration de la mer (CIEM). Code de conduite du CIEM pour les introductions et les transferts d'organismes marins
- Code de conduite pour les introductions et les transferts d'organismes marins ISO/IEC 22000:2005. Systèmes de management de la sécurité des denrées alimentaires - Exigences pour tout organisme appartenant à la chaîne alimentaire
- ISO/TS 2004:2005. Systèmes de management de la sécurité des denrées alimentaires - Recommandations pour l'application de l'ISO 22000:2005
- ISO 22005:2007. Traçabilité de la chaîne alimentaire - Principes généraux et exigences fondamentales s'appliquant à la conception du système et à sa mise en œuvre
- ISO/IEC 16665. Qualité de l'eau - Lignes directrices pour l'échantillonnage quantitatif et le traitement d'échantillons de la macrofaune marine des fonds meubles
- ISO 23893-1:2007. Qualité de l'eau - Mesurages biochimiques et physiologiques sur poisson -- Partie 1: Échantillonnage des poissons, manipulation et conservation des échantillons
- ISO/IEC 17021:2006. Évaluation de la conformité — Exigences pour les organismes procédant à l'audit et à la certification des systèmes de management
- ISO/IEC 17065
- ISO/IEC 22003:2007. Systèmes de management de la sécurité des denrées alimentaires -- Exigences pour les organismes procédant à l'audit et à la certification de systèmes de management de la sécurité des denrées alimentaires
- ISO/IEC 17021. Certification des systèmes de management
- ISO/TS 22003. Systèmes de management de la sécurité des denrées alimentaires
- ISO/IEC 17025. Compétence des laboratoires d'étalonnages et d'essais
- ISO/IEC 22005. Traçabilité de la chaîne alimentaire

Fonctions et structure organisationnelle

68. Le processus d'établissement de normes recouvre les phases d'élaboration, de suivi, d'évaluation et de révision des normes. Ces activités peuvent être menées par l'intermédiaire d'un organisme de normalisation spécialisé ou de tout autre dispositif approprié, qui peut être gouvernemental ou non gouvernemental. L'organisme ou l'entité de normalisation est également chargé d'assurer une communication active appropriée sur les normes et le processus d'élaboration des normes et de faire en sorte que les normes et les documents associés soient disponibles.
69. La structure organisationnelle d'un organisme ou entité de normalisation devrait comprendre notamment un comité d'experts indépendants et un forum consultatif avec une participation appropriée des parties prenantes et dont les mandats sont clairement établis.
70. Un organisme ou entité de normalisation doit être une entité légale disposant de ressources suffisantes pour assurer ses fonctions de normalisation. Le processus devrait comprendre une représentativité adéquate des parties prenantes. Il ne doit pas y avoir de conflit d'intérêts au sein de la gouvernance, l'administration et de tout autre niveau fonctionnel.

Exigences

Transparence

71. La transparence dans la normalisation est essentielle. La transparence aide à assurer la compatibilité avec les normes nationales et internationales pertinentes et facilite l'accès à l'information et aux registres relatifs à la certification et la participation de toutes les parties intéressées, y compris celles des pays en voie de développement ou en transition, et en particulier les parties prenantes de taille modeste.
72. Un organisme ou entité de normalisation devrait mener ses activités d'une façon transparente et conformément à des règles de fonctionnement écrites. Ces règles devraient comprendre un mécanisme pour le règlement impartial des éventuels différends de fond ou de procédure concernant le traitement de questions de normalisation.
73. De manière régulière lorsque nécessaire, l'organisme ou l'entité de normalisation devrait faire connaître son programme d'une manière aussi large que possible.
74. À la demande de quelque partie intéressée que ce soit, l'organisme ou l'entité de normalisation devrait fournir ou faire parvenir, dans un délai raisonnable, une copie des procédures de normalisation, le programme de travail le plus récent, ainsi que les normes dans leur version préliminaire ou finale.
75. Selon les besoins des utilisateurs, un organisme ou entité de normalisation devrait traduire les procédures de normalisation, le programme de travail le plus récent, ainsi que les normes dans leur version préliminaire ou finale dans les langues appropriées.

Participation des parties intéressées

76. Les organismes ou entités de normalisation devraient oeuvrer pour atteindre une participation équilibrée au processus d'élaboration, de révision et d'approbation des normes d'experts techniques indépendants et de représentants des parties intéressées. Les parties intéressées peuvent être, notamment, des gouvernements, des organisations non gouvernementales, des groupes du secteur privé, des dispositifs de la société civile, des représentants de l'industrie aquacole (fournisseur d'intrants, producteurs, transformateurs, négociants et distributeurs), la communauté scientifique, des groupes communautaires et divers consortiums, en tant qu'utilisateurs indirects des directives.
77. Les parties intéressées devraient être associées au processus de normalisation dans le cadre d'un forum consultatif adéquat ou au moyen d'un autre mécanisme de participation approprié dont elles seront informées. Lorsque plusieurs tribunes sont indiquées, des modalités de coordination et de communication devraient être déterminées et fournies.

Contenu des systèmes et systèmes comparables

78. Le processus de normalisation devrait chercher à:
 - inclure les références normatives internationales sur la santé des animaux et le bien-être animal, la sécurité sanitaire des aliments, la protection de l'environnement et certains aspects socioéconomiques;
 - identifier et revoir les systèmes comparables;

- identifier les besoins et les lacunes en recherche;
- inclure les conditions des accords internationaux appropriés; et
- encourager la reconnaissance mutuelle des systèmes de certification.

Dispositions concernant la notification

79. Préalablement à l'adoption de normes, les organismes ou entités de normalisation devraient ménager une période d'une durée appropriée aux parties intéressées pour présenter leurs observations au sujet des projets de normes. Au plus tard à l'ouverture de la période prévue pour la présentation des observations, l'organisme ou l'entité de normalisation devrait faire paraître dans une publication sur les activités de normalisation nationale, régionale ou internationale et/ou sur Internet selon le cas, un avis annonçant la période de présentation d'observations.
80. Dans les étapes suivantes, l'organisme ou entité de normalisation devrait prendre en compte les observations reçues pendant la période de présentation des observations.

Tenue des registres

81. Des registres de normes et des activités de normalisation devraient être dûment établis et tenus à jour. L'organisme ou entité de normalisation devrait indiquer comment joindre le service central de liaison pour les questions concernant les normes et pour la présentation des observations. Les informations relatives à ce service devraient être aisément accessibles, notamment sur Internet.

Examen et révision des normes et des procédures de normalisation

82. Toutes les normes devraient faire l'objet d'un examen à intervalles réguliers en consultation avec les parties prenantes appropriées, et le cas échéant, être révisées en conséquence. Les installations aquacoles certifiées devraient bénéficier d'une période appropriée pour se conformer aux normes révisées.
83. Des propositions de révision peuvent être présentées par toute partie intéressée et devraient être examinées par l'organisme ou entité de normalisation dans le cadre d'un processus cohérent et transparent.
84. L'approche procédurale et méthodologique de l'élaboration des normes devrait elle aussi être mise à jour à la lumière des progrès scientifiques et techniques et de l'expérience acquise en matière d'élaboration de normes pour l'aquaculture.

Validation des normes

85. Une procédure appropriée devrait être mise en place, aux fins de l'élaboration et de la révision des normes, pour la validation au regard des conditions minimales requises pour l'aquaculture telles qu'elles sont énoncées dans les présentes directives. Une validation des normes est également nécessaire pour assurer que celles-ci:
- sont efficaces aux fins de la réalisation des objectifs de la certification, sont sérieuses, objectives et peuvent être auditées;
 - ne contiennent pas de critères ou des conditions qui pourraient induire des barrières inutiles au commerce ou tromper la communauté des aquaculteurs; et

- prennent en considération les aspects pratiques et le coût d'élaboration des normes et de leur maintien.

Homologation

Objectif

86. L'homologation donne l'assurance que les organismes de certification chargés de conduire des évaluations de la conformité avec les normes aquacoles concernant la santé des animaux et le bien-être animal, la sécurité sanitaire des aliments, la protection de l'environnement, et certains aspects socioéconomiques sont compétents pour mener à bien de telles tâches. Les organismes d'homologation donnent l'assurance que l'organisme ou l'entité de certification est en mesure d'évaluer et de certifier qu'un produit aquacole provient bien d'un site aquacole certifié, et/ou que la méthode ou le processus sont conformes aux normes.

Référence normative

- ISO/IEC 17011. *Évaluation de la conformité. Exigences générales pour les organes d'accréditation procédant à l'accréditation des organes d'évaluation de la conformité.*

Fonctions et structure

87. L'homologation est une évaluation indépendante des compétences de l'organisme ou entité de certification. Les tâches relatives à l'attribution d'une homologation devraient être effectuées par des organismes d'homologation compétents. L'homologation est effectuée sur la base d'un système doté de règles et d'une gestion propres, c'est-à-dire un système d'homologation.

88. Un organisme ou entité de normalisation doit être une entité légale avec suffisamment de ressources pour assurer ses fonctions d'homologation. La structure gouvernante devrait inclure une représentation des parties prenantes appropriées. Il ne doit pas y avoir de conflit d'intérêt au sein de la gouvernance, l'administration et tout autre niveau fonctionnel. Pour être reconnu compétent et fiable dans l'évaluation des organismes ou entités de certification de manière non discriminatoire, impartiale et précise, un organisme ou une entité d'homologation devrait répondre notamment aux conditions ci-après.

Conditions requises

Non-discrimination

89. L'accès aux services d'un organisme d'homologation devrait être ouvert à tous les organismes de certification, quel que soit le pays où ils se trouvent. Cet accès ne doit être fonction ni de l'importance de l'organisme demandeur, ni de son appartenance à une association ou à un groupement quelconque, et l'homologation ne doit pas non plus être subordonnée au nombre d'organismes de certification déjà homologués.

90. Il conviendra de tenir compte pleinement des circonstances et conditions particulières des organismes de certification dans les pays en développement ou en transition, notamment sur le plan de l'assistance financière et technique, du transfert de technologies, de la

formation et de la coopération scientifique, sans toutefois compromettre l'intégrité des processus d'homologation et de certification.

Indépendance, impartialité et transparence

91. L'organisme d'homologation devrait être indépendant et impartial, c'est-à-dire:

- être transparent au niveau de sa structure organisationnelle et des formes de soutien financier et autre qu'il reçoit de la part d'entités publiques ou privées;
- être indépendant de tout groupe d'intérêt, tout comme sa direction et son personnel;
- être libre de toute pression commerciale, financière et autre susceptible d'influencer les résultats de processus d'homologation;
- veiller à ce que la décision d'homologation soit prise par une ou plusieurs personnes n'ayant pris aucune part à la certification (analyse de la conformité); et
- ne déléguer à un aucun organisme ou personne physique externe le pouvoir d'accorder, confirmer, prolonger, réduire, suspendre ou révoquer l'homologation.

Ressources humaines et financières

92. L'organisme d'homologation devrait avoir la stabilité financière voulue et disposer de ressources adéquates pour la conduite d'un système d'homologation et prévoir des mécanismes appropriés pour couvrir le passif dérivant de ses opérations et/ou activités.

93. L'organisme d'homologation devrait employer un personnel en nombre suffisant et dont les études, la formation, les connaissances techniques et l'expérience lui permettent de mener à bien des fonctions d'homologation dans le domaine de l'aquaculture.

94. L'organisme d'homologation devrait conserver les informations concernant les qualifications, la formation et l'expérience pertinentes de chacun des membres du personnel intervenant dans le processus d'homologation. Les registres concernant la formation et l'expérience doivent être tenus à jour.

95. Lorsqu'un organisme ou entité d'homologation décide de sous-traiter à un organe ou à une personne externe des travaux relatifs à une homologation, autres que les travaux indiqués au paragraphe 91 comme ne pouvant être délégués, les conditions requises pour un tel organe externe ne devraient pas être inférieures à celles qui sont applicables à l'organisme ou entité d'homologation lui-même. Un contrat ou un accord équivalent dûment documenté et indiquant les dispositions prévues, notamment en matière de confidentialité et de conflit d'intérêt, devrait être établis.

Obligation réditionnelle et établissement de rapports

96. L'organisme d'homologation devrait être une personne morale et avoir établi des procédures claires et efficaces pour la gestion des demandes concernant les procédures d'homologation. L'organisme ou entité d'homologation devrait notamment établir et fournir aux requérants et aux entités homologuées:

- une description détaillée de la procédure d'évaluation et d'homologation,
- les documents indiquant les conditions requises aux fins de l'homologation, et
- les documents indiquant les droits et les devoirs des organismes homologués.

97. Un contrat ou un accord équivalent, dûment documenté, indiquant les responsabilités de chacune des parties, devrait être préparé.
98. L'organisme ou entité d'homologation devrait avoir:
- défini ses objectifs et son engagement en matière de qualité,
 - préparé un manuel spécifiant les procédures et instructions en matière de qualité et
 - mis en place un système de garantie de qualité efficace et approprié.
99. L'organisme ou entité d'homologation devrait programmer des audits internes périodiques et systématiques de l'ensemble des procédures destinées à vérifier la mise en œuvre et l'efficacité du système d'homologation.
100. L'organisme ou entité d'homologation peut recevoir des audits externes sur des aspects pertinents, dont les résultats devraient être accessibles au public.
101. Un personnel qualifié, attaché à l'équipe de l'organisme ou entité d'homologation, devrait être chargé par ce dernier de procéder à l'évaluation au regard de toutes les conditions d'homologation applicables.
102. Le personnel chargé des évaluations devrait présenter un rapport à l'organisation ou entité d'homologation, contenant ses conclusions quant à la conformité de l'organisme évalué au regard de toutes les conditions d'homologation. Ce rapport devrait fournir des informations suffisamment détaillées concernant notamment:
- la qualification, l'expérience et les responsabilités du personnel rencontré;
 - la pertinence de l'organisation et des procédures internes adoptées par l'organisme de certification pour donner confiance en ses services; et
 - les mesures prises pour corriger les non-conformités identifiées, y compris celles éventuellement mises en évidence lors d'évaluations précédentes.
103. L'organisme ou entité d'homologation devrait disposer de politiques et de procédures pour la tenue de registres concernant le déroulement de la visite d'évaluation, durant une période de temps conforme à ses obligations contractuelles, juridiques ou autres. Ces registres devraient apporter la preuve que les procédures d'homologation ont bien été suivies. Les registres devraient être identifiés, conservés et disposés de façon à garantir l'intégrité du processus et la confidentialité des informations.

Règlement des plaintes concernant l'homologation des organismes de certification

104. L'organisme ou entité d'homologation devrait être doté d'une politique et de procédures écrites pour le traitement des plaintes concernant tout aspect relatif à l'homologation ou à la révocation de l'homologation des organismes de certification.
105. Les procédures devraient prévoir l'établissement, spécialement pour la circonstance s'il le faut, d'un comité indépendant et impartial chargé de donner suite à une plainte. Ce comité devrait chercher à régler ces plaintes par voie de discussion ou de conciliation. Si cela s'avère impossible, il devrait remettre une décision écrite à l'organisme ou entité d'homologation, qui la transmettra à l'autre partie ou aux autres parties concernées.

106.L'organisme ou entité d'homologation devrait:

- tenir un registre de toutes les plaintes et des mesures correctives relatives à l'homologation;
- prendre des mesures préventives et correctives appropriées;
- évaluer l'efficacité des mesures correctives; et
- préserver la confidentialité des informations recueillies au cours de l'enquête et du règlement des plaintes.

107.Les informations relatives aux procédures de règlement des plaintes concernant l'homologation devraient être rendues publiques.

108.Les dispositions ci-dessus n'excluent pas le recours à d'autres procédures judiciaires conformément à la législation nationale ou au droit international.

Confidentialité

109.L'organisme ou entité d'homologation devrait être doté de mécanismes appropriés, conformes aux lois applicables, pour préserver la confidentialité des renseignements recueillis au cours des activités d'homologation à tous les niveaux de son organisation, y compris des comités et des organismes externes agissant en son nom.

110.Sauf prescription contraire, les renseignements relatifs à un organisme de certification requérant ne devraient pas être communiqués à des tiers sans le consentement préalable de l'intéressé. Lorsque la loi en prévoit la communication à des tiers, l'organisme devrait être informé des renseignements ainsi fournis, dans la mesure permise par la loi.

Maintien et prolongation de l'homologation

111.L'organisme ou entité d'homologation devrait être doté de mécanismes pour définir la période pendant laquelle un organisme ou entité de certification est homologué avec des procédures claires de suivi.

112.L'organisme ou entité d'homologation devrait être doté de mécanismes permettant de garantir qu'il sera informé dans les plus brefs délais de toute variation dans le statut ou le fonctionnement d'un organisme ou entité de certification homologué.

113.L'organisme ou entité d'homologation devrait appliquer des procédures pour la conduite de nouvelles évaluations en cas de changement affectant de manière notable les capacités, ou l'étendue des activités agréées, de l'organisme ou entité homologué ou encore sa conformité avec tout autre critère de compétence pertinent spécifié par l'organisme ou entité d'homologation.

114.L'homologation devrait faire l'objet d'une nouvelle évaluation à des intervalles de temps suffisamment rapprochés ou selon les besoins, pour vérifier si l'organisme ou entité de certification homologué continue de satisfaire aux conditions d'homologation. Ces réévaluations ne devraient pas avoir lieu à plus de cinq ans d'intervalle.

Suspension et révocation de l'homologation

115.L'organisme ou entité d'homologation devrait spécifier les conditions dans lesquelles l'homologation peut être suspendue ou révoquée, en partie ou en totalité, pour l'ensemble ou une partie du champ d'application de l'homologation.

Changement des conditions d'homologation

116.L'organisme ou entité d'homologation devrait donner notification en bonne et due forme des changements qu'il entend apporter aux conditions requises pour l'homologation à toutes les parties prenantes concernées.

117.Il devrait tenir compte des avis exprimés par les parties intéressées avant de prendre une décision quand à la nature précise et à la date effective des changements.

118.Une fois la décision prise et les changements apportés aux conditions requises publiées, il lui faudra vérifier que chaque organisme homologué apporte les ajustements nécessaires à ses procédures dans un délai considéré comme raisonnable par l'organisme ou entité d'homologation.

119.Des dispositions particulières devraient être adoptées pour les organismes homologués des pays en développement ou en transition, sans toutefois faire compromettre l'intégrité du processus de certification.

Propriétaire ou titulaire d'un symbole, d'un label ou d'un logotype d'homologation

120.Les dispositions relatives à l'utilisation et au contrôle d'une allégation de certification,d'un symbole, d'une étiquette ou d'un logo sont abordées dans la section « Certification » ci-après.

121.L'organisme ou entité d'homologation propriétaire ou titulaire d'un symbole ou d'un logo destiné à être utilisé dans le cadre de son programme d'homologation devrait disposer de procédures documentées qui en décrivent l'usage.

122.L'organisme ou entité d'homologation ne devrait pas autoriser l'utilisation de sa marque ou de son logo d'une façon qui sous-entendrait que l'organisme d'homologation lui-même ait approuvé le produit, le service ou le système certifié par un organisme ou une entité de certification.

123.L'organisme ou entité d'homologation devrait prendre des mesures appropriées en cas de références incorrectes au système d'homologation ou d'utilisation fallacieuse de logos d'homologation dans des annonces publicitaires, des catalogues, etc.

Certification

Objectif

124.La certification est la procédure par laquelle un organisme ou une entité donne par écrit, ou de manière équivalente, l'assurance qu'une opération ou des activités aquacoles considérées sont conformes aux normes de certification en question. Une certification

impartiale fondée sur une évaluation objective de tous les facteurs pertinents garantit auprès des acheteurs et consommateurs qu'un produit aquacole certifié provient d'une ferme aquacole conforme aux normes de certification.

Domaine d'application

125. La certification peut inclure une activité aquacole dans la chaîne de responsabilité d'un produit, par exemple une ferme aquacole. Des certificats distincts peuvent être établis pour l'activité aquacole et la chaîne de responsabilité d'un produit.

126. Deux types d'évaluation sont nécessaires aux fins de la certification:

- évaluation de la conformité, pour vérifier si une activité aquacole est conforme à la norme et aux critères de certification.
- évaluation de la chaîne de responsabilité, pour vérifier si des mesures adéquates sont mises en œuvre pour identifier et différencier les produits issus d'une ferme aquacole certifiée au niveau de la production et à toutes les étapes successives du traitement, de la distribution et de la commercialisation (traçabilité).

127. Pour les produits aquacoles porteurs d'un label destiné à indiquer aux acheteurs et aux consommateurs leur provenance d'une ferme certifiée et d'une chaîne de responsabilité, ces deux types d'évaluation et de certification sont nécessaires.

Références normatives

- ISO Guide 62, *Exigences générales relatives aux organismes gérant l'évaluation et la certification/enregistrement des systèmes qualité*. 1996.
- ISO/IEC Guide 65, *Exigences générales relatives aux organismes procédant à la certification de produits*. 1996.
- Accord de l'Organisation Mondiale du Commerce sur les obstacles techniques au commerce (OTC)
- ISO 17021. Certification des systèmes de management
- ISO/TS 22003. Systèmes de management de la sécurité des denrées alimentaires
- ISO 17025. Compétence des laboratoires d'étalonnages et d'essais
- ISO/22005 Traçabilité de la chaîne alimentaire
- OIE. Code sanitaire/ Directives pour les animaux aquatiques
- OTC Articles 5-6 Évaluation de la conformité

Fonctions et structure

128. Les tâches d'évaluation de la conformité et de la chaîne de responsabilité devraient être conduites par des organismes de certification certifiés. Pour être reconnu comme compétent et fiable pour réaliser des évaluations non discriminatoires, impartiales et précises, un organisme ou une entité de certification devrait satisfaire aux conditions suivantes:

Conditions requisesIndépendance et impartialité

- 129.L'organisme ou entité de certification devrait être juridiquement et financièrement indépendant du titulaire du système de certification et ne devrait avoir aucun conflit d'intérêt.
- 130.L'organisme ou entité de certification et son personnel chargé de l'évaluation et de la certification, qu'il soit directement employé par l'organisme ou entité de certification ou qu'il travaille en sous-traitance, ne devraient avoir aucun autre intérêt commercial, financier ou autre dans l'exploitation aquacole ou dans la chaîne de responsabilité à évaluer, que ceux liés à leur service de certification.
- 131.L'organisme ou entité de certification devrait garantir qu'une décision en matière de certification est prise par une ou plusieurs personnes n'ayant pris aucune part aux évaluations.
- 132.L'organisme ou entité de certification ne devrait déléguer à aucun organisme ou personne physique externe, le pouvoir d'accorder, de confirmer, de prolonger, de réduire, de suspendre ou de révoquer la certification.

Non-discrimination

- 133.L'accès aux services d'un organisme ou entité de certification devrait être ouvert à tout type d'exploitation aquacole.
- 134.L'accès aux services d'un organisme ou entité de certification ne devrait être fonction ni de la taille, ni de l'échelle de l'exploitation aquacole et la certification ne devrait pas non plus, être subordonnée au nombre d'exploitations aquacoles déjà certifiées.

Ressources humaines et financières

- 135.L'organisme ou entité de certification devrait avoir la stabilité financière voulue et disposer de ressources adéquates pour la conduite d'un système de certification et maintenir des mécanismes appropriés pour couvrir le passif dérivant de ses opérations et/ou activités.
- 136.L'organisme ou entité de certification devrait employer un personnel en nombre suffisant et dont les études, la formation, les connaissances techniques, le savoir et l'expérience lui permettent d'effectuer des évaluations de la conformité et/ou de la chaîne de responsabilité dans le domaine de l'aquaculture.
- 137.L'organisme ou entité de certification devrait conserver les informations concernant les qualifications, la formation et les expériences pertinentes de chacun des membres du personnel intervenant dans le processus de certification. Les registres concernant la formation et l'expérience devraient être tenus à jour.
- 138.Lorsqu'un organisme ou entité de certification décide de sous-traiter à un organisme ou à une personne externe des travaux relatifs à une certification, autres que les travaux

indiqués au paragraphe 132 comme ne pouvant être délégués, les conditions requises pour un tel organisme externe ne devraient pas être inférieures à celles qui sont applicables à l'organisme ou entité de certification lui-même. Un contrat ou un accord équivalent, dûment documenté et indiquant les dispositions prévues, notamment en matière de confidentialité et de conflit d'intérêt, devrait être établi. Le sous-traitant devrait faire l'objet d'audit et d'évaluation périodiques.

Obligation redditionnelle et établissement de rapports

139.L'organisme ou entité de certification devrait être une personne morale et avoir établi des procédures claires et efficaces pour la gestion des demandes concernant la certification d'une exploitation aquacole et/ou d'une chaîne de responsabilité pour des produits aquacoles. L'organisme ou entité de certification devrait en particulier établir et fournir aux requérants et aux entités certifiées:

- une description détaillée de la procédure d'évaluation et de certification;
- les documents indiquant les conditions requises pour la certification; et
- les documents indiquant les droits et les devoirs des organismes certifiés.

140.Un contrat ou un accord équivalent, dûment documenté, indiquant les droits et les devoirs de chacune des parties, devrait être établi entre l'organisme ou entité de certification et ses clients.

141.L'organisme de certification devrait programmer des audits internes périodiques et systématiques de l'ensemble des procédures, destinés à vérifier la mise en œuvre et l'efficacité du système de certification.

142.L'organisme ou entité de certification peut recevoir des audits externes sur des aspects pertinents, dont les résultats devraient être accessibles au public.

143.L'organisme ou entité de certification devrait disposer de politiques et de procédures pour la tenue des registres, durant une période de temps conforme à ses obligations contractuelles, juridiques ou autres. Ces registres devraient apporter la preuve que les procédures de certification ont bien été suivies, pour ce qui est notamment des formulaires de demande, des rapports d'évaluation et d'autres documents relatifs à l'attribution, la confirmation, la prolongation, la réduction, la suspension ou la révocation de la certification. Les registres devraient être identifiés, conservés et détruits de façon à garantir l'intégrité du processus et la confidentialité des informations. L'organisme ou entité de certification devrait donner l'assurance qu'en cas de changements, toutes les parties concernées sont informées.

144.L'organisme ou entité de certification devrait fournir, sur demande, les documents pertinents.

Frais de certification

145.Si l'organisme ou l'entité de certification facture des frais, il devrait établir un barème tarifaire écrit à l'intention des requérants et des exploitations aquacoles certifiées, qui serait fourni sur demande. Pour l'établissement du barème des redevances et la détermination du tarif spécifique d'une certification, l'organisme ou entité de certification devrait notamment tenir compte des conditions requises pour une évaluation précise et véridique

de l'échelle, de la taille et de la complexité de l'exploitation aquacole ou de la chaîne de responsabilité, de l'exigence de non-discrimination à l'égard de tous les clients et des circonstances et exigences particulières des petits producteurs, des pays en développement et en transition.

Confidentialité

146.L'organisme ou entité de certification devrait être doté de mécanismes appropriés, conformes à la législation en vigueur, pour préserver la confidentialité des renseignements recueillis au cours de ses activités de certification à tous les niveaux de son organisation.

147.Sauf prescription contraire, les informations concernant un produit ou une exploitation aquacole ne devraient pas être communiquées à des tiers sans le consentement préalable écrit du client. Lorsque la loi en prévoit la communication à des tiers, le client devrait être informé des renseignements ainsi fournis, dans la mesure permise par la loi.

Maintien de la certification

148.L'organisme ou entité de certification devrait procéder à une surveillance et à un contrôle périodique à un intervalle de temps approprié pour vérifier que l'exploitation aquacole et/ou la chaîne de responsabilité certifiée répond toujours aux conditions de la certification.

149.L'organisme ou entité de certification devrait demander au client de l'informer dans les meilleurs délais de toute variation prévue dans la gestion de l'aquaculture ou de la chaîne de responsabilité ou d'autres changements susceptibles d'affecter la conformité aux normes de la certification.

150.L'organisme ou entité de certification devrait disposer de procédures de réévaluation en cas de changement affectant significativement l'état et la gestion de l'opération aquacole certifiée, ou la chaîne de responsabilité, ou encore si l'examen d'une plainte ou de toute autre information indique que l'exploitation aquacole et/ou la chaîne de responsabilité certifiée ne satisfait plus à la norme établie et/ou aux critères associés de l'organisme de certification.

151.La période de validité ne devrait pas dépasser cinq ans. L'évaluation requise pour le renouvellement de la certification devrait prêter particulièrement attention aux changements apportés dans la conduite des activités aquacoles ou dans les pratiques managériales.

Renouvellement de la certification

152.Sur les bases d'un suivi et d'un audit convenables, la validité de la certification devrait être renouvelée pour une période convenue ne dépassant pas cinq ans, ou à intervalles plus rapprochés si des changements dans les activités faisant l'objet de la certification le justifient.

Suspension et révocation de la certification

153. L'organisme ou entité de certification devrait spécifier les conditions dans lesquelles la certification pourra être suspendue ou révoquée, partiellement ou en totalité, pour l'ensemble ou une partie du domaine d'application de la certification.

154. En cas de suspension ou de révocation de la certification accordée à une installation d'élevage et/ou chaîne de responsabilité (quel qu'en soit le facteur déterminant), l'organisme ou entité de certification devrait demander que celle-ci cesse d'utiliser tout matériel publicitaire faisant référence à ladite certification et restitue les documents de certification comme prescrit par l'organisme de certification. L'organisme ou entité de certification devrait également informer le public de la suspension ou révocation une fois les voies de recours épuisées.

Maintien de la chaîne de responsabilité

155. Les procédures relatives à la chaîne de responsabilité sont mises en œuvre aux principaux points de transfert. A chacun de ces points, qui peuvent varier selon le type de produit aquacole commercialisé, tous les produits aquacoles certifiés doivent être identifiés et différenciés des produits aquacoles non certifiés.

156. L'organisme ou entité de certification devrait veiller à ce que tout acquéreur de produits aquacoles certifiés tienne à jour des registres pertinents de la chaîne de responsabilité, y compris pour ce qui concerne l'expédition, la réception et la facturation.

157. L'organisme ou entité de certification devrait disposer de procédures documentées définissant les méthodes de vérification comptable et la périodicité des audits.

158. Toute faille, réelle ou apparente, dans la chaîne de responsabilité identifiée au cours d'une inspection ou d'un audit devrait être explicitement signalée dans le rapport d'inspection/audit en faisant apparaître:

- une explication des facteurs à l'origine de son apparition; et
- une explication des actions correctives prises ou nécessaires pour gérer le produit concerné par le manquement et afin d'éviter que cela ne se reproduise.

159. Tous les relevés d'inspection ou d'audit doivent être incorporés dans le rapport d'inspection ou d'audit qui est mis à la disposition des parties concernées et classés dans le bureau de l'organisme ou entité de certification.

160. Le rapport d'inspection ou d'audit devrait contenir au minimum les éléments suivants:

- date de l'inspection ou de l'audit;
- le nom de la ou des personnes responsables de l'établissement du rapport;
- le nom et l'adresse des sites inspectés ou audités;
- le domaine d'application de l'inspection ou de l'audit et
- les éléments concernant le respect par le client des prescriptions relatives à la chaîne de responsabilité.

Utilisation et contrôle d'une allégation de certification, d'un symbole, d'une étiquette ou d'un logo

161. Le titulaire du système de certification devrait disposer d'une procédure documentée indiquant les conditions, restrictions ou limitations relatives à l'utilisation des symboles, étiquettes et logos indiquant qu'un produit aquacole provient d'installations aquacoles certifiées. Le système de certification doit notamment veiller à ce que les symboles, étiquettes et logos ne soient pas associés à des allégations sans rapport avec des installations et produits aquacoles certifiés et ne soient pas susceptibles de constituer des barrières au commerce ou d'induire le consommateur en erreur.

162. Le titulaire du système de certification ne devrait délivrer aucun permis d'apposer sa marque/allégation/étiquette/logo, ni attribuer aucun certificat à une installation ou un produit aquacole sans s'être assuré au préalable que le produit qui en est porteur provient effectivement de sources certifiées.

163. L'organisme ou entité de certification, l'organisme ou entité d'homologation ou le titulaire du système de certification doit s'assurer que l'utilisation et l'affichage de la marque et des logos de certification n'est ni frauduleuse ni de nature à induire en erreur.

164. Si l'organisme ou entité de certification, l'organisme ou entité d'homologation ou le titulaire du système de certification autorise l'utilisation d'un symbole, d'une étiquette, ou d'un logo indiquant une certification, le symbole ou le logo en question ne pourra être utilisé par l'installation aquacole, sur les produits aquacoles qui en sont issus, que conformément aux prescriptions écrites de l'organisme ou entité de certification.

165. L'organisme ou entité de certification, l'organisme ou entité d'homologation ou le titulaire du système de certification devrait prendre des mesures appropriées en cas de références incorrectes au système de certification ou d'utilisation trompeuse de symboles, étiquettes, logos dans des annonces publicitaires, des catalogues, etc.

166. Tous les certificats délivrés devraient indiquer:

- les nom et adresse de l'organisme ou entité d'homologation ou du titulaire du système de certification;
- les nom et adresse de l'organisme ou entité de certification;
- les nom et adresse du titulaire de la certification;
- la date de délivrance effective du certificat;
- le contenu du certificat;
- la durée de validité du certificat; et
- la signature et le cachet de l'agent délivreur.

Règlement des plaintes et appels

Politique et procédures

167. L'organisme ou entité d'homologation ou le titulaire du système de certification devrait disposer d'une politique et de procédures écrites applicables aux organismes de certification homologués pour le traitement de plaintes et de recours émanant de parties

intéressées concernant tout aspect de la certification ou de la révocation de la certification. Ces procédures devraient être applicables sans délais, définir clairement la portée et la nature des recours recevables et être utilisables uniquement par les parties impliquées dans, ou consultées pendant, l'évaluation. Le recours devrait être à la charge du requérant.

168. Les procédures devraient comporter la constitution d'un comité indépendant et impartial chargé de donner suite à toute plainte. Ce comité devrait tenter dans la mesure du possible, de régler ces plaintes par voie de discussion et de conciliation. Si cela s'avérait impossible, il devrait présenter une conclusion écrite à l'organisme ou entité de certification, à l'organisme ou entité d'homologation ou au titulaire du système de certification, selon le cas, qui devra la transmettre aux parties concernées.

169. Les dispositions ci-dessus n'excluent pas le recours à d'autres procédures judiciaires, conformément à la législation nationale et régionale ou au droit international.

Tenir des registres sur les plaintes et les recours concernant la certification

170. L'organisme ou entité de certification, l'organisme ou entité d'homologation ou le titulaire du système de certification devrait:

- tenir un registre des plaintes et des recours ainsi que des mesures correctives relatives à la certification;
- prendre les mesures correctives et préventives appropriées;
- évaluer l'efficacité des mesures correctives; et
- préserver la confidentialité des informations recueillies au cours de l'enquête et du règlement des plaintes et des recours concernant la certification.

171. Les informations relatives aux procédures de traitement des plaintes et des recours portant sur la certification devraient être rendues publiques.

CONSIDÉRATIONS PARTICULIÈRES RELATIVES À LA MISE EN ŒUVRE

172. Les organisations nationales et internationales dans certains cas, qu'elles soient gouvernementales ou non gouvernementales, l'industrie aquacole et les institutions financières devraient reconnaître les circonstances et conditions particulières des producteurs aquacoles et des autres parties prenantes des pays en développement, en particulier ceux des pays les moins développés et ceux des archipels en développement, pour soutenir la mise en œuvre effective et progressive de ces directives. Les États, les organisations intergouvernementales et non gouvernementales concernées, les acheteurs et négociants, et les institutions financières devraient s'employer à répondre aux besoins liés à leur mise en œuvre, en particulier dans les domaines de l'assistance technique et financière, du transfert de technologies, du renforcement des capacités et de la formation. L'assistance devrait également prendre la forme d'un appui direct pour couvrir les coûts potentiellement élevés d'une homologation et d'une certification.

173. Une assistance est nécessaire pour développer les compétences et renforcer les capacités des parties prenantes, afin qu'elles participent au développement de systèmes de certification conformes aux présentes directives et s'y conforment. Cela inclut de faire en sorte que les parties prenantes aient accès aux présentes directives et les comprennent ainsi que les dispositions des conventions internationales pertinentes et des normes

applicables qui sont essentielles à une aquaculture responsable. Les technologies appropriées et récentes peuvent être nécessaires pour se conformer aux normes de certification. Pour bénéficier pleinement de ces technologies, la vulgarisation, la formation, le développement des compétences et des programmes locaux de renforcement des capacités pour les producteurs, les communautés locales et autres parties prenantes seront nécessaires. Les institutions gouvernementales entre autres devraient soutenir particulièrement à un niveau régional et sous-régional, la coopération en matière de développement des compétences et de renforcement des capacités pour le développement de systèmes de certification en aquaculture les mieux adaptés à leur région et la mise en conformité à ceux-ci, et dans l'élaboration de mécanismes et de protocoles pour l'échange de connaissances, d'expériences et l'assistance technique pour atteindre ces objectifs.

174. Des programmes de certification différents peuvent permettre d'atteindre des objectifs similaires et peuvent, dans cette mesure, être équivalents. Des mémorandum d'entente et des accords de reconnaissance mutuelle ou de reconnaissance unilatérale peuvent être élaborés en vue de la reconnaissance mutuelle de programmes de certification en aquaculture, tous devant inclure des contrôles et des vérifications appropriés des systèmes de certifications impliqués. Des outils et une assistance technique peuvent être nécessaires pour assurer l'impartialité, la transparence et l'uniformité dans l'élaboration d'accords de reconnaissance et le suivi qui facilite le développement et la mise en œuvre de systèmes de certification en aquaculture conformes aux procédures de certification, d'homologation et de normalisation fournies dans les présentes directives.

175. Nonobstant les dispositions du présent chapitre, les systèmes de certification tierce partie fonctionnant conformément aux présentes directives ne devraient pas remplacer les systèmes de certification correspondants ni les certificats officiels délivrés par les États.

176. La FAO facilitera et suivra la mise en œuvre des présentes directives relatives à la certification en aquaculture et favorisera l'échange de connaissances et de données d'expérience. Les organismes oeuvrant pour le développement et les institutions bailleurs de fonds sont encouragés à apporter leur soutien à la FAO pour que soit facilitée l'aide financière et technique aux pays en développement et aux pays en transition.

APÉNDICE G

Directrices técnicas para la certificación en la acuicultura Versión aprobada por el Subcomité de Acuicultura del COFI en su quinta reunión, celebrada en Phuket (Tailandia)

ANTECEDENTES

1. La producción global de la acuicultura está creciendo considerablemente y suministra de manera creciente volúmenes significativos de pescado y otros alimentos acuáticos para consumo humano, una tendencia que se proyecta en ascenso continuo. Si bien el crecimiento de la acuicultura tiene el potencial para satisfacer la creciente necesidad de alimentos acuáticos y para contribuir a la seguridad alimentaria, la reducción de la pobreza y más ampliamente para alcanzar el desarrollo sostenible y los Objetivos de Desarrollo del Milenio, se reconoce cada vez más que es necesario un mejor manejo del sector para alcanzar dicho potencial.
2. La acuicultura es un sector productivo altamente diverso que incluye a muchos sistemas, sitios, instalaciones, prácticas, procesos y productos diferentes y que se realiza bajo una amplia gama de condiciones políticas, sociales, económicas y ambientales.
3. Los esfuerzos dirigidos a promover el desarrollo de la acuicultura deberían tener en cuenta las preocupaciones e intereses especiales de los pequeños productores de pocos recursos, así como fomentar la responsabilidad social de las empresas en el sentido de lograr que dichos productores, así como otros interesados directos con actividades en pequeña escala, participen en las cadenas de comercialización. Los sistemas de certificación no deberían crear obstáculos para el comercio ni excluir de las cadenas de comercialización a los productos de los pequeños acuicultores.
4. La producción y el comercio de la acuicultura han aumentado, pero han surgido preocupaciones en relación con los posibles impactos negativos sobre el ambiente, las comunidades y los consumidores. Las soluciones a muchos de estos asuntos se han identificado y tratado. La aplicación de la certificación en la acuicultura se ve ahora como una herramienta basada en el mercado y con un gran potencial para minimizar los virtuales impactos negativos, aumentar los beneficios sociales y del consumidor, así como la confianza en el proceso productivo y de comercialización de la acuicultura.
5. Si bien los asuntos referidos a la sanidad de los animales acuáticos y a la inocuidad alimentaria relacionados con la acuicultura han estado sujetos a certificación y al cumplimiento internacional por muchos años, los aspectos relativos al bienestar de los animales, los asuntos ambientales y las cuestiones socioeconómicas no han sido sometidos al cumplimiento o la certificación.

ALCANCE

6. Estas directrices proveen orientación para el desarrollo, organización e implementación de sistemas confiables de certificación de la acuicultura.
7. Las directrices tratan una gama de temas que deberían considerarse relevantes para la certificación en la acuicultura, a saber: a) la salud y el bienestar animal; b) la inocuidad

alimentaria; c) la integridad ambiental; y d) los aspectos socioeconómicos asociados con la acuicultura.

8. El desarrollo sostenible de la acuicultura depende de tres factores, a saber, la sostenibilidad social, económica y ambiental; todos ellos deben recibir atención en la debida proporción.
9. Existe un extenso marco jurídico nacional e internacional para los diversos aspectos de la acuicultura y de su cadena de valor, que cubre asuntos tales como el control de las enfermedades de los animales acuáticos, la inocuidad alimentaria y la conservación de la biodiversidad. La legislación es particularmente fuerte en relación con el procesamiento, la exportación y la importación de productos acuáticos. Las autoridades competentes reconocidas están normalmente capacitadas para verificar la conformidad con la legislación nacional e internacional obligatoria. Otros asuntos, tales como la sostenibilidad ambiental y los aspectos socioeconómicos, pueden no estar cubiertos de una manera tan vinculante y abren la oportunidad para la certificación voluntaria como un medio de demostrar que un sistema particular de acuicultura está manejado responsablemente.
10. Los sistemas confiables de certificación de la acuicultura consisten en tres componentes principales: i) normas; ii) acreditación, y iii) certificación. Por lo tanto las directrices cubren:
 - los procesos de establecimiento de normas necesarios para desarrollar y revisar los normas de certificación;
 - los sistemas de acreditación necesarios para proporcionar reconocimiento formal a un órgano calificado para realizar la certificación.
 - los órganos de certificación necesarios para verificar el cumplimiento con los normas de certificación.
11. El desarrollo e implementación de un sistema de certificación puede ser emprendido por cualquier entidad calificada para hacerlo de acuerdo con los requisitos de estas directrices. Tal entidad puede ser, por ejemplo, un gobierno, una organización intergubernamental, una organización no gubernamental, un grupo del sector privado (como una asociación de productores o comercio), una agrupación de la sociedad civil, o un consorcio que incluya a todos estos diferentes grupos de interesados o a algunos de ellos, como usuarios directos de las directrices. Las directrices proporcionan información sobre los arreglos institucionales y organizacionales para la certificación en acuicultura, incluidos los requisitos de gobernabilidad, especialmente para garantizar que se eviten los conflictos de intereses.

TÉRMINOS Y DEFINICIONES

12. Para el propósito de estas directrices internacionales sobre certificación de la acuicultura, se aplican los términos y definiciones siguientes. Estos términos y definiciones provienen o se derivaron de material existente reconocido (p. ej. FAO¹, ISO², Codex Alimentarius³, OIE⁴, FAO Directrices para el ecoetiquetado, FAO Código de Conducta para la Pesca Responsable (CCPR) y muchos otros) y de aportes de las partes interesadas recibidos durante el proceso de elaboración de las directrices.

¹ Organización de las Naciones Unidas para la Agricultura y la Alimentación.

² Organización Internacional de Normalización.

³ Comisión del Codex Alimentarius.

⁴ Organización Mundial de Sanidad Animal.

Acreditación

Procedimiento por el cual una autoridad competente, de conformidad con la legislación aplicable, otorga el reconocimiento formal de que un órgano o persona calificada es competente para realizar tareas específicas.

(Modificado de ISO/IEC Guide 2:1996, 12.11)

Órgano de acreditación

Organismo que dirige y administra un sistema de acreditación y otorga la acreditación.

(ISO Guide 2, 17.2)

Sistema de acreditación

Sistema que tiene sus propias reglas de procedimiento y gestión para llevar a cabo la acreditación. La acreditación de los organismos de certificación se concede normalmente después de una evaluación exitosa y es seguida por una vigilancia adecuada.

(ISO Guide 2, párr. 17.1)

Acuicultura

El cultivo de organismos acuáticos que implica algún tipo de intervención en el proceso de crianza para mejorar la producción, así como la propiedad individual o empresarial del stock cultivado, la planificación, desarrollo y operación de sistemas, sitios, instalaciones y prácticas de acuicultura y la producción y el transporte.

(Modificado del Glosario de acuicultura de la FAO, disponible en

<http://www.fao.org/fi/glossary/aquaculture>)

Auditoría

Examen sistemático y funcionalmente independiente que tiene por objeto determinar si las actividades y sus consiguientes resultados se ajustan a los objetivos previstos.

(Codex Alimentarius, Principios para la inspección y certificación de importaciones y exportaciones de alimentos, CAC/GL 20).

Certificación

Procedimiento por el cual un órgano o entidad de certificación garantiza por escrito o de un modo equivalente que un producto, proceso o servicio se ajusta a los requisitos especificados. La certificación puede basarse, según los casos, en una gama de actividades de auditoría que puede incluir la inspección continua en la cadena de producción.

(Modificado de ISO Guide 2, 15.1.2; Principios para la inspección y certificación de importaciones y exportaciones de alimentos, CAC/GL 20; Directrices para el ecoetiquetado)

Órgano o entidad de certificación

Órgano competente y reconocido, gubernamental o no gubernamental, que realiza las actividades de certificación y auditoría. Un organismo de certificación puede supervisar las actividades de certificación realizadas en su nombre por otros órganos.

(Basado en ISO Guide 2, 15.2)

Sistema de certificación

Los procesos, sistemas, procedimientos y actividades relacionadas con el establecimiento de normas, acreditación e implementación de la certificación

(Adaptado del informe del primer Taller de expertos sobre la certificación en acuicultura celebrado en Bangkok, Tailandia, en marzo de 2007)

Cadena de custodia

El conjunto de medidas que verifica que un producto certificado se origina efectivamente en una cadena certificada de producción de acuicultura y que no está mezclado con productos no certificados. Las medidas de verificación de la cadena de custodia deberían cubrir el seguimiento/rastreabilidad del producto a lo largo de toda la cadena de producción,

procesamiento, distribución y comercialización, así como el rastreo de la documentación y de la cantidad de producto de que se trate.

De las Directrices para el ecoetiquetado de la FAO

Evaluación de la conformidad

Cualquier actividad destinada a determinar directa o indirectamente que se han cumplido los requisitos pertinentes.

(Modificado de ISO Guide 2, 12.2)

Certificación de grupo

Certificación para un grupo de productores de acuicultura en pequeña escala o una cooperativa de productores de acuicultura que tienen características claves en común por lo que se refiere a la naturaleza de la producción, la proximidad de las explotaciones, la comercialización común como grupo. El grupo tiene un sistema de control interno para asegurar el cumplimiento de las normas por todos los miembros del grupo.

Acuicultura en pequeña escala

Granjas acuícolas con un pequeño volumen de producción y/o un área superficial relativamente pequeña, principalmente sin trabajo permanente y que típicamente carecen de la capacidad técnica y financiera para enfrentar la certificación individual.

Norma

Un documento aprobado que proporciona, para uso común y repetido, normas, directrices o características para los productos o los procesos y métodos de producción conexos, cuyo cumplimiento no es obligatorio de acuerdo con la reglamentación del comercio internacional. También puede incluir o referirse exclusivamente a la terminología, símbolos, requisitos de embalaje, rotulación o etiquetado como se aplican a un producto, proceso o método de producción. Las normas del sector público son preparadas por la comunidad internacional de normalización y aprobadas en todos los casos por un órgano oficialmente reconocido. Las normas del sector privado son preparadas por un órgano de carácter privado y no siempre son aprobadas por un órgano oficialmente reconocido.

(Basado en el Acuerdo OTC, Anexo 1, párr. 2)

Órgano, organización o entidad de establecimiento de normas

Organización o entidad que tiene actividades reconocidas en el establecimiento de normas.

(Basado en ISO Guide 2, párr. 4.3)

Tercero

Persona u órgano que se reconoce como independiente de las partes interesadas, en lo que atañe al asunto de que se trate y que no implica conflictos de interés.

(ISO/IEC Guide 2:1996; Directrices para el ecoetiquetado)

Rastreabilidad

La capacidad de seguir el movimiento de un producto de acuicultura, o de insumos tales como alimentos y semillas, a través de etapas especificadas de producción, procesamiento y distribución. (Adaptado del Codex).

Unidad de certificación

La escala o extensión de las operaciones de acuicultura evaluadas y monitoreadas para cumplimiento. La unidad de certificación podría consistir de una sola granja, unidad de producción u otra instalación de acuicultura. La unidad de certificación podría consistir también de un grupo o conjunto de granjas que deberían ser evaluadas y monitoreadas colectivamente.

Medicamento veterinario

Toda sustancia o combinación de sustancias que se presente como poseedora de propiedades curativas o preventivas con respecto a las enfermedades animales o que puedan administrarse al animal con el fin de establecer un diagnóstico médico o de restablecer, corregir o modificar las funciones fisiológicas del animal. (Directiva 2001/82/CE de la Unión Europea)

APLICACIÓN

13. Estas directrices para los sistemas de certificación voluntaria deben interpretarse y aplicarse en su totalidad en armonía con las leyes y reglamentos nacionales y con los acuerdos internacionales, cuando estos existan.
14. Las entidades responsables de los sistemas de certificación de la acuicultura existentes y nuevos deberían encargarse de evaluar, verificar y documentar que tales sistemas de certificación hayan sido desarrollados y estén siendo implementados de acuerdo con las directrices. Si hay deficiencias en la manera en que un sistema existente fue desarrollado y/o en cómo está siendo implementado, las entidades responsables de las funciones (es decir, establecimiento de normas, acreditación, o certificación) deberían actuar como corresponde para definir e implementar un plan de acción correctiva. Una vez completado esto, las entidades deberían verificar y documentar que el sistema es conforme a las directrices. No debería existir ningún conflicto de interés entre las entidades involucradas.
15. Si las entidades responsables de un sistema privado de certificación de la acuicultura no proporcionan una garantía creíble de que el sistema ha sido desarrollado y está siendo implementado de acuerdo con las directrices, los grupos de interesados (especialmente aquellos que están siendo certificados en el marco del sistema) pueden usar estas directrices para someter el sistema a la evaluación de un órgano que cuente con los conocimientos técnicos apropiados, o realizar ellos mismos esa evaluación. Véase el capítulo Requisitos institucionales y de procedimiento.
16. La evaluación debería usar estas directrices para determinar si un sistema de certificación está elaborado e implementado de acuerdo con las directrices con respecto, entre otros:
 - a si se han cumplido los principios;
 - a si las consideraciones especiales han sido atendidas;
 - a si los objetivos del sistema y las áreas problemáticas han sido tratados de acuerdo con los requisitos sustantivos mínimos adecuados;
 - a si el establecimiento de las normas, la acreditación y/o la certificación han sido desarrollados e implementados de acuerdo con los requisitos institucionales y de procedimiento.

PRINCIPIOS

17. **Los sistemas de certificación de la acuicultura:**
 - a. se deberían basar en normas o directrices internacionales, cuando proceda, y deben reconocer los derechos soberanos de los Estados y cumplir con las leyes y regulaciones relevantes a nivel local, nacional e internacional. Deben ser consistentes con los acuerdos, convenciones, normas, códigos de prácticas y directrices internacionales relevantes.
 - b. deberían reconocer que cualquier persona o entidad que realiza actividades de acuicultura está obligada a cumplir con todas las leyes y regulaciones nacionales.

- c. deberían desarrollarse basados en la mejor evidencia científica disponible y tomando en consideración también el conocimiento tradicional, a condición de que su validez pueda ser verificada objetivamente.
- d. deben ser desarrollados e implementados de una manera transparente y deberían asegurar que no existan conflictos de interés entre las entidades que son responsables del establecimiento de normas, la acreditación y la certificación. Estas entidades deberían facilitar el reconocimiento mutuo, esforzarse en lograr la armonización y reconocer la equivalencia, basado en los requisitos y criterios esbozados en estas directrices.
- e. deberían estar abiertos al escrutinio por parte de los consumidores, la sociedad civil y sus respectivas organizaciones y otras partes interesadas, a la vez que se respetan de manera legítima los asuntos relativos al resguardo de la confidencialidad.
- f. deberían ser creíbles y robustos, ser completamente efectivos en el logro de sus objetivos declarados.
- g. deberían promover la acuicultura responsable durante la producción según se describe en el Código de conducta para la pesca responsable de la FAO y en particular en su artículo 9, Desarrollo de la acuicultura.
- h. deberían incluir procedimientos adecuados para mantener la cadena de custodia y la rastreabilidad de los productos y procesos de la acuicultura certificados.
- i. deberían establecer una responsabilidad clara para todas las partes involucradas, incluyendo a los propietarios de los sistemas de certificación, órganos de acreditación y los órganos de certificación, conforme con los requisitos internacionales, según corresponda.
- j. no deberían discriminar en contra de algún grupo de cultivadores que practica la acuicultura responsable según la escala, intensidad de producción, o tecnología; deben promover la cooperación entre órganos de certificación, acuicultores y comerciantes; deben incorporar procedimientos confiables e independientes de auditoría y verificación; y deberían ser rentables para asegurar la participación inclusiva de los acuicultores responsables.
- k. deberían procurar fomentar el comercio responsable, en consonancia con las Directrices técnicas para un comercio pesquero responsable, y brindar a los productos de la acuicultura la oportunidad de ingresar en los mercados internacionales sin obstáculos para el comercio.
- l. deberían asegurar que se otorguen consideraciones especiales para tratar los intereses de los acuicultores en pequeña escala de pocos recursos, especialmente los costos y beneficios financieros de la participación, sin que esto comprometa la inocuidad de los alimentos.
- m. Estas directrices para la certificación en la acuicultura deberían reconocer las necesidades especiales de los productores y los gobiernos de los países en desarrollo. Estas directrices deberían asimismo reconocer el papel especial de la FAO con miras a prestar asistencia a los países en desarrollo en la preparación de un marco de implementación que sea tanto alcanzable como mensurable. De manera análoga, la FAO debería facilitar la evaluación de la capacidad de los productores y los gobiernos para cumplir los requisitos propuestos de los sistemas de certificación en la acuicultura y para crear expectativas realistas con respecto al cumplimiento por los productores y los gobiernos de estos requisitos.

CRITERIOS SUSTANTIVOS MÍNIMOS

18. En esta sección se indican los criterios sustantivos mínimos para desarrollar normas de certificación de la acuicultura en relación con a) la salud y bienestar animal, b) la inocuidad alimentaria, c) la integridad ambiental y d) los aspectos socioeconómicos. El grado en el cual un sistema de certificación busca tratar tales asuntos depende de los objetivos del plan, los cuales deberían ser establecidos de manera explícita y transparente por el sistema. El desarrollo de sistemas de certificación debería considerar la importancia de poder medir el desempeño de los sistemas y prácticas de acuicultura y la capacidad de evaluar la conformidad con las normas de certificación.

SALUD Y BIENESTAR ANIMAL⁵

19. Las actividades de acuicultura deberían realizarse de una manera que asegure la salud y el bienestar de los animales acuáticos cultivados, optimizando la salud a través de la minimización del estrés, la reducción de los riesgos de enfermedades de los animales acuáticos y el mantenimiento de un ambiente de cultivo saludable en todas las fases del ciclo de producción. Las directrices y normas establecidos por la OIE deberían constituir las bases normativas específicas.

Criterios sustantivos mínimos para tratar la salud y el bienestar de los animales acuáticos en los sistemas de certificación de la acuicultura:

20. Las operaciones de acuicultura deberían preparar programas de manejo sanitario para los animales acuáticos establecidos de acuerdo con la legislación y regulación nacional relevante, tomando en cuenta las Orientaciones Técnicas del CCPR de la FAO sobre gestión sanitaria para el transporte responsable de animales acuáticos vivos y las normas pertinentes de la OIE.

21. El movimiento de animales acuáticos, material genético animal y productos animales debería tener lugar en consonancia con las disposiciones relevantes del Código Sanitario de la OIE para los Animales Acuáticos, para impedir la introducción o transferencia de enfermedades y agentes patógenos infecciosos a los animales acuáticos evitando, a la vez, medidas sanitarias injustificadas.

22. Se debería mantener un ambiente de cultivo sano en todas las fases del ciclo de producción, adaptado a las especies que en él se crían, a fin de favorecer la salud y el bienestar de los animales acuáticos y reducir los riesgos de introducción y difusión de enfermedades entre estos. Para tal fin se debería contemplar, en particular:

- la puesta en cuarentena de las poblaciones cuando sea apropiado;
- el monitoreo de rutina de los organismos y las condiciones ambientales para la detección temprana de problemas de salud de los animales acuáticos;
- la implementación de prácticas de manejo que reduzcan la probabilidad de transmisión de enfermedades dentro y entre las instalaciones de acuicultura y a la fauna acuática natural y que disminuyan el estrés de los animales con el fin de optimizar su salud.

⁵ Para los fines de estas directrices la referencia al bienestar animal se aplica exclusivamente en la medida en que este afecte a la salud de los animales, en consonancia con las normas vigentes y futuras de la OIE.

23. Los medicamentos veterinarios deberían usarse en forma responsable y de conformidad con la legislación nacional aplicable, o con los acuerdos internacionales pertinentes, a fin de garantizar su eficacia, su inocuidad para la salud pública o animal y la protección del medio ambiente.
24. Debería considerarse con atención el uso de especies en policultivos o acuicultura multitrófica integrada para reducir las posibilidades de transmisión de enfermedades entre las especies cultivadas.
25. Los animales criados en acuicultura deberían mantenerse en condiciones de cultivo idóneas para la especie, en particular teniendo en cuenta la temperatura y calidad del agua.
26. Los trabajadores deberían ser entrenados en buenas prácticas de manejo sanitario de los animales acuáticos para asegurar que ellos están conscientes de su papel y responsabilidades en cuanto a mantener la salud y el bienestar de los animales acuáticos en la acuicultura.

Inocuidad alimentaria

27. Las actividades de acuicultura deberían ser realizadas de una manera que asegure la inocuidad alimentaria, implementando normas y regulaciones nacionales o internacionales adecuadas como las que se definen en el Codex Alimentarius de la FAO/OMS. Aunque el Codex Alimentarius abarca tanto los aspectos de la inocuidad y la calidad de los productos acuáticos, para los fines de estas directrices actualmente no se abordan en detalle las cuestiones relacionadas con la calidad.

Criterios sustantivos mínimos para tratar la inocuidad alimentaria en los sistemas de certificación de la acuicultura:

28. Las instalaciones de acuicultura deberían situarse en áreas donde el riesgo de contaminación sea mínimo y donde las fuentes de contaminación puedan ser controladas o limitadas.
29. Allí donde se utilicen piensos, las operaciones de acuicultura deberían incluir procedimientos para evitar su contaminación en el respeto de la reglamentación nacional o de lo determinado por las normas internacionales acordadas. Las operaciones de acuicultura deberían usar alimentos e ingredientes dietéticos que no contengan niveles peligrosos de pesticidas, contaminantes biológicos, químicos y físicos y/u otras sustancias adulteradas. El alimento que se fabrica o prepara en la granja debería contener sólo sustancias permitidas por las autoridades nacionales competentes.
30. Todos los productos químicos y medicamentos veterinarios para uso en acuicultura deberían cumplir con las regulaciones nacionales así como con las normas internacionales. Dondequiera que se apliquen, los productos químicos y medicamentos veterinarios deberían estar registrados con la autoridad nacional competente. Los medicamentos veterinarios deberían caracterizarse (ser clasificados). El control de las enfermedades con medicamentos veterinarios y antimicrobianos debería realizarse sólo sobre la base de un diagnóstico preciso y el conocimiento que el medicamento es eficaz para el control o tratamiento de una enfermedad específica. En algunas clasificaciones, los medicamentos veterinarios pueden ser recetados y distribuidos sólo por personal autorizado bajo las regulaciones nacionales. Todos los productos químicos y medicamentos veterinarios o los alimentos medicados deberían ser usados de acuerdo con las instrucciones del fabricante u otra autoridad competente, con particular atención a los períodos de espera. No deben usarse productos químicos y/o medicamentos veterinarios no registrados o no permitidos en la producción, transporte o procesamiento de productos de la acuicultura. No

deberían usarse medicamentos veterinarios, en particular agentes antimicrobianos⁶, para fines preventivos.

31. El agua usada para la acuicultura debería ser de una calidad adecuada para la producción de alimento que sea seguro para el consumo humano. No se debería emplear aguas residuales en la acuicultura. De emplearse aguas residuales, se deberían seguir las directrices de la OMS para el uso seguro de aguas residuales y excretas en la acuicultura.
32. Las fuentes de reproductores y semilla para el cultivo (larvas, postlarvas, alevines y pececillos, etc.) deberían ser tales que reduzcan el riesgo de transferencia de peligros potenciales para la salud humana (p. ej. antibióticos, parásitos, etc.) a las poblaciones en cultivo.
33. La rastreabilidad y el mantenimiento de registros de las actividades e insumos del cultivo que impactan la inocuidad alimentaria se deberían asegurar documentando, entre otros:
 - las fuentes de insumos tales como alimentos, semillas, medicamentos veterinarios y antibacterianos, aditivos, productos químicos;
 - el tipo, concentración, dosificación, método de administración y períodos de espera de los productos químicos, medicamentos veterinarios y antibacterianos, así como la justificación de su empleo.
34. Las instalaciones y operaciones de acuicultura deberían mantener buenas condiciones higiénicas y de cultivo, incluyendo:
 - se deberían aplicar buenas prácticas de higiene en los alrededores de la granja con el fin de minimizar la contaminación del agua de cultivo, particularmente por materiales de desecho o materia fecal de animales o seres humanos;
 - se deberían aplicar buenas prácticas de acuicultura durante el cultivo para asegurar buenas condiciones higiénicas de cultivo y seguridad y calidad de los productos de acuicultura;
 - las granjas deberían establecer un programa de control de plagas, de modo que los roedores, las aves y otros animales silvestres y domesticados estén controlados, especialmente alrededor de las áreas de almacenamiento del alimento;
 - los terrenos de la granja deberían ser bien mantenidos para reducir o eliminar los peligros para la inocuidad alimentaria y de los piensos;
 - se debería aplicar técnicas adecuadas en la cosecha, almacenamiento y transporte de los productos de acuicultura para minimizar la contaminación, el daño físico y el estrés.
35. En áreas de cultivo de moluscos bivalvos se debería implementar programas de identificación, clasificación, manejo integrado, vigilancia y seguimiento para evitar la contaminación microbiológica y química y reducir la provocada por biotoxinas. La relocalización y depuración de moluscos bivalvos para eliminar la contaminación microbiana se deberían realizar de acuerdo con los requisitos del Codex.
36. Los trabajadores deberían ser entrenados en buenas prácticas higiénicas para asegurar que sean conscientes de su papel y responsabilidades en cuanto a proteger de la contaminación y el deterioro los productos de la acuicultura.

⁶ Las vacunas no se incluyen entre los agentes antimicrobianos.

INTEGRIDAD AMBIENTAL

37. La acuicultura se debería planificar y practicar de una manera ambientalmente responsable, de acuerdo con las leyes y regulaciones locales nacionales e internacionales adecuadas.
38. Los sistemas de certificación de la acuicultura deberían alentar el restablecimiento de los hábitat y lugares que han sufrido daños a causa de su uso previo para la acuicultura.
39. La acuicultura puede tener repercusiones sobre el ambiente; los sistemas de certificación de la acuicultura deberían asegurar que estos efectos sean identificados y manejados o mitigados hasta un nivel aceptable en armonía con la legislación local y nacional. Siempre que sea posible deberían usarse especies nativas para el cultivo, y adoptarse medidas para reducir al mínimo la posibilidad de que las especies cultivadas se liberen involuntariamente o escapen hacia entornos naturales.
40. Las prácticas de manejo que tratan los impactos ambientales de la acuicultura difieren substancialmente para diferentes tipos y escalas de acuicultura y para diferentes sistemas de cultivo acuícola. Los sistemas de certificación no deberían ser excesivamente preceptivos, sino que deberían establecer puntos de referencia mensurables que fomenten el mejoramiento y la innovación en el desempeño ambiental de la acuicultura.
41. Los sistemas de certificación podrían considerar la aplicación del «enfoque precautorio» en consonancia con las disposiciones pertinentes del Código de conducta para la pesca responsable.
42. Al realizar análisis de riesgos, los riesgos se deberían tratar a través de un método científico adecuado para evaluar la probabilidad de los eventos y la magnitud de los impactos, y tomar en consideración las incertidumbres relevantes. Se debería determinar puntos de referencia apropiados y se deberían tomar acciones correctivas si se alcanzan o exceden los puntos de referencia.
43. Los sistemas de certificación deben esforzarse para promover la internalización de los costos ambientales y el uso de instrumentos económicos, teniendo en cuenta el enfoque que el contaminador debe, en principio, hacerse cargo del costo de la contaminación, con el debido respeto al interés público y sin distorsionar el comercio y la inversión internacional⁷.

Criterios sustantivos mínimos para tratar la integridad ambiental en los sistemas de certificación de la acuicultura:

44. Deberían realizarse evaluaciones del impacto ambiental, de acuerdo con la legislación nacional, antes de la aprobación del establecimiento de las operaciones de acuicultura.
45. Se debería proceder al monitoreo periódico de la calidad ambiental dentro y fuera de las granjas, en combinación con un buen mantenimiento de registros y el uso de metodologías adecuadas.

⁷ Basado en el principio 16 de la Declaración de Río sobre el Medio Ambiente y el Desarrollo, junio de 1992.

46. Se debería proceder a la evaluación y mitigación de los efectos negativos en los ecosistemas naturales circundantes incluyendo la fauna, la flora y los hábitat.
47. Deberían adoptarse medidas para promover la gestión y el uso eficientes del agua, así como un uso responsable de los efluentes, para reducir repercusiones sobre los recursos de suelo y agua circundantes.
48. Cuando sea posible se debería utilizar para el cultivo semilla producida en criaderos. Si se emplea semilla silvestre esta debería recolectarse exclusivamente mediante prácticas responsables.
49. Sólo deberían usarse especies exóticas si entrañan un nivel de riesgo aceptable para el ambiente natural, la biodiversidad y la salud del ecosistema.
50. En relación con el párrafo 9.3.1 del Código de conducta para la pesca responsable, cuando se haya alterado el material genético de un organismo acuático de una forma que no ocurre naturalmente debería realizarse una evaluación del riesgo basada en la ciencia para abordar los posibles riesgos caso por caso. (No se incluye la inducción de poliploidia).
51. La construcción de infraestructura y sistemas de eliminación de desechos de la acuicultura debería llevarse a cabo en forma responsable.
52. Los piensos, aditivos de piensos, productos químicos, medicamentos veterinarios (incluidos los antimicrobianos), el estiércol y los fertilizantes deberían utilizarse en forma responsable para reducir al mínimo sus repercusiones negativas en el medio ambiente y promover la viabilidad económica.

Aspectos socioeconómicos

53. La acuicultura debería realizarse de una manera socialmente responsable, en el marco de las normas y reglamentos nacionales, teniendo en cuenta los convenios de la OIT sobre derechos laborales, sin comprometer los medios de vida de los trabajadores de la acuicultura, y considerando las comunidades locales. La acuicultura contribuye al desarrollo rural, aumenta las prestaciones y la equidad en las comunidades locales, mitiga la pobreza y fomenta la seguridad alimentaria. Como resultado de ello, las cuestiones socioeconómicas deberían tenerse en cuenta en todas las fases de planificación, desarrollo y funcionamiento de la acuicultura.
54. Debería reconocerse la importancia de la responsabilidad social de las empresas de la acuicultura con respecto a las comunidades locales.

Criterios sustantivos mínimos para tratar [los aspectos socioeconómicos] en los sistemas de certificación de la acuicultura

55. Los trabajadores deben ser tratados de manera responsable, conforme a las normas y reglamentos laborales nacionales y, cuando corresponda, los convenios pertinentes de la OIT.

56. A los trabajadores se les deberían pagar sueldos y proporcionar prestaciones y condiciones de trabajo de acuerdo con las leyes y los reglamentos nacionales.
57. No se debería utilizar mano de obra infantil de manera contraria a los convenios de la OIT y a las normas internacionales.

REQUISITOS INSTITUCIONALES Y DE PROCEDIMIENTO

58. Los requisitos institucionales y de procedimiento para el establecimiento e implementación de sistemas confiables de certificación de la acuicultura se presentan a continuación en cuatro partes: 1) gobernabilidad, 2) establecimiento de normas, 3) acreditación, y 4) certificación.
59. Las secciones sobre establecimiento de normas, acreditación y certificación están, a su vez, subdivididas en cuatro secciones cada una: i) propósito; ii) referencias normativas; iii) funciones y estructura, y iv) requisitos. Los requisitos se consideran como las exigencias mínimas que debería satisfacer un órgano o entidad para ser reconocido como creíble y confiable en la ejecución de sus tareas y responsabilidades. Los principios entregados en este documento se aplican igualmente a los aspectos de procedimiento e institucionales de los sistemas de certificación para la acuicultura.
60. Las directrices presentadas aquí se basan en otras orientaciones internacionalmente aceptadas, especialmente las elaboradas por la Organización Internacional de Normalización (ISO), la Organización Internacional del Trabajo (OIT) y la Comisión del Codex Alimentarius (CAC). Cualquier sistema de certificación implementado conforme a estas directrices debe ajustarse a los compromisos del país con la OMC, en particular aquellos relativos al Acuerdo de la OMC sobre Obstáculos Técnicos al Comercio y al Acuerdo sobre la Aplicación de Medidas Sanitarias y Fitosanitarias.

GOBERNANZA

61. Los procedimientos usados y las instituciones involucradas en el establecimiento e implementación de un sistema de certificación deberían ser transparentes, creíbles y sólidos con una buena gobernanza.
62. Hay diversas opciones para la cobertura geográfica de un sistema, que puede ser nacional, regional o internacional.
63. Es esencial que el propietario de un sistema de certificación privado o no gubernamental no esté directamente comprometido en sus asuntos operacionales, es decir, realizando acreditación o certificación, para evitar conflictos de interés. El propietario o promotor de un sistema de certificación privado o no gubernamental debe tener un acuerdo formal con un órgano especializado de acreditación, separado e independiente, para encargarle la tarea de acreditación de los órganos de certificación en su nombre. El órgano o entidad de acreditación podría ser privado, público o un organismo autónomo gobernado por las normas y reglamentos nacionales.
64. El propietario o promotor de un sistema de certificación debería tener procedimientos escritos claros, para guiar el proceso de toma de decisión.
65. La certificación debe ser dirigida por una organización (órgano o entidad de certificación) que haya sido establecida específicamente para este propósito. Tal entidad podría ser el gobierno, una

entidad pública, no gubernamental o privada. El sistema de certificación debería establecer las normas y regulaciones bajo las cuales se requiere que opere el órgano o entidad de certificación. El órgano o entidad de certificación puede estar involucrado en la certificación para un sistema de certificación para un sector específico (p. ej. acuicultura) o puede estar involucrado con un número de sectores o de sistemas.

ESTABLECIMIENTO DE NORMAS

Propósito

66. Las normas proporcionan los requisitos necesarios, los criterios cuantitativos y cualitativos y los indicadores para la certificación de la acuicultura. Las normas deberían reflejar los objetivos, resultados y consecuencias que se persiguen, a través del sistema de certificación, para tratar la salud y el bienestar animal, la inocuidad alimentaria, la integridad ambiental y/o los aspectos socioeconómicos en la acuicultura.

Bases normativas

67. Las bases normativas para el desarrollo de normas incluyen los siguientes procedimientos documentados existentes:

- *Acuerdo de la OMC sobre obstáculos técnicos al comercio (OTC).*
- *Acuerdo de la OMC sobre la aplicación de medidas sanitarias y fitosanitarias (MSF).*
- *Directrices del Codex sobre sistemas de inspección y certificación de importación y exportación de alimentos.*
- *ISO/IEC Guide 59. Code of good practice for standardization. 1994.*
- *ISO/IEC 22003:2007 Food safety management systems: Requirements for bodies providing audit and certification of food safety management systems.*
- *ISEAL. ISEAL Code of Good Practice for Setting Social and Environmental Standards. 2006.*
- *OIE Código Sanitario para los Animales Acuáticos.*
- *Consejo Internacional para la Exploración del Mar (CIEM) Code of Practice on the Introductions and Transfers of Marine Organisms.*
- *ISO/IEC 22000:2005 Food safety management systems- Requirements for any organization in the food chain.*
- *ISO/TS 2004:2005 Food safety management systems - Guidance on the application of ISO 22000:2005.*
- *ISO 22005:2007 Traceability in the feed and food chain - General principles and basic requirements for system design and implementation.*
- *ISO/IEC 16665 Water quality - Guidelines for quantitative sampling and sample processing of marine soft-bottom macrofauna.*
- *ISO 23893-1:2007 Water quality - Biochemical and physiological measurements on fish - Part 1: Sampling of fish, handling and preservation of samples.*
- *ISO/IEC 17021:2006 Conformity assessment - Requirements for bodies providing audit and certification of management systems.*
- *ISO/IEC 17065.*

- ISO/IEC 22003:2007 *Food safety management systems: Requirements for bodies providing audit and certification of food safety management systems.*
- ISO/IEC 17021. *Management systems certification.*
- ISO/IEC 22003. *Food safety management systems.*
- ISO/IEC 17025. *Laboratory testing.*
- ISO/IEC 22005. *Chain of Custody.*

Funciones y estructura organizacional

68. El establecimiento de normas abarca las tareas de desarrollar, supervisar, evaluar, repasar, y revisar normas. Estas tareas pueden realizarse a través de un órgano o entidad especializada en el establecimiento de normas, o a través de otra entidad adecuada, ya sea del gobierno o no gubernamental. El órgano o entidad encargada del establecimiento de normas es también responsable de asegurar las comunicaciones y extensión adecuadas en relación con la norma y el proceso de establecimiento de normas y asegurar que la norma y los documentos asociados estén disponibles.
69. La estructura organizacional de un órgano o entidad encargada del establecimiento de normas debería incluir, entre otros, un comité técnico de expertos independientes y un foro de consulta con los representantes de las partes interesadas relevantes cuyos mandatos están claramente establecidos.
70. Un órgano o entidad de establecimiento de normas debe ser un ente legal, con suficientes recursos para respaldar su función de establecimiento de normas. El proceso debería incluir la representación suficiente de las partes interesadas. El personal de gestión, administración y otros apoyos debería estar libre de conflictos de interés.

Requisitos

Transparencia

71. La transparencia es esencial en el establecimiento de normas. La transparencia ayuda a facilitar la consistencia con las normas nacionales e internacionales relevantes y facilita el acceso a la información y a los registros referentes a la certificación y la participación de todas las partes interesadas, incluyendo aquellas de los países en desarrollo y de los países en transición, particularmente las partes interesadas pequeñas.
72. El órgano o entidad de establecimiento de normas debería llevar a cabo las actividades de una manera transparente siguiendo reglas escritas de procedimiento. Las reglas de procedimiento deberían contener un mecanismo para la resolución imparcial de cualquier disputa substantiva o de procedimiento en relación con el manejo de las materias referentes al establecimiento de normas.
73. De manera regular y según sea apropiado, el órgano o entidad de establecimiento de normas debería hacer público su programa de trabajo tan extensamente como sea posible.
74. A solicitud de cualquier interesado, el órgano o entidad de establecimiento de normas debería proporcionar, o adoptar las medidas para que se proporcione, dentro de un tiempo razonable, una

copia de sus procedimientos de establecimiento de normas, su programa de trabajo más reciente, los proyectos de normas o las normas finales.

75. En función de las necesidades de los usuarios, un órgano o entidad de establecimiento de normas debería traducir a los idiomas adecuados los procedimientos de establecimiento de normas, el programa de trabajo más reciente, los proyectos de normas o las normas definitivas.

Participación de los interesados

76. El órgano o entidad de establecimiento de normas debería esforzarse por lograr una participación equilibrada de expertos técnicos independientes y de representantes de las partes interesadas en el proceso de elaboración, revisión y aprobación de normas. Las partes interesadas pueden incluir, entre otros, a gobiernos, organizaciones no gubernamentales, grupos del sector privado, agrupaciones de la sociedad civil, representantes de la industria acuícola (proveedores de insumos, productores, procesadores, comerciantes y minoristas), la comunidad científica, grupos comunitarios y diversos consorcios, como usuarios indirectos de las directrices.
77. Las partes interesadas deberían participar en el proceso de establecimiento de normas a través de un foro adecuado de consulta o estar en conocimiento de mecanismos alternativos apropiados por los cuales podrían participar. Cuando se designe más de un foro, deberían determinarse y proporcionarse los requisitos adecuados de coordinación y comunicación.

Contenido y sistemas comparables

78. Los procesos de establecimiento de normas deberían propender a:
- incluir como referencia normas internacionales en salud y bienestar animal, inocuidad alimentaria, integridad ambiental y responsabilidad social;
 - identificar y revisar sistemas comparables;
 - identificar las necesidades de investigación y los vacíos de conocimiento;
 - incluir los requisitos de los acuerdos internacionales relevantes;
 - fomentar el reconocimiento mutuo entre los sistemas de certificación.

Disposiciones de notificación

79. Antes de la adopción de una norma, el órgano o entidad de establecimiento de normas debería permitir un período de una duración adecuada para que las partes interesadas puedan presentar comentarios u observaciones sobre el proyecto de norma. Antes que comience el plazo de formulación de observaciones, el órgano o entidad de establecimiento de normas debería publicar un aviso anunciando dicho plazo, en una publicación de actividades de estandarización ya sea nacional, o regional, o internacional, según sea el caso, y/o en Internet.
80. En la elaboración posterior de las normas, el órgano o entidad de establecimiento de normas debería tomar en consideración las observaciones y comentarios recibidos durante el período de observaciones.

Mantenimiento de registros

81. Se debería preparar y mantener un registro adecuado de las normas y de las actividades de su elaboración. La organización o entidad de establecimiento de normas debería designar un centro de enlace para las consultas y solicitudes de información sobre las normas y para la presentación de observaciones. Se debería facilitar al público la información sobre la manera de establecer contacto con dicho centro, incluso en Internet.

Examen y revisión de las normas y de los procedimientos de establecimiento de normas

82. Las normas deberían examinarse en publicaciones a intervalos regulares en consulta con las partes interesadas correspondientes y, cuando proceda, deberían revisarse como consecuencia de dichos exámenes. Se debería otorgar un plazo adecuado a las operaciones certificadas de acuicultura para adecuarse y dar cumplimiento a las normas revisadas.
83. Cualquier parte interesada puede someter propuestas de revisiones y ellas deberían ser consideradas por el órgano o entidad de establecimiento de normas a través de un proceso consistente y transparente.
84. El enfoque de procedimiento y metodológico para el establecimiento de normas también debería ser actualizado a la luz del progreso científico y técnico y de la experiencia ganada en la aplicación de la norma en acuicultura.

Validación de las normas

85. En la elaboración y revisión de las normas, se debería establecer un procedimiento adecuado para corroborar la norma de acuerdo con los requisitos mínimos para la acuicultura enunciados en estas directrices. La validación también es necesaria para asegurar que las normas:
- sean efectivas en alcanzar las metas de la certificación, pertinentes, objetivas y revisables;
 - no contengan criterios o requisitos que pudieran causar obstáculos innecesarios al comercio o inducir a error a la comunidad acuícola;
 - tomen en consideración los aspectos prácticos y los costos de la elaboración y mantenimiento de las normas.

ACREDITACIÓN

Propósito

86. La acreditación proporciona seguridad que los órganos de certificación responsables de realizar las evaluaciones de la conformidad, según las normas para la acuicultura, en relación con la salud y bienestar animal, la calidad e inocuidad alimentaria, la integridad ambiental y la responsabilidad social, son competentes para realizar tales tareas. La acreditación proporciona seguridad que el órgano o entidad de certificación es capaz de evaluar y certificar que un producto, método o proceso acuícola específico proviene de una operación de acuicultura certificada y se ajusta a las normas.

Referencia normativa

- ISO/IEC 17011. *Conformity assessment - General requirements for accreditation bodies accrediting conformity assessment bodies.*

Funciones y estructura

87. La acreditación es una evaluación independiente de la competencia del órgano o entidad de certificación. La tarea de otorgar la acreditación después de una evaluación exitosa debería ser realizada por los órganos de acreditación competentes. La acreditación se lleva a cabo sobre la base de un sistema que tiene sus propias reglas y administración, es decir, un sistema de acreditación.
88. Un órgano o entidad de acreditación debe ser una persona jurídica, con suficientes recursos para sostener sus funciones de realizar la acreditación. La estructura de gobierno debería incluir la representación adecuada de todas las partes interesadas. El personal de gestión, administración y otros apoyos debería estar libre de conflictos de interés. Para ser reconocido como competente y confiable para realizar la evaluación de los órganos o entidades de certificación, de una forma no discriminatoria, imparcial y exacta, un órgano o entidad de acreditación debería cumplir, entre otros, los siguientes requisitos.

Requisitos

No discriminación

89. El acceso a los servicios del órgano o entidad de acreditación debería estar abierto a todas las entidades de certificación independientemente de su localización. El acceso no debería condicionarse al tamaño o importancia del órgano solicitante o a su membresía en cualquier asociación o grupo, ni tampoco se debería condicionar la acreditación al número de órganos de certificación ya acreditados.
90. Debería darse pleno reconocimiento a las circunstancias y exigencias especiales de los órganos de certificación en los países en desarrollo y en transición, incluyendo la asistencia financiera y técnica, la transferencia tecnológica y la capacitación y cooperación científica, sin comprometer la integridad del proceso de acreditación y certificación.

Independencia, imparcialidad y transparencia

91. El órgano o entidad de acreditación debería ser independiente e imparcial. Para ser imparcial e independiente, el órgano de acreditación debería:
- ser transparente respecto a su estructura organizacional y al apoyo financiero y de otra índole que reciba de entidades públicas o privadas;
 - ser independiente, junto con su director y su personal, de intereses creados;
 - estar libre de cualquier presión comercial, financiera o de otra índole que pudiera influenciar los resultados del proceso de acreditación;
 - asegurar que la decisión sobre la acreditación será adoptada por una o varias personas que no hayan participado en la certificación (evaluación de la conformidad);

- no delegar la autoridad de otorgar, mantener, ampliar, reducir, suspender o retirar la acreditación en una persona u órgano ajenos.

Recursos humanos y financieros

92. El órgano o entidad de acreditación debería tener recursos financieros y estabilidad suficientes para la operación de un sistema de acreditación y debería mantener procedimientos adecuados para cubrir las responsabilidades derivadas de sus operaciones y/o actividades.
93. El órgano o entidad de acreditación debería emplear un número suficiente de personal con la educación, capacitación, conocimiento técnico y experiencia necesarios para desempeñar las funciones de la acreditación en acuicultura.
94. El órgano o entidad de acreditación debería mantener información sobre la capacitación y experiencia relevantes de cada miembro del personal involucrado en el proceso de acreditación. El registro de la capacitación y experiencia del personal debería mantenerse actualizado.
95. Cuando un órgano o entidad de acreditación decida subcontratar a una persona u órgano externo trabajos relacionados con la acreditación distintos de los exceptuados en el párrafo 91, los requisitos para dicho órgano externo no deberían ser menores que aquellos aplicables al propio órgano o entidad de acreditación mismo. Se debería preparar un acuerdo contractual o equivalente debidamente documentado que comprenda las disposiciones, incluidas aquellas relativas a la confidencialidad y el conflicto de intereses.

Rendición de cuentas e información

96. El órgano o entidad de acreditación debería ser una persona jurídica y debería disponer de procedimientos claros y efectivos para tramitar las solicitudes de acreditación. En particular, el órgano o entidad de acreditación debería mantener y proporcionar a los solicitantes y a las entidades acreditadas lo siguiente:
- una descripción detallada del procedimiento de evaluación y acreditación;
 - los documentos que contienen los requisitos para la acreditación;
 - los documentos que describen los derechos y deberes de los órganos acreditados.
97. Se debería redactar un acuerdo contractual o equivalente debidamente documentado que describa las responsabilidades de cada parte.
98. El órgano o entidad de acreditación debería tener:
- objetivos definidos y un compromiso con la calidad;
 - procedimientos e instrucciones relativos a la calidad, documentados en un manual de calidad;
 - un sistema establecido, efectivo y apropiado para la calidad.

99. El órgano o entidad de acreditación debería realizar auditorías internas periódicas que abarquen todos los procedimientos de una manera planificada y sistemática, para verificar que el sistema de acreditación está implementado y es efectivo.
100. El órgano o entidad de acreditación podrá recibir auditorías externas sobre aspectos relevantes. Los resultados de las auditorías deberían estar a disposición del público.
101. El órgano o entidad de acreditación debería designar personal calificado, adscrito al equipo del órgano o entidad de acreditación, para realizar la evaluación teniendo en cuenta todos los requisitos de acreditación aplicables.
102. El personal designado para las evaluaciones debería proporcionar al órgano o entidad de acreditación un informe sobre sus resultados o conclusiones en relación con la conformidad del órgano evaluado respecto a todos los requisitos de acreditación. Dicho informe debería proporcionar información suficientemente detallada sobre:
- la calificación, experiencia y autoridad del personal entrevistado;
 - la adecuación de la organización interna y los procedimientos adoptados por el órgano o entidad de certificación para fomentar la confianza en sus servicios;
 - las medidas adoptadas para corregir las discrepancias identificadas incluyendo, cuando corresponda, aquellas identificadas en evaluaciones anteriores.
103. El órgano o entidad de acreditación debería tener una política y procedimientos para mantener registros de lo ocurrido durante la visita de evaluación, por un período consistente con sus obligaciones contractuales, legales o de otra índole. Los registros deberían demostrar que se han cumplido efectivamente los procedimientos de acreditación. Los registros se deberían identificar, administrar y eliminar de forma tal que se garantice la integridad del proceso y la confidencialidad de la información.

Resolución de las reclamaciones relativas a la acreditación de los órganos de certificación

104. El órgano o entidad de acreditación debería tener una política y procedimientos escritos para resolver cualquier reclamación con respecto a cualquier aspecto de la acreditación o desacreditación de los órganos de certificación.
105. Estos procedimientos deberían incluir el establecimiento, con carácter especial cuando proceda, de un comité independiente e imparcial para responder a la reclamación. El comité debería buscar resolver cualquier reclamación mediante el debate o la conciliación. Si ello no fuera posible, el comité debería notificar su decisión por escrito al órgano o entidad de acreditación, quien debería transmitirla a la otra parte o partes involucradas.
106. El órgano o entidad de acreditación debería:
- mantener un registro de todas las reclamaciones y de las acciones correctivas, con respecto a la acreditación;
 - adoptar las medidas correctivas y preventivas adecuadas;
 - evaluar la efectividad de las medidas correctivas;

- salvaguardar la confidencialidad de la información obtenida durante la investigación y la resolución de las reclamaciones.

107. Se debería poner a disposición del público la información sobre los procedimientos de tramitación de reclamaciones relativas a la acreditación.

108. Lo anterior no excluye el recurso a otras formas de procedimientos judiciales y administrativos previstos en la legislación nacional o el derecho internacional.

Confidencialidad

109. El órgano o entidad de acreditación debería disponer de medidas adecuadas, consistentes con las leyes aplicables, para salvaguardar la confidencialidad de la información obtenida en el curso de sus actividades de acreditación a todos los niveles de su organización, incluidos los comités y órganos externos que actúen en su nombre.

110. Allí donde la ley requiera que la información sea revelada a un tercero, el órgano debería ser notificado de la información proporcionada, en la medida permitida por la ley. De lo contrario no se debería comunicar a un tercero información sobre un órgano o entidad de certificación solicitante sin el consentimiento escrito del órgano.

Mantenimiento y extensión de la acreditación

111. El órgano o entidad de acreditación debería adoptar disposiciones para definir el período de acreditación de un órgano o entidad de certificación, con procedimientos claros de seguimiento y vigilancia.

112. El órgano o entidad de acreditación debería adoptar disposiciones para asegurar que un órgano o entidad de certificación acreditado le informe sin demoras de cualquier cambio en algún aspecto de su condición u operación.

113. El órgano o entidad de acreditación debería disponer de procedimientos para realizar reevaluaciones en el caso de que se produzcan cambios que afecten significativamente las capacidades o el alcance de las actividades del órgano o entidad acreditada, o a la conformidad con cualquier otro criterio relevante de competencia especificado por el órgano o entidad de acreditación.

114. La acreditación se debería reevaluar a intervalos suficientemente próximos o según sea necesario para verificar que el órgano o entidad de certificación acreditado continúa cumpliendo con los requisitos de acreditación. El período para realizar las reevaluaciones no debería exceder de cinco años.

Suspensión y retiro de la acreditación

115. El órgano o entidad de acreditación debería especificar las condiciones bajo las cuales se puede suspender o retirar la acreditación, parcialmente o en su totalidad, en relación con todo o parte del alcance de la acreditación.

Cambio en los requisitos de acreditación

116. El órgano o entidad de acreditación debería comunicar debida y oportunamente, a todas las partes involucradas, de cualquier cambio que pretenda introducir en sus requisitos de acreditación.
117. El órgano o entidad de acreditación debería tener en cuenta las opiniones expresadas por las partes interesadas antes de decidir sobre la forma precisa y la fecha efectiva de los cambios.
118. Luego de tomar una decisión sobre los cambios y de publicarlos, el órgano o entidad de acreditación debería verificar que cada órgano o entidad acreditada lleve a cabo los ajustes necesarios en sus procedimientos en un plazo que, en opinión del órgano o entidad de acreditación, sea razonable.
119. Se debería dar consideraciones especiales a los órganos acreditados en países en desarrollo y en transición, sin comprometer la integridad del proceso de certificación.

Propietario o concesionario de un símbolo, etiqueta o logotipo de acreditación

120. Las disposiciones sobre la utilización y el control de una declaración de certificación, un símbolo, una etiqueta o un logotipo se tratan en la siguiente sección sobre certificación.
121. El órgano o entidad de acreditación que sea propietario o concesionario de un símbolo, etiqueta o logotipo destinado a ser utilizado en el marco de su programa de acreditación, debería disponer de procedimientos documentados que describan su uso.
122. El órgano o entidad de acreditación no debería permitir la utilización de su marca o logotipo de acreditación de forma que implique que el órgano o entidad de acreditación mismo aprobó un producto, servicio o sistema certificado por un órgano o entidad de certificación.
123. El órgano o entidad de acreditación debería adoptar medidas apropiadas para hacer frente a referencias incorrectas al sistema de acreditación o al uso equívoco de logotipos de acreditación encontrados en anuncios publicitarios, catálogos, etc.

CERTIFICACIÓN

Propósito

124. La certificación es el procedimiento por el cual un órgano o entidad da una garantía escrita o equivalente de que una operación o actividad de acuicultura bajo consideración se ajusta a las normas o normas relevantes de certificación de la acuicultura. La certificación imparcial basada en una evaluación objetiva de los factores relevantes garantiza a los compradores y consumidores que un producto certificado de acuicultura proviene de una operación de acuicultura que se ajusta a las normas de certificación.

Alcance

125. La certificación podría incluir una actividad de acuicultura p. ej. una operación de acuicultura de la cadena de custodia de un producto. Se puede emitir certificados separados para la actividad de acuicultura y para la cadena de custodia de un producto.
126. Para la certificación se requieren dos tipos de evaluaciones:
- Evaluación de la conformidad para determinar si una actividad de acuicultura se ajusta a las normas y a los criterios relacionados con la certificación.
 - Evaluación de la cadena de custodia para determinar si existen medidas adecuadas para identificar y diferenciar los productos de una operación de acuicultura certificada, incluyendo la producción y subsecuentes etapas de procesamiento, distribución y comercialización (rastreadibilidad).
127. Los productos de acuicultura que son etiquetados para indicar al comprador y al consumidor su origen en una operación de acuicultura y una cadena de custodia certificadas requieren esos dos tipos de evaluaciones y certificados.

Referencias normativas

- ISO Guide 62, *General requirements for bodies operating assessment and certification/ registration of quality systems*. 1996.
- ISO/IEC Guide 65, *General requirements for bodies operating product certification systems*. 1996.
- OMC. *Acuerdo sobre obstáculos técnicos al comercio (OTC)*.
- ISO/IEC 17021. *Management systems certification*.
- ISO/IEC 22003. *Food safety management systems*.
- ISO/IEC 17025. *Laboratory testing*.
- ISO/IEC 22005. *Chain of Custody*.
- OIE Código Sanitario para los Animales Acuáticos/Directrices.
- OTC Artículos 5-6. *Evaluación de la conformidad*.

Funciones y estructura

128. Las tareas de llevar a cabo las evaluaciones de la conformidad y de la cadena de custodia deberían ser realizadas por órganos de certificación acreditados. Para ser reconocido como competente y confiable para realizar las evaluaciones de una manera no discriminatoria, imparcial y precisa, un órgano o entidad de certificación debería cumplir los siguientes requisitos.

Requisitos**Independencia e imparcialidad**

129. El órgano o entidad de certificación debería ser legal y financieramente independiente del propietario del sistema de certificación y no tener conflictos de interés.

130. El órgano o entidad de certificación y su personal evaluador y certificador, ya sea directamente empleado o subcontratado por el órgano o entidad de certificación, no debería tener interés (excepto el necesario para realizar sus servicios de certificación) de tipo comercial, financiero o de cualquier otra índole en la operación de acuicultura o en la cadena de custodia que deben ser evaluadas.
131. El órgano o entidad de certificación debería garantizar que el personal que realiza la evaluación con vistas a la certificación es diferente al personal que otorga el certificado.
132. El órgano o entidad de certificación no debería delegar la facultad de conceder, mantener, ampliar, reducir, suspender o retirar la certificación en una persona u órgano ajenos.

No discriminación

133. El acceso a los servicios del órgano o entidad de certificación debería estar abierto a todo tipo de operaciones de acuicultura.
134. El acceso al órgano o entidad de certificación no debería estar condicionado al tamaño, importancia o escala de las operaciones de acuicultura, ni la certificación debería estar condicionada al número de operaciones de acuicultura ya certificadas.

Recursos humanos y financieros

135. El órgano o entidad de certificación debería tener recursos financieros y estabilidad suficientes para su conducción y debería mantener acuerdos apropiados para cubrir las responsabilidades derivadas de sus operaciones y/o actividades.
136. El órgano o entidad de certificación debería emplear un número suficiente de personal con las calificaciones, capacitación, conocimiento técnico, educación y experiencia necesarios para realizar las evaluaciones de la conformidad y/o de la cadena de custodia en la acuicultura.
137. El órgano o entidad de certificación debería mantener información sobre las calificaciones, capacitación y experiencia relevantes de cada miembro del personal involucrado en el proceso de certificación. El registro de la capacitación y experiencia del personal debería mantenerse actualizado.
138. Cuando un órgano o entidad de certificación decida subcontratar a una persona u órgano externo trabajos relacionados con la certificación distintos de los exceptuados en el párrafo 132, los requisitos para dicho órgano externo no deberían ser menores que aquellos aplicables al propio órgano o entidad de certificación mismo. Se debería preparar un acuerdo contractual o equivalente debidamente documentado que comprenda las disposiciones, incluidas aquellas relativas a la confidencialidad y el conflicto de intereses. Un subcontratista debería ser revisado y evaluado periódicamente.

Rendición de cuentas e información

139. El órgano o entidad de certificación debería ser una persona jurídica y debería disponer de procedimientos claros y efectivos para tramitar las solicitudes de certificación de las operaciones de acuicultura y/o de las cadenas de custodia para los productos de la acuicultura. En particular, el órgano o entidad de certificación debería mantener y proporcionar a los solicitantes y a las entidades certificadas lo siguiente:
- una descripción detallada del procedimiento de evaluación y certificación;
 - los documentos que contienen los requisitos para la certificación;
 - los documentos que describen los derechos y deberes de las entidades certificadas.
140. Se debería redactar un acuerdo contractual o equivalente debidamente documentado, entre el órgano o entidad de certificación y sus clientes, que describa los derechos y deberes de cada una de las partes.
141. El órgano o entidad de certificación debería realizar auditorías internas periódicas que abarquen todos los procedimientos de una manera planificada y sistemática, para verificar que el sistema de certificación está implementado y es efectivo.
142. El órgano o entidad de certificación podrá recibir auditorías externas sobre aspectos relevantes. Los resultados de las auditorías deberían estar a disposición del público.
143. El órgano o entidad de certificación debería tener una política y procedimientos para mantener registros por un período consistente con sus obligaciones contractuales, legales o de otra índole. Los registros deberían demostrar que se han cumplido efectivamente los procedimientos de certificación, particularmente con respecto a los formularios de solicitud, los informes de evaluación y otros documentos relacionados con el otorgamiento, mantenimiento, ampliación, reducción, suspensión o retiro de la certificación. Los registros se deberían identificar, administrar y eliminar de forma tal que se garantice la integridad del proceso y la confidencialidad de la información. El órgano o entidad de certificación debería asegurar que cualquier cambio de los procedimientos acordados sea notificado a todas las partes afectadas.
144. El órgano o entidad de certificación debería hacer disponibles a solicitud los documentos no confidenciales apropiados.

Derechos de certificación

145. Si el órgano o entidad de certificación cobra derechos, debería mantener una estructura de tarifas por escrito para las operaciones de acuicultura solicitantes y certificadas, la cual debería estar disponible a solicitud. Al establecer la estructura tarifaria y al determinar los aranceles específicos de certificación, el órgano o entidad de certificación debería tener en consideración, entre otros, los requisitos para las evaluaciones precisas y auténticas, la escala, tamaño y complejidad de la operación de acuicultura o de la cadena de custodia, el requisito de no discriminación a algún cliente y las circunstancias y requisitos particulares de los acuicultores en pequeña escala, los países en desarrollo y los países en transición.

Confidencialidad

146. El órgano o entidad de certificación debería disponer de medidas adecuadas, consistentes con las leyes aplicables, para salvaguardar la confidencialidad de la información obtenida en el curso de la certificación en todos los niveles de su organización.
147. Cuando la ley exija que se de a conocer información a un tercero, el cliente debería ser puesto al corriente de la información proporcionada, en la medida que lo permite la ley. De lo contrario, la información relacionada con un producto u operación de acuicultura particular no debería ser revelada a un tercero sin el consentimiento escrito del cliente.

Mantenimiento de la certificación

148. El órgano o entidad de certificación debería realizar inspecciones y controles periódicos, a intervalos adecuados, para verificar que las operaciones certificadas de acuicultura y/o las cadenas de custodia certificadas continúan cumpliendo con los requisitos de certificación.
149. El órgano o entidad de certificación debería pedir al cliente que le informe lo antes posible de cualquier cambio previsto en el manejo de la acuicultura, o de la cadena de custodia, u otros cambios que pudieran afectar la conformidad con los normas de certificación.
150. El órgano o entidad de certificación debería disponer de procedimientos para realizar reevaluaciones en el evento que se produzcan cambios que afecten significativamente el estado y manejo de una operación certificada de acuicultura, o de la cadena de custodia, o si el análisis de una reclamación o de cualquier otra información indicara que la operación certificada de acuicultura y/o la cadena de custodia han dejado de cumplir con el norma exigido y/o los requisitos conexos del órgano o entidad de certificación.
151. El período de validez de un certificado no debería exceder de cinco años. La evaluación necesaria para renovar la certificación debería prestar particular atención a los cambios que se hayan hecho en la gestión de la operación de acuicultura o en las prácticas de manejo.

Renovación de la certificación

152. Sobre la base de un seguimiento y auditoría adecuados, la validez de la certificación se debería renovar por un período convenido que no exceda de cinco años, o bien con mayor frecuencia si así lo justifican los cambios en la operación objeto de la certificación.

Suspensión y retiro de la certificación

153. El órgano o entidad de certificación debería especificar las condiciones bajo las cuales la certificación puede suspenderse o retirarse, total o parcialmente, para la totalidad o parte de la cobertura de la certificación.
154. El órgano o entidad de certificación debería exigir que, al suspender o retirar la certificación (cualquiera sea el motivo) a una operación de acuicultura y/o cadena de custodia certificadas, se deje de utilizar todo el material publicitario que contenga alguna referencia a ella y que se

devuelvan todos los documentos referentes a la certificación que le solicite el órgano o entidad de certificación. El órgano o entidad de certificación debería ser asimismo responsable de informar al público acerca del retiro o suspensión una vez agotado el proceso de apelaciones.

Mantenimiento de la cadena de custodia

155. Los procedimientos de la cadena de custodia se aplican en los puntos claves de transferencia. En cada punto de transferencia, el cual puede variar según sea el tipo de producto acuícola comercializado, se deberá identificar todos los productos certificados de acuicultura para diferenciarlos y separarlos de los productos acuícolas no certificados.
156. El órgano o entidad de certificación debería garantizar que el destinatario de los productos acuícolas certificados mantenga los registros pertinentes de la cadena de custodia, incluyendo los registros relativos al envío, recepción y facturación.
157. El órgano o entidad de certificación debería disponer de procedimientos documentados que definan los métodos y la periodicidad de las auditorías.
158. Toda ruptura o aparente ruptura de la cadena de custodia identificada durante una inspección o auditoría debería registrarse explícitamente en el informe de inspección o auditoría junto con:
- una explicación de los factores responsables de que ocurriera la ruptura;
 - una explicación de las acciones correctivas adoptadas o necesarias para ocuparse del producto afectado y para garantizar que no vuelva a ocurrir nuevamente una ruptura similar.
159. Todos los registros de la inspección o auditoría se deberían incorporar en un informe escrito de la inspección o auditoría que estará disponible para las partes pertinentes y que se archivará en la oficina del órgano o entidad de certificación.
160. El informe de la inspección o auditoría debería contener, como mínimo:
- la fecha de la inspección o auditoría;
 - el nombre de la persona o personas responsables del informe;
 - los nombres y direcciones de los sitios inspeccionados o auditados;
 - la cobertura de la inspección o auditoría;
 - comentarios u observaciones sobre la conformidad del cliente con los requisitos de la cadena de custodia.

Utilización y control de una declaración, símbolo, etiqueta o un logotipo de certificación

161. El propietario del sistema de certificación debería disponer de procedimientos documentados que describan los requisitos, restricciones o limitaciones para la utilización de símbolos, etiquetas o logotipos que indiquen que un producto acuícola proviene de una operación certificada de acuicultura. En particular, el sistema de certificación deberá garantizar que los símbolos, etiquetas o logotipos no guarden relación con declaraciones que no sean relevantes para las operaciones o productos certificados de acuicultura y que puedan causar obstáculos al comercio o inducir a error a los consumidores.

162. El propietario del sistema de certificación no debería otorgar autorización alguna para pegar o exhibir su marca, declaración, etiqueta o logotipo ni emitir certificado alguno para operaciones o productos acuícolas a menos que se asegure que el producto que lo llevará proviene realmente de fuentes certificadas.
163. El órgano o entidad de certificación, el órgano o entidad de acreditación o el propietario del sistema de certificación tiene la responsabilidad de asegurarse que no se haga uso fraudulento o engañoso de la utilización y despliegue de su marca, etiquetas o logotipos de certificación.
164. Si el órgano o entidad de certificación, el órgano o entidad de acreditación o el propietario del sistema de certificación confiere el derecho a utilizar un símbolo, etiqueta o logotipo que indique la certificación, la operación de acuicultura y cualquier producto acuícola proveniente de ella podrán usar el símbolo, etiqueta o logotipo especificados sólo de la manera en que estén autorizados por escrito para hacerlo.
165. El órgano o entidad de certificación, el órgano o entidad de acreditación o el propietario del sistema de certificación debería adoptar las medidas adecuadas para atender a las referencias incorrectas al sistema de certificación o a la utilización engañosa de los símbolos, etiquetas y logotipos en anuncios publicitarios y catálogos.
166. Todos los certificados emitidos deberían incluir:
- el nombre y la dirección del órgano o entidad de acreditación o del propietario del sistema de certificación;
 - el nombre y la dirección del órgano o entidad de certificación;
 - el nombre y la dirección del titular de la certificación;
 - la fecha efectiva de emisión del certificado;
 - la sustancia del certificado;
 - el plazo de validez de la certificación;
 - la firma y el sello del funcionario que emite el certificado.

Resolución de reclamos y apelaciones

Política y procedimientos

167. El órgano o entidad de acreditación o el propietario del sistema de certificación debería disponer de una política y unos procedimientos escritos, aplicables a los órganos de certificación acreditados, para resolver cualesquiera reclamaciones y apelaciones presentadas por las partes involucradas en relación con cualquier aspecto de la certificación o retiro de la certificación. Tales procedimientos deberían ser oportunos y definir claramente el alcance y la naturaleza de las apelaciones que serán consideradas y deberían estar disponibles sólo para las partes involucradas en el asunto o consultadas durante la evaluación. Los costos derivados de las apelaciones deberían ser asumidos por el apelante que las presenta.
168. Estos procedimientos deberían incluir un comité independiente e imparcial para responder a cualquier reclamación. De ser posible, el comité debería tratar de resolver cualquier reclamación

mediante la discusión, el debate o la conciliación. Si ello no fuera posible, el comité debería notificar su resolución por escrito al órgano o entidad de certificación, al órgano o entidad de acreditación o al propietario del sistema de certificación, según sea el caso, quienes a su vez deberían transmitirla a la parte o partes involucradas.

169. Lo anterior no excluye el recurso a otros procedimientos legales y administrativos previstos en la legislación nacional y regional o el derecho internacional.

Mantenimiento de registros de reclamaciones y apelaciones relativas a la certificación

170. El órgano o entidad de certificación, el órgano o entidad de acreditación o el promotor o propietario del sistema de certificación deberían:

- mantener un registro de todas las reclamaciones y apelaciones y de las medidas correctivas relativas a la certificación;
- adoptar medidas correctivas y preventivas adecuadas;
- evaluar la efectividad de las medidas correctivas;
- salvaguardar la confidencialidad de la información obtenida durante la investigación y resolución de las reclamaciones y apelaciones relativas a la certificación.

171. La información sobre los procedimientos para la tramitación de las reclamaciones y apelaciones relativas a la certificación debería ponerse a disposición del público.

CONSIDERACIONES ESPECIALES RELACIONADAS CON LA IMPLEMENTACIÓN

172. Las organizaciones nacionales e internacionales relevantes, ya sea gubernamentales o no gubernamentales, la industria de la acuicultura y las instituciones financieras, deberían reconocer las circunstancias y requisitos especiales de los productores acuícolas y de otras partes interesadas en los países en desarrollo, especialmente aquellas de los países menos adelantados y de los pequeños Estados insulares en desarrollo, para sustentar la implementación efectiva y progresiva de estas directrices. Los Estados, las organizaciones intergubernamentales y no gubernamentales relevantes, los compradores y comerciantes y las instituciones financieras deberían trabajar para abordar estas necesidades de la implementación, especialmente en las áreas de la asistencia financiera y técnica, la transferencia tecnológica, el fomento de la capacidad y el entrenamiento. Dicha asistencia también debería considerar el apoyo directo para paliar los posibles altos costos de la acreditación y la certificación.

173. La asistencia es necesaria para el fomento de la capacidad y el mejoramiento de la habilidad de las partes interesadas para participar en la elaboración y el cumplimiento de los sistemas de certificación de la acuicultura de manera consistente con estas directrices. Ello incluye asegurar que las partes interesadas tengan acceso a, y conocimiento de, estas directrices, así como de las disposiciones de las convenciones internacionales relevantes y las normas aplicables, que son esenciales para el desarrollo de una acuicultura responsable. Es posible que se requieran tecnologías apropiadas y actualizadas para cumplir con los normas de certificación. Para lograr los beneficios completos de tales tecnologías se necesitaría extensión, entrenamiento, desarrollo de habilidades y otros programas para el fomento de la capacidad local, orientados a los cultivadores y las comunidades locales y otros interesados. Las instituciones gubernamentales y de otra índole deberían apoyar la cooperación, especialmente a los niveles regional y subregional, para el fomento de la capacidad en la elaboración y cumplimiento de los sistemas de certificación de la

acuicultura más adecuados para sus regiones y en la elaboración de mecanismos y protocolos para el intercambio de conocimientos, experiencias y asistencia técnica en apoyo de estos objetivos.

174. Diferentes sistemas de certificación de la acuicultura pueden ser capaces de satisfacer el mismo objetivo y ser en ese sentido equivalentes. Se pueden desarrollar memoranda de entendimiento, acuerdos de reconocimiento mutuo y de reconocimiento unilateral para el reconocimiento mutuo de los sistemas de certificación de la acuicultura, todo lo cual debería incluir controles adecuados y la verificación de los sistemas de certificación involucrados. Se podría requerir herramientas y asistencia técnica para garantizar la imparcialidad, transparencia y uniformidad en la elaboración de acuerdos y el monitoreo, que faciliten el desarrollo e implementación de sistemas de certificación de la acuicultura consistentes con los procedimientos de certificación, acreditación y elaboración de normas proporcionados en estas directrices.
175. Sin perjuicio de otras disposiciones contenidas en este capítulo, los sistemas de certificación por terceros implementados en aplicación de estas directrices no deben sustituir los sistemas conexos de certificación ni los certificados oficiales emitidos por los Estados.
176. La FAO facilitará y monitoreará la implementación de estas directrices sobre certificación en acuicultura y promoverá el intercambio de conocimientos y experiencia. Se alienta a los organismos de desarrollo y las instituciones de donantes a respaldar el esfuerzo de la FAO al proporcionar asistencia financiera y técnica a los países en desarrollo y países en transición.

The fifth session of the Sub-Committee on Aquaculture of the Committee on Fisheries (COFI) was held in Phuket, Thailand, from 27 September to 1 October 2010 at the kind invitation of the Royal Thai Government. It was attended by 58 Members of FAO, and by observers from three intergovernmental and three international non-governmental organizations. The Sub-Committee appreciated the efforts of the FAO Fisheries and Aquaculture Department in responding to the recommendations of the past session of the Sub-Committee. Several working documents, including the Technical Guidelines on Aquaculture Certification, were presented by the Secretariat for information, discussion and decision by the Sub-Committee. The Secretariat also held a special event on the outcome of the Global Conference on Aquaculture 2010: Farming the Waters for People and Food. All documents presented and the activities conducted were well received. The Sub-Committee adopted the Technical Guidelines on Aquaculture Certification for eventual endorsement by the twenty-ninth session of the COFI in early 2011. It requested the Secretariat to ensure the implementation of recommendations by the Sub-Committee at its fifth session during the intersessional period. The Sub-Committee expressed its appreciation to the Royal Thai Government and staff from the Thai Department of Fisheries for their hospitality and the excellent facilities provided for the session. The Sub-Committee agreed that its next session should be held in 2012 and appreciated the offer made by the Government of South Africa to host it.

La cinquième session du Sous-Comité de l'aquaculture du Comité des pêches (COFI) a eu lieu à Phuket (Thaïlande) du 27 septembre au 1er octobre 2010 à l'aimable invitation du Gouvernement du Royaume de Thaïlande. Y ont assisté 58 Membres de la FAO et des observateurs de trois organisations non gouvernementales intergouvernementales et de trois organisations non gouvernementales internationales. Le Sous-Comité s'est félicité des efforts consentis par le Département des pêches et de l'aquaculture de la FAO pour donner suite aux recommandations formulées par le Sous-Comité à sa dernière session. Plusieurs documents de travail, dont les Directives techniques relatives à la certification de l'aquaculture, ont été présentés par le Secrétariat au Sous-Comité pour information, examen et décision. Le Secrétariat a en outre organisé une manifestation spéciale sur les résultats de la Conférence mondiale sur l'aquaculture 2010, sur le thème « l'aquaculture au service des personnes et de l'alimentation ». Tous les documents présentés et activités menés ont reçu un bon accueil. Le Sous-Comité a adopté les Directives techniques relatives à la certification en aquaculture, qui seront approuvées sous leur forme finale par le Comité des pêches à sa vingt-neuvième session début 2011. Il a demandé au Secrétariat de veiller à donner suite, dans l'intervalle entre les sessions, aux recommandations formulées par le Sous-Comité à sa cinquième session. Le Sous-Comité a remercié le Gouvernement du Royaume de Thaïlande et le personnel du Département thaïlandais des pêches pour leur hospitalité et pour les excellents moyens mis à sa disposition pour la session. Le Sous-Comité est convenu que sa prochaine session aurait lieu en 2012 et il a remercié le Gouvernement de l'Afrique du Sud pour sa proposition d'accueillir la session.

La quinta reunión del Subcomité de Acuicultura del Comité de Pesca (COFI) se celebró en Phuket (Tailandia) del 27 de septiembre al 1.º de octubre de 2010 por amable invitación del Gobierno Real de Tailandia. Asistieron a ella 58 Miembros de la FAO así como observadores de tres organizaciones intergubernamentales y tres organizaciones no gubernamentales internacionales. El Subcomité elogió al Departamento de Pesca y Acuicultura de la FAO por las medidas adoptadas en respuesta a las recomendaciones hechas por el Subcomité en su anterior reunión. La Secretaría presentó varios documentos, entre ellos las Directrices técnicas para la certificación en la acuicultura, para información del Subcomité o para que este los debatiera y adoptara decisiones al respecto. La Secretaría organizó también un acto especial acerca de los resultados de la Conferencia Mundial sobre la Acuicultura de 2010: Cultivar las aguas para las personas y la alimentación. Todos los documentos presentados, así como las actividades realizadas, recibieron una acogida favorable. El Subcomité aprobó las Directrices técnicas para la certificación en la acuicultura con vistas a su posible aprobación por el COFI en su vigésimo noveno de sesiones, a comienzos de 2011, y pidió a la Secretaría que, en el lapso entre la presente reunión y la siguiente, velara por la aplicación de las recomendaciones formuladas por el Subcomité en su quinta reunión. El Subcomité manifestó su agradecimiento al Gobierno Real de Tailandia y al personal del Departamento de Pesca de Tailandia por su hospitalidad y los excelentes servicios que habían facilitado para la reunión. El Subcomité acordó que su siguiente reunión se celebrara en 2012 y manifestó su aprecio por el ofrecimiento del Gobierno de Sudáfrica de acogerla.

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