



CCSBT-CC/1610/09

Proposed Revision to the Template for the Annual Report to Compliance Committee and Extended Commission

Introduction

Each year Members are required to submit an annual report to the Compliance Committee (CC) and the Extended Commission (EC) in accordance with the agreed format outlined in the [template for the annual report to the CC and EC](#). A revision to this template was most recently agreed by CCSBT 22 in 2015.

Proposed Draft Revisions

The Resolution for a CCSBT Scheme for Minimum Standards for Inspection in Port will enter into force on 1 January 2017. To enable Members to report annually on information pertinent to this Resolution, the Secretariat proposes that a new section be added to the annual CC/EC reporting template, and that data for this section should be reported by calendar year rather than fishing season. Calendar year reporting is proposed so that each Member will be submitting its annual information for the same time period. Members may wish to consider whether information reported in other sections of the template (in particular, transshipments, exports and imports) should also be provided by calendar year rather than fishing season.

Members are invited to review the proposed draft revisions to this template which are provided as tracked changes at **Attachment A**.

If the meeting agrees to insert the proposed new section into the template, and this change is subsequently adopted by the Extended Commission (EC), the Secretariat notes that some associated minor editorial changes may need to be made to update cross-references in the Minimum Performance Requirements (CPG1) document. The Secretariat will make any such editorial changes after CCSBT 23.

Prepared by the Secretariat

Template for the Annual Report to the Compliance Committee and the Extended Commission

(Revised as agreed at CCI 10 following CCSBT 232)

If there are multiple SBT fisheries, with different rules and procedures applying to the different fisheries, it may be easier to complete this template separately for each fishery. Alternatively, please ensure that the information for each fishery is clearly differentiated within the single template.

*This template **often** seeks information on a quota year basis. Those Members/CNMs that have not specified a quota year to the CCSBT (i.e. Indonesia, EU, South Africa and the Philippines), should provide the information on a calendar year basis. Within this template, the quota year (or calendar year for those without a quota year) is referred to as the “fishing season”. Unless otherwise specified, information should be provided for the most recently completed fishing season. Members and CNMs are encouraged to also provide preliminary information for the current fishing season where the fishing for that season is complete or close to complete.*

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(c) Describe the system used for controlling the level of SBT catch. For ITQ and IQ systems, this should include details on how the catch was allocated to individual companies and/or vessels. For competitive catch systems this should include details of the process for authorising vessels to catch SBT and how the fishery was monitored for determining when to close the fishery. The description provided here should include any operational constraints on effort (both regulatory and voluntary):-

(d) Provide details of the methods used to monitor catching in the fishery by completing the table below. Details should also be provided of monitoring conducted of fishing vessels when steaming away from the fishing grounds (this does not include towing vessels that are reported in Section 2).

Monitoring Methods	Description
Daily log book	<p>Specify:</p> <ul style="list-style-type: none"> i. Whether this was mandatory. If not, specify the % of SBT fishing that was covered:- ii. The level of detail recorded (shot by shot, daily aggregate etc):- iii. Whether the effort and catch information collected complied with that specified in the “Characterisation of the SBT Catch” section of the CCSBT Scientific Research Plan (Attachment D of the SC5 report), including both retained and discarded catch. If not, describe the non-compliance:- iv. What information on ERS was recorded in logbooks:- v. Who were the log books submitted to¹:- vi. What was the timeframe and method² for submission:- vii. The type of checking and verification that was routinely conducted for this information:- viii. Reference to applicable legislation and penalties:- ix. Other relevant information³:-

¹ If the reports are not to be submitted to the Member’s or CNM’s government fisheries authority, then also specify whether the information will later be sent to the fisheries authority, including how and when that occurs.
² In particular, whether the information is submitted electronically from the vessel.
³ Including information on ERS, and comments on the effectiveness of the controls or monitoring tools and any plans for further improvement.

<p><i>Additional reporting methods (such as real time monitoring programs)</i></p>	<p>If multiple reporting methods exists (e.g. daily, weekly and/or month SBT catch reporting, reporting of tags and SBT measurements, reporting of ERS interactions etc), create a separate row of in this table for each method. Then, for each method, specify:</p> <ol style="list-style-type: none"> Whether this was mandatory. If not, specify the % of SBT fishing that was covered:- The information that was recorded (including whether it relates to SBT or ERS):- Who the reports were submitted to and by whom (e.g. Vessel Master, the Fishing Company etc)¹:- What was the timeframe and method² for submission:- The type of checking and verification that was routinely conducted for this information:- Reference to applicable legislation and penalties:- Other relevant information³:- 																																														
<p><i>Scientific Observers</i></p>	<p>Specify:</p> <ol style="list-style-type: none"> The percentage of the SBT catch and effort observed and the total number of days that observers were actually deployed for in the three previous seasons for each sector (e.g. longline, purse seine, commercial charter fleet, domestic fleet). The unit of effort should be hooks, sets and tows for longline, purse seine and towing respectively:- <table border="1" data-bbox="400 949 1385 1162"> <thead> <tr> <th rowspan="2">Fishing Season (e.g. 2011/12)</th> <th colspan="2">Sector 1</th> <th rowspan="2">Obs. days deployed</th> <th colspan="2">Sector 2</th> <th rowspan="2">Obs. days deployed</th> <th colspan="2">Sector 3</th> <th rowspan="2">Obs. days deployed</th> </tr> <tr> <th>% effort obs.</th> <th>% catch obs.</th> <th>% effort obs.</th> <th>% catch obs.</th> <th>% effort obs.</th> <th>% catch obs.</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <ol style="list-style-type: none"> The system used for comparisons between observer data and other catch monitoring data in order to verify the catch data:- Excluding the coverage, specify whether the observer program complied with the CCSBT Scientific Observer Program Standards. If not, describe the non-compliance. Also indicate whether there was any exchange of observers between countries:- What information on ERS was recorded by observers:- Who were the observer reports submitted to:- Timeframe for submission of observer reports:- Other relevant information (including plans for further improvement – in particular to reach coverage of 10% of the effort):- 	Fishing Season (e.g. 2011/12)	Sector 1		Obs. days deployed	Sector 2		Obs. days deployed	Sector 3		Obs. days deployed	% effort obs.	% catch obs.	% effort obs.	% catch obs.	% effort obs.	% catch obs.																														
Fishing Season (e.g. 2011/12)	Sector 1		Obs. days deployed	Sector 2		Obs. days deployed	Sector 3		Obs. days deployed																																						
	% effort obs.	% catch obs.		% effort obs.	% catch obs.		% effort obs.	% catch obs.																																							
<p><i>VMS</i></p> <p><i>The items of “ii” are required in association with the Resolution on establishing the CCSBT Vessel Monitoring System</i></p>	<p>Specify:</p> <ol style="list-style-type: none"> Whether a mandatory VMS for SBT vessels that complies with CCSBT’s VMS resolution was in operation. If not, provide details of non-compliance and plans for further improvement:- For the most recently completed fishing season, specify: <ul style="list-style-type: none"> The number of its flag vessels on the CCSBT Authorised Vessel List that were required to report to a National VMS system:- 																																														

	<ul style="list-style-type: none"> • The number of its flag vessels on the CCSBT Authorised Vessel List that actually reported to a National VMS system:- • Reasons for any non-compliance with VMS requirements and action taken by the Member:- • In the event of a technical failure of a vessel's VMS, the vessel's geographical position (latitude and longitude) at the time of failure and the length of time the VMS was inactive should be reported:- • The procedures used for manual reporting in the event of a VMS failure (e.g. "manual position reporting on a 4 hourly basis"):- • A description of any investigations initiated in accordance with paragraph 3(b) of the CCSBT VMS resolution including progress to date and any actions taken:- <p>iii. Reference to applicable legislation and penalties:-</p>
At-Sea Inspections	<p>Specify:</p> <ul style="list-style-type: none"> i. The coverage level of at sea inspections (e.g. % of SBT trips inspected):- ii. Other relevant information³:-
Other (use of masthead cameras etc.)	

(e) Report on the review of internal actions and measures taken in relation to the authorised vessel requirements provided at Attachment B, including any punitive and sanction actions taken.

(2) SBT Towing and transfer to and between farms (farms only)

(b) Describe the system used for controlling and monitoring towing of SBT from the fishing ground to the farming area. This should include details of:

- i. Observation required for towing of SBT (include % coverage):-
- ii. Monitoring systems for recording losses of SBT (in particular, SBT mortality):-

(c) Describe the system used for controlling and monitoring transferring of SBT from tow cages into farms. This should include details of:

- i. Inspection/Observation required for transfer of SBT (include % coverage):-
- ii. Monitoring system used for recording the quantity of SBT transferred:-
- iii. Plans to allow adoption of the stereo video systems for ongoing monitoring:-

(d) For "b" and "c" above, describe the process used for completing, validating⁴ and collecting the relevant CCSBT CDS documents (Farm Stocking Form, Farm Transfer Form):-

(e) Other relevant information³

⁴ Including the class of person who conducts this work (e.g. government official, authorised third party)

(3) SBT Transhipment (in port and at sea)

(a) In accordance with the Resolution on Establishing a Program for Transhipment by Large-Scale Fishing Vessels, report:

- i. The quantities of SBT transhipped at sea and in port during the previous fishing season:-

Fishing Season <i>(e.g. 2011/12)</i>	Percentage of the annual SBT catch transhipped at sea	Percentage of the annual SBT catch transhipped in port

- ii. The list of the LSTLVs registered in the CCSBT Authorised Vessel List which have transhipped at sea and in port during the previous fishing season:-
- iii. A comprehensive report assessing the content and conclusions of the reports of the observers assigned to carrier vessels which have received at-sea transhipments from their LSTLVs during the previous fishing season:-

(b) Describe the system used for controlling and monitoring transhipments in port. This should include details of:

- i. ~~R~~Flag State rules for and names of:
- designated foreign ports ~~of~~ where SBT may be transhipped, and ~~ment for SBT and for prohibition of transhipment at other~~ foreign ports where in-port transhipments of SBT are prohibited:-
- ii. ~~P~~Flag State ~~or~~ State inspections requirements ~~and~~ for in-port transhipments of SBT (include % coverage):-
- iii. Information sharing with designated ~~p~~Port ~~s~~States:-
- iv. Monitoring systems for recording the quantity of SBT transhipped:-
- v. Process for validating⁴ and collecting the relevant CCSBT CDS documents (Catch Monitoring Form, Catch Tagging Form):-
- vi. Reference to applicable legislation and penalties:-
- vii. Other relevant information³:-

(c) Describe the system used for controlling and monitoring transhipments at sea. This should include details of:

- i. The rules and processes for authorising transhipments of SBT at sea and methods (in addition to the presence of CCSBT transhipment observers) for checking and verifying the quantities of SBT transhipped:-
- ii. Monitoring systems for recording the quantity of SBT transhipped:-
- iii. Process for collecting the relevant CCSBT CDS documents (Catch Monitoring Form, Catch Tagging Form):-
- iv. Reference to applicable legislation and penalties:-
- v. Other relevant information³:-

(4) Port Inspections of Foreign FVs/CVs with SBT/SBT Products on Board

This section provides for reporting with respect to the CCSBT's Scheme for Minimum Standards for Inspection in Port. It should be filled out by Port State Members that have authorised foreign Fishing Vessels/Carrier Vessels carrying SBT or SBT products to enter their designated ports for the purpose of landing and/or transhipment. Only information for landings/transhipments of SBT or SBT products that have NOT been previously landed or transhipped at port should be included in the table below.

- i. Provide a list of designated ports into which foreign FVs/ CVs carrying SBT or SBT product may request entry:-
- ii. Provide the minimum number of hours of notice required for foreign FVs/CVs carrying SBT or SBT product to request authorisation to enter these designated ports (the minimum notice required by the Inspection in Port Resolution is 72h):-
- iii. For the most recent whole calendar year, provide information about the number of landing/transhipment operations that foreign FVs/CVs carrying SBT or SBT product made in port, the number of those landing/ transhipment operations that were inspected, and the number of inspections where infringements of CCSBT's measures were detected:-

<u>Calendar Year</u>	<u>Foreign Flag</u>	<u>No. of Landing/ Transhipment Operations (that occurred)</u>	<u>No. of Landing/ Transhipment Operations Inspected</u>	<u>No. of Landing/ Transhipment Operations where an Infringement of CCSBT's Measures was Detected</u>
	<u>TOTAL NUMBER</u>			

(54) Landings of Domestic Product (from both fishing vessels and farms)

(a) Specify the approximate percentage of the annual SBT catch that was landed as domestic product.

(b) Describe the system used for controlling and monitoring domestic landings of SBT. This should include details of:

- i. Rules for designated ports of landing of SBT:-*
- ii. Inspections required for landings of SBT (including % coverage):-*
- iii. Details of genetic testing conducted and any other techniques that are used to verify that SBT are not being landed as a different species:-*
- iv. Monitoring systems for recording the quantity of SBT landed:-*
- v. Process for validating⁴ and collecting the relevant CCSBT CDS documents (Catch Monitoring Form, and depending on circumstances, Catch Tagging Form):-*
- vi. Reference to applicable legislation and penalties:-*
- vii. Other relevant information³:-*

(65) SBT Exports

(a) Specify the quantity of the domestic catch that was exported and provide an estimate of the total quantity of the domestic SBT catch (in tonnes to 1 decimal place-) that was retained within the country/fishing entity (i.e. the quantity can be estimated by subtracting the total export from domestic catch) during each of the last 3 fishing seasons to each country/fishing entity.

Fishing Season (e.g. 2011/12)	Estimate of retained within the country/fishing entity (Domestic catch-Export)	SBT Exported to							
		Country / Fishing Entity 1	⋮	⋮	⋮	⋮	⋮	⋮	⋮

(b) Describe the system used for controlling and monitoring exports of SBT (including of landings directly from the vessel to the foreign importing port). This should include details of:

- i. Inspections required for export of SBT (including % coverage):-
- ii. Details of genetic testing conducted and any other techniques that are used to verify that SBT are not being exported as a different species:-
- iii. Monitoring systems for recording the quantity of SBT exported:-
- iv. Process for validating⁴ and collecting the relevant CCSBT CDS documents (Catch Monitoring Form and depending on circumstances, Catch Tagging Form or Re-export/Export after landing of domestic product Form):-
- v. Reference to applicable legislation and penalties:-
- vi. Other relevant information³:-

(76) SBT Imports

(a) Specify the total quantity of SBT (in tonnes to 1 decimal place) imported during each of the last 3 fishing seasons from each country/fishing entity.

Fishing Season (e.g. 2011/12)	SBT Imported from								
	Country / Fishing Entity 1	⋮	⋮	⋮	⋮	⋮	⋮	⋮	⋮

(b) Describe the system used for controlling and monitoring imports of SBT. This should include details of:

- i. Rules for designating specific ports for the import of SBT:-
- ii. Inspections required for imports of SBT (including % coverage):-

- iii. *Details of genetic testing conducted and any other techniques that are used to verify that SBT are not being imported as a different species:-*
- iv. *Process for checking and collecting CCSBT CDS documents (Catch Monitoring Form and depending on circumstances, Re-export/Export after landing of domestic product Form):-*
- v. *Reference to applicable legislation and penalties:-*
- vi. *Other relevant information³:-*

(87) SBT Markets

(a) Describe any activities targeted at points in the supply chain between landing and the market:-

(b) Describe the system used for controlling and monitoring of SBT at markets (e.g. voluntary or mandatory requirements for certain documentation and/or presence of tags, and monitoring or audit of compliance with such requirements):-

(c) Other relevant information³

(98) Other

Description of any other MCS systems of relevance.

III. Additional Reporting Requirements

(1) Coverage and Type of CDS Audit undertaken

As per paragraph 5.9 of the CDS Resolution, specify details on the level of coverage and type of audit undertaken, in accordance with 5.8⁵ of the Resolution, and the level of compliance.

(2) Ecologically Related Species

(a) Reporting requirements in relation to implementation of the 2008 ERS Recommendation:

- i. Specify whether each of the following plans/guidelines have been implemented, and if not, specify the action that has been taken towards implementing each of these plans/guidelines:-*
 - International Plan of Action for Reducing Incidental Catches of Seabirds in Longline Fisheries:*
 - International Plan of Action for the Conservation and Management of Sharks:*
 - FAO Guidelines to reduce sea turtle mortality in fishing operations:*
- ii. Specify whether all current binding and recommendatory measures⁶ aimed at the protection of ecologically related species⁷ from fishing of the following tuna RFMOs are being complied with. If not, specify which measures are not being complied with and the progress that is being made towards compliance:-*
 - IOTC, when fishing within IOTC's Convention Area:*
 - WCPFC, when fishing within WCPFC's Convention Area:*
 - ICCAT, when fishing within ICCAT's Convention Area:*
- iii. Specify whether data is being collected and reported on ecologically related species in accordance with the requirements of the following tuna RFMOs. If data are not being collected and reported in accordance with these requirements, specify which measures are not being complied with and the progress that is being made towards compliance:-*
 - CCSBT⁸:*
 - IOTC, for fishing within IOTC's Convention Area:*
 - WCPFC, for fishing within WCPFC's Convention Area:*
 - ICCAT, for fishing within ICCAT's Convention Area:*

⁵ Paragraph 5.8 of the CDS Resolution specifies that "Members and Cooperating Non-Members shall undertake an appropriate level of audit, including inspections of vessels, landings, and where possible markets, to the extent necessary to validate the information contained in the CDS documentation."

⁶ Relevant measures of these RFMOs can be found at: http://www.ccsbt.org/site/bycatch_mitigation.php.

⁷ Including seabirds, sea turtles and sharks.

⁸ Current CCSBT requirements are those in the Scientific Observer Program Standards and those necessary for completing the template for the annual report to the ERSWG.

(b) Specify the number of observed ERS interactions including mortalities, and describe the methods of scaling used to produce estimates of total mortality (information should be provided by species –including the scientific name – wherever possible⁹):

	Sector 1 (please name)		Sector 2 (please name)	
Most Recent Calendar Year (please specify)				
Total number of hooks (shots for PS)				
Percentage of hooks (shots) observed				
	Total number of observed interactions/mortality			
	Interactions	Mortality	Interactions	Mortality
Seabirds				
Sharks				
Sea Turtles				
Previous Calendar Year (please specify)				
Total number of hooks (shots for PS)				
Percentage of hooks (shots) observed				
	Total number of observed interactions/mortality			
	Interactions	Mortality	Interactions	Mortality
Seabirds				
Sharks				
Sea Turtles				

(c) Mitigation – describe the current mitigation requirements:

(d) Monitoring usage of bycatch mitigation measures:

- i. Describe the methods being used to monitor compliance with bycatch mitigation measures (e.g. types of port inspections conducted and other monitoring and surveillance programs used to monitor compliance). Include details of the level of coverage (e.g. proportion of vessels inspected each year):

- ii. Describe the type of information that is collected on mitigation measures as part of compliance programmes for SBT vessels:

(3) Historical SBT Catch (retained and non-retained)

Specify the best estimate (weight and number as available) of the historical fishing amounts of SBT for each sector (e.g. commercial longline, commercial purse seine, commercial charter fleet, domestic fleet, recreational) in the table below. The table should include the most recently completed fishing season. Figures should be provided for both retained SBT and non-retained SBT. For longline and recreational, “Retained SBT” includes SBT retained on vessel and “Non-Retained SBT” includes those returned to the water. For farming, “Retained SBT” includes SBT stocked to farming cages and “Non-Retained SBT” includes towing mortalities. If the number of individuals is known but the value in tonnes is unknown, enter the number of individuals in square brackets (e.g. [250]). Table cells should not be left empty. If the value is zero, enter “0”. It is recognised that for some sectors, the information requested in this table may not yet be available. Therefore, if the value is unknown, enter “?”. However, estimates are preferred over unknown entries. Cells containing estimates with a high degree of uncertainty should be shaded in light grey. A description of any estimation methods should be provided below the table.

⁹ Where species specific information is available, insert additional line(s) for each species below the relevant Seabird, Sharks, and/or Sea Turtles sub headings.

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53. The action points shown in Table 1 were agreed by Members, noting that within the table, “External” refers to non-Member catches, while “Internal” relates to Members’ attributable catches.

Table 1: Action points in relation to implementing the Attributable SBT Catch.

	External	Internal	ESC work schedule
2015	The EC initiates discussion on the principles and process for taking account of non-member catch in the 2018-20 TAC period. The ESC, CC and Members to undertake analyses to provide estimates of non-member catch. Commission market analyses on significant markets to contribute to estimating non-member catch.	<ol style="list-style-type: none"> 1. Individual Member research on applicable sources of mortality and report back to ESC and CC for discussion and review. 2. Members shall endeavour to set allowances to commence for 2016-17 quota years for all sources of attributable mortality based on best estimates and notify other Members by CCSBT22. If Members can’t they will notify CCSBT22 and explain why they are unable to and set a date by which they can set the allowance. 3. The EC initiate discussion and agreement to a process for dealing with attributable catch within the next quota block (2018-20). 	Collation of information on unreported mortalities and categorising this information in accordance with OM “fleets” (ESC19 Report).
2016	The ESC, CC and Members continue analyses to provide estimates of non-member catch. The EC decides on the adjustment to take account of non-member catch in the 2018-20 TAC period.	<ol style="list-style-type: none"> 1. The EC if necessary continue discussion so as to agree on a process for dealing with attributable catch within the next quota block (2018-20). 2. Individual Members continue research on applicable sources of mortality and report back to the ESC and CC for discussion and review. 	ESC scheduled to run MP to recommend TAC for 2018-2020.
2017	The ESC, CC and Members continue analyses to provide estimates of non-member catch.	Individual Members continue research on applicable sources of mortality & report back to the ESC and CC for discussion review.	ESC scheduled to conduct full stock assessment and the first formal review of MP.
2018		Full implementation of the common definition of attributable catch.	

CCSBT Authorised Vessel Resolution

The flag Members and Co-operating Non-members of the vessels on the record shall:

- a) authorize their FVs to fish for SBT only if they are able to fulfill in respect of these vessels the requirements and responsibilities under the CCSBT Convention and its conservation and management measures;
- b) take necessary measures to ensure that their FVs comply with all the relevant CCSBT conservation and management measures;
- c) take necessary measures to ensure that their FVs on the CCSBT Record keep on board valid certificates of vessel registration and valid authorization to fish and/or tranship;
- d) affirm that if those vessels have record of IUU fishing activities, the owners have provided sufficient evidence demonstrating that they will not conduct such activities any more;
- e) ensure, to the extent possible under domestic law, that the owners and operators of their FVs on the CCSBT Record are not engaged in or associated with fishing activities for SBT conducted by FVs not entered into the CCSBT Record;
- f) take necessary measures to ensure, to the extent possible under domestic law, that the owners of the FVs on the CCSBT Record are citizens or legal entities within the flag Members and Co-operating Non-members so that any control or punitive actions can be effectively taken against them.