



# Quality Assurance Review

## On behalf of the Commission for the Conservation of Southern Bluefin Tuna



Undertaken by Global Trust Certification Ltd.

**Member Report: Fishing Entity of Taiwan**

Report Version: Team Final Draft

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## Executive Summary

The Quality Assurance Review has provided an evidence based review of the Fishing Entity of Taiwan (hereinafter referred to as “Taiwan”) Southern Bluefin tuna (SBT) fishery and associated fisheries management with CCSBT’s Compliance Policy 1, “Minimum performance requirements (MPR) to meet CCSBT Obligations”. The QAR was conducted with reference to phase 1 desk-based information gathering, and phase 2 which included a client site visit and meetings to observe systems, processes and documents mentioned in phase 1.

The MPR obligations were updated in October 2016 and required a more extensive information and evidence gathering to demonstrate Member compliance in operating areas of; Catch Management Measures (1), Authorisation Measures (2), Monitor Control and Surveillance (MCS) Measures (3), Science Measures (4), Measures Related to Ecologically Related Species (5), and Routine Reporting Measures (6).

Taiwan’s SBT commercial fishery continues to operate by longline distant water vessels fishing in three Oceans (Atlantic, Pacific, and Indian). The seasonal targeting fleet operates April to September and November February in the South central Indian ocean, while the by-catch fleet operates mostly in the Pacific and Atlantic Oceans. Total retained catch in 2015/16 season was 1,026 tons with an estimated value of over NT\$ 225million at first point of sale. Approximately 26% is landed in Taiwan domestic port and 74% exported directly to markets in Japan, South Africa, and Korea. The fishery is controlled using a number of regulations. Most notable is the recent “Act for Distant Water Fisheries” Announced 20<sup>th</sup> July 2016; Implementation 20.01. 2017; which provides rules for management of Southern Bluefin tuna (SBT) and Ecologically Related Species (ERS). The Fisheries Agency (FA) of Taiwan provides authorisations to fishing, carrier vessels, traders and 3<sup>rd</sup> party agents to participate in the fishery. Authorised vessels are monitored by VMS and utilise the Catch Documentation Scheme (CDS) and tags to monitor SBT from the stage of catching to first point of sale. Transhipment is authorised using designated domestic and foreign ports. Physical monitoring of fishing operations is facilitated by Regional Fisheries Management Organisation (RFMO) at sea observers, FA staff, and 3<sup>rd</sup> party contracted agents. Catch are certified by vessel masters, validated by FA staff at port-side, as well as verified by FA staff operating from their Head Quarters. The FA provide communications with the CCSBT on matters relating to catch compliance and this Quality Assurance Review (QAR) is a component of the compliance program.

In general, management systems in place are considered to be robust and capable of revealing infringements and imposing penalties where Taiwan fishing fleet fail to comply with obligations

The SWOT analysis performed to evaluate management system effectiveness identified a number strengths in the system, for example; established systems for fishing authorisation, catch monitoring systems, mandatory reporting, Monitoring Control and Surveillance systems for fishing and carrier fleet, fisheries legislation, and enforceable sanctions to deter violations.

One weaker area identified, was the discontinuation of at sea patrol which is an important information source on matters of fishing monitoring and compliance.

There are minor recommendations for improvements including; documentation of a review process for identification of any discrepancies in catch and landing weights; document and implement a formal procedure to support the investigations of any irregularities arising which could include; internal audits of the operations, a review process for reconciliation of un-used tags and, increase at-sea observer coverage to be spatial and temporal relevant.

**Overall findings of QAR indicates strong compliance with CCSBT Obligations in the MPR.**

Table 1. Summary of Quality Assurance Review Implementation Information:

Date QAR Contract Undertaken	February – August 2017
Reviewers	Rohan Smith – Project Manager / Lead Reviewer Nan-Jay Su – Technical and Local Lead Expert / Reviewer Oliver Wilson – Provision of Technical Assurance advice; Dave Garforth - Project Director /Reviewer;
Allocated Assessment Period covered	2014 – 2016
Date of consultation meeting(s)Length of consultation	13 <sup>th</sup> - 31 <sup>st</sup> March 2017 / Phase 2 Site Visit 21 <sup>st</sup> -23 <sup>rd</sup> March 2017
List of Member Agencies consulted.	<b>Fisheries Agency (FA) under the Council of Agriculture (COA) - Deep Sea Fisheries Division<sup>1</sup></b> 6F., No.100, Sec. 2, Heping W. Rd., Zhongzheng Dist., Taipei City 10070, Taiwan (R.O.C.) Tel: +886-2-2383-5678 Shiu-Ling Lin (Deputy Director), Email: <a href="mailto:shiuling@ms1.fa.gov.tw">shiuling@ms1.fa.gov.tw</a>  <b>Overseas Fisheries Development Council (OFDC)</b> 3F, No.14 Wenzhou St., Da'an Dist. Taipei City 106, Taiwan (R.O.C.). Tel:+ 886 2 2368-0889 Wei-Yang Liu (Secretary), Email: <a href="mailto:weiyang@ofdc.org.tw">weiyang@ofdc.org.tw</a>  <b>Taiwan Tuna Association (TTA)</b> 3F-2, No.2, Yu Kang Middle 1st Rd, Kaohsiung, Taiwan (R.O.C.). Tel:+ 886 7 8312-151 Wen-Jung Hsieh (President), Email: <a href="mailto:wenjung@tuna.org.tw">wenjung@tuna.org.tw</a>
Report Draft for Member Review	30 <sup>th</sup> May 2017
Receipt of Member Review Template / Comments	31 <sup>st</sup> July 2017
Final Report	31 <sup>st</sup> August 2017

<sup>1</sup> <https://www.fa.gov.tw/en/AbFa/index.aspx>

## Phase 2 site visit outcomes

	Summary	Weaknesses	Threats (risks)	Recommendations
<b>Fishery management</b>	<ul style="list-style-type: none"> <li>A revised VMS and catch data combine system is being tested.</li> <li>The Distant Water Fishers Act a new fishery management regulation takes effect 20<sup>th</sup> Jan. 2017.</li> </ul>	<ul style="list-style-type: none"> <li>Lack of return, destruction, or reconciliation of un-used tags.</li> </ul>	<ul style="list-style-type: none"> <li>Possible misuse of tags, or unintended loss of tags at sea with consequences of contributing to marine litter or impact on marine species.</li> </ul>	<ul style="list-style-type: none"> <li>Implement system for collection and reconciling un-used tags annually.</li> </ul>
<b>Compliance and observer services</b>	<ul style="list-style-type: none"> <li>By MoU, and Taiwan processes, regional observers are provided with space, facility, and documents, as well as adequate assistances so as to help them to carry out their duties.</li> </ul>	<ul style="list-style-type: none"> <li>Possible some unobserved and unreported information with important relevance to catch compliance.</li> </ul>	<ul style="list-style-type: none"> <li>Discontinuation of patrol vessels in the Indian Ocean with unidentified or unconfirmed reporting of SBT and other fishing mortality.</li> </ul>	<ul style="list-style-type: none"> <li>Increase observer coverage with spatial relevant in the fisheries, especially to areas not affected by hostile or harmful entities.</li> </ul>
<b>Industry engagement and communication</b>	<ul style="list-style-type: none"> <li>The FA communicates SBT catch updates to CCSBT monthly and quarterly, and provided annual information that is used to prepare National compliance report.</li> </ul>	<ul style="list-style-type: none"> <li>Absence of documented public and formal investigation procedure or audit process.</li> </ul>	<ul style="list-style-type: none"> <li>Possible misunderstanding of the appropriate process to follow by entities wishing to complain or appeal on matters relating the fishery.</li> </ul>	<ul style="list-style-type: none"> <li>Make available documented public and formal investigation procedure, or audit of management systems, such as on the FA website.</li> </ul>
<b>Data Management systems</b>	<ul style="list-style-type: none"> <li>The FMC manages VMS data, OFDC collates and interrogates catch data generating various reports, such abundance trend.</li> </ul>	<ul style="list-style-type: none"> <li>No weaknesses identified but a note on catch and landed weight.</li> </ul>	<ul style="list-style-type: none"> <li>Discrepancies between catch and landing data are within tolerances but continued review recommended.</li> </ul>	<ul style="list-style-type: none"> <li>Revised processes that narrows the gap between catch and landing weight.</li> </ul>
<b>Validation systems</b>	<ul style="list-style-type: none"> <li>Catch validation is appointed by FA. Validators are designated at 3 places of inspection; South Africa (Cape Town), Mauritius (Port Louis), and Taiwan.</li> </ul>	<ul style="list-style-type: none"> <li>There is 100% monitoring of landed SBT but sample size for checks is 5%</li> </ul>	<ul style="list-style-type: none"> <li>Consider/confirm that 5% physical checking provides sufficient accuracy</li> </ul>	<ul style="list-style-type: none"> <li>Review sample process on an end of season basis.</li> </ul>

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**ABBREVIATIONS**

AC	Allocated Catch (Individual Member quota)
ACE	Annual Catch Entitlement
ASBTC	Attributable Southern Bluefin Tuna Catch
CDS	Catch Documentation Scheme
CCSBT	Commission for the Conservation of Southern Bluefin Tuna
CMF	Catch Monitoring Form
COA	Council of Agriculture
CTF	Catch Tagging Form
EEZ	Exclusive Economic Zone
FA	Fisheries Agency
FAWG	Fisheries Assessment Working Group
FET	Fishing Entity of Taiwan (Taiwan)
FMA	Fishery Management Area
GTAC	Global Total Allowable Catch
HSS	Harvest Strategy Standard
HMS	Highly Migratory Species
LFR	Licensed Fish Receiver
LSTLV	Large-Scale Tuna Longline Vessel
MCS	Monitoring, control and surveillance
MHR	Monthly Harvest Returns
MPR	Minimum Performance Requirement
MSY	Maximum Sustainable Yield
OFDC	Overseas Fisheries Development Council
NRB	National Research Bureau
QAR	Quality Assurance Review
QMS	Quota Management System
SBT	Southern Bluefin Tuna
SWOT	Strengths, Weaknesses, Opportunities and Threats
TAC	Total Allowable Catch
TTA	Taiwan Tuna Association
VMS	Vessel Monitoring System

# 1 Quality Assurance Review

This is an evidence based review that forms the basis for assessment of the Commission for Conservation of Southern Bluefin Tuna (CCSBT) Members against specific obligations from CCSBT’s Compliance Policy 1, “Minimum Performance Requirements (MPR) to meet CCSBT Obligations<sup>2</sup>” (also termed “this policy”). Members were requested to demonstrate, by providing supporting documentation, that they comply with the CCSBT’s MPRs. The scope of the assessment was limited to obligations and associated MPRs which were updated in October 2016, and are grouped under six headings of this policy:(1) Catch Management Measures ; (2) Authorisation Measures; (3) Monitor Control and Surveillance (MCS) Measures; (4)Science Measures; (5) Measures Related to Ecologically Related Species; and (6) Routine Reporting Measures –(Figure 1). Fundamentally, management and conservation components of this policy are aimed at ensuring Members and Co-operating Non-Members (CNM), have implemented adequate measures to verify they do not exceed their allocation of the global Southern Bluefin Tuna (SBT) catch. Obligations and MPR concerning farm tuna are not applicable for this QAR.

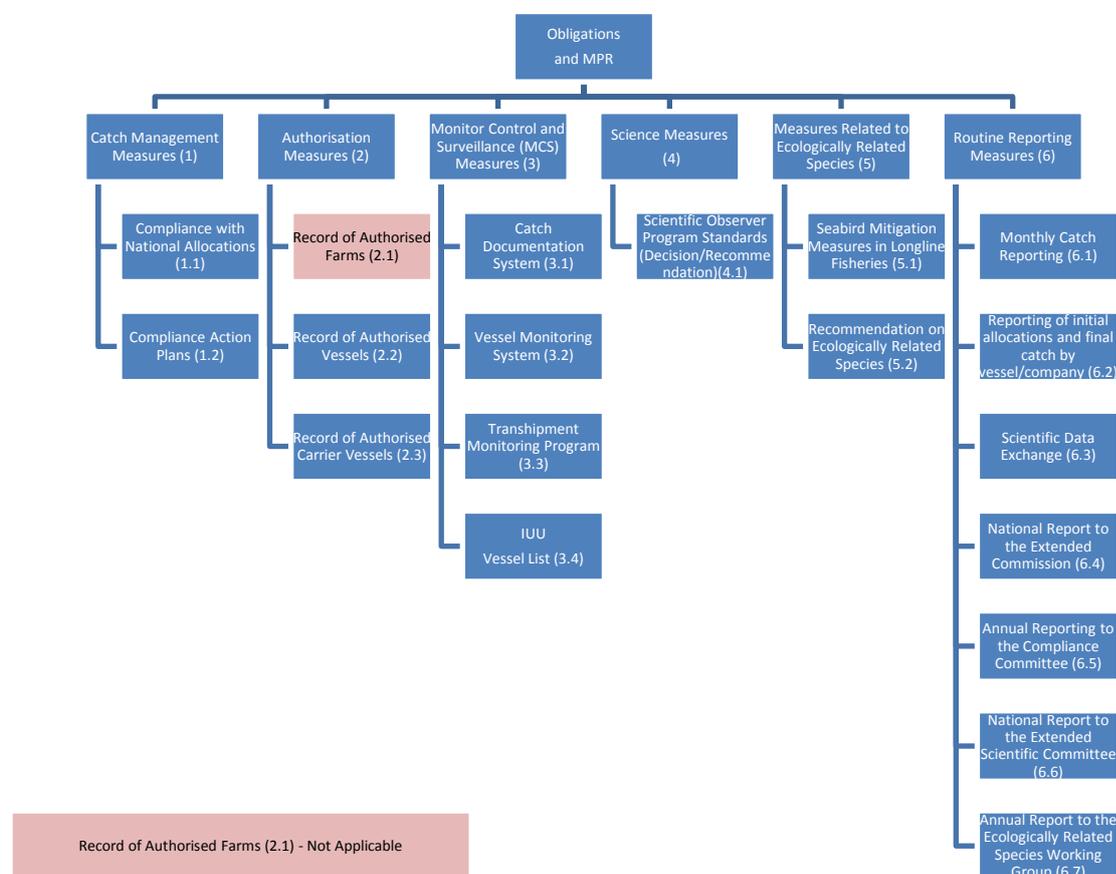


Figure 1: Minimum performance requirements for Members to meet their obligations relating to Conservation and Management Measure (Source: CCSBT - CPG1\_Minimum\_Standards.pdf, updated 13<sup>th</sup> October 2016).

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[https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs\\_english/operational\\_resolutions/CPG1\\_Minimum\\_Standards.pdf](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/CPG1_Minimum_Standards.pdf)

All obligations in this policy are derived from CCSBT Resolutions and Decisions<sup>3</sup>, in particular:

- The “Resolution on the Allocation of the Global Total Allowable Catch”;
- The “Resolution on Limited Carry-forward of Unfished Annual Total Allowable Catch of Southern Bluefin Tuna within Three Year Quota Blocks”;
- The “Resolution on the Implementation of a CCSBT Catch Documentation Scheme”;
- The “Resolution on establishing a Program for Transshipment by Large-Scale Fishing Vessels”.

Special meanings are placed on the context for use of certain words in this report. In particular the following words will represent the meaning provided in the CCSBT-CPG1 Minimum Standards- MPR (Oct.2016);

- **Certification:** *“means the first check and confirmation that details in a catch document scheme (CDS) form have been fully and accurately recorded. Certification is generally carried out by individuals who represent, or are responsible for, the relevant business operation (e.g. fishing, farming, importing or exporting) whose documentation is being certified”.*
- **Validation:** *“means the second check to confirm that details in a CDS form have been fully and accurately recorded. Validation is carried out by government officials or other individuals who have been duly delegated the authority to validate CDS documents. Validation procedures include: checking documentation, and inspecting SBT product or catch against relevant documentation in a random sample from the Member’s:*
  - a. *farms*
  - b. *vessels that are landing in, or re-exporting from, the Member’s ports*
  - c. *vessels that are landing in foreign ports”.*
- **Verification:** *“means sampling, monitoring and investigation procedures to confirm or audit that SBT anywhere in the production chain, or entering the market, is compliant with CDS documentation requirements. Verification is carried out by a competent authority of the Member. Verification includes:*
  - a. *examining and analysing samples of CDS documentation and SBT product, and investigating any discrepancies or irregularities detected,*
  - b. *monitoring markets to detect and investigate any supply of SBT whose CDS documentation is incomplete or missing,*
  - c. *monitoring transshipments by the Member’s vessels in foreign ports,*
  - d. *checking that required CDS documents are attached to exported and imported SBT”.*

In the context of Taiwan; certification is carried out by Vessel Masters and Owners, while validation and verification are carried out by different members of the FA or individual from an independent delegated authority.

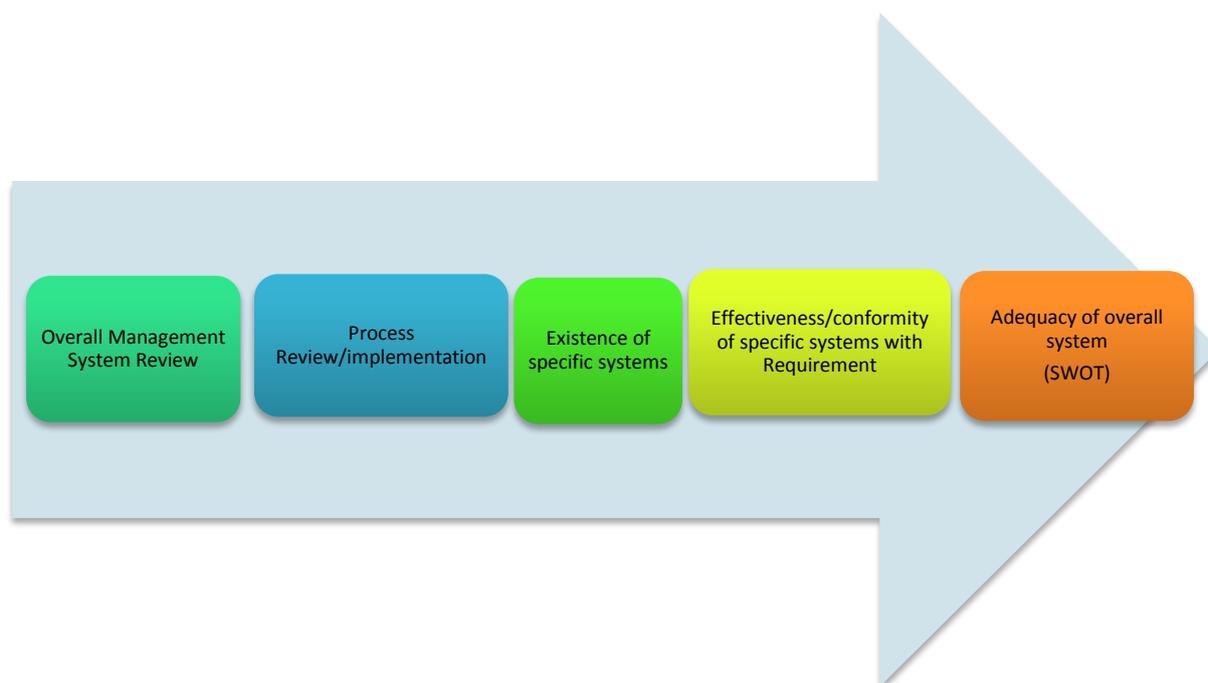
## 1.1 Methodology

The standard format for the QAR is to conduct the review in two distinct phases, the first being a desk-based review and the second phase a site visit. The scope of the QAR has been extended since its inception in 2013 to encompass more CCSBT MPRs and include a phase two site visit. This QAR is an independent process which includes 2 phases;

- i. Phase 1 is a desk-based review involving remote consultation stages with Member authorities to gain further evidence, seek clarification, and verification of performance against the relevant MPRs of the CCSBT Compliance Policy; and

<sup>3</sup> <https://www.ccsbt.org/en/content/operational-resolutions-and-other-important-documents>

- ii. Phase 2 is an on-site inspection, and verification of the Member systems and processes, documented in the Phase 1 segment. Relevant gaps in information identified during Phase 1 compliance are discussed during face-to-face meetings of Phase 2. In planning the site visit, an invitation and agreement to facilitate these meetings was confirmed with the Deputy Director and suitable persons at the Taiwan Fishing Agency (FA) on 24<sup>th</sup> February 2017. The site visit took place during a visit to the Taiwan Fishing Agency (FA) office in Taipei city on March 21<sup>st</sup> - 23<sup>rd</sup> 2017. Reviewers Nan-Jay Su and Rohan Smith met with these representatives, in addition to person at relevant authorities, such as the Overseas Fisheries Development Council (OFDC), and Taiwan Tuna Association (TTA), to discuss and verify Member compliance with the Obligations and MPR of the CCBTS. An attendee list is provided in **Appendices 1**.
- Nan-Jay Su is proficient speaking the language of the region and is the delegated Local Lead Reviewer assigned to this Member Review from a team of reviewers.
- The review method was undertaken in 4 steps (**Figure 2**).
  - i. **Management System Review** – the overall framework for management of SBT to ensure compliance with allocations.
  - ii. **Process and implementation review** – the implementation of the fishery management system (description, features, specific measures, actions, rules/regulations that allow for implementation, catch recording, and catch reporting and compliance). Evidence of implementation such as specimen records, reporting and recording documents were requested and reviewed to allow verification of the system’s effectiveness.
  - iii. **Management System Effectiveness** - the outcome of the analysis documented using a SWOT analysis with regard to the extent that the management system implementation effectively demonstrates compliance to each of the minimum performance requirement and criteria.
  - iv. **Recommendations for Improvement**- areas identified through the review that may result in improved Member compliance (or improved reporting effectiveness for purposes of subsequent QAR activities). This is presented using the Opportunities component of the SWOT analysis (strengths, weaknesses, opportunities and threats).



**Figure 2: Methodology process for the CCSBT quality assurance review.**

A detailed process flow map of each Member was developed to provide a ‘visual’ description of allocation and catch accounting systems. The process flow maps were documented initially from the desk based review and then finalized during the final reporting stage (**Section 5**).

The report is presented in 9 Sections.

**Section 1:** This section, providing a short description of the process.

**Section 2:** A background section that describes the fishery and the overall management system. This is supported with an organizational chart and table of identified agency roles specific to each MPR (where applicable).

**Section 3:** Detailed description of the evidence that demonstrates conformity to the specific MPR requirement with a summary of outcome and key points.

**Section 4:** Details of the Phase 2 Fishery Management review including data and validation systems.

**Section 5 - 8:** A detailed flow chart has also been prepared to support the evaluation and provides specific details of the SBT Allocation, CDS and MCS in place. A strengths, weaknesses, opportunities and threats (SWOT) analysis conducted on the Member. The SWOT has been conducted to provide information on the strengths, weaknesses and risks (threats) associated with Taiwan’s SBT fishery with the recommendations (opportunities) of the SWOT displayed in Section 7. The outcome of the Gap Analysis is presented in Section 8.

**Section 9:** This section provides an area for the Member to record comments on the final report.

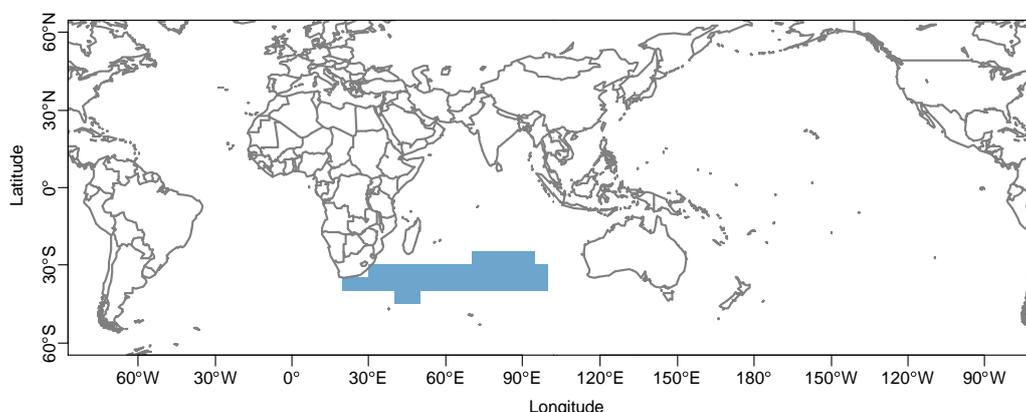
## 2 Southern Bluefin fishery

### 2.1 Introduction

Southern Bluefin tuna (*Thunnus maccoyii*) (SBT) is a highly migratory fish that is widely distributed in the southern Indian Ocean<sup>4</sup>. According to most recent annual report to the Compliance Committee and Extended Commission (2016), the Taiwan SBT fishery comprises only the commercial tuna longline fleet that operate in the southern Indian, Atlantic, and Pacific Oceans. Currently, there are no known recreational and customary fishing, or farming sectors for SBT in the operations of the Taiwan<sup>5</sup>. In the past, SBT was a bycatch of Taiwan tuna longline fishery targeting albacore tuna. The value of SBT was recognised and vessels equipped with deep-frozen or freezers capacity in the 1990s started targeting this fishery seasonally with operations taking place mainly in the Indian Ocean. Taiwan operated as a principal non-member nation during mid to late 1990's, however in 2002 Taiwan became a member committed to CCSBT obligations<sup>6</sup>.

### 2.2 Commercial fishery

The Taiwan fishing vessels targeting SBT operate seasonally in the waters of the Indian Ocean and adjacent to the Atlantic Ocean off the South Africa coast (**Figure 3**). There are two major fishing grounds for this fishery. One in the Southern Central Indian Ocean (25°E-95°E and 30°S-40°S), and the other located in the South-Eastern waters off Africa (30°E-55°E and 35°S-45°S). Most of Taiwan SBT are caught in the Southern and Central Indian Ocean from April to September, and in the Southern and Western Indian Ocean extending to the western boundary, from November to February of the following year. SBT is considered to be only one stock and is caught as bycatch of this fishery in the Pacific and Atlantic Oceans<sup>7</sup>. Based on the fishing season of Taiwan fishing vessels and the catch distribution of SBT, the fishing ground of this fishery could be roughly divided into the waters of the Southern Central Indian Ocean and areas around the South-Eastern waters off South Africa.



**Figure 3: Main fishing ground of SBT for Taiwan distant water tuna longline fishery (Source: FA of Taiwan).**

<sup>4</sup> <https://www.ccsbt.org/en/content/about-southern-bluefin-tuna>

<sup>5</sup> <https://www.fa.gov.tw/en/FisheriesoROC/content.aspx?id=2&chk=05d9ffd2-651d-4686-a2d1-a44413152366&param=pn%3d1>

<sup>6</sup> <https://www.ccsbt.org/en/content/origins-convention>

<sup>7</sup> <http://www.fao.org/docrep/007/y5428e/y5428e03.htm>

### 2.2.1 Direct Landings Sector

This fishery includes vessels operating with pelagic longline. Approximately 72 authorised commercial longline vessels participated in the 2015/16 fishing season, while 76 were authorized and active in the 2016/17 season.

**Table 2: Numbers of authorized vessels that target SBT seasonally or take SBT as bycatch (Source: CCSBT-CC/1610/SBT Fisheries - Taiwan (Rev2) and Meeting with the FA).**

Fishing Season	No. Authorized Vessels	Retain Target Catch (t)	Non-Retain SBT (Number)	National allocation (t) excluding carry forward	Unfished allocation carried forward (t)	Domestic allocation (t)	Actual Catch Against Allocation (t)
2013/14	76	992	[1,248]	948	182.20	1,130.20	992
2014/15	71	962	[105]	1,045	--	1,045.00	962
2015/16	72	1,143	[76]	1,140	75.68	1,215.68	1,143
2016/17*	76	1,026	[23]	1,140	--	1,140.00	1,026

Records of landings indicate compliance with the national allocations and retained catch, ranged between 962t in the 2014/15 fishing season and 1,143t during the 2015/16 fishing season, with preliminary (\*) data for 2016/17 fishing season (**Table 2**). The CCSBT resolution on limited carry-forward of unfished annual total allowable catch (TAC) of SBT<sup>8</sup> was adopted by fishers in 2013/14 (182.2t) and 2015/16 (75.68t). Overseas Fisheries Development Council (OFDC) catch monitoring system and communication between FA and CCSBT Secretariat confirm fishing operations to be within the limited carry-forward resolution (TAC does not exceed 20% carry-forwards of under-fished year; represented as 182/911:20% and 75/1045:7%). Approximately 1,248 fishes of various sizes were indicated to be non-retained catch, for example 1,217 fishes (or 30.95t) of this catch was lost at sea when the fishing vessel – “CHIN SHANG MEI”- sank on return to homeport in 2013<sup>9</sup>. Particularly for 2013/14 fishing season, catch reconciliation indicated 992t landed, and 30.95t lost at sea. This included 1,217 fish of the 1,248 fish that were not retained<sup>10</sup>.

Currently the fishery only operates longline vessels, however historically the fishery operated driftnets which could account for a percentage (20-25%) of SBT catch, and was active during the 1980's to early 1990's however is understood to be inactive since 1993 (**Figure 4**).

<sup>8</sup>

[https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_Limited\\_Carry\\_forward.pdf](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_Limited_Carry_forward.pdf)

<sup>9</sup> CCSBT-CC/1410/SBT Fisheries – Taiwan (Rev. 1) and CCSBT-CC/1610/SBT Fisheries – Taiwan (Rev. 2)

<sup>10</sup> CCSBT-CC/1510/SBT Fisheries - Taiwan (Rev.1)

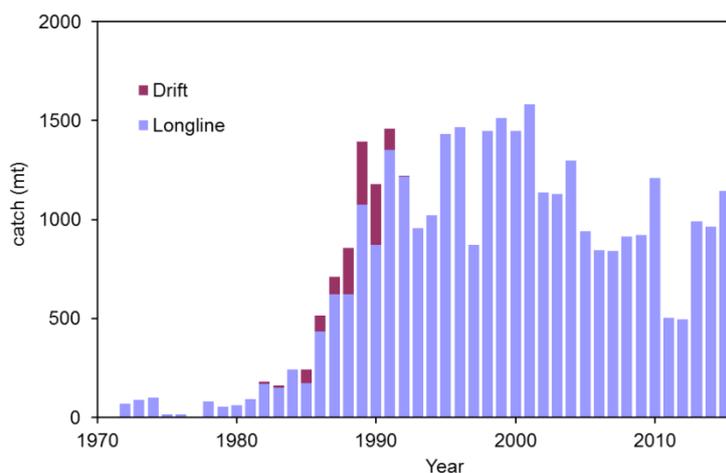


Figure 4: Annual catches of SBT by the Taiwan longline and drift-net fishers (Source: CCSBT-CC/1610/SBT Fisheries - Taiwan (Rev2))

### 2.3 Economic Aspects

SBT is a high value species with the bidding value of SBT averaging New Taiwan Dollar - NT\$194<sup>11</sup> per kilogram at first point of sale across both domestic and export markets. Landings such as 1,162,000kg for 2015 calendar year could contribute over NT\$ 225 million to the national economy. In comparison, the Tokyo-Tsukiji wholesale market prices in March 2017, indicated Japanese Yen per kilograms (kg) of 2,060 for Yellow-fin tuna compared with 3,650 to 10,350 per kg for SBT<sup>12</sup>.

Marketing protocols require the amounts of fish traded at first point of sale to be recorded and reported to the FA, in addition, buyers or receivers are required to record the amounts of SBT which are sold into both domestic and export markets. The control and monitoring measures in place are also used for recognising key markets of this fishery, in order to generate important trade information (

Table 3).

SBT caught by Taiwan vessels are landed at designated domestic ports (e.g., Kaohsiung harbour, Taiwan) or transhipped with inspection at designated foreign ports (e.g., Port of Cape Town, South Africa and Port Louis, Mauritius) for export. Physical landing inspections are performed by FA staff to check the tags and ensure consistency between reporting documents (CMF – Catch Monitoring Forms/ CTF - Catch Tagging Form) and actual weight of individual SBT.

SBT can be transhipped at-sea for export to foreign markets, such as Japan, with on-site inspection by observers sent by Regional Fisheries management Organisations (RFMOs) such as; Indian Ocean Tuna Commission (IOTC), International Commission for the Conservation of Atlantic Tunas (ICCAT), and Western and Central Pacific Fisheries Commission (WCPFC).

SBT landed in domestic port for Taiwan varied from 200 to 295t for 2013/2015. During the same period, Taiwan Taiwan exported a total of 2,332t of SBT to foreign markets (

Table 3). Of this, 2,297t of SBT (around 99%) were transported to Japan.

<sup>11</sup> Fisheries Statistical Year Book Taiwan, Kinmen and Matsu area 2015.

<sup>12</sup> [http://www.marunaka-net.co.jp/maruna\\_e/tunae.htm](http://www.marunaka-net.co.jp/maruna_e/tunae.htm)

**Table 3: Domestic landings and export (t) of SBT to foreign markets from Taiwan for 2013-2016**  
(Source: CCSBT-CC/1610/SBT Fisheries-Taiwan (Rev2) and Meeting with the FA).

Fishing season	Domestic landing	Export to:		
		Japan	South Africa	Korea
2013/2014	295.5	700.7	5.3	-
2014/2015	200.4	740.4	8.3	19.0
2015/2016	285.2	856.2	1.2	1.1
2016/2017*	212.0	801.9	12.1	-

\* Preliminary estimates for the season to date

Transshipment activities varied during the 2015/16 fishing season; 47% (538t) of SBT catch were transhipped at sea, while 53% (606t) were transhipped at designated ports (in South Africa and Mauritius). For the 2016/17 season to date approximately 26% of the SBT caught has been landed in domestic ports and 74% is exported.

## 2.4 Management System

Taiwan enacted key regulations for management of the SBT fishery<sup>13</sup>. These include:

- 1) "Regulations for Fishing Vessels Conducting Fishing of Southern Bluefin Tuna Fisheries" and "Operation Directions for Application and Issuance of CCSBT SBT Catch Document";
- 2) "Regulations for Tuna Longline Fishing Vessels Proceeding to the Indian Ocean for Fishing Operation";
- 3) "Regulations for Deep Sea Tuna Longline Vessels and Carrier Vessels Engaging in Transshipments in the Three Oceans";
- 4) "Act for Distant Water Fisheries" Announced 20.07.2016; Implementation 20.01. 2017.

In line with these regulations various measures and strategies are implemented to manage and monitor the SBT fishery. Fishers' cooperate through the TTA to apply for fishing authorisation and vessel quota from the FA.

Vessels authorized to fish for SBT have mandatory requirement to install satellite-based vessel monitoring system (VMS) equipment for monitoring the geographical positions of the vessels. In addition a weekly report for SBT catch is required for each individual vessel to be submitted to the Fisheries Agency of Taiwan through the Taiwan Tuna Association (TTA). Since the 2015 fishing season the completion and communication of daily electronic logbook, to the FA by vessel masters, became mandatory.

Information such as; daily catch, daily fishing location, and daily discards is required in the weekly report. FA Officials' carryout weekly cross checking of daily e-logbook information in comparison with weekly catch reports.

Distant water fishing activities are also monitored at designated foreign ports for landing and transshipment of Taiwan flagged vessels (Port Louis in Mauritius and Port Cape Town in South Africa). It is prohibited to tranship SBT caught by Taiwan vessels at other foreign ports.

<sup>13</sup> <https://www.fa.gov.tw/en/LegalsRegulation/index.aspx>

Since 2009, the Fisheries Agency of Taiwan has operated management systems where Officials are dispatched to vessels and ports to supervise all SBT unloads. The Officials of FA validate catch documents of SBT only for those complying with CCSBT obligations. In case of transshipment at sea, regional observer from IOTC or ICCAT on board carrier vessels are responsible to supervise all SBT transshipment to ensure the quantities are consistent with the reported catch in the documents.

## 2.5 Management Authorities

The Fisheries Agency (FA) under the Council of Agriculture (COA), Executive Yuan, is responsible for all matters relating to fisheries in Taiwan. The FA aims to establish and implement fisheries policies with a view of promoting efficient administrative work and solving fisheries related problems for maintaining sustainable fisheries development. The Deep Sea Fisheries Division of FA is the main division in charge of the compliance for the national allocation of SBT, and coordinates distribution of national allocation of SBT to individual vessels. This division manages the fishery by conducting daily fisheries catch monitoring, landing inspection of SBT with 100% coverage, and the implementation of the CCSBT Catch Documentation Scheme (CDS) with daily processing/permit issuance/validation of documents.

The Taiwan Tuna Association (TTA) supports management of Taiwan SBT fishery sector in terms of collection of weekly catch reports and submitting information to the Fisheries agency (FA). The Overseas Fisheries Development Council of the Republic of China (OFDC) is in charge of scientific data collection and analysis for distant-water fishery resources. The OFDC is also responsible for the collection of data from Vessel Monitoring System (VMS), and providing important management information to the FA. The management authorities and their responsibilities for Taiwan SBT fishery is summarized in **Table 4** and **Figure 5**.

Table 4: Management Authority of Taiwan fisheries (Adapted from: <https://www.fa.gov.tw/en/PolicySovereignty/index.aspx>)

Management Authority	Department/Subsidiary	Responsibilities	CCSBT MPR
Council of Agriculture, Fisheries Agency, Deep Sea Fisheries Division	Deep Sea Fisheries Management Section	<ul style="list-style-type: none"> <li>Allocate SBT quota to individual vessels and policy making for SBT fishery management</li> <li>Supervise and inspect landing and transshipment of SBT at ports; Submit SBT fishery data and reports</li> </ul>	1.1
		<ul style="list-style-type: none"> <li>Check weekly catch reports and VMS data; Collecting logbooks and cross checks</li> <li>Scientific observer program and reports reviewing</li> </ul>	1.1 (2a) 3.1
	Research and Development Section	<ul style="list-style-type: none"> <li>Submitting scientific data and in charge of scientific research for each year</li> </ul>	1.1 4.1
	Application and Public Service Centre	<ul style="list-style-type: none"> <li>Inspect and supervise SBT domestic landing; Inspect and issue catch documents for SBT</li> </ul>	1.1 1.2 3.1
		<ul style="list-style-type: none"> <li>Fishery training; vessel (Yu-Shiun NO.2) inspect SBT fishing vessels at sea</li> </ul>	4.1
Coast Guard Administration		<ul style="list-style-type: none"> <li>Cooperate with FA - fishery training vessel (Yu-Shiun NO.2) to inspect SBT fishing vessels</li> </ul>	1.1 (4a)
Ministry of Foreign Affairs, Taipei Liaison Office in the Republic of South Africa (Cape Town); and Office of Fisheries Representative in Mauritius		<ul style="list-style-type: none"> <li>Support the FA officials for inspection of SBT landing and transshipment at foreign ports</li> <li>Check and issue SBT catch documents</li> <li>Inspect and supervise SBT landing and transshipment at designated foreign ports</li> </ul>	3.4
Taiwan Tuna Association (TTA) – Industry Body		<ul style="list-style-type: none"> <li>Coordinate quota allocation for individual fishing vessel</li> <li>Collect weekly catch reports and submit to the FA of Taiwan</li> </ul>	1.1
Overseas Fisheries Development Council (OFDC)		<ul style="list-style-type: none"> <li>Collect and analyse SBT fishery information including logbook and observer data</li> <li>Collect, check, and submit VMS data of the SBT fishing vessels to the FA</li> </ul>	4.1
Organization for the Promotion of Responsible Tuna Fisheries (Japan) New Japan Surveyors & Sworn Measure Association		<ul style="list-style-type: none"> <li>Provide independent 3<sup>rd</sup> party support and trading information of SBT for Japanese fish markets to FA</li> </ul>	3.1
IOTC/ICCAT observers		<ul style="list-style-type: none"> <li>At sea inspection for SBT transshipment</li> </ul>	3.4

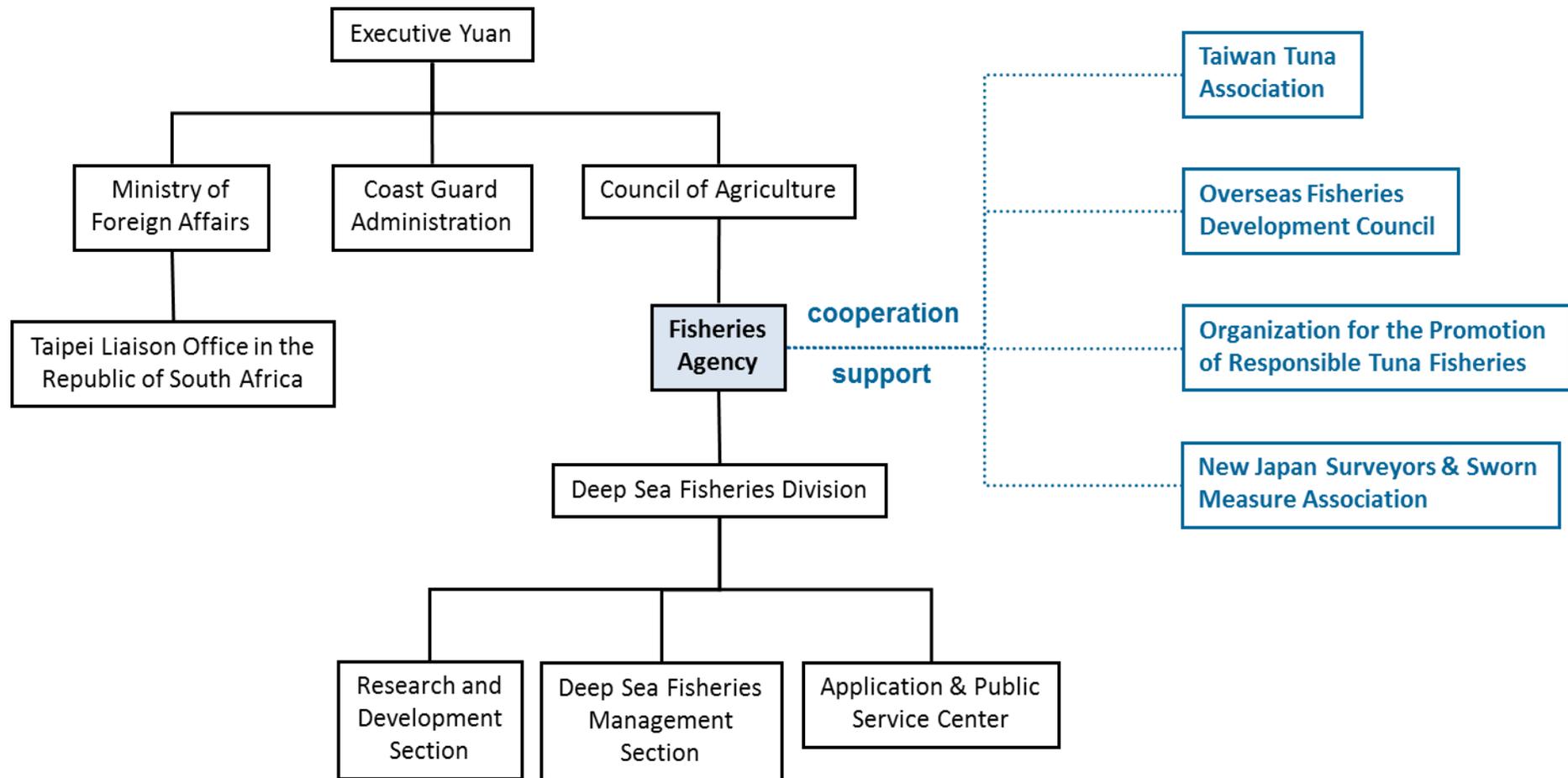


Figure 5: Taiwan’s fisheries management organization. Note: some division branches not directly related to fisheries have been truncated for clarity (Source: <https://www.fa.gov.tw/en/PolicySovereignty/index.aspx>)

### 3 Phase 1 - Member Management System Implementation of CCSBT Minimum Performance Requirements:

This section is based on a review of information on management systems or processes, and historical Member Compliance Action Plans against the 2015 quota allocation; as well as data that demonstrates performance of compliance to date against the 2016 quota allocation; and direct consultation with Member through conference call and e-mail exchanges.

#### 3.1 Compliance with National Allocations 1 (CCSBT section 1.1(i))

##### 3.1.1 MPR 1 – “Rules in place to ensure that the total ‘Attributable SBT Catch’ of each Member does not exceed the Member’s Allocated Catch for the relevant period.”

**Summary** – The design of fisheries management measures are effective in ensuring total attributable SBT catches are within the national quota and limited catch carry forward scheme. Taiwan receives annual TAC limits (national quota) from the CCSBT, and set Individual seasonal target vessels quota and by-catch vessels allocations in line with the national quota. With the exception of the 2010/11 fishing season catches, are below Taiwan national quota.

##### **Key points**

- The fishing year covers a period of 1<sup>st</sup> April – 31<sup>st</sup> March of the following year;
- Dynamic balancing of fishing quota allocation typically takes place in August annually;
- Limited (20%) un-fished carry-forward is allowed. Un-fished quota may only be carried forward from one quota year to the next.

Fisheries management measures ensure total attributable SBT catches are within the national quota and limited catch carry forward scheme. National total allowable catch (TAC) are allocated annually by CCSBT for a fishing season which covers a period of 1<sup>st</sup> April – 31<sup>st</sup> March of the following year (see **Table 5**). The total quota carried forward from one year to the next did not exceed 20% of that Members TAC for the under-caught year<sup>14</sup>.

Individual quotas are allocated to each fishing vessel which are categorised into seasonal target vessel and by-catch vessel. A maximum annually quota of 1.15t is allocated to each by-catch vessels. A dynamic quota balancing system is implemented for seasonal target vessels. Seasonal targeting vessels which are unable to fully use their quota in the regulation time are reviewed and the quota reallocated to vessels in needing more quota.

The dynamic quota balancing system allows seasonal targeting vessels to exceed their individual quota by 5% or less and by-catch vessel catch can exceed the individual quota by 10% or less, the over-catch is deducted (payback) from the following fishing season. The same dynamic quota balancing measures applies in addition to suspension of fishing licence for a year or less where over-catch is greater than 5% for seasonal targeting vessel or greater than 10% for by-catch vessel of the vessel’s individual quota.

<sup>14</sup>

[https://www.ccsbt.org/sites/default/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_Limited\\_Carry\\_forward.pdf](https://www.ccsbt.org/sites/default/files/userfiles/file/docs_english/operational_resolutions/Resolution_Limited_Carry_forward.pdf)

Furthermore, Taiwan intends to continue development of measures which facilitate improve commercial catch recording, as well as post-capture release and discards data into its national allocation from 2016/17 fishing season. These actions supplement current measures to improve accounting of all fishing related mortalities and the robust nature of their catch management systems.

**Table 5: Allocated Catch, National Total Allowable Catch (TAC) and total Attributable SBT Catch (ASBTC) for each SBT fishing season since 2010 (Source: CCSBT Annual Compliance Committee Reports<sup>15</sup>)**

CCSBT Year	Fishing Entity of Taiwan SBT Season	Total Allocated Catch (t)	National TAC + Carry Forward(t)	ASBTC (t)	Catch (Over)/Under (t)
2010	2010/2011	859	1026 <sup>16</sup>	1140	(114)
2011	2011/2012	859	692	502	190
2012	2012/2013	911	911	505	406
2013	2013/2014	948	1130 (948 + 182)	992	138
2014	2014/2015	1045	1045	962	83
2015	2015/2016	1140	1215.68 (1140 + 75.68)	1143	72.68
2016*	2016/2017	1140	1140	1040.72	99.28

Preliminary (\*) TAC and landing for 2016/17 season

**Table 5**, illustrates Taiwan TAC and catches for fishing seasons of 2010/2011 to 2016/2017. Annual TAC ranged between 859t to 1140t. Historic, over-catch of 114t was identified in the 2010 fishing season, however not in recent years where catch were within, and at times much below the authorised TAC. Limited catch carry forward was utilized within the 20% terms during fishing seasons 2013/2014 and 2015/2016. Preliminary TAC and landing figures for 2016/17 season indicated, 99.28t of the national allocations was unfished at the close of the season.

<sup>15</sup> Compliance with CCSBT Management Measures - CCSBT-CC/1610/07 Rev2

<sup>16</sup> Article 5 of the "Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans"

### 3.1.2 MPR 2a (i): [Operating systems and processes established to implement annual catching arrangements, including] Specification of allocations by company, quota holder or vessel

**Summary** - Each year, the national TAC is administered by the Fisheries Agency (FA) via systems and processes which allocates catch arrangements to individual quota holders and undertake administrative aspects of SBT quota allocations as well as Attributable SBT Catch (ASBTC) reconciliations. Taiwan operates only commercial longline fishing vessels for one of the two fishing seasons; the April-September or the November to next February for SBT among the seasonal target fleet. The by-catch fleet are vessels targeting albacore tuna in the three oceans, or targeting bigeye and albacore or yellowfin tunas in the Indian Ocean. A maximum quota and catch allocation of 50t is shared among the by-catch fleets, with a limit of 1.15t for each vessel. In addition un-fished re-allocation is not practiced among the by-catch fleet for SBT. A list of allocations specific to quota holders (companies, or vessels) is provided in **Table 6** and [Appendix 2](#)

#### Key points

- Annual SBT quota is allocated to individual quota holders by the FA;
- SBT fishing is by commercial vessels only, further fishing restrictions are based on vessel category – seasonal target fleet or by-catch fleet.
- Inter-annual quota adjustments are administered by dynamic quota balancing process for seasonal target fleet only, where un-fished quota is re-allocated to fishers who are practically able to utilize more quota.

The Fishing Agency of Taiwan (FA) manages systems and processes which allocates catch arrangements to individual quota holders and undertake administrative aspects of SBT quota allocations as well as Attributable SBT Catch (ASBTC) reconciliations. Taiwan considers ASBTC to be all fish that are landed against the national allocation.

Taiwan annual national SBT allocation (TAC) is defined by CCSBT. The FA communicates with CCSBT to authorize any limited carry-forward of un-fished catch in addition to the TAC for a fishing season. Quota allocation is separated into; seasonal target vessels and by-catch vessels.

Taiwan currently operates only commercial longline fishing for SBT by seasonal target vessels which might apply for one of the two fishing seasons; the April-September or the November to next February. Bycatch vessels are the vessels targeting albacore tuna in the three oceans, or targeting bigeye and albacore or yellowfin tunas in the Indian Ocean. A maximum quota of 50t is allocated among by-catch vessels with a limit of 1.15t SBT by-catch per vessel. During 2015/16 fishing season 38.77t was allocated to by-catch vessels, and 44.9t in 2016/2017, with no inter-annual quota adjustments. In principle and practice, un-fished quotas are not re-allocated to by-catch vessels<sup>17</sup>.

For seasonal targeting vessels, inter-annual quota adjustments are administered by a dynamic quota balancing process following the month of August where un-fished quota is re-allocated to fishers who are practically able to utilize more quota. Evaluation of the 2016/17 quota adjustments documentation indicated catch re-allocation for 30 vessels (or 39% of the 76 authorised vessels). From vessels returning quota, three sessions of quota re-allocation were identified; 02/08/2016 with 3.2t increase for 22 vessels, 16/08/2017 with 0.248t increase for 21 vessels, and 30/08/2017 with 2.977t increase for 5 vessels, however remaining within the national TAC of 1140t.

<sup>17</sup> FA – Deep Sea Fisheries Division report and data – 2016/17 fishing quota allocations.

**Table 6: 2016/2017 SBT quota allocation to Taiwan quota holders by vessel, showing only those quota holders with 1% and more of the SBT Annual Catch Entitlement (ACE), with GT meaning Gross tonnage or metric tonnage(Source: FA).**

Vessel Name	Total Shares of TAC (GGT) Allocation (t)	Restricted Shares (t)(GGT)	Restriction Type	Rounded ACE Equivalent (kg)	% of ACE
FULL LI HSIANG	33.5			33500	3%
YING YONG HSIANG	33.5	0.069	Return	33431	3%
YU CHAN HSIANG	33.5	0.195	Return	33305	3%
LI HSIANG	33.5			33500	3%
SHIN SHUEN FAR 668	33.5	0.211	Return	33289	3%
SHIN SHUEN FAR 688	33.5			33500	3%
SHIN SHUEN FAR 889	33.5			33500	3%
SHUU CHANG 6	33.5			33500	3%
MAN AN	33.5			33500	3%
YI JEN CHUN 668	33.5			33500	3%
JUI DER 16	33.5	0.213	Return	33287	3%
JIN JAAN SHYANG 3	33.5			33500	3%
SHIN SHUEN FAR 69	33.5			33500	3%
SIN HUA FONG 168	33.5			33500	3%
SHUN FENG 12	33.5	0.351	Return	33149	3%
HUNG JIE WEI 669	33.5			33500	3%
SHANG FENG 3	33.5			33500	3%
JUI DER 112	33.5			33500	3%
SIN HUA FONG 16	33.5	0.019	Return	33481	3%
JIN YUAN	23.5			23500	2%
HO HSIN HSING 601	23.5			23500	2%
HUNG SHING 212	23.5			23500	2%
HAO CHING 101	23.5	0.565	Return	22935	2%
HSIANG FA 16	23.5			23500	2%
HUNG JIE WEI 668	23.5			23500	2%
JOHO	23.5			23500	2%
HWA HUNG 202	23.5			23500	2%
WIN LONG	23.5	0.041	Return	23459	2%
FARN SHUEN 1	23.5			23500	2%
JO WEN	23.5			23500	2%
FU YU	10			10000	1%
SHUANG LIAN	10			10000	1%
SHYANG CHYANG 88	10			10000	1%
HONG IU 313	10			10000	1%

(GGT) Gilled Gutted Tail off

### 3.1.3 MPR 2a (ii): [Operating systems and processes established to implement annual catching arrangements, including] Arrangements for daily recording of all catches;

**Summary** - All Taiwan longline vessels fishing for SBT, or which might catch SBT as bycatch, are required by law to complete a tuna longline catch effort return detailing the date, time, location of each set and an estimate of weight caught. Vessel Masters' requirement to complete and submit daily electronic logbook reports to the FA and its fishing company became mandatory from the 2015/16 fishing season. A contingent process, using fax to submit catch and effort data daily is in place where there are e-logbook system malfunction or failure. Penalties are supported by legislation to suspend vessel and master license for a maximum of a year where violations are confirmed.

#### Key points

- It is mandatory to submit daily report of tuna longlining catch and effort returns include fish by-catch information for both retained and released or discarded catches;
- Vessel Masters' are responsible for submitting daily catch reports to the FA and its company by e-logbook or fax;
- Legislations in place support penalties where there are violations of catch reporting process.

Taiwan has systems and processes which demonstrates effective arrangements for daily recording of all SBT catches.

Vessel Masters' requirement to complete daily electronic logbook reports became mandatory from the 2015/16 fishing season. A variety of fishery management and scientific data are collected; for example, date of operation, vessel geographic position, date and time of set, number of hooks set, both retain and discarded specie, catch by species type, unique tag number and individual measurements of SBT (such as, length - cm, and weight - kg). Also information about ecologically related species (ERS) such as seabird and sharks by-catch are recorded.

Communication of daily catch information is provided by the Vessel Master, who submit the e-logbook report to the FA on a daily basis. Also there is a process for vessel masters to submit SBT by-catch and target catch and effort records to its fishing company on a daily basis. The fishing company responsibility includes submitting this catch and effort report to the FA through TTA on a weekly basis, where data is entered into a consolidated database and used to compare with the daily reports. Emailing is the default system for information exchanges, also with attachments in the form of excel sheets or scanned forms with recorded catch information. In addition to an automated data cross checking system, members of the OFDC Scientific Team also carry out manual cross checking of the data and system used for reconciliation. These processes and systems facilitates the role of the FA when comparing or reconciling daily e-logbook data with weekly catch reports. A system of alternative arrangements is in place for submitting catch data on dates which are national holidays.

Also, contingency processes are in place to manage e-logbook system failure or malfunctions; for example Vessel Masters are required to have printed daily e-logbook system form to be complete manually and send by fax directly to the FA, representing the daily catch report, in situations of system failure or malfunctions. This data is entered into the FA fisheries management system. No system failures for e-logbook reporting were identified from discussions about the 2016/17 fishing season. Area legislated penalty regime is used when the daily catch reporting process is violated. For example,

fishing vessels' and Masters' license could be suspended for a maximum of a year depending on the nature and degree of violation<sup>18 &19</sup>.

### 3.1.4 MPR 2a (iii): [Operating systems and processes established to implement annual catching arrangements, including] Weekly reporting of catches by large scale tuna longliners (LSTLV) and monthly reporting of catches by coastal fishing vessels

**Summary** –Taiwan has mandatory systems and processes for weekly reporting of SBT catch by seasonal target and by-catch vessel to the FA through the TTA by Fishing Companies. The nature of information submitted by fishing companies and verified by the FA included; catch, effort, product type, unique tag number, and vessel position, among others. Accuracy of information submitted is validated by FA staff which routinely monitor vessel position, as well as transshipment declarations, and landing inspection reports at domestic or foreign port. Legislative processes in place are enforced where differences exceed allowable arrangements such as over-catch levels, as well as late or failure to submit weekly report.

#### Key points

- It is mandatory for daily catch report to be submitted to fishing company who then submit their report on a weekly basis to the FA through the TTA;
- Contingent arrangements are in place for submitting catch data on dates which are national holidays.
- Taiwan does not operate coastal fishing for SBT.

Taiwan has systems and processes in place which demonstrates effective arrangements for weekly reporting of SBT catches against allocation, as well as incidental by-catch species for its LSTLV.

Taiwan's fishing fleet operates LSTLVs for distant water high seas fishing of SBT and other tuna species. Coastal fishing is not within its fleet operating areas, and is not applicable for this review.

Systems and processes in place for managing weekly reporting of catch are aligned to the CCSBT requirement for catch management, as well as national legislations when a violation is confirmed. Weekly catch reporting is mandatory for the Fishing Company who submits this information by email or fax, in a catch reporting form to the FA through TTA. The nature of data reported includes; date of catch, vessel position, date and time of set, number of hooks set, catch by specie, unique tag number, and individual measurement of SBT (length - cm, weight – kg, and product type – bleed, tailed, gilled, or gutted). A system of alternative arrangements is in place to submit catch data on dates which are national holidays.

Accuracy of information submitted is validated by FA staff at domestic and foreign ports as well as verified by FA staff in Taiwan Office for Deep Sea Fisheries Management, which routinely monitor and compare Vessel weekly catch report, against daily e-logbook reports, as well as transshipment declarations, or landing inspection report from foreign port and domestic port.

<sup>18</sup> Article 11 of the "Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans

<sup>19</sup> CCSBT-CC/1610/SBT Fisheries – Taiwan (REV2)

Instances of late or failure to submit weekly report, as well as any discrepancies beyond tolerances arrangements, could be dealt with a system of fine or suspension of vessel and master fishing license for a maximum of a year<sup>20</sup>.

National legislation supports a system of penalties imposed in circumstances where SBT catch exceed individual quota of seasonal target vessel and by-catch vessel. Over-catch within 5% by seasonal targeting vessel is penalized by deduction (pay-back) of the value from the following year quota. Over-catch within 10% by by-catch vessel is penalized by deduction of the value from the following year catch. Over-catch greater than 5% by seasonal targeting vessel or 10% by b-catch vessel is penalized by pay-back and a penalty such as suspension of vessel and Master fishing license for a maximum of a year<sup>21</sup>. The 17 instances of over-catch identified in the 2016/17 season were all less than 5%; all vessels returned quota (payback restriction) in the following year ([Appendix 2](#)).

### 3.1.5 MPR 2b: [Operating systems and processes established to], in accordance with the CCSBT timeline, monitor all fishing-related mortality of SBT

**Summary** –Taiwan has established operating systems and processes for recording and submitting accurate and estimated commercial catches and releases or by-catch, by mandatory daily e-logbooks, and submitted on a monthly basis to the CCSBT by the fishery management authority - FA. Commercially landed fish weights and tags are accurately recorded and verified at landing. Independent corroborated information from 2015/16 observer reports confirms compliance with a minimum of 10% observer monitoring requirement, as well as delivery of monitoring data, including fishing mortality records to the FA, which further demonstrated Taiwan participation in the CCSBT update on “Characterisation of the Global SBT Fisheries”

#### Key points

- Commercial catch or discard related mortality is estimated and recorded on the tuna longline catch and effort returns;
- Independent observer coverage is in line with mandatory requirements and did not report any discrepancies during recent fishing seasons (2013 to 2015);
- Taiwan demonstrated compliance by sharing catch information for updating the Characterisation of Global SBT Fisheries.

Taiwan has established operating systems and processes for monitoring all fishing related mortality of SBT, which is communicated with the CCSBT Secretariat and verified in Taiwan compliance report for the period 01-Jul-2015 to 30-Jun-2016<sup>22</sup>.

Effective from 2016/17 fishing season, catch recording system will include commercial catch and releases or discards into its national allocation. All fishing related mortality associated with commercial catch is estimated and recorded on the vessel tuna longline catch and effort returns which includes information on individual sets; such as fish by-catch information for species that are retained and released or discarded. Catches are estimated in mandatory daily e-logbooks and submitted on a monthly basis to the CCSBT by the FA. Commercially landed fish weights are accurately recorded and verified at landing. Catch reporting forms in current use to record estimated weight of retain catch and estimated number of non-retain catch of SBT. For example 105 and 76 SBT were not retained in 2014/15, and 2015/16 fishing seasons respectively<sup>23</sup>.

<sup>20</sup> Article 11 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans; and Article 3 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans

<sup>21</sup> CCSBT-CC/1610/SBT Fisheries – Taiwan (REV2)

<sup>22</sup> CCSBT-CC/1610/07 Rev2

<sup>23</sup> CCSBT-CC/1610/SBT Fisheries – Taiwan (REV2)

Taiwan operates an observer program which complies with the CCSBT Scientific Observer Program Standard, including components on recording all observed fishing related interaction and mortalities<sup>24</sup>.

In addition, SBT records of fishing interaction and mortalities are collected for Ecologically Related Species (ERS), such as; sharks, seabirds, sea turtles, and marine mammals. The nature of data collected included; length, weight, sex, life status, photo images, and biological samples where possible.

Also mitigation methods uses by fishers are recorded. Observer reports are submitted to the FA on a weekly basis while at sea. The complete observer report is submitted to the FA within one week after completion of observer trip. FA management systems include processes for investigating discrepancies between observer data and information provided by commercial fishers, where necessary. More routinely are Observer debriefing by Senior Observers to ensure thoroughness of the information being used to monitor the fishery. A document checklist is used during debriefing sessions to cross check observer reports were accurately completed. Discrepancies identified related to matters such as information being recorded in the incorrect section of observer forms, which was fed into feedback and training for the Observer involved<sup>25</sup>.

Taiwan met requirements for a minimum of 10% observation of effort and catch (**Table 7**) in the fishery<sup>26</sup>.

**Table 7: Observer monitoring of Taiwan longline SBT fishery (Source: CCSBT-CC/1610 Fisheries Taiwan)**

Fishing season	Longline Commercial Fisheries		
	% Effort Obs.	% Catch Obs.	Obs. Days Deployed
2013/14	22.10	17.33	1564
2014/15	19.18	13.01	1737
2015/16	13.58	11.72	1520

<sup>24</sup>

[https://www.ccsbt.org/sites/default/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_Reporting\\_on\\_all\\_Sources\\_of\\_Mortality.pdf](https://www.ccsbt.org/sites/default/files/userfiles/file/docs_english/operational_resolutions/Resolution_Reporting_on_all_Sources_of_Mortality.pdf)

<sup>25</sup> FA Observer debriefing reports and Observer training plan

<sup>26</sup>

[https://www.ccsbt.org/sites/default/files/userfiles/file/docs\\_english/operational\\_resolutions/observer\\_program\\_standards.pdf](https://www.ccsbt.org/sites/default/files/userfiles/file/docs_english/operational_resolutions/observer_program_standards.pdf)

**3.1.6 MPR 2c: Ensure accuracy of the “Attributable SBT Catch”, including (for fishing Members) a physical inspection regime of SBT caught by the Member’s fishing vessel, and (for farming Members) monitoring the accuracy of the stereo video monitoring and adjusting/ re-calibrating where necessary.**

**Summary** - Taiwan has established systems to monitoring and validate accuracy of Attributable SBT catch and landings. Taiwan does not operate tuna farms. Data collected for catch, releases, or discards are included into comparisons and cross-checking of transshipment declaration as well as port landing inspections in order to validate accuracy of the information and functional integrity of the management systems. FA Officials and Observers, as well as independent third-party agents provide physical monitoring and cross-checking of catch to facilitate investigations where needed or sanctions in circumstances of violations, and overall to support Taiwan operating within its annual TAC.

**Key points**

- An established catch monitoring at-sea and port is in use;
- FA officials and independent third parties provide physical catch monitoring, validation, and investigations, including 100% supervised landing and 5% sampling inspection;
- Only designated domestic and foreign ports are allowed for transshipment or landing;
- Regional observers – IOTC and ICCAT – are dispatched on board carrier vessels to monitor and support catch validation.

Taiwan has processes and systems for physical inspection, monitoring and validating accuracy of Attributable SBT Catch are well established. Taiwan does not operate Tuna farming systems.

Commercial allocation of catch, as well as discards are recorded as of 2016/17 fishing season. There are mandatory reported daily fishing effort and catch data which are compared with information provided in weekly reports and transshipment declaration, as well as port landing inspections by FA staff. All physical inspections of landing takes place by FA officials at domestic and foreign ports. Regional observers deployed by IOTC or ICCAT are physically present on board carrier vessels to monitor transshipment. Fishing or carrier vessels are only allowed to use the designated domestic fishing ports of Cianjhen in Kaohsiung for landing SBT since September 2009. In addition fishing vessels are only allowed to use designated foreign ports (Port Cape in South Africa and Port Louis in Mauritius) since March 2010. Independent third party agents Japan Marine Surveyors and Sworn Measurers Association are delegated with authority from the FA to conduct inspections and provide trading information for FA officials to cross check SBT catch that carrier vessel land and transhipped to Japan directly.

Prior to 2010, Taiwan dispatched patrol boats to physically inspect their fishing vessels operating in all three oceans. Inspection rates were approximately 7.5% of the fleet during 2009, however inspections were suspended in the Indian Ocean from 2010 due to imminent y safety risk from operating in waters with likely Somalia pirates.

FA officials at designated ports supervise 100% of SBT landings, including tags and transshipment activities. Fish are weighed in bulk to make sure total weight corresponds with reported catch and then carry out a more detailed physical inspection on 5% of the catch (individual weight/length/CTM/CMF) cross check. This was reported to be often closer to a 10% sample. All catch monitoring form (CMF) and catch tagging form (CTF) are used during the accuracy cross checking and validating of the catch.

In addition VMS data and observer reports are considered during cross checking and validating of catch accuracy.

Due to difficulty of accurately weighing SBT at sea, a tolerance is allowed where actual catch might exceed the quota by less than 5% for seasonal target vessels and less than 10% for by-catch vessels. Any over-catch is deducted from the vessel following year fishing. Accurate Attributable SBT catch information feeds into the annual dynamic catch balancing and quota re-allocation system which facilitates authorisation for certain vessels to continue fishing and for Taiwan to comply with their annual TAC

Systems are in place to manage discrepancies or violation; includes detail investigation or suspension of master and fishing vessel license for a maximum of a year. For example, during 2014/15 fishing season an investigation was made by FA officials joined with independent members of the Japan Marine Surveyors and Sworn Measurers Association with regards to vessel – Sea Mansion – unauthorized transshipment of SBT. However physical catch inspection at landing of the carrier vessel at port in Shimizu, Shizuoka, Japan on 12<sup>th</sup> March 2015, validated that there was no SBT in its catch landing; and a report sent to the Secretariat of the CCSBT.

### **3.1.7 MPR 3: All fishing-related SBT mortality is reported annually to the Extended Scientific Committee, for incorporation into stock assessment analysis, and to the Commission.**

**Summary** - Taiwan complies with the requirement to submit annual reports to CCSBT's Extended Scientific Committee detailing all fishing-related SBT mortality. SBT fishing data was used for updating the CCSBT program for stock assessment and characterisation of global SBT fisheries. Compliance with measures for data sharing were met at 100%. However, minor discrepancies were identified with some CMF for domestic landings in 2015 where catch weight differed from landing weight by less than 2.5%.

#### **Key points**

- Taiwan submit annual SBT mortality data to the CCSBT which among its use includes updating the characterisation of global SBT fisheries information system.
- Fisheries officials at the FA, particularly the Deep Sea Fisheries Division, are instrumental for ensuring timely and accurate SBT data is submitted to the CCSBT.

Taiwan provides SBT mortality data to the CCSBT as required and remains an active member contributing to the CCSBT Extended Scientific Committee. The Deep Sea Fisheries Division of FA collects catch data of SBT from weekly reports and cross-checks the data with e-logbooks, observer data, and trading information from Japanese fish markets for estimating attributable SBT catch for Taiwan.

FA submits catch data of SBT to the CCSBT secretariat before April 30<sup>th</sup> every year for data exchange and the Extended Scientific Committee for incorporation into stock assessment analysis in September, as well as the National Report before the Commission meeting in October.

The report – CCSBT-CC/1610/07 Rev2 outlines some areas where Taiwan was in compliance with CCSBT management measures for the reporting period July 2015 to June 2016. Taiwan annual reported on its SBT fishing was used for update the CCSBT program for characterisation of global SBT fisheries. Compliance with measures for data sharing were met at 100%, however discrepancies were identified where percent of CMF for domestic landings in 2015 where catch weight differed from landing weight by less than 2.5%.

### 3.1.8 MPR 4: Operating systems and processes applied to monitor compliance with annual catching arrangements, and impose sanctions or remedies where necessary.

**Summary** – Taiwan Compliance systems and processes for monitoring SBT annual catch and imposing sanctions are well established. Monitoring is identified to be in compliance with CCSBT conservation and management measures, as well as relevant regulations, and in the nature of mandatory catch and by-catch reporting (including ERS) in e-logbooks, independent observer reports, validation and cross-checking reports of transshipment as well as port inspections, VMS reports, Coast Guard patrol, and inter-annual dynamic balancing which is used for re-allocation of quota. Sanctions are typically imposed where there are late or failure to submit weekly catch reports, as well as where there are discrepancies beyond tolerances arrangement for each vessel. Nature and degree of sanctions vary with extent of violation and might be applied where over-catch is 5% or 10% more than the agreed tolerance. The system requires pay-back and a penalty such as suspension of vessel and master fishing license for a maximum of a year where infringement is confirmed.

#### Key points

- FA confirms individual vessel permission to fish SBT annually;
- All fishing effort and catch monitoring systems are maintain in working order with frequent reporting for vessels to continue fishing, such as e-logbook and VMS reporting;
- Systems are in place for imposing sanctions such as catch pay-back or master and fishing vessel suspension where infringements are identified;
- Taiwan demonstrated compliance with CCSBT catch monitoring requirement for 2015/16 fishing season.

Taiwan has established systems and processes for monitoring compliance with annual catch arrangements, and imposing sanctions or remedies where necessary.

The Deep Sea Fisheries Management Section of the FA has delegated responsibilities for allocating SBT quota to individual vessels and policy making for SBT fishery management as well as to monitor compliance within the fishery<sup>27</sup>. Catching arrangements by Taiwan – SBT fishery is managed through output controls in the form of individual quota (IQ) system. Seasonal targeting vessels and by-catch vessels participate in the fishery. A maximum of 1.15t of SBT is allocated per vessel for by-catch vessels, while a system of inter-annual dynamic quota balancing is use to allocate catch among seasonal targeting vessels. All fishing vessels requires a permit from the government each year to fish. Annually fishers complete an application pack with the TTA who submit their request to the FA for approval. The FA checks to validate that individual vessels comply with the CCSBT conservation and management measures, as well as relevant regulations before allocating fishing quotas.

Annual catch compliance is monitored using a number of measures such as mandatory catch and by-catch reporting (including ERS) in e-logbooks, independent observer reports, validation and cross-checking reports of transshipment as well as port inspections, VMS reports, Coast Guard patrol, and inter-annual dynamic balancing which is used for re-allocation of quota.

<sup>27</sup> <https://www.fa.gov.tw/en/PolicySovereignty/index.aspx>

Sanctions are typically imposed where there are late or failure to submit weekly catch reports, as well as where there are discrepancies beyond tolerances arrangement for each vessel. The nature and degree of sanctions vary with extent of violation. For seasonal targeting vessel, over-catch within 5% is penalized by deduction (pay-back) of the value from the following year quota. Over-catch greater than 5% is penalized by deduction of the value from the following year catch as well as a penalty such as suspension of vessel and master fishing license for a maximum of a year.

For the 2015 calendar year and first quarter of the 2016 fishing season, compliance was demonstrated by Taiwan with CCSBT measures with regards to catch data and Catch Documentation Scheme (CDS). Minor discrepancies were identified for weight differences of less than 2.5% in CMF, which is within the 5% tolerance allowance and payback or return of catch protocol operated by the Taiwan.

Article 9, of the Act for Distant Water Fisheries stipulates that it is mandatory for Taiwan vessels to install VMS in order to receive fishing quota. In practice some vessels install multiple VMS as a backup system if the main unit fail. All 72 vessels participating in the 2015/16 fishery were confirmed with Inmarsat-C and Argos VMS, and no technical failure or investigations. The FA is required to inform vessel owners and masters where technical failure is identified with their VMS and arrange exchange of vessel position data by fax. A number of sanctions are imposed for failure to communicate VMS or vessel positions for more than 15 days or 30 days tier to the Fisheries Monitoring Centre (FMC).

Also, the FA is authorised to instruct fishing vessel to stop operations and return directly to the designated ports for detailed inspection when the vessel is suspected of illegal fishing or reporting catch abnormally. Vessels are not allowed to leave the port for fishing without approval by FA. One SBT related catch inspection took place during the 2015/16 fishing season, however no infringements were identified<sup>28</sup>.

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<sup>28</sup> CCSBT-CC/1610/07 Rev2

## 3.2 Compliance with National Allocations 2 (CCSBT Obligation 1.1(iii))

The aim of this obligation is to ensure that Members have processes in place to effectively and accurately manage the carry-forward of quota from one year to the next, within the restrictions agreed by the CCSBT.

### 3.2.1 MPR 1a: An accurate, verified and robust figure for the final Attributable Catch is available before the notification to the Secretariat of the carry-forward, and a report on the adoption and use of the carry-forward procedure is included in each annual report to the Extended Commission.

**Summary** – Taiwan has processes for managing its final Attributable SBT Catch which includes notifying the CCSBT of intentions to carry-forwards TAC into the following year. Various catch monitoring actions and outcomes from catch cross-checking and validation feeds into the FA consideration when notifying the CCSBT of intention to carry-forward catch. Notification request was submitted to the CCSBT on 25<sup>th</sup> April 2016 in order to carry-forward TAC (53t) into 1<sup>st</sup> April 2016 to 31<sup>st</sup> March 2017 fishing season.

#### Key points

- Catch cross-checking and validation is conducted by the FA prior to any consideration for requesting catch carry-forward;
- Carry-forward provisions came into force at the start of the 2012/13 fishing year;
- Taiwan submitted notification with approval to the CCSBT for catch carry-forward in 2013/14 and 2015/16 fishing seasons.

Taiwan has established processes to ensure the final Attributable SBT Catch is available before the notification is sent to the Secretariat of the carry-forward, and a report on the adoption and use of the carry-forward procedure is included in each annual report to the Extended Commission.

SBT catch data is reported and cross-check using a number of systems in order to arrive at a final ASBTC. For example, daily e-logbook of catch records are submitted to the FA and vessel Owners. Owners submit their weekly catch reports of SBT with weight, length, time and location of capture, and the tag number for each individual fish to FA via the TTA. FA officials inspect and supervise SBT landing and transshipment at designated ports to facilitate consistency in fishery data reports.

At the point of first trading, information of SBT product is collected through the third parties, such as Organization for the Promotion of Responsible Tuna Fisheries (OPRT) in Japan (<http://oprt.or.jp/eng/>) since 2004, and through the subscription of certified weight reports of Shin Nippon Kentai Kaisha (the New Japan Surveyors and Sworn Measures Association, NJSSMA) since 2014. The Deep-Sea Fisheries Division of FA checks all the fishery related information, and then issues adjusted catch authorisation to vessels, only when all the data are correct. The weekly reports of SBT catch are cross-checked with the vessels e-logbooks and trading information to accurately calculate the catch of SBT attributable to Taiwan. Taiwan submitted the accurate catch amounts and any intention to use carry-forward system in the annual National Report. A relevant example is the Taiwan notification to carry-forward TAC of 2012 to 2013 to CCSBT that was submitted to CCSBT on May 27<sup>th</sup>, 2013.

Also for the 2015/16 fishing season notification was submitted on 14<sup>th</sup> May 2015 by FA to the CCSBT Secretariat for the carry-forward 75.68tons from the 2014/15 season where 969.32t was catch from

the TAC of 1045t<sup>29</sup>. On 25<sup>th</sup> April 2016, a notification to carry-forward 53tons of under catch from 2015 into the 2016 quota year (1<sup>st</sup> April 2016 – 31<sup>st</sup> March 2017). Written correspondence between the FA and CCSBT Secretariat during 25-27<sup>th</sup> April 2016 confirms no authorised carry-forward of TAC for 2016/17 fishing season<sup>30</sup>.

### 3.2.2 MPR 1b: The Executive Secretary is formally notified of the catch for the concluded quota year together with the available catch limit (Catch Allocation + carry-forward) for the new quota year within 60 days of the start of the new quota year.

**Summary** – Taiwan has processes for formal notifications to the Executive Secretary with regards concluded TAC. For the 2014/15 fishing season 75.68t un-fished TAC was carried forward to conclude a TAC of 1,215.68t for the 2015/16 fishing season. The Executive Secretary was formally notified by written communication from the FA of their concluded year quota May 14<sup>th</sup> 2015, with CCSBT reply on May 15<sup>th</sup> 2015 with acknowledgement of receiving the information. On 25<sup>th</sup> April 2016, the CCSBT was notified of Taiwan 2015 catch. This comply with CCSBT 60days notification timeline.

#### Key points

- Taiwan comply with CCSBT 60 days notification timeline for reporting concluded year quota and catch.
- Formal notification of concluded TAC is expected to increase collective transparency of the management of Taiwan SBT fishery and reduce risk of over-catching the annual allocation;
- It facilitates fishers and fishery managers' participation to gain optimum annual benefits from the fishery.

Taiwan processes facilitate formal notifications to the Executive Secretary on the catch for the concluded quota year together with the available catch limit (Catch Allocation + carry-forward) for the new quota year within 60 days of the start of the new quota year.

Monthly catch reports are submitted to the CCSBT by FA in order to provide near-time reporting of catch from the fishery. Taiwan carried forward unused quota of 75.68t from 2014/15 to 2015/16 fishing season, and sent the Executive Secretary a revised new quota of 1,215.68t (including annual quota of 1,140t and carry-forward quota of 75.68t) for new quota year (2015/16). The Deep Sea Fisheries Division of FA allocates the revised quota of 1215.68t among individual vessel before the fishing season commencing on April 1<sup>st</sup>, 2015<sup>31</sup>. On 25<sup>th</sup> April 2016, the CCSBT was notified of Taiwan 2015 catch. This comply with CCSBT 60days notification timeline.

In addition, Taiwan submits the catch documents and relevant information (CMF and CTF) on a quarterly basis to CCSBT Secretariat. Documents for October to December are sent before March 31<sup>st</sup>, while those for January-March, April-June, and July-September are sent before June 30<sup>th</sup>, September 30<sup>th</sup>, and December 31<sup>st</sup>. An example of this process for the 2013-16 fishing seasons is shown in **Table 8**;

**Table 8: Catch communication date with CCSBT Secretariat 2013-16 (Source: FA)**

CMF and CTF submitted to CCSBT	Taiwan submitted on	CCSBT Secretariat replied on
Data for the 1 <sup>st</sup> quarter of 2013	July 5 <sup>th</sup> , 2013	July 8 <sup>th</sup> , 2013
Data for the 2 <sup>nd</sup> quarter of 2013	October 7 <sup>th</sup> , 2013	October 9 <sup>th</sup> , 2013
Data for the 3 <sup>rd</sup> quarter of 2013	January 27 <sup>th</sup> , 2014	January 28 <sup>th</sup> , 2014

<sup>29</sup> CCSBT-CC/1610/07 Rev2 and CCSBT-CC/1610/SBT Fisheries – Taiwan (Rev2),

<sup>30</sup> FA letter to CCSBT requesting TAC carry-forward to 2016/17 fishing season.

<sup>31</sup> CCSBT-CC/1610/SBT Fisheries – Taiwan (Rev2), and CCSBT-CC/1610/07 Rev2

Data for the 4 <sup>th</sup> quarter of 2013	April 10 <sup>th</sup> , 2014	April 11 <sup>th</sup> , 2014
<b>CMF and CTF submitted to CCSBT</b>	<b>Taiwan submitted on</b>	<b>CCSBT Secretariat replied on</b>
Data for the 1 <sup>st</sup> quarter of 2016	June 22 <sup>nd</sup> , 2016	June 23 <sup>rd</sup> , 2016
Data for the 2 <sup>nd</sup> quarter of 2016	September 27 <sup>th</sup> , 2016	September 30 <sup>th</sup> , 2016
Data for the 3 <sup>rd</sup> quarter of 2016	December 30 <sup>th</sup> , 2016	December 30 <sup>th</sup> , 2016
Data for the 4 <sup>th</sup> quarter of 2016	March 31 <sup>st</sup> , 2017	April 7 <sup>th</sup> , 2017

### 3.3 Record of Authorised Carrier Vessels 1 (CCSBT Obligation 2.3(i) + (ii))

The aim of this obligation is to ensure that Members have processes in place to effectively and accurately manage a record of authorised carrier vessels to receive transshipments-at-sea in areas beyond national jurisdiction.

*NOTE: This obligation applies only to Members which have carrier vessels conducting transshipments in the high seas*

#### 3.3.1 MPR 1a: [Operating systems and processes to] Authorise specific carrier vessels to receive at-sea transshipments from its authorised Fishing Vessels (LSTLVs).

**Summary** – Taiwan has systems and processes to authorise specific carrier vessels to receive at-sea transshipments from its authorised Fishing Vessels. In the first instance vessel catch (daily compared with weekly) records are required to be accurate to receive transshipment permission from the FA. Payment for observers from IOTC or ICCAT to supervise the transshipment is required. In addition carrier vessels are authorised by the FA when they demonstrate documented evidence of complying with Taiwan and CCSBT transshipment resolution, which states that they are not allowed to receive transshipments from fishing vessels that are not registered in the RFMO list. During the 2015/2016 fishing season 47% (538tons of 1,143tons) of annual catch was tranship at sea, with participation of 29 fishing vessels and 5 carrier vessels.

#### Key points

- FA authorisation is required to permit at sea transshipment;
- Carrier vessels are not allowed to receive transshipments from fishing vessels that are not registered in the RFMO list;
- Captains of fishing and carrier vessels, and the observer, are required to sign jointly in the required field of the catch monitoring form (CMF) and transshipment declaration for certifying the transshipment;
- The FA requires 7 days prior notice before carrier vessel arrive at domestic port for inspection.

Taiwan has established systems and processes to authorise specific carrier vessels to receive at-sea transshipments from its authorised Fishing Vessels (LSTLVs). The legal framework includes, Article 11 of the Act for Distant Water Fisheries, which stipulates that fishing vessels of distant water fisheries shall not conduct transshipment in-port or at-sea without authorisation by the FA. In addition only carrier vessels which provide evidence of complying with Taiwan and CCSBT managements systems (such as installation of VMS, and accepting regional observers) are authorised to participate in transshipment with Taiwan fishing vessels. During the 2015/16 fishing season five carrier vessels were authorised with their details registered with CCSBT.

According to the Taiwan national report for 2015, , fishing vessels authorized by FA can only tranship SBT at sea with required fee for the observer program paid and the regional observer assigned by IOTC or ICCAT on board, in accordance to the Regional Observer Program (ROP). During the 2015/2016

fishing season 47% (538t of 1143t) of annual catch was transhipped at sea, with a total of 29 vessels participation. A total of 5 carrier vessels of Taiwan flag are registered and authorised to participate in transshipment for this fishery<sup>32</sup>. The list of authorised carrier vessels were; CHEN YU 7, LIAN JYI HSING, SHENG HONG, SHUN TIAN FA 168, and YUAN TAI 806.

Whether SBT transhipped at sea or port, all SBT landing at domestic port, requires fishers to inform the FA 7 days in advance before arrival at the port in order for the FA to arrange competent staff to supervise, inspect, validate the catch as well as CMF and CTF<sup>33</sup>. Carrier vessels are not allowed to receive transshipments from fishing vessels that are not registered in the RFMO (CCSBT) list. Fishing vessels transshipping SBT at sea shall cooperate with the observers assigned by IOTC or ICCAT. For vessels that tranship SBT at sea, the captains of fishing and carrier vessels, and the observer, shall sign jointly in the required field of the catch monitoring form (CMF) for certifying the transshipment.

**3.3.2 MPR 1b: [Operating systems and processes to] Ensure authorised carrier vessels will meet their obligations to provide access and accommodation to observers, cooperate with observers in relation to carrying out their duties, and not interfere with, or seek to influence, observers in any way.**

**Summary** – Taiwan systems and processes comply with requirements for cooperating with at sea observers. Carrier vessels are required to cooperate with the regional observers’ memorandum of understanding, and provide regional observers with appropriate space, facility and documents for working and living on the vessel, as well as any necessary and adequate assistances in relation to carrying out their duties. Fishers are not allowed to prevent, threaten, hamper, interfere or bribe the regional observers to carry out their duties. Taiwan vessels are 100% supervised with 5% catch inspection by the FA officials at foreign and domestic ports, and 100% regional observers’ coverage on board for at-sea transshipment. No violations were identified for Taiwan during the 2015/16 fishing season.

**Key points**

- FA monitor carrier vessel with regards to their cooperation with at-sea observers;
- For the 2015/16 fishing season 13.58% effort and 11.72% catch observer participation was identified among the fleet;
- No violations were identified for this season (2015/16);

Taiwan has established systems and processes which ensure authorised carrier vessels will meet their obligations to provide access and accommodation to observers, cooperate with observers in relation to carrying out their duties, and not interfere with, or seek to influence, observers in any way.

Carrier Vessel Operators sign a memorandum of understanding (MoU) with the company responsible for deploying observers confirming that observers will be provided with appropriate space, facility and documents for working and living on the vessel, as well as any necessary and adequate assistances in relation to carrying out their duties<sup>34</sup>. Fishers are not allowed to prevent, threaten, hamper, interfere or bribe the regional observers to carry out their duties.

For the 2015/16 fishing season 13.58% effort and 11.72% catch by LSTLV with scientific observer participation was identified among the fleet. The landing and transshipment of SBT for Taiwan vessels are 100% supervised with 5% catch inspection (or 100% for a small amount of SBT catch) by FA officials

<sup>32</sup> CCSBT website of Taiwan carrier vessel list; and FA list of carrier vessel.

<sup>33</sup> Resolution on Establishing a Program for Transshipment by Large-Scale Fishing Vessels

<sup>34</sup> [https://www.iccat.int/Documents/ROP/ICCAT\\_Observer\\_Manual.pdf](https://www.iccat.int/Documents/ROP/ICCAT_Observer_Manual.pdf)

at foreign and domestic ports. Regional observers' coverage on board LSTLV for at-sea transshipment was 100%. No violations were identified for Taiwan during the 2015/16 fishing season<sup>35</sup>.

### 3.3.3 MPR 1c: [Operating systems and processes to] Provide required information on authorised carrier vessels to the Executive Secretary within 1 month of the vessel being authorised, and before such vessels are actually used in transshipments.

**Summary** – Taiwan has established systems for communicating a list of authorised carrier vessels to the Executive Secretary at the start of the fishing season, and update this list as required. Vessel owners and masters are required to submit annual transshipping proposal and any changes for approval by the FA, who then informs the Executive Secretary. On 16<sup>th</sup> March 2016, the FA provided written correspondence to the CCSBT of the updated authorised Carrier Vessel list that should remain effective until 31<sup>st</sup> March 2017.

#### Key points

- Taiwan annual fishing season for SBT typically starts 1<sup>st</sup> April;
- FA is required to formally notify CCSBT 1 month prior to the start of fishing with an authorised list of carrier vessels, however the list can be updated anytime during the year;
- FA has provided up-dated information on authorised carrier vessels to the CCSBT when there are changes to be published on CCSBT website.

Taiwan has established systems and processes to provide required information on authorised carrier vessels to the Executive Secretary within 1 month of the vessel being authorised, and before such vessels are actually used in transshipments.

The FA is responsible for submitting by email, an updated list of authorized carrier vessels to the Commission Executive Secretary prior to the start of the fishing season, and update this list with changes without delay. The list of authorised carrier vessels are maintained in electronic database at the FA Deep Sea Fisheries Section and FMC, as well as on the CCSBT website. In practice vessels can be authorised at any time of the season and not necessarily for the entire season. In recent years the Taiwan has maintained an unchanged list of carrier vessels<sup>36</sup>.

The FA submitted on 16<sup>th</sup> March 2016 the list of authorized carrier vessels to the Executive Secretary electronically by email using the CCSBT data provision form before the beginning of new fishing season, with acknowledgement from the CCSBT of receiving this information within approximately 1-5days. For the 2016/17 fishing season which started on April 1<sup>st</sup> 2016, the approved carrier vessel list was submitted by email to the Executive Secretary in March, therefore complying with the 1-month notification requirement; and is consistent with the list available on the CCSBT website as at 29<sup>th</sup> March 2017<sup>37</sup>. The authorised list of carrier vessels can be updated at any time during the fishing season, however Taiwan maintains a consistent list of authorised carrier vessels (Personal communication March 2017 with FA and CCSBT).

<sup>35</sup> CCSBT-CC/1610/SBT Fisheries – Taiwan (Rev2); CCSBT-CC/1610/07 Rev2; Resolution on Establishing a Program for Transshipment by Large-Scale Fishing Vessels

<sup>36</sup> Discussion with the FA and CCSBT March 16-24, 2017.

<sup>37</sup> <https://www.ccsbt.org/en/content/ccsbt-record-authorized-vessels>

### 3.3.4 MPR 1d: [Operating systems and processes to] submit any updates to the Executive Secretary promptly, and no later than 1 month from the change occurring, and before such vessels are used in transhipments.

**Summary** – Taiwan has established processes for cooperating with fishers and the CCSBT in order to timely update and communicate changes to authorised carrier vessel list. Fishers are required without delay to inform the FA of any changes and obtain approval for the transhipment before a physical transhipment takes place. FA is required to send an initial and any updated vessel list to CCSBT within 1 month before the vessels commence transhipment.

Annually the list of authorised carrier vessels was sent to the Executive Secretary before the beginning of new fishing season by email. No changes or update was made to the list of carrier vessel from start to end of the 2015/16 fishing season, and in recent years.

#### Key points

- Taiwan annual fishing season typically starts 1<sup>st</sup> April until 31<sup>st</sup> March;
- FA initial and updated list of authorise carrier vessels is communicated to the CCSBT by email annually, or as required, and prior to port transhipment and at-sea transhipment;
- No changes or update was made to the list of Taiwan authorised carrier vessel from start to end of the 2015/16 fishing season, and in recent years.

Taiwan has established systems and processes to submit any updates to the Executive Secretary promptly, and no later than 1 month from the change occurring, and before such vessels are used in transhipments.

Fishing vessels transhipping SBT at sea or in ports are required to comply with processes which are based on the “*Resolution on Establishing a Program for Transhipment by Large-Scale Fishing Vessels*”. An initial authorised carrier vessels list is communicated with the CCSBT by email for transhipping SBT. The FA communicated any updated authorised carrier vessel list to the CCSBT by email promptly. The list has remained consistent in recent years. No changes or update was made to the list of Taiwan carrier vessel from start to end of the 2015/16 fishing season. On 16<sup>th</sup> March 2016, the FA provided written correspondence to the CCSBT of the updated authorised Carrier Vessel list that should remain effective until 31<sup>st</sup> March 2017.

Any changes to the list of carrier vessels are immediately updated in the authorized carrier vessels transhipment plan held by the FA and CCSBT (website). Fishers’ by-way of the TTA inform the FA of any fishing or carrier fleet changes and obtain prior approval for the transhipment before a physical transhipment takes place. FA corresponds the updated list and schedule to CCSBT within 1 month before the vessels commence transhipment<sup>38</sup>, as shown in the FA letter to CCSBT on 16<sup>th</sup> March 2016.

<sup>38</sup> CCSBT-CC/1610/07 Rev2, CCSBT-CC/1610/SBT Fisheries – Taiwan (Rev2), and Resolution on Establishing a Program for Transhipment by Large-Scale Fishing Vessels

### 3.3.5 MPR 1e: [Operating systems and processes to] Ensure all authorisations, and any updates, are submitted electronically to the Executive Secretary using the Data Provision Form for CCSBT Record of Authorised Carrier Vessels.

**Summary** – Taiwan has an obligation to ensure its processes include measures which facilitate all authorisations, and any updates, are submitted electronically to the Executive Secretary using the Data Provision Form for CCSBT Record of Authorised Carrier Vessels.

The FA submitted on 16<sup>th</sup> March 2016 the list of authorized carrier vessels to the Executive Secretary electronically by email using the CCSBT data provision form before the beginning of new fishing season, with acknowledgement from the CCSBT receiving this information within approximately 1-5days.

#### Key points

- Taiwan is required to use the Data Provision Form for CCSBT Record of Authorised Carrier Vessels;
- The updated Form was sent by the FA with acknowledgement from the CCSBT, of receiving this information within approximately 1-5days.

Taiwan has established systems and processes to ensure all authorisations, and any updates, are submitted electronically to the Executive Secretary using the standard Data Provision Form for CCSBT Record of Authorised Carrier Vessels.

The Data Provision Form for CCSBT Record of Authorised Carrier Vessels was updated according to the requirements in the “Resolution on Establishing a Program for Transshipment by Large-Scale Fishing Vessels” which states that;

*“Each Member and CNM shall submit, electronically where possible, to the CCSBT Executive Secretary the list of the Carrier Vessels that are authorised to receive transshipments from its LSTLVs without delay. Each Member shall promptly notify the Executive Secretary of any addition to, deletion from, and/or any modification to the list of Carrier Vessels at any time such changes occur without delay”<sup>39</sup>*

The FA submitted on 16<sup>th</sup> March 2016 the list of authorized carrier vessels to the Executive Secretary electronically by email using the CCSBT data provision form before the beginning of new fishing season, with acknowledgement from the CCSBT receiving this information within approximately 1-5days.

<sup>39</sup> CCSBT-CC/1610/07 Rev2, CCSBT-CC/1610/SBT Fisheries – Taiwan (Rev2), and Resolution on Establishing a Program for Transshipment by Large-Scale Fishing Vessels

### 3.4 Record of Authorised Carrier Vessels 2 (CCSBT Obligation 2.3(iii))

The aim of this obligation is to ensure that Members have processes in place to ensure VMS on board all transshipment vessels.

*NOTE: This obligation applies only to Members which have carrier vessels conducting transshipments in the high seas*

#### 3.4.1 MPR 1: Operating systems and processes to ensure that carrier vessels can only be authorised to carry out at-sea transshipments if (a) the carrier vessel already has an operational VMS installed, or the carrier vessel undertakes to install an operational VMS before any authorisation and transshipments of SBT take place, and (b) the VMS transmits at frequency sufficient to show transshipment operations, and (c) the VMS will function effectively in the expected operating conditions.

**Summary** – Taiwan has established systems and processes to ensure carrier vessels can only be authorised to carry out at-sea transshipment where the CCSBT resolution as well as relevant RFMO (such as ICATT and IOTC) obligations on VMS are met.

The technical functions of VMS are confirmed by FMC of the FA who provides a report on vessel geographic positions. Authorisation is likely where compliance is identified. During the 2015/16 fishing season the number of carrier vessels authorised to carry out transshipment with VMS were five, also there were no instances where VMS malfunctions were identified.

##### Key points

- Five carrier vessels were authorised to carry out transshipment in the 2015/16 fishing season; VMS units are installed to ensure continuous reporting capability;
- Carrier vessel authorisation records at the FA and vessel monitoring system at the FMC confirmed pre-season installation and full functions VMS systems in order to identify vessel locations.

Taiwan has established systems and processes to ensure carrier vessels can only be authorised to carry out at-sea transshipment where the CCSBT resolution as well as relevant RFMO (such as ICATT and IOTC) obligations on vessel monitoring system (VMS) are met. Prior to being authorised to carry out at-sea transshipments, all carrier vessels are required to install VMS in accordance with the requirements of CCSBT and relevant RFMO. Also the technical functions of the VMS is required to be confirmed by FMC of the FA, who was provided reports on vessel geographic positions from the OFDC during the fishing season. Carrier vessels operating in the Atlantic Ocean, the Pacific and Indian Oceans report their location to OFDC at least every 4 hours for monitoring the transshipment process. It is prohibited that fishing and carrier vessels to operate without VMS<sup>40</sup>.

During the 2015/16 fishing season the number of carrier vessels authorised to carry out transshipment with VMS were five, also there were no instances where VMS malfunctions were identified, and there were no requirement for consequential actions by the vessel master and FA<sup>41</sup>.

<sup>40</sup> CCSBT-CC/1610/07 Rev2, CCSBT-CC/1610/SBT Fisheries – Taiwan (Rev2), Resolution on the development and implementation of a Vessel Monitoring System; Resolution on establishing the CCSBT Vessel Monitoring System

<sup>41</sup> Site visit meeting with FA – FMC and VMS unit, 21-23, March 2017.

### 3.5 Catch Documentation System 1 (CCSBT Obligation 3.1 (i) – (v))

The aim of this obligation is to ensure that Members have processes in place to effectively and accurately manage the CCSBT Catch Documentation System (CDS).

#### 3.5.1 MPR 1a: [Operating systems and processes established and implemented to ensure that] All owners and operators of authorised farms, fishing vessels, and carrier vessels, and all SBT processors, importers exporters and re-exporters, are aware of their CCSBT obligations.

**Summary** – Taiwan has systems which are implemented to facilitate all owners and operators to be aware of their CCSBT obligations and are based on guidelines such as -Resolution on the Implementation of a CCSBT Catch Documentation Scheme, and Operation Directions for Application and Issuance of CCSBT SBT Catch Document. Fishers including owners and operators of authorised commercial vessels and carrier vessels, processors, importers, exporters and re-exporters are required to understand and comply with the directions for issuing the SBT catch documents. Taiwan demonstrated compliance with use of CDS during the 2015/16 fishing season; however 3 minor discrepancies were identified in CMF such as 2.5% difference of domestic landing weight.

#### Key points

- For the 2015/16 fishing season the Taiwan demonstrated compliance with CDS
- Taiwan does not operate SBT farms;
- 3 minor discrepancies were identify relating to 2.5% difference in domestic landing weight.

Taiwan has established systems and processes to facilitate awareness of their CCSBT obligations by all owners and operators of fishing vessels, and carrier vessels, and all SBT processors, importers, exporters and re-exporters. Taiwan does not operate SBT farms.

All Members and Cooperating Non-Members are required to implement the CCSBT CDS for SBT to document the movement of all SBT as outlined in this resolution. The CCSBT CDS incorporates CCSBT CDS documentation and tagging of SBT; [“Resolution on the Implementation of a CCSBT Catch Documentation Scheme”](#)<sup>42</sup>

Taiwan enacts the “Operation Directions for Application and Issuance of CCSBT SBT Catch Document” to manage the fishery resources and responses accordingly to the Catch Documentation Scheme implemented by RFMOs. Fishermen including owners and operators of authorised fishing vessels and carrier vessels and all SBT processors, importers, exporters and re-exporters are required to understand and comply with the directions for issuing the SBT catch documents. The regulation was revised in 2010, and is publicly available on the FA websites. Furthermore, the FA provides training and information to fishermen and third party entities such as operators (carrier vessel masters) and traders or processors through Taiwan Tuna Association (TTA) when revised<sup>43</sup>. The FA and TTA communicate regularly with all entities involved with SBT fishing about the CDS rules and provided local as well as remote training in appropriate use of the CTF and CMF. Formal training manual and videos were provided during the phase 2 stakeholder meetings with TTA and FA.

Taiwan demonstrated compliance with use of CDS during the 2015/16 fishing season; however 3 minor discrepancies were identified in CMF such as 2.5% percent difference of domestic landing

<sup>42</sup> [Resolution on the Implementation of a CCSBT Catch Documentation Scheme”](#)

<sup>43</sup> Site visit meeting with FA – FMC and VMS unit, 21-23, March 2017

weight<sup>44</sup>. According to this report, “Taiwan advised that the cases where its reported catch was lower than the CDS estimate was due to weights for the CDS being measured at sea, which is not as accurate as its landed weight measurements (which were lower). According to Taiwan’s regulations, fishers are requested to report landed weight after the sale of the catch relating to each document. Taiwan advised that the landed whole weight was not higher than its reported catch. An adjustment to Taiwan’s 2015/16 monthly catches was received by the Secretariat on 01/09/16”.

**3.5.2 MPR 1b: [Operating systems and processes established and implemented to ensure that] CDS documents accompany SBT as relevant, including (i) a Catch Monitoring Form (CMF) for all transshipments, landings of domestic product, exports, imports and re-exports; (ii) a Re-export/Export After Landing of Domestic Product (REEF) for all exports of SBT landed as domestic product then exported, and for all re-exports of imported SBT (any REEF must also be accompanied by a copy of the associated CMF and copies of any previously issued REEFs for the SBT being exported); and (iii) a Farm Transfer Form (FTF) for all transfers of SBT between authorised farms within the Member’s jurisdiction;**

**Summary** – Taiwan provide quarterly review of each CDS document to identify whether information is complete and provide feedback where there are information gaps. In practice, CDS such as CMF and CTF are required to be updated without unnecessary gaps in information in order for complying with its purpose. It is not often that Taiwan imports SBT. 1.2t of SBT was imported in 2014/15 and required CDS to be updated in addition to regular process for catch, transshipment, and export. No re-export of imported product was identified.

**Key points**

- For the 2015/16 fishing season the Taiwan demonstrated compliance with CDS
- Relevant entities are required to submit CTF and CMF to the FA for validation;
- FA officials validate CMF and CTF as well as provide reports to the CCSBT.

Taiwan has established systems and processes which support companies and help them to meet their requirements with regards to catch monitoring documents or re-export/export after landing of domestic product documents for transshipments, domestic landings, imports, exports, and re-exports of SBT caught by the fishing vessels, pursuant to “Operation Directions for Application and Issuance of CCSBT SBT Catch Document” and “Directions on Application of Southern Bluefin Tuna Exports and Re-exports” respectively. In compliance with the CCSBT CDS resolution, receivers and buyers at the first point of sale for domestic or export markets are required to sign and record the amounts of SBT traded on the CDS document. Taiwan demonstrated compliance with use of CDS during the 2015/16 fishing season.

CTF and CMF used in Taiwan 2015/16 fishing season was presented by the FA as evidence during phase 2 meetings. All forms were updated with catch information and verified by FA stamp.

In practice, CDS such as CMF and CTF are required to be updated without unnecessary gaps in information in order for complying with its purpose. It is not often that Taiwan imports SBT. 1.2t of SBT was imported in 2014/15 and required that CDS to be updated in addition to regular process for catch, transshipment, and export. No re-export of imported product was identified.

<sup>44</sup> CCSBT-CC/1610/07 Rev2

With regards to traceability, catch monitoring is focused on the catch to first point of sale on domestic and export markets. Further transparency with regards to control and monitoring of SBT trade is constrained by limited human resources beyond the point of first sale. However, designated FA officials provide quarterly review of each CDS document to identify whether information is complete and provide feedback where there are information gaps. This information is fed into the FA training and communication plan with fishers and third-party entities<sup>45</sup>.

**3.5.3 MPR1c: [Operating systems and processes established and implemented to ensure that] All entities with CDS certification obligations have certification requirements, including that the certifier for the Catch Tagging Form (CTF) should be the Vessel Master or other appropriate authority for any wild harvested SBT, and the Farm Operator or other appropriate authority for any farmed SBT.**

**Summary** – Taiwan has established management systems to require the master of longline fishing vessels that catch either targeting or by-catch to certify the catch information every week and submit the reports to FA through TTA on Monday or the first working day of the week. Taiwan does not operate SBT farms.

**Key points**

- Masters of the longline fishing vessels are required and trained by the FA to certify SBT Catch Tagging Form and submit the reports to FA every week.
- FA cross-checks and verify all catch information in the applications including catch information and catch reports, and if correct, issues the SBT catch documents to the owners.

Vessel masters are provided with training from the FA and TTA with regards to applying tags to individual fish and recording this information the CDS. Also vessel masters are responsible to certify the CDS before transmitting data to the TTA and FA. FA officials are responsible to supervise and inspect the landing or transshipment of SBT, and validate and sign the CDS if the information registered is correct when compared with weekly catch reports. Taiwan has established management systems to enforce the master of the longline fishing vessels either targeting or by-catch vessels that catch SBT to certify the catch information every week and submit reports to FA through TTA on Monday or the first working day of the week after national holidays. The Deep Sea Fisheries Division (and the Application and Public Service Centre) of FA cross-checks all application forms, including weekly reports, and then issues catch documents (such as CMF and CTF) to the owners, if all the information is correct<sup>46</sup>. The FA training plan for vessel masters included modules on updating CTF, certifying CMF, email and faxing information.

<sup>45</sup> Site visit meeting with FA – FMC and VMS unit, 21-23, March 2017

<sup>46</sup> Article 12 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans; and Site visit meeting with FA, 21-23, March 2017.

**3.5.4 MPR 1d: [Operating systems and processes established and implemented to ensure that] All entities involved in towing and farming SBT have procedures to (i) record the daily mortality of SBT during catching and towing, and the quantity (number and weight in kilograms) of SBT transferred to each farm; and (ii) use these records to complete the Farm Stocking Form at the end of each fishing season and before the SBT are recorded on a CMF.**

**Summary** – Taiwan does not operate SBT farms

Taiwan does not operate SBT farms<sup>47</sup>

**3.5.5 MPR 1e: [Operating systems and processes established and implemented to ensure that] Compliance with certification procedures is verified.**

**Summary** – Taiwan has established and implemented systems and processes to monitor all landings and transshipments of SBT to verify levels of compliance with catch certification requirements. The certification procedure requires masters of fishing vessel to certify its catch by signing each e-logbook report and weekly catch report sent to vessel owners.

The masters of fishing and carrier vessels and the regional observers are required to sign jointly the catch monitoring form, which is used by FA staff to verify compliance with certification procedures. FA officials conduct review and cross-checking of all catch reports including transshipment documents to verify compliance with the catch certification process.

**Key points**

- The captains of fishing and carrier vessels and the observers sign jointly in the catch monitoring form to certify the catch and this is used by FA staff to conduct review and cross-checking of catch document to verify compliance with certification procedures.

The certification procedure requires masters of fishing vessel to certify its catch by signing each e-logbook report and weekly catch report sent to vessel owners.

Each Master details, signature and fishing vessel information is held by the FA and used during cross-checking to verify compliance with certification procedures.

The masters of fishing and carrier vessels and the regional observers are required to sign jointly the catch monitoring form, which verifies compliance with certification procedures. FA officials conduct review and cross-checking of all catch reports including transshipment documents to verify compliance with catch certification process<sup>48</sup>.

**3.5.6 MPR 2: Any use of specific exemptions to CDS documentation (allowed for under obligation 3.1 A (ii) for recreational catch) must be (a) explicitly allowed and this decision advised to the Executive Secretary; and (b) have associated documented risk-management strategies to ensure that associated mortalities are accounted for and that recreational catches do not enter the market.**

**Summary** – Taiwan does not allow fishing SBT recreationally.

Taiwan has no recreational fisheries for SBT.

<sup>47</sup> CCSBT-CC/1610/SBT Fisheries – Taiwan (Rev2)

<sup>48</sup> CCSBT-CC/1610/SBT Fisheries-Taiwan(Rev.2) and Site visit meeting with FA, 21-23, March 2017

### 3.5.7 MPR 3: Operating systems and processes established and implemented to ensure all CDS documents are uniquely numbered and completed fully and in accordance with the document's instructions.

**Summary** – Taiwan has established and implemented operating systems and processes to uniquely number and fully complete all CDS documents.

Fishermen shall provide the unique number assigned by FA in the top of the Catch Monitoring Form and Catch Tagging Form when they use catch documents of SBT. Fully completing the application forms in accordance with the document's instructions is required by regulation in accordance with the document's instructions. In practice, the TTA assist fishers in these matters by providing all required documents, as well as to provide training and support to fishers, in how to complete the required forms, as well as checking documents before they are submitted to the FA.

#### Key points

- TTA provide training to fishers in how to accurately complete CTF and CMF in accordance with the document's instructions.
- TTA and FA checks that all the forms provided by fishermen include unique numbers assigned by FA in the top of the Catch Monitoring Form and Catch Tagging Form

There is an established and implemented operating systems and processes to uniquely number and to fully complete all CDS documents.

The TTA assist fishers in these matters by providing all required documents, as well as to provide training and support in how fishers should complete forms before they are submitted to the TTA and FA.

Staff at the FA checks all CDS documents submitted by fishermen to confirm they include accompany unique number that was assigned by FA and is recorded in the top of the Catch Monitoring Form and Catch Tagging Form.

With reference to Article 4 (Operation Direction for Application and Issuance of CCSBT SBT Catch Documentation) fishers should fully complete the application forms and strictly follow the guidelines when documenting and reporting their SBT to the TTA and FA<sup>49</sup>.

<sup>49</sup> Article 4 of the "Operation Directions for Application and Issuance of CCSBT SBT Catch Document"; and Site visit with FA/TTA 21-23 March 2017.

### 3.6 Catch Documentation System 2 (CCSBT Obligation 3.1 (vi))

The aim of this obligation is to ensure that Members have processes in place to effectively and accurately manage the CCSBT Catch Documentation System (CDS).

#### 3.6.1 MPR 1: Operating systems and processes established and implemented to ensure that at all times only carrier vessels authorised on the CCSBT Record of Carrier Vessels for the transshipment date are permitted to receive at-sea transshipments from the Member's LSTLVs.

**Summary** – Carrier vessels are not allowed to receive transshipments from fishing vessels that are not registered in the list of RFMOs. Taiwan has established management systems that all the fishing vessels and carrier vessels shall submit application forms 3 days before the transshipment and need to obtain approval from FA before the transshipment takes place

##### Key points

- Carrier vessels are not allowed to receive transshipments from the fishing vessels that are not registered in the list of RFMOs.
- Fishing vessels that tranship SBT catch at sea cooperate with the regional observer assigned by IOTC or ICCAT for inspection.
- Captains of fishing and carrier vessels and the regional observer signed jointly in the Catch Monitoring Form for certification of the transshipment.

It is a violation for any carrier vessel to receive transshipments from fishing vessels that do not possess a valid registration certificate with the RFMO list. In addition an updated authorise list of fishing and carrier vessels is maintain by the FA Officials and CCSBT. Taiwan has implemented management systems to permit the transshipment operations only when fishing vessels and carrier have submitted application forms 3 days prior to the transshipment, and need to receive approval from FA. Cooperation between fishing vessels, carrier vessels and regional observer, assigned by IOTC or ICCAT for inspection, is necessary for SBT at-sea transshipments.

All fishing vessels that catch SBT as target or bycatch and carrier vessels have installed VMS and report their position regularly. The FMC of the FA use this information to monitor both fishing and carrier vessels authorised that receive at-sea transshipments at all times<sup>50</sup>. During the site visit, the FMC provided navigation back-trace for fishing vessel CT6-1402 to demonstrate the system and process used to monitored activities of Taiwan authorised fishing and carrier fleet.

<sup>50</sup> Article 3 of the "Regulations for Deep Sea Tuna Longline Vessels and Carrier Vessels Engaging in Transshipments in the Three Oceans"; Articles 13 of the "Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans"; Articles 14 of the "Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans"; Article 6 of the "Operation Directions for Application and Issuance of CCSBT SBT Catch Document" and Site visit with FA 21-23 March 2017.

**3.6.2 MPR 2: Rules established and implemented to prohibit (a) the landing, transshipment, import, export or re-export of SBT caught or transhipped by non-authorized fishing/carrier vessels, and (b) the transfer of SBT to, between or harvested from farms which were not authorised to farm SBT on the date(s) of the transfers/ harvests.**

**Summary** – All fishing and carrier vessels fishing for SBT in Taiwan need authorization from FA. Authorised fishing and carrier vessels are monitored under the supervision of FA based on VMS monitoring data. Fishing and carrier vessels must report to FA through TTA 7 days before arrival to the port to ensure FA officials are available to supervise and inspect the transshipment or landing. Fishing and carrier vessels can land SBT only at designated domestic ports (Cianjhen Fishing Port, Kaohsiung). Seasonal targeting and bycatch vessels can land SBT at only two designated foreign ports (Port Cape Town in South Africa and Port Louis in Mauritius). Fishermen are required to report to FA when transshipping SBT to foreign markets such as Japan, where inspection is conducted by approved independent 3<sup>rd</sup> party including; Shinken Corporation, and Nippon Kaiji Kentei Koyai, Incorporated Association. For areas outside Japan, the verifying party will obtain accreditation for management systems from the Taiwan Accreditation Foundation (TAF)

**Key points**

- All fishing and carrier vessels that catch or tranship SBT need authorization from FA and are monitored with VMS.
- All rules and requirements are the same for seasonally targeting and bycatch fishing vessels for SBT catch authorisation and reporting.
- Fishermen shall use catch monitoring document for SBT provided by the FA, and correctly follow document preparation, including application form, catch reporting documents, documents of SBT transshipment by carrier vessels and catch tagging form.
- Taiwan does not operate farmed SBT fishery.

Taiwan has established management rules and regulations to ensure the landing, transshipment, import, export or re-export of SBT caught or transhipped, is by authorised fishing and carrier vessels.

All fishing and carrier vessels of Taiwan are authorised by the FA and monitored with VMS by FA-FMC at all times. All landing are validated by FA officials at domestic and foreign ports. Fishing and carrier vessels can use only the designated ports (i.e. fishing port of Cianjhen in Kaohsiung) for domestic landing, and shall report the type of transportation, amount of landing, and time and location of the SBT capture to FA one week before arrival at ports for inspection. Seasonal targeting and bycatch fishing vessels can use only two designated foreign ports (Port Cape Town of South Africa and Port Louis of Mauritius) for transshipments, and shall report to FA through TTA one week before entering the port for inspection by FA officers. Note that all standards and requirements are the same for targeting and bycatch vessels that catch SBT. Fishermen trading the SBT to foreign markets or landing the fish domestically shall report to FA through TTA one week before entering the port for inspection<sup>51</sup>. Fishermen shall apply to the FA for authorisation, based on their purpose for catch monitoring documents or re-export/export after landing of domestic product documents for transshipments, domestic landings, imports, exports, and re-exports of SBT caught by the fishing vessels<sup>52</sup>. Fishermen

<sup>51</sup> Article 11 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans”

<sup>52</sup> Article 14 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans”; and Article 2, and 43-63, of the “Regulations for Tuna Longline Fishing Vessels Proceeding to the Indian Ocean for Fishing Operation; and Article 11 of the Act for distant Water Fisheries.

shall apply for the catch monitoring document from FA using the following documents: application form, catch reporting documents checked by TTA, documents of SBT transshipment by carrier vessels, and catch tagging form.

### **3.7 Catch Documentation System 3 (CCSBT Obligation 3.1 (vii) – (ix))**

The aim of this obligation is to ensure that modifications to CDS documents are monitored and reviewed.

#### **3.7.1 MPR 1: The Executive Secretary shall, in consultation with Members, determine whether proposed modifications are minimal or significant with respect to this obligation.**

**Summary** – Taiwan ensure that the CDS form currently used is in accordance with the CCSBT form and are without any modification.

The Deep Sea Fisheries Division of FA is in charge of the compliance for the CDS documents to ensure that the CDS form currently used by Taiwan and fishers is in accordance with CCSBT requirement without any modification. All CDS documents are monitored and reviewed by this division and no modifications are reported.

#### **3.7.2 MPR 2: Modified documents remain compatible with approved forms to ensure data series remain continuous and so they can be uploaded by the Secretariat.**

**Summary** – Taiwan does not modify CDS documents, therefore all forms remain compatible with the requirement of CCSBT to ensure the data series being continuous and uploaded by the Secretariat.

Taiwan demonstrated compliance with the use of CDS documents during the 2015/16 fishing season. The CDS from currently used by Taiwan is in accordance with the CCSBT form and requirement without any modification.

#### **3.7.3 MPR 3: Modified documents are provided to the Executive Secretary in electronic format at least 4 weeks prior to the use of such documents and with proposed modifications clearly highlighted.**

**Summary** – Taiwan does not modify the CDS documents.

Taiwan does not modify CDS documents for SBT. In 2015/16 fishing season, it has been demonstrated during the site visiting (21-23 March 2017) that the CDS forms used is in accordance with the format required by CCSBT.

### 3.8 Catch Documentation System 4 (CCSBT Obligation 3.1 (x) - (xii))

The aim of this obligation is to ensure that CCSBT catch tagging requirements are met.

#### 3.8.1 MPR 1(a): [Operating systems and processes established and implemented to ensure that CCSBT Catch Tagging Program requirements are met, including] Ensuring all SBT tags meet the minimum specifications in paragraphs of appendix 2 of the CDS Resolution.

**Summary** –Fishermen and the owner of the fishing vessels who apply for the SBT catch documents from FA shall provide CTF and other additional documents. The CTF and its instructions currently used by Taiwan are in accordance with the CCSBT requirements. Taiwan tags numbers are unique to each fishing year such as TW15- or TW16- for use in 2015 and 2016 fishing seasons respectively.

##### Key points

- Taiwan revised regulation and management systems to include CTF and meet the minimum specifications for all the SBT tags.
- FA checks and examines all the information in CTF documents to ensure that all catch documents meet the minimum specifications.

Taiwan revised the management regulation “Operation Directions for Application and Issuance of CCSBT SBT Catch Document” in 2010 to include CTF in the application forms, which responses accordingly to the Catch Documentation Scheme implemented by CCSBT.

Fishermen who apply for SBT catch documents from FA are required and have provided correctly completed CTF, in addition to other required documents. The CTF and its instructions currently used by Taiwan are in accordance with the CCSBT requirements<sup>53</sup>. This in addition to CCSBT recent compliance reports demonstrated Taiwan compliance with the requirement that all SBT tags meet the minimum specifications in appendix 2 of the CDS Resolution<sup>54</sup>.

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<sup>53</sup> Article 1 of the “Operation Directions for Application and Issuance of CCSBT SBT Catch Document”

**3.8.2 MPR 1(b): [Operating systems and processes established and implemented to ensure that CCSBT Catch Tagging Program requirements are met, including] recording the distribution of SBT tags to (i) entities authorised to fish for, or farm, SBT; and (ii) where applicable, entities which received tags to cover exceptional circumstances.**

**Summary** – Fishing vessel owners pay TTA for SBT tags and after presenting the payment receipt are issued SBT tags by the FA. Tags can be purchased either prior to the season or during the season. Fishing vessels are only allowed to fish for SBT if they have the authorized SBT tags. Vessel owners report the CTF information to TTA within three days of landing, who subsequently pass it onto FA.

**Key points**

- The owner or master of fishing vessels apply for officially issued and recognized tags from FA prior to fishing operations.
- Vessel owners or masters report the recorded tags used in writing to FA through TTA in three days after landing of SBT.
- The catch document of SBT is only issued to fishermen who use tags that are officially authorized by FA.

Taiwan has established operating systems and processes to ensure that the distribution of SBT tags to entities authorised to fish for is recorded. The owner of fishing vessels pay the TTA a fee for SBT tags, and then using the issued receipt, apply for officially recognized tags issued by FA, prior to the fishing season or during the season, if more recognized tags are needed.

SBT fishing vessels are only allowed to fish for SBT when they have obtained authorized SBT tags<sup>54</sup>. Fishermen attach adequately the tag on the fish body and record the length, processed weight, and tag number of the fish in the Catch Tagging Form when processing the SBT caught. The tag are attached firmly on the gill area and position inside the body cavity of the whole fish to reduce tag-lost, and is held with the fish, at least until the first point of landing and sale. Fishermen are allowed to use alternative (replacement) tags and record the new tag number and original tag number (if possible) when tags are damaged or unusable. Vessel owners shall report the recorded used tags in writing to FA through TTA in three days after landing of SBT. The catch document of SBT are only issued to fishermen who use tags that are officially authorized by FA<sup>55</sup>. Training in correctly tagging and recording tag number is provided by the TTA to fishers. CTF records for the 2015/16 fishing did not indicate any incidents of tag lost or misreporting.

<sup>54</sup> Article 12 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans”

<sup>55</sup> Article 6 of the “Operation Directions for Application and Issuance of CCSBT SBT Catch Document”

**3.8.3 MPR 1(c): [Operating systems and processes established and implemented to ensure that CCSBT Catch Tagging Program requirements are met, including] requiring a valid tag to be attached to each SBT brought on board a fishing vessel and killed (including SBT caught as incidental bycatch) or landed and killed from a farm.**

**Summary** – Taiwan requires that all retained SBT shall be attached with valid tags assigned by FA. Fishermen attach the tag on the whole fish and record the length, processed weight, and tag number of the fish in the Catch Tagging Form. Violation against this regulation shall result in suspending the fishing license of the owner, the crew certificate of the master for one year or under. It is not allowed to issue SBT catch documents to the fishermen who use tags without unique series number that were assigned by FA or the tags that are not officially authorized by FA.

**Key points**

- FA requires all retained SBT to be attached with valid tags issued by FA.
- It is not allowed to issue SBT catch documents to the fishermen who use tags without unique series number assigned by FA or tags not officially authorized by FA.
- Starting in 2017/18 fishing season vessel Masters and Owners should return, unused fish tags to FA or declare the destroying of unused tags by themselves.

Taiwan has established management systems to require that all retained SBT are attached with valid CCSBT tags. The CCSBT tags are issued by FA before the fishing season to the vessel master/owners. Fishermen routinely attach the issued CCSBT tag to the whole fish and record the length, processed weight, and tag number of the fish in the Catch Tagging Form when processing the SBT caught<sup>56</sup>. Violation against this regulation shall result in suspending the fishing license of the owner, and the crew certificate of the master for one year or under<sup>57</sup>.

It is not allowed to issue SBT catch documents to the fishermen who use tags without unique series number assigned by FA or the tags that are not officially authorized by FA<sup>57</sup>. The master of the fishing vessels need to submit weekly reports to FA through TTA with the tag numbers. FA checks the reports to confirm if the information is correct, and issues catch documents for SBT based on compliance.

The TTA provide training programs for vessel captain and crew which include modules on correctly tagging and recording tags of SBT in the CTF. In addition it is understood that only when a vessel have used up all tags it may retain untagged SBT onboard, however the catch must be kept in an identifiable manner and tag must be applied to the fish immediately, when tags are provided from the FA. While this contingency system is available, there were no reports of untagged fish for the Taiwan 2015/16 fishing season. Also starting in the 2017/18 fishing season the FA is considering a system for unused tags to be return and reconciled, thereby control any opportunity for tag misuse.

<sup>56</sup> Article 12 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans”

<sup>57</sup> Article 6 of the “Operation Directions for Application and Issuance of CCSBT SBT Catch Document”

**3.8.4 MPR 1(d): [Operating systems and processes established and implemented to ensure that CCSBT Catch Tagging Program requirements are met, including] requiring tags to be attached to each fish as soon as practicable after the time of kill.**

**Summary** – Taiwan has regulation to ensure the tags are attached to SBT catch as soon as practicable. Fishermen adequately attach a valid tag on the fish and record the length, processed weight, and tag number of the fish in the Catch Tagging Form when processing the SBT caught.

**Key points**

- SBT cannot be transhipped or landed without a valid tag.
- FA samples at least 5% SBT to see if authorized tags are attached when landing or tranship the fish at port.
- Fishermen adequately attach a valid tag on the fish and record the tag number of the fish in the Catch Tagging Form.

Fishermen attach a valid tag on the fish and record the length, processed weight, and tag number of the fish in the Catch Tagging Form when processing the SBT caught<sup>58</sup>.

SBT cannot be transhipped or landed without a valid tag. Also it is more difficult to tag a frozen fish compared to a fresh catch, and there is a commercial incentive to tag and freeze the fish in fastest time after catch. If tags are applied as shown in the fish tagging training video, it should not break easily, however replacement tagging is allowed but this must be reported with the FA (both lost and replacement tag codes); (personal communication with TTA and FA – phase 2 meeting).

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<sup>58</sup> Article 12 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans”

**3.8.5 MPR 1(e): [Operating systems and processes established and implemented to ensure that CCSBT Catch Tagging Program requirements are met, including] requiring details for each fish to be recorded as soon as practicable after the time of kill including month, area, method of capture, as well as weight and length measurements carried out before the SBT is frozen.**

**Summary** – Taiwan requires that the captains of the fishing vessels to report the processed weight (in kg), length (fork length, in cm) and unique tag number for the SBT caught by fax or through the catch reporting system to their owner of the vessels on a daily basis. The owners submit the catch information weekly in writing to FA through TTA every Monday (postponed to next working day in the case of holidays). E-logbook catch data is also reported to the FA. Fishermen attach adequately the tag on the whole fish and record the length, processed weight, and tag number of the fish in the Catch Tagging Form when processing the SBT caught.

**Key points**

- Captains of SBT vessels report catch daily by e-logbook to the FA and catch recording documents to Owners.
- Captains of the fishing vessels report the processed weight, length and unique tag number for the SBT caught by fax or through the catch reporting system to their owner and FA on a daily basis on every Monday.
- Violation of catch reporting procedures is enforced by penalties.

Taiwan has established management systems and procedures to ensure all SBT catch information is recorded. E-logbook including vessel catch information is submitted to the FA daily by fishers. This catch information is compared with weekly catch reports and can identify gaps in catch reporting. The CTF is updated daily and show the position and quantities of catch. Overall there is a disincentive for fishers to mis-tag or misreport catch, which impacts on landing or transshipment, as well as sale of the valuable SBT.

The current process is explained that, Fishermen immediately attach adequately the tag on the whole fish and record the length, processed weight, and tag number of the fish in the Catch Tagging Form when processing the SBT caught<sup>60</sup>. Captains of the fishing vessels report the processed weight (in kg), length (fork length, in cm), unique tag number, time and location for the SBT caught by fax or through the catch reporting system to their owner on a daily basis<sup>59</sup>. The owners submit weekly catch information in writing to FA through TTA every Monday (postponed in the case of holidays). The FA compares daily and weekly catch records to identify compliance or violations and resulting actions. Discussions and catch reporting documents reviewed from the FA did not point to any discrepancies in Taiwan compliance with CCSBT catch tagging requirements.

<sup>59</sup> Article 11 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans”

### 3.9 Catch Documentation System 5 (CCSBT Obligation 3.1 (xiii) - (xviii))

The aim of this obligation is to ensure that CCSBT catch tagging requirements are met.

**3.9.1 MPR 1: Operating systems and processes established and implemented to (a) meet procedural and information standards set out in appendix 2 of the CDS resolution; (b) identify any unauthorised use of SBT tags; (c) identify any use of duplicate tag numbers; (d) identify any whole SBT landed, transhipped, exported, imported or re-exported without a tag; (e) ensure that tags are retained on whole SBT to at least the first point of sale for landings of domestic product; and (f) ensure a risk management strategy (including random or risk based sampling) is in place to minimise the opportunity of illegal SBT being marketed.**

**Summary** – Taiwan revised the regulation to respond accordingly to the Catch Documentation Scheme implemented by RFMOs and to be consistent with the requirements for CCSBT. Fishing and carrier vessels can only use two designated foreign ports for transhipments, and shall report the arrival date for inspection. Vessels authorized for fishing for SBT use only tags with unique series numbers including identification symbols for Taiwan and fishing year (such as TW16-xxxxxx, for Taiwan and year 2016). The tags when used are attached firmly to the whole fish, and held at least until the first point of sale. Government officials stationed at foreign and domestic designated ports supervise all fish transfer, as well as conduct sample inspection of SBT catch. Comparison of catch tag information in daily and weekly reports did not identify any discrepancies Taiwan CDS.

**Key points**

- FA issue annually catch tags to authorised fishers and requires all authorized vessels to use tags with unique series numbers including identification symbols for Taiwan (TW) and the fishing year (16). Only catch with correct tag information is validated by FA Officials.
- FA officials stationed at designated foreign and domestic ports supervise all SBT transfers and sample inspection of catch to check the consistency.
- FA Officials conduct comparison of daily and weekly catch information. No discrepancies were identified.

Taiwan has established a system for tag identification and reconciliation processes to identify unauthorised use or duplicate numbers of SBT tags. Fishing vessels authorized by FA use tags with unique series numbers including identification symbols for Taiwan (TW) and the fishing year (16). Taiwan revised its regulation “Operation Directions for Application and Issuance of CCSBT SBT Catch Document” to be consistent with the CCSBT requirements<sup>60</sup>.

For landings or transhipment of SBT, the fishing and carrier vessels can use only the designated fishing port of Cianjhen in Kaohsiung for domestic landings and are required to report the arrival date for inspection 7 days before arrival<sup>61</sup>. Seasonal targeting and bycatch vessels can use only two designated foreign ports (Port Cape Town of South Africa and Port Louis of Mauritius) for transhipments, and

<sup>60</sup> Article 1 of the “Operation Directions for Application and Issuance of CCSBT SBT Catch Document”; Article 4 of the “Operation Directions for Application and Issuance of CCSBT SBT Catch Document”; Article 12 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans”

<sup>61</sup> Article 11 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans”

report the arrival date for inspection. Tags are attached firmly to the whole fish and held at least until the first point of sale.

Government officials stationed at foreign and domestic designated ports conduct random sample inspection, and supervise all SBT catch transfers<sup>62</sup>. Any SBT catch identified without the correct tag that was certified by the vessel master or not validated by FA officials are not eligible for transshipment, and any such violations are enforced by law. No discrepancies were identified with the catch tagging process.

With regard to marketing and the risk management strategy with reference to minimise opportunities of illegal SBT, the FA has translated the related decisions /resolutions of the CCSBT into its national regulation which is enforced strictly. Besides, the FA also is committed to the fight against IUU fisheries including SBT fisheries through various measures to strengthen the managements of marine fisheries, such as the requirements of installing with VMS and e-logbook system, implement CDS, and conducting transshipment / landing inspection, etc. In 2016, Taiwan also adopted National Plan of Control and Inspection for Fisheries (NPCI) in order to make sure the compliance of all its deep-sea fishing fleet and reducing the chances of illegal fishing sales.

**3.9.2 MPR 2 Operating systems and processes established and implemented to (a) monitor compliance by operators with control measures in section 3.9.1, above; (b) impose sanctions on operators where non-compliance is detected; and (c) report any cases of whole SBT being landed without tags to the Executive Secretary, and minimise their occurrence in future.**

**Summary** – Taiwan has established management systems with reference to CDS to monitor compliance, impose sanctions, and report incidences to the CCSBT. The FA compares and cross-check daily with weekly catch records confirm compliance with the catch control measures. Fishing regulations are enacted to address violations when identified. In addition fishers’ annual training programs are updated to provide education on complying with catch control measures. Punishable violations are reported by the FA to the CCSBT in the annual national country compliance report.

**Key points**

- FA requires the vessel owners to submit the information for last week in writing to FA through TTA on every Monday, which is cross checked with daily reports for non-conformances.
- National regulations are enacted to impose sanctions where non-conformance is identified; Also fishers training and education programs are updated.
- An annual national compliance report is provided to the CCSBT by the FA.

Taiwan has set up regulations to ensure fishing vessel owners submit catch information for last week in writing to FA through TTA on every Monday or next working day. Owners not submitting weekly catch data to FA on time are fined at least NT\$30,000 to a maximum of NT\$150,000<sup>63</sup>.

The FA compares and cross-check daily with weekly catch records confirm compliance with the catch control measures. Fishing regulations are enacted to address violations when identified. In addition

<sup>62</sup> National Report of Taiwan: Ecologically Related Species in the Taiwanese Southern Bluefin Tuna Fishery 2011-2012. CCSBT-ERS/1308/SBT Fisheries – Taiwan.

<sup>63</sup> Article 22 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans”

fishers' annual training programs are updated to provide education on complying with catch control measures. Punishable violations are reported to the CCSBT in the annual national country compliance report.

The fishing license of the owner and the crew certificate of the master are suspended for a year or under when violation of tagging SBT is identified. Also sanctions are imposed when catch exceeding by 5% of the quota for seasonal targeting vessels, or by 10% for bycatch vessels, or misreporting the species caught<sup>64</sup>. Fishermen are trained to use new or alternative tags and record the new tag number and original tag number when tags are damaged and unusable. Owners are provided guidance on reporting the record of tag replacement in writing to FA through TTA in three days after landing<sup>65</sup>. The Taiwan National Compliance report for 2016/17 was available from CCSBT with no discrepancies identified.

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<sup>64</sup> Article 32 of the "Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans"

<sup>65</sup> Article 12 of the "Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans"

### 3.10 Catch Documentation System 6 (CCSBT Obligation 3.1 (xix) - (xxi))

The aim of this obligation is to ensure that CDS documents are effectively validated.

#### 3.10.1 MPR 1a: [Operating systems and processes established and implemented to] Authorise validators to validate Farm Stocking, Catch Monitoring and Re-Export/Export after Landing of Domestic Product Forms;

**Summary** – Taiwan requires owners of the fishing vessels to apply for catch monitoring documents based on the purpose of their operation, be-it re-export/export after landing of domestic product, transshipments, or domestic landings of SBT. FA officers stationed at domestic and foreign ports function to validate (check, stamp and sign) catch documents and authorize catch landing, transshipment or Re-Export/Export where compliance is demonstrated.

##### Key points

- The owners of the fishing vessels shall apply to the FA for catch monitoring documents or other documents with reference to: re-export/export after landing of domestic product, transshipments, domestic landings, imports, exports, and re-exports of SBT.
- FA officers function to validate (check, stamp, and sign, to authorize) Catch Monitoring Form for SBT with reference to: Re-Export/Export after Landing of Domestic Product.
- National regulations provide instructions for catch validation and monitoring with reference to SBT re-export/export after landing of domestic product.

Taiwan has established regulations “Operation Directions for Application and Issuance of CCSBT SBT Catch Document” and “Directions on Application of Southern Bluefin Tuna Exports and Re-exports” instructions. Owners of the fishing vessels are required to apply for catch monitoring documents from the FA based on the purpose of their operation, be-it re-export/export after landing of domestic product, transshipments, domestic landings, imports, exports, and re-exports of SBT<sup>66</sup>. As validators, FA officers are stationed at domestic ports and are represented at foreign ports and function to check, stamp, sign, and authorize or reject the Catch Monitoring Form for “Re-Export/Export after Landing of Domestic Product (this is the validation process of the CDS documents). The FA provides CCSBT with update list of validators (29<sup>th</sup> October 2013).

<sup>66</sup> Article 14 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans”

**3.10.2 MPR 1b: [Operating systems and processes established and implemented to] Demonstrate that all persons with authority to validate CDS documents are (i) government officials or other individuals who have been duly delegated authority to validate; (ii) are aware of their responsibilities, including inspection, monitoring and reporting requirements; and (iii) are aware of the penalties applicable should the authority be misused.**

**Summary** – Taiwan has management systems to confirm their official list of validators. The FA provides the CCSBT with a list of validators along with information such as sample images of their seal and signatures. Details of the three active validators were confirmed during the site visit. FA officers who are delegated authority to validate CDS are provided with training before executing the duty for inspection, monitoring and reporting validation CDS documents. In addition they are updated with changes in regulations and compliance instructions.

**Key points**

- CDS validators are trained FA officers with delegated authority, and their details such as stamp and signature shared with the SSCBT.
- Validators are updated with changes in regulations, compliance instructions, and addressing penalties where violations are identified.
- Training is provided by relevant professional organisations with assessment by public examinations before staff are permitted to perform duties of validating the origin of SBT catch.

Taiwan has a management systems for FA officers with delegated authority as validators to inspect and validate CDS documents at domestic or foreign ports. Masters and owner of fishing vessels are provided with training to inform the FA at least one week before the landing or transshipment occurs in order for inspection to take place. Validators provide their stamp, name and title in the Catch Monitoring Form to show their delegated authority and confirm inspection and compliance of the catch documents<sup>67</sup>. Validators from FA are full training before executing the duty of catch inspection, monitoring and reporting<sup>68</sup>. The training plans are outlined in the National Plan of Control and Inspection for Fisheries of the Republic of China (Taiwan). In addition they are updated with changes in regulations, compliance instructions, and addressing penalties where violations are identified.

<sup>67</sup> Article 3 of the “Operation Directions for Application and Issuance of CCSBT SBT Catch Document”

<sup>68</sup> Consultation Meeting with Member, May 13<sup>th</sup>, 2014

### 3.10.3 MPR 1c: [Operating systems and processes established and implemented to] Appropriate individuals certify each CDS form type by each signing and dating the required fields;

**Summary** – Taiwan has management systems to ensure each CDS form are signed and dated in required fields by fishermen or the master of the fishing vessel who are provided with training and instructions on how to certify SBT CDS forms. Regularly vessel captain complete, sign and date CDS documents including the CTF when applying for SBT catch documents, where the FA check compliance with accuracy of the information and procedure followed by vessel masters and owners.

#### Key points

- Fishermen or the master of the fishing vessel complete, sign and date CDS documents including the CTF when applying for SBT catch documents.

Taiwan has established regulations to require fishermen or the master of the fishing vessel to routinely complete and sign (certify) the CDS documents with dates (according to their training and any updated instructions on the matter), when applying for SBT catch documents. FA officials checks (validate or verify) all CDS documents when landing or transshipment of SBT at designated domestic or foreign ports<sup>69</sup>. Rules are in place to address sanctions when any discrepancy are identified. No discrepancies were reported in the Taiwan national compliance report, as well as the CMF and CTF reviewed during the site visit.

### 3.10.4 MPR 1d: [Operating systems and processes established and implemented to] The same individual does not both certify and validate information on the same CDS form

**Summary** – CDS forms are certified by the captain and validated by the FA officials when landing or transshipping SBT at designated ports. FA officials are assigned by the Application and Public Service Centre or the International Fisheries Affairs Section of FA.

Taiwan has established processes for training and updating instructions to persons with different roles and responsibilities in the SBT fishery. Vessel masters and owners are trained and instructed in procedures for certifying CDS forms. FA officials at domestic and foreign ports are trained and instructed in procedures for CDS validation with reference to catch landing or transshipment. FA officials located in the Taiwan office are trained and delegated with responsible to cross-check fishers certified forms with validated reports before verify compliance and issuing SBT fisher authorisations or documentations.

#### Key points

- CDS form are certified by the captain of the fishing vessel and validated by the FA officials when landing or transshipping SBT at designated domestic or foreign ports.

Taiwan has management systems to ensure that the CDS form is certified by the master of the fishing vessels and validated by FA officials assigned by the Application and Public Service Centre or the International Fisheries Affairs Section of FA when vessels land SBT domestically or transship SBT at

<sup>69</sup> Article 3 of the “Operation Directions for Application and Issuance of CCSBT SBT Catch Document”; Article 11 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans”; Consultation Meeting with Member, May 13<sup>th</sup>, 2014.

designated foreign ports. In general, roles and responsible are defined, the CDS form is certified by the captain and validated by FA officials when landing or transshipping SBT at designated ports<sup>70</sup>.

**3.10.5 MPR 1e: [Operating systems and processes established and implemented to] Inform the Executive Secretary of (i) the details for all validators and keep this information up to date; and (ii) of any individuals removed from the list of validators no later than the end of the quarter in which the removal occurred;**

**Summary** – Taiwan has management systems to inform any changes to the list of authorised validators. The FA emailed the Executive Secretary to provide details for all validators and kept this information up to date, or any individuals removed from the list. Most recent changes occurred in 2013, and email communication was sent to CCSBT on 29<sup>th</sup> October 2013.

**Key points**

- FA informed the Executive Secretary on 29<sup>th</sup> October 2013 of the changes to its list of validators one week before the change occurs.

Taiwan has informed the Executive Secretary by email of the changes one week (29<sup>th</sup> October 2013) before the changes occur. A demonstration has been shown during the Consultation Meeting with Member<sup>71</sup>. The list of approved validators was confirmed by the FA to include: Lin, Chia-Hsien, Chi-Hsing Haung, and Fen-Lung Yang.

**3.10.6 MPR 1f: [Operating systems and processes established and implemented to] Ensure that no individual conducts validations (i) prior to the Executive Secretary being fully informed of his/her current validation details, or (ii) after that individual's authority to validate has been removed.**

**Summary** – Taiwan informs the Executive Secretary of the changes to list of authorised validators one week before the changes occur. The most recent changes were updated to the CCSBT in a letter dated 29<sup>th</sup> October 2013. The list was updated with the CCSBT on 29<sup>th</sup> October 2013. Mr Chi-Hsing Huang is the validator stationed at Port Louis, and Mr Feng-Lung Yang is the Domestic validator. Mr Lin Chia-Hsien is the validator stationed at Port Cape Town.

Taiwan has operating systems to ensure the Executive Secretary is informed with the details of any changes to the list of authorised validators. The list of authorised validators in South Africa (Cape Town), Mauritius (Port Louis), and Taiwan has remain consistent for a number of years, and is registered with CCSBT. At designated ports two validators term expired in November 2013 and information of the replacement validators was emailed to the CCSBT 29<sup>th</sup> October 2013, demonstrating seamless transition and compliance. The list of approved validators was confirmed by the FA to include: Lin, Chia-Hsien, Chi-Hsing Haung, and Fen-Lung Yang

<sup>70</sup> Article 11 of the "Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans"

<sup>71</sup> Consultation Meeting with Member, May 13<sup>th</sup>, 2014.

### 3.10.7 MPR 2 Operating systems and processes established and implemented to monitor performance (compliance and effectiveness) of validators.

**Summary** – Taiwan has operating systems to collect three types of fishery data for cross checking the SBT catch in weekly reports, logbooks and commercial trading information for Japanese markets. Accuracy of these information are used to check performance compliance and effectiveness of validators. Information is compiled to check and estimate the catch and effort data of SBT for Taiwan. The trading information on SBT product is collected through the subscription of certified weight reports provided by the OPRT since 2004. The FA of Taiwan checks the trading information with the weekly reports of fishing vessels and logbooks, and assigns senior officials on-site to evaluate the executive performance of the validator on a quarterly basis.

#### **Key points**

- FA cross check SBT catch in weekly reports, logbooks and commercial trading information for Japanese markets. Accuracy of these information are used to check performance compliance and effectiveness of validators.
- The FA of Taiwan checks the trading information with the weekly reports of fishing vessels and logbooks, and assigns other senior officials on-site to evaluate the executive performance of the validator on a quarterly basis.

Taiwan has established management systems to collect three types of fishery data, including weekly reports, logbooks and commercial trading information from the Japanese markets. Information was compiled to estimate the catch and effort data of SBT for Taiwan. The trading information on SBT product has also been collected through the subscription of certified weight reports provided by the Organization for the Promotion of Responsible Tuna Fisheries (OPRT) since 2004<sup>72</sup>. The FA of Taiwan checks the trading information with the weekly reports of fishing vessels as well as logbooks, and assigns officials dispatched or on-site to evaluate the executive performance of the validator on a quarterly basis<sup>73</sup>. Accuracy of these information are used to check performance compliance and effectiveness of validators. As noted earlier, the discrepancies identified related to 2.5% SBT catch weight difference which was presented in the report of all members and CNM.

<sup>72</sup> Review of Taiwan SBT Fishery of 2011/2012. CCSBT-ESC/1309/SBT Fisheries – Taiwan.

<sup>73</sup> Consultation Meeting with Member, May 13<sup>th</sup>, 2014

### 3.11 Catch Documentation System 7 (CCSBT Obligation 3.1 (xxii) - (xxv))

The aim of this obligation is to ensure that CDS documents are effectively validated.

**3.11.1 MPR 1a: [Operating systems and processes established to ensure] CDS forms are only validated (i) where all the SBT listed on the form are tagged (except in cases where tags are no longer required due to processing having occurred); (ii) in the case of farmed SBT, for SBT harvested from farms on a date that the farm was authorised on the CCSBT record of Authorised Farms; and (iii) in the case of Wild Harvest SBT, for SBT taken by FVs on a date when that FV was authorised by the flag Member.**

**Summary** – Taiwan has operating systems and processes to ensure the CDS forms are only validated where compliance in catch documentation is identified. Records in the CTF along with compliance reports indicated that tags are appropriately attached to all processed SBT. Officers from the Deep Sea Fisheries Division of FA check all the required information including weekly reports, logbooks, and trading information from Japanese markets to verify compliance in the CDS forms. It is not allowed to issue SBT catch documents if any discrepancy is found. The officials of FA supervise and inspect all landing and transshipment of SBT in both foreign and domestic ports, and validate the CDS forms only when they comply with CDS protocols for CCSBT.

#### Key points

- FA officers check all the information including weekly reports, logbooks, and trading information from Japanese markets to validate the CDS form, and issue the SBT catch documents when all information is correct.
- FA supervises (100%) and inspects (at least 5%) of all landing and transshipment of SBT in both foreign and domestic ports, and verifies the CDS forms.
- Records in the CTF along with compliance reports indicated that tags are appropriately attached to all processed SBT.
- All SBT listed in the CTF were recorded with a tag issued by the FA for that fishing season.

Taiwan has established management systems to ensure CDS forms are only validated where compliance in catch documentation are identified. Records in the CTF along with compliance reports indicated that tags are appropriately attached to all processed SBT. Officers from the Deep Sea Fisheries Division of FA check all the required information including weekly reports, logbooks, and trading information from Japanese markets to verify compliance in the CDS. Fishermen when applying for SBT catch documents from FA provide the following forms: application form, catch reporting form checked by TTA, SBT catch monitoring form, and catch tagging form<sup>74</sup>. SBT catch documents are not issued to fishermen who are identified to misuse tags (such as tags without unique series number assigned by FA or tags that are not authorized by FA<sup>75</sup>). The officials of FA supervise (100%) and inspect (5%) landing and transshipment of SBT in designated port (both foreign and domestic), and validate the CDS forms only when they comply with CDS protocols for CCSBT. Activities relating to SBT farming are not applicable.

<sup>74</sup> Article 4 of the “Operation Directions for Application and Issuance of CCSBT SBT Catch Document”

<sup>75</sup> Article 6 of the “Operation Directions for Application and Issuance of CCSBT SBT Catch Document”

**3.11.2 MPR 1b: [Operating systems and processes established to ensure] validated documentation accompanies all SBT consignments whether transhipped, landed as domestic product, exported, imported or re-exported, and (MPR 1c) no SBT is accepted without validation documentation.**

**Summary** – Taiwan requires fishing and carrier vessels to use only the designated fishing ports for domestic landing and or transhipments, and are inspected by FA officials when arrived at ports. Records of stamped and signed validator information accompany the SBT at landing or transhipment through to first point of sale.

**Key points**

- Fishing vessels and carrier vessels arrange pre-approval from FA before the transhipment takes place in order for FA staff to be present and supervise any fish transfers.
- Fishing and carrier vessels can use only designated fishing ports for domestic landing and or transhipments and fish transfer are inspection and sampled to confirm compliance before validation documents are issued.
- Validation documents accompanying SBT consignments are checked by FA officials or delegated agency before SBT can be unloaded from fishing or carrier vessels.

Taiwan has management systems for fishermen to apply for catch monitoring documentations based on the purpose of their operations, such as fishing, transhipment, landing, re-export or export. Fishing and carrier vessels arrange pre-approval before the transhipment takes place in port or at sea. Taiwan regulations are implement to manage compliance with this requirement and includes: “*Operation Directions for Application and Issuance of CCSBT SBT Catch Document*” and “*Directions on Application of Southern Bluefin Tuna Exports and Re-exports*”<sup>76</sup>.

Fishing vessels and carrier vessels arrange pre-approval one week before the transhipment is expected takes place in port or at sea<sup>77</sup>. Fishing and carrier vessels can use only the designated fishing port of Cianjhen in Kaohsiung for domestic landing and report the arrival date for inspection<sup>78</sup>. Fishing vessels can use only two designated foreign ports (Port Cape Town of South Africa and Port Louis of Mauritius) for transhipments, and shall be inspected when arrived at ports<sup>79</sup>. For vessels transhipping their SBT catch at sea, the captains of fishing and carrier vessels and the observer shall sign jointly in the required field of the catch monitoring form. These forms are inspected by FA officials when arrived at ports. Records of stamped and signed validator form accompanied the SBT landing and transhipment documents provided during the site visit.

**Phase 2 update:**

During the phase 2 sessions with the FA, validation information on SBT export, import or re-exported were in the form of “Records of landing inspection at Kaohsiung Harbour, Taiwan; in Japan by 3<sup>rd</sup> Agent; in Mauritius, and in Cape Town”. In addition record of custom clearance, was provided which indicated CMF information that used for SBT traceability back to source.

<sup>76</sup> Article 14 of the “*Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans*”

<sup>77</sup> Article 3 of the “*Regulations for Deep Sea Tuna Longline Vessels and Carrier Vessels Engaging in Transhipments in the Three Oceans*”

<sup>78</sup> Article 11 of the “*Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans*”

<sup>79</sup> Article 11 of the “*Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans*”

**3.11.3 MPR 1c: [Operating systems and processes established to ensure] Validation does not occur where (i) validator authorisation procedures were not correctly followed or (ii) any deficiency or discrepancy is found with the CDS form.**

**Summary** – Taiwan has processes to check compliance and effectiveness of the catch validation process and validators’ effectiveness (as previously mentioned).

CDS forms are only validated when authorisation procedures were correctly followed without any deficiency or discrepancy. Taiwan regulation are enacted to enforce compliance with this measure. Fishing and carrier vessels arrange pre-approval one week prior to landing or transshipment and can use only the designated fishing ports for inspection of SBT. Signed validation forms are checked against consignments of SBT by an accredited independent agency and quarterly by senior FA staff.

**Key points**

- FA has established regulations to ensure fishing and carrier vessels use only the designated fishing ports for inspection.
- Signed validation forms are checked against consignments of SBT by an accredited independent agency and quarterly by senior FA staff.

Taiwan has demonstrated that the operating systems for checking compliance and effectiveness of the catch validation process and their validators is effective.

The process includes, Validators who are provided with training and suitable updated information for their role. There is a system where, signed validation forms are checked against consignments of SBT by an accredited independent agency and quarterly by senior FA staff. In addition CDS forms are checked weekly. The overall checking process did not identify any discrepancies with Validator authorisation procedures or mis-report in CDS.

**3.11.4 MPR 2a: [Operating systems and processes established and implemented for a Member to validate SBT product against CDS documents, including] requirements to check accuracy of information by ensuring every CDS document is complete, valid and contains no obviously incorrect information by cross-checking data on the form being validated against (1) data on preceding CDS forms including the Catch Tagging Form; (2) relevant lists of authorised farms, vessels or carriers; and (3) result of any physical inspection by the authority.**

**Summary** – Taiwan has processes to validate SBT products against CDS document.

FA Officials located in the Taiwan office cross-check data in daily and weekly CTF and CMF, as well as the catch validation documents for any discrepancies. The cross checking and comparison process identifies what requirements are being met in every CDS document.

**Key points**

- FA Officials located in the Taiwan office cross-check data in daily and weekly CTF and CMF, as well as the catch validation documents for any discrepancies.
- The cross checking and comparison process ensure identification of what requirements are being met accurately in every CDS document.

Taiwan management systems include processes to validate SBT products against CDS documents. To check the accuracy of information, in CDS documents which were completed by fishers and vessel owners, FA Officials located in the Taiwan office cross-check data in daily and weekly CTF and CMF, as well as the catch validation documents for any discrepancies. The cross checking and comparison process ensure identification of what requirements are being met accurately in every CDS document<sup>80</sup>. The process was demonstrated during the visit to the OFDC and Application and service Centre office. The CCSBT 2016 report on compliance management measures indicated Taiwan to be demonstrating strong compliance with CDS documents, with the exception of CMF for domestic landings where catch and harvest weight differed by 2.5%, however all other areas of CDS monitoring score 100% compliance<sup>81</sup>. The list of authorised fishing and carrier vessels provided by the FA was cross-checked to be consistent with the list on the CCSBT website. Reference to farming of SBT is not applicable.

<sup>80</sup> Article 4 and 6 of the “Operation Directions for Application and Issuance of CCSBT SBT Catch Document”

<sup>81</sup> CCSBT-CC/1610/07 Rev2

### 3.11.5 MPR 2b: [Operating systems and processes established and implemented for a Member to validate SBT product against CDS documents, including] notification of any inconsistencies or inaccuracies to the Member's enforcement authorities.

**Summary** – Taiwan collects trading information of SBT product and cross check this information against catch data. This demonstrates that Taiwan carryout activities to validate SBT product against CDS documents in order to identify discrepancies (inconsistencies or inaccuracies) and raise the need to investigate or enforce sanctions. As a management agency, FA informs and cooperates with national enforcement authorities and Coast Guard Administration to undertake the enforcement for inspection of the fishing vessels, where necessary.

#### Key points

- FA officer cross-checks the trading information with the logbooks and weekly reports of SBT catch.
- Although not an enforcement agency, FA informs and cooperates with the Coast Guard Administration, FMC, domestic and foreign national authorities to undertake the enforcement for inspection of the fishing vessels.

Taiwan has systems for collection of trading information of SBT product from Taiwan fishery that is cross check against CDS documents by FA officials. In addition trading information of SBT product supplied to foreign markets are collected through the Organization for the Promotion of Responsible Tuna Fisheries (OPRT) since 2004<sup>82</sup>, and through the subscription of certified weight reports of Shin Nippon Kentai Kaisha (the New Japan Surveyors and Sworn Measures Association, NJSSMA) for SBT transhipped at-sea and transported directly to Japan, since 2014 (note that before 2004 FA paid the NJSSMA for cross-checking the trading information against catch data)<sup>83</sup>. Currently FA officers from the Deep Sea Fisheries Division cross-checks the trading information with the logbooks and weekly reports of SBT catch. Although not an enforcement agency, the FA informs and cooperates with the Coast Guard Administration to undertake the enforcement for inspection of the fishing vessels. In addition the FA functions includes cooperating with national legal and enforcements authorities with reference to proceedings on violation of CDS.

Taiwan's own Coast guard vessels are currently inoperative, however, there are contingency measures such as VMS by the FMC and cooperation with domestic and foreign national enforcement authorities to institute sanctions where notification is given. High seas boarding and inspections are conducted based on international cooperation within Taiwan multilateral framework with foreign (Australia, Cook Island, France, Japan, New Zealand and United States of America) enforcement vessels. These effort in addition to port-side inspection are reported to the FA with any inconsistencies.

<sup>82</sup> Report to the Compliance Committee and the Extended Commission. CCSBT-CC/1310/SBT Fisheries – Taiwan.

<sup>83</sup> Article 14 of the "Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans"

### 3.12 Catch Documentation System 8 (CCSBT Obligation 3.1 (xxvi))

The aim of this obligation is to ensure that CDS documents are retained and submitted as required.

#### 3.12.1 MPR 1: Documents and/or scanned electronic copies stored in a secure location for a minimum of three years under conditions that avoid damage to the legibility of the documents or the data files.

**Summary** – Taiwan has properly stored all the catch documents in hard copies in a secure location of the FA office under conditions that avoid damage to the legibility of the documents.

##### Key points

- All required catch documents have been stored securely in FA office.

Taiwan has demonstrated during the Consultation Meeting with Member (May 13<sup>th</sup>, 2014 and March 21<sup>st</sup> 2017) that all the catch documents in hard copies are properly stored in secure location of the FA office under conditions that avoid damage or deterioration to the legibility and use of the documents.

In addition, documents relating to authorisation and catch monitoring of SBT are scanned into electronic format as well as entered to electronic database which facilitate various important evaluations and reporting. These among other functions are provided by the Application and service Centre.

### 3.13 Catch Documentation System 9 (CCSBT Obligation 3.1 (xxvii) + (xxviii))

The aim of this obligation is to ensure that CDS documents are retained and submitted as required.

#### 3.13.1 MPR1: Copies of all completed CDS documents issued by catching Members or received by importing or receiving Members, sent to Executive Secretary in accordance with timeframes specified in the CCSBT documentation.

**Summary** – Taiwan submits the catch documents and relevant information (CMF and CTF) on a quarterly basis. Documents for October to December are sent before March 31<sup>st</sup>, while those for January-March, April-June, and July-September are sent before June 30<sup>th</sup>, September 30<sup>th</sup>, and December 31<sup>st</sup> respectively. This has been demonstrated for the recent fishing season.

##### Key points

- FA has demonstrated that the catch documents and relevant information (CMF and CTF) are submitted on a quarterly basis for the recent fishing season to the CCSBT.

Taiwan submits the catch documents and relevant information (CMF and CTF) on a quarterly basis (**Table 9**). Documents for October to December are sent before March 31<sup>st</sup>, while those for January-March, April-June, and July-September are sent before June 30<sup>th</sup>, September 30<sup>th</sup>, and December 31<sup>st</sup>, fishing season for 2013 and 2016.

**Table 9: CDS communication FA and CCSBT 2013-14 (Source: FA)**

CMF and CTF submitted to CCSBT	Taiwan submitted on	CCSBT Secretariat replied on
Data for the 1 <sup>st</sup> quarter of 2013	July 5 <sup>th</sup> , 2013	July 8 <sup>th</sup> , 2013
Data for the 2 <sup>nd</sup> quarter of 2013	October 7 <sup>th</sup> , 2013	October 9 <sup>th</sup> , 2013
Data for the 3 <sup>rd</sup> quarter of 2013	January 27 <sup>th</sup> , 2014	January 28 <sup>th</sup> , 2014
Data for the 4 <sup>th</sup> quarter of 2013	April 10 <sup>th</sup> , 2014	April 11 <sup>th</sup> , 2014
CMF and CTF submitted to CCSBT	Taiwan submitted on	CCSBT Secretariat replied on
Data for the 1 <sup>st</sup> quarter of 2016	June 22 <sup>nd</sup> , 2016	June 23 <sup>rd</sup> , 2016
Data for the 2 <sup>nd</sup> quarter of 2016	September 27 <sup>th</sup> , 2016	September 30 <sup>th</sup> , 2016
Data for the 3 <sup>rd</sup> quarter of 2016	December 30 <sup>th</sup> , 2016	December 30 <sup>th</sup> , 2016
Data for the 4 <sup>th</sup> quarter of 2016	March 31 <sup>st</sup> , 2017	April 7 <sup>th</sup> , 2017

**3.13.2 MPR2: Catch Tagging Form information shall be provided to the Executive Secretary using the electronic Data Provision Form developed by the Secretariat and in accordance with the Data Provision Form's instructions.**

**Summary** – Taiwan has demonstrated that information in the Catch Tagging Form is provided to CCSBT Executive Secretary using the electronic Data Provision Form on a quarterly basis (as mentioned above).

**Key points**

- FA submits CTF information on a quarterly basis.

Taiwan explained that SBT Catch Tagging Form information is provided to the Executive Secretary using the electronic Data Provision Form developed by the Secretariat on a quarterly basis. FA had shown relevant information with reference to CTF, during the Consultation Meeting with Member on March 21<sup>st</sup>, 2017. Documents for October to December are uploaded to the CCSBT website (private section) before March 31<sup>st</sup>, while those for January-March, April-June, and July-September are sent before June 30<sup>th</sup>, September 30<sup>th</sup>, and December 31<sup>st</sup>, fishing season 2013/16.

### 3.14 Catch Documentation System 10 (CCSBT Obligation 3.1 (xxix) + (xxxi))

The aim of this obligation is to ensure the verification of CDS documents.

#### 3.14.1 MPR 1: Operating systems and processes established and implemented to (a) assign unambiguous responsibility to individuals or institutions for implementing verification procedures; and (b) ensure no verification procedure is carried out for a CDS document by an individual who has validated or certified the same CDS document.

**Summary** – Taiwan has established management systems on CDS document verifications. Masters of the fishing vessels certify SBT CDS forms. FA officials stationed at designated ports validate SBT when compliance with catch CDS identified. Staff in FA Taiwan office which do not conduct validation, carry out weekly verification of CDS documents by cross checking transshipment declarations, daily logbook, weekly catch reports, and VMS data. Japan Marine Surveyors and Sworn Measure Association is contracted with delegated authority to conduct landing inspections and examine SBT tranship directly to Japan, and provide comprehensive reports to the FA.

#### Key points

- FA officials at designated ports validate Catch CDS; FA staff in Taiwan office verify CDS validations.
- Japan Marine Surveyors and Sworn Measure Association is contracted by the FA to conduct landing inspections and examination of SBT catch (CDS) transhipped directly to Japan.
- Vessel masters certify the SBT CDS.
- .

Taiwan has established management systems to assign responsibility for implementing landing examination and reporting by contracted independent 3<sup>rd</sup> party. Japan Marine Surveyors and Sworn Measure Association is contracted with delegated authority to conduct landing inspections and examine SBT tranship directly to Japan, and provide reports to the FA.

Masters of the fishing vessels certify SBT CDS forms. FA officials stationed at designated ports validate SBT when compliance with catch CDS identified. Staff in FA Taiwan office which do not conduct validation, carry out weekly verification of CDS documents by cross checking transshipment declarations, daily logbook, weekly catch reports, and VMS data.

The FA in cooperation with TTA coordinates training for vessel masters, crew, and fisheries staff (observers, validators, and verifiers) in order to provide appropriate instructions and procedures for conducting their role. As stated in the National Plan of Control and Inspection, FA officers take training courses for inspection before duties are assigned. Instructions and procedures are provided to 3<sup>rd</sup> party contractor with reference to performing their role. Overall the FA delegate responsibilities to all roles in the fishery and this ensures certification, validation and verification of CDS documents is conducted by different individuals.

**3.14.2 MPR 2a: [Operating systems and processes established and implemented for verification, including] Selecting and inspecting, where appropriate, a targeted sample of vessels and export, import and market establishments based on risk. The intent of these inspections should be to provide confidence that the provisions of the CDS are being complied with.**

**Summary** – Taiwan has establishes management systems based on random sampling when selecting 5% of catch for inspection, however 100% of catch transfer are supervised by an FA official. A system of risk-based sampling is proposed for use starting 2017/18 fishing season.

Taiwan use a simple fish transfer processes. SBT CDS forms are sent to the FA along with daily and weekly reports and transshipment or landing declaration, in order for FA staff to cross check and verify conformance with CCSBT and FA procedures. At designated ports transshipment 100% of SBT catch is supervised and 5% of the total landing or transfer is randomly inspected by the officials of FA. For SBT transhipped at-sea and exported directly to Japanese markets, FA has commissioned the third party to conduct examination of 100% SBT landed in Japan as well as provide a report to the FA. The Deep Sea Fisheries Division of FA evaluates effectiveness of the system on a quarterly basis.

**Key points**

- All SBT catch landed domestically by carrier vessels, containers or fishing vessels are 100% supervised and randomly inspected for a 5% of the total landing.
- A risk-based sampling system is proposed for use starting 2017/18 fishing season.
- The Deep Sea Fisheries Division of FA evaluates effectiveness of the system on a quarterly basis.

Taiwan has establishes management systems based on random sampling when selecting 5% of catch for inspection, however 100% of catch transfer are supervised by an FA official. A system of risk-based sampling is proposed for use starting 2017/18 fishing season.

As previously mentioned, Taiwan use simple fish transfer processes. SBT CDS forms are sent to the FA along with daily and weekly reports and transshipment or landing declaration, in order for FA staff to cross check and verify conformance with CCSBT and FA procedures. At designated ports all transshipment of SBT catch is supervised and 5% of the total landing or transfer is randomly inspected by the officials of FA<sup>84</sup>. For SBT transhipped at-sea and exported directly to Japanese markets, the FA has commissioned the third party agent to conduct supervision and examination of 100% SBT landed in Japan as well as provide a comprehensive report to the FA.

In addition, regional observers from IOTC/ICCAT cooperate to observe at sea transshipment, and sign CDS documents, to confirm compliance with the CCSBT procedures. The Deep Sea Fisheries Division of FA cross-check CDS forms in weekly reports, logbooks, and the trading information, and then issues catch documents if compliance is identified. The Deep Sea Fisheries Division of FA evaluates effectiveness of the system on a quarterly basis. This quarterly action could be considered as an audit of the system effectiveness.

<sup>84</sup> Annual Report to the Compliance Committee and the Extended Commission. CCSBT-CC/1310/SBT Fisheries – Taiwan.

**3.14.3 MPR 2b: [Operating systems and processes established and implemented for verification, including] Reviewing and analysing information from CDS documents at least once every 6 months, including (i) checking the completeness of data on CDS forms and cross-checking the consistency of the data on CDS forms received with other sources of information; (ii) cross-checking data from the Executive Secretary’s CDS six-monthly report; and (iii) analysing any discrepancies.**

**Summary** – Taiwan has management systems to conduct 6monthly evaluation of information in CDS reports from the CCSBT, as well as to check completeness and accuracy of information in CDS forms, and cross check compliance to identify and discuss discrepancies.

FA officials’ check completeness and accuracy of data for all CDS document and a report sent to the CCSBT on a quarterly basis. Section Chief at the FA Deep Sea Fisheries Division role includes cross-checks data and information from the Executive Secretary’s reports such as the CDS six-monthly report, to identify and discuss any discrepancies

**Key points**

- FA checks whether the information of SBT catch is complete and correct for each CDS document and each vessel on at least a quarterly basis.
- FA examines the completeness of data on CDS forms and then cross-checks the consistency of the data on CDS forms received from the owner or company.
- No discrepancies are identified from the cross-checking of data in the Executive Secretary’s CDS six-monthly report. FA sends monthly catch report to the CCSBT.

FA officials check whether the information is complete and correct for each CDS document for each fishing vessel on at least a quarterly basis<sup>85</sup>, which includes the processed weight, length and unique tag number, for SBT caught daily, and reported weekly by the captain of the fishing vessel to FA through TTA<sup>86</sup>.

OFDC supports the FA SBT fishery management processes, with functions such as checking the completeness of data on CDS forms (CTF and CMF) and cross-checks the consistency and accuracy of the data on CDS forms received from vessels owner or company. Section Chief at the FA Deep Sea Fisheries Division role includes cross-checks data and information from the Executive Secretary’s reports such as the CDS six-monthly report, to identify and discuss any discrepancies. The FA team maintain regular communication with the CCSBT on data sharing and compliance matters which is facilitated by the FA sending monthly and quarterly catch report to the CCSBT.

<sup>85</sup> Report to the Compliance Committee and the Extended Commission. CCSBT–CC/1310/SBT Fisheries – Taiwan.

<sup>86</sup> Article 11 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans”

### 3.14.4 MPR 2c: [Operating systems and processes established and implemented for verification, including] investigating any irregularities suspected or detected and (MPR 2d) taking action to resolve any irregularities.

**Summary** – Taiwan has operating systems to identify and investigate any irregularities when verifying CDS documents. Certified catch information from vessel captains and owners are compared with validators' reports and independent 3<sup>rd</sup> party examination report from landed catch. Any discrepancies identified during review by FA officials could trigger further investigations and enforcement of sanctions on the relevant party.

#### Key points

- Certified catch information are compared with validators' reports and independent 3<sup>rd</sup> party examination report, any discrepancies identified could trigger further investigation and sanctions.
- Using national regulations, the FA can mandate fishing vessel to stop operations and return directly to a designated port for inspection when the vessel is suspected of illegal fishing or reporting catch abnormally.
- No discrepancies were identified during among CDS verifications in the 2015/16

Taiwan has established operating systems to identify and investigate any irregularities when verifying CDS documents. Certified catch information from vessel captains and owners are compared with validators' reports and independent 3<sup>rd</sup> party examination report from landed catch. Any discrepancies identified during review by FA officials could trigger further investigations and enforcement of sanctions on the relevant party. While no discrepancies were identified among CDS verifications in the 2015/16 fishing, enforcement of sanctions could include payback of over-catch, suspension of vessel and crew fishing permit for catch mis-reporting, restricting vessel to port until VMS equipment are repaired, and retraining of fishing crew, observers, and validators, if systematic inaccuracies are identified with CDS documents.

In addition, all fishing and carrier vessels install VMS, and are monitored by FMC of FA. Catch reports of SBT are analysed by OFDC and FMC. The management process is such, that If irregularities are suspected or identified, the FA mandates the fishing vessel to stop operations and return directly to the designated ports for further inspection if the vessel is suspected of illegal fishing or reporting catch abnormally. Vessels are not allowed to leave the port for fishing without inspection and approval from FA<sup>87</sup>.

National regulations are enacted to support the FA enforcement of sanction and to resolve catch documentation irregularities<sup>88</sup>.

<sup>87</sup> Article 21 of the "Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans"

<sup>88</sup> Article 11 of the "Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans"

### 3.14.5 MPR 2d: [Operating systems and processes established and implemented for verification, including] notifying the Executive Secretary and relevant Members/OSECs, of any consignments of SBT whose CDS documentation is considered doubtful, or incomplete or un-validated.

**Summary** – Taiwan has established management systems to notify the Executive Secretary about any doubtful, incomplete or un-validated uses of the CDS. The FA Team communicate quarterly CDS documentation to the CCSBT which would include notification of any incidents of doubtful, incomplete or un-validated catch documentation. No reported incidents of un-validated CDS documentation was identified during discussion with the FA. This information was consistent with the findings in the report on Compliance with CCSBT Management Measures (2016). In general fishing and carrier vessels only use designated fishing port for landing or transshipment with 100% supervision of fish transfer by FA official. By regulation, SBT identified without validated catch documents is not allowed to be transhipped, landed and sold.

#### Key points

- SBT without validated catch documents is not allowed to be transhipped and landed, or sale to domestic and foreign markets.
- FA reviews all CDS documents for SBT.
- FA Team communicate quarterly CDS documentation to the CCSBT which would include notification of any un-validated catch documentation.

Taiwan has management systems for use to notifying CCSBT of any consignments of SBT where CDS documentation is considered to be doubtful, incomplete or un-validated. The FA Team communicate quarterly CDS documentation to the CCSBT which would include notification of any incidents of doubtful, incomplete or un-validated catch documentation. No incidents of un-validated CDS documentation was reported during discussions with the FA. This information was consistent with the findings in the report on Compliance with CCSBT Management Measures (2016). A situation which demonstrated the communication and notification system as well as cooperation between the FA and CCSBT on CDS documentation was recorded, where on 13<sup>th</sup> February 2015 the FA was informed by the CCSBT that an IOTC Observer believes there to be unauthorised SBT transhipped to carrier vessel “Sea Mansion”. The FA dispatched staff members to join members from the 3<sup>rd</sup> party Japan Marine Surveyors and Sworn Measures Association to conduct landing inspection of the total catch when the carrier vessel arrived at port Shimizu, Shizuoka, in Japan on 12<sup>th</sup> March 2015. No SBT was found and a report of the investigation sent to the CCSBT.

Fishing and carrier vessels only use designated fishing port for landing or transshipment with 100% supervision of fish transfer by FA official<sup>89</sup>. By regulation, SBT identified without validated catch documents is not allowed to be transhipped, landed and sold<sup>90</sup>.

<sup>89</sup> Article 11 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans”

<sup>90</sup> Annual Report to the Compliance Committee and the Extended Commission. CCSBT–CC/1310/SBT Fisheries – Taiwan.

**3.14.6 MPR 2e: [Operating systems and processes established and implemented for verification, including] notifying the Executive Secretary of any investigation into serious irregularities, in order to present these in an annual summary report to the Compliance Committee. Notifications should include reporting (i) the commencement of an investigation if doing so will not impede that investigation; (ii) progress, within 6 months of starting the investigation if doing so will not impede that investigation; and (iii) the final outcome within 3 months of completing the investigation.**

**Summary** – Taiwan has established management systems to notify the Executive Secretary of any need to investigate irregularities and consequential outcome. One concern was investigated and proven not to be a serious irregularity. There were no situations recorded which might impede the investigations or their outcome. The FA management system included staff and 3<sup>rd</sup> party functioning with specific processes and responsibilities. FA staff are in charge of carrying out all relevant investigation and notifying the outcomes to the CCSBT Executive Secretary, which is published in the national annual compliance report, as seen for the Sea Mansion investigation 13<sup>th</sup> Feb. – 12<sup>th</sup> March 2015.

**Key points**

- FA staff are in charge of carrying out all investigation and notifying the outcomes to the CCSBT Executive Secretary.
- There were no situations recorded which might impede an investigations or their outcome.

Taiwan has established management systems to investigate irregularities in fishing operations and with reference to CDS verifications. There is a process where any suspected fishing vessel is ordered to stop fishing and travel to a designated port for investigation, also such vessel is not allowed to leave the fishing port for fishing without inspection and approval from FA<sup>91</sup>. Taiwan has submitted no irregularity reports on fishing or transshipping to the CSSBT Executive Secretary because of no serious irregularity in recent years. The FA is in charge of notification to the Executive Secretary in terms of the investigation, as well as the outcomes when investigation is completed within 3 months.

Article 14 of the “Regulation for fishing vessels for SBT in the 3 oceans” provides some understanding of the actions taken in case of identified irregularities, however, there is opportunity to develop and implement a more comprehensive procedure and management system which define how the investigation are conducted and reported.

Regarding the case of Sea Mansion, the relevant document including the communication with CCSBT, and outcome of investigation and VMS data was shown. The practical responsibility to manage investigation of actual or perceived irregularities (unauthorised SBT transshipment) was demonstrated during the vessel “Sea Mansion” investigation (Feb.13<sup>th</sup> 2015 – March 12<sup>th</sup> 2015) where FA Officials joined 3<sup>rd</sup> party, Japan Marine Surveyors & Sworn Measurement Association to conduct landing inspection, when the carrier vessel arrived and off loaded its catch in Shimizu, Shizuoka, Japan. The report confirm nil SBT or irregularities relating to SBT<sup>92</sup>.

<sup>91</sup> Article 14 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans”

<sup>92</sup> CCSBT-CC/1610/SBT Fisheries – Taiwan (Rev.2)

### 3.14.7 MPR 3: Ensure that no SBT is accepted (for landing of domestic product, export, import or re-export) without validated documentation attached.

**Summary** – Taiwan requires all fishing and carrier vessels to use only designated fishing ports for landing or transshipment and to notify the FA 7 days in advance for inspection and validation of the catch. All fish transfers are supervised and 5% sample inspection by FA staff. FA officials stationed at domestic and designated ports cross check catch documentation and validate the catch where compliance is identified. Only SBT catch or product with valid validated documentation is approved in by Taiwan. A system of inspection and traceability is implemented to the first point of sale; and there were no reports of product misappropriation, indicating effectiveness of current systems.

#### Key points

- The Taiwan management process ensure 100% SBT fish transfers are supervised (and 5% random sample inspection) by FA staff at designated ports and during transshipments.
- Only SBT catch or product with valid validated documentation is approved in by Taiwan

Taiwan has established management systems to ensure all SBT caught is only accepted for landing of domestic product, export, import or re-export when accompanied by validated CDS documents (documents validated by authorised FA validators). By regulation and procedures, Fishermen apply to the FA for catch monitoring documents based on the purpose of their operations (domestic landing, re-export/export) “*Operation Directions for Application and Issuance of CCSBT SBT Catch Document*” and “*Directions on Application of Southern Bluefin Tuna Exports and Re-exports*”<sup>93</sup>. Every SBT caught is tagged with authorized tags from FA when on board or as primary-processed fish. FA staff checks all relevant information in fishers applications to confirm compliance before approving catch documents, fish transfers, or further actions where discrepancies are identified.

As previously mentioned, fishing and carrier vessels apply for transshipment permission one week in advance to obtain approval before the transshipment date, in designated port or at sea<sup>94</sup>. All fish transfers are supervised and 5% sample inspection by FA staff. For vessels transshipping SBT catch at sea, the captains of fishing and carrier vessels and the observer sign jointly in the required field of the catch monitoring form to certify accuracy of the catch information<sup>95</sup>. FA officials stationed at domestic and designated ports cross check catch documentation and validate the catch where compliance is identified. Only SBT catch or product with valid validated documentation is approved in by Taiwan. A system of inspection and traceability is implemented to first point of sale. There were no reports of product misappropriation, indicating effectiveness of current systems.

<sup>93</sup> Article 14 of the “*Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans*”

<sup>94</sup> Article 3 of the “*Regulations for Deep Sea Tuna Longline Vessels and Carrier Vessels Engaging in Transshipments in the Three Oceans*”

<sup>95</sup> Articles 13 of the “*Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans*” and Article 6 of the “*Operation Directions for Application and Issuance of CCSBT SBT Catch Document*”

### 3.15 Transhipment (at sea) Monitoring Program 1 (CCSBT Obligation 3.3 (i) – (v))

#### 3.15.1 MPR1a: [Operating systems and processes to ensure] the authorisation document, including details of the intended transhipment provided by the master or owner of the LSTLV, is available on the LSTLV prior to the transhipment occurring.

**Summary** – Taiwan has established management systems to ensure the SBT transhipment documents are provided before the transhipment date. Fishing vessels transhipping SBT at sea or in port complied with Taiwan regulations. Masters of fishing and carrier vessels apply to FA for permission to tranship SBT at least 7days in advance. FA cross check accuracy of catch and authorisation documents and arrange validators to be present to inspect and validate the catch. The FA also authorise SBT transhipped at sea directly to Japan. Catch documents are cross check by FA staff to approve the transhipment.

#### **Key points**

- Fishermen, Owner or Masters of fishing vessels submit required documents to obtain approval for the transhipment from FA prior to occurrence of the SBT transhipment.
- SBT documents for authorisation are submitted to the FA at least 7days in advance of date of transhipment occurring.

The operations of SBT transhipment at sea or in port require obeying the regulation “*Regulations for Deep Sea Tuna Longline Vessels and Carrier Vessels Engaging in Transhipments in the Three Oceans*”<sup>96</sup>. Fishermen or master of fishing and carrier vessels, or trading agents, submit application documents, including the transhipping proposal, to obtain the transhipment permission from FA before the occurrence of transhipment. The FA is notified one week in advance for fishing vessels applying for permission to tranship SBT in port; or one month prior to the arrival of carrier vessels at the port for the purpose of picking up the regional observer, who inspects the SBT transhipping at sea, and must submit application with accompanying SBT transhipment application forms 24 hours in advance before the occurrence of SBT transhipment<sup>97</sup>. The Application and Service Centre of FA cross checks all information including transhipment reports and issue authorisation if all forms are filled in correctly. Catch reports are reviewed on a quarterly basis to examine whether there is any discrepancy between the reported and actual catch of SBT.

<sup>96</sup> Articles 13 of the “*Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans*”

<sup>97</sup> Articles 5 and 18 of the “*Regulations for Deep Sea Tuna Longline Vessels and Carrier Vessels Engaging in Transhipments in the Three Oceans*”

**3.15.2 MPR1b: [Operating systems and processes to ensure] Any carrier vessel receiving the transhipped SBT is meeting its obligations to provide access and accommodation to observers, and to cooperate with the observer in relation to the performance of his or her duties (see Carrier Vessel Authorisation minimum performance requirements, CCSBT documentation).**

**Summary** – Taiwan has processes including regulations that ensure the regional observers are collected from designated ports, and are provided with access and accommodation in relation to the performance of the duties. Carrier vessels offer the regional observer required space, facility, and documents as they work and live in the vessel, as well as necessary and adequate assistances so as to help them to carry out their duties on observation of SBT and other bycatch.

**Key points**

- Carrier vessel communicate with regional observers to arrange collection from designated ports at least 1 month in advance.
- By regulation, MoU, and Taiwan processes regional observers are provided with space, facility, and documents, as well as necessary and adequate assistances so as to help them to carry out their duties.

Taiwan has established management systems and processes including regulations “*Regulations for Deep Sea Tuna Longline Vessels and Carrier Vessels Engaging in Transshipments in the Three Oceans*” to ensure regional observers fees are paid, they are collected from designated ports, allowed access and accommodation on carrier vessels. Regional Observers participation in the fishery was observed from the signed fish transshipment documents, evidencing compliance with this requirement.

According to the Taiwan regulation and RFMO MoU with carrier vessels, regional observers are provided with sufficient space, facility and documents for working and living on the vessel, also necessary and adequate assistances should be provided in relation to carrying out their duties<sup>98</sup>. The regional observers and scientific observers assigned to Taiwan vessels submit reports to FA at the end of a scheduled tour or season of observations on the LSTLV.

<sup>98</sup> Article 7 of the “*Regulations for Deep Sea Tuna Longline Vessels and Carrier Vessels Engaging in Transshipments in the Three Oceans*”

**3.15.3 MPR2a-d: [Rules in place to ensure] (a) all SBT transhipments receive prior authorisation; (b) fishing vessels are authorised on the CCSBT authorised fishing vessel register on the date(s) the SBT are harvested and carrier vessels are authorised on the CCSBT authorised carrier vessel register on the date(s) any transhipments occur; (c) a named CCSBT observer is on board the carrier vessel; and (d) no SBT transhipment occurs without an observer onboard.**

**Summary** – Taiwan has regulations, rules and processes to ensure the transhipment of SBT is pre-approved by the FA, using authorised list of vessels and with participation of authorised FA staff and observers. Fishing vessels and carrier vessels obtain pre-approval from FA before the transhipment in port or at sea takes place. Master of fishing or carrier vessels submit application to tranship SBT to the FA prior to the transhipment occurring. By regulation, carrier vessels are not allowed to receive SBT transhipment from fishing vessels that are not registered in RFMOs. Authorised list of fishing and carrier vessels are maintain by the FA and CCSBT. Carrier vessels and observers make arrangements for collection from designated ports at least 1 month before going to sea date. Masters of fishing and carrier vessels and regional observer sign jointly transhipment documents to confirm their participation in the process.

**Key points**

- By regulation, carrier and fishing vessels are not allowed to participate in SBT transhipment with vessels that are not registered and authorized by RFMOs.
- A list of authorised fishing and carrier vessel are maintained by the FA and CCSBT.
- RFMO Observers (at sea) and FA validators (at port) sign jointly transhipment documents with Masters of fishing and Carrier vessels.

Taiwan has operating management systems to ensure all SBT transhipment are pre-authorized by FA, only authorised fishing and carrier vessels participate in the fishery operations, and regional observers are present to observe and sign all at-sea transhipment. Fishing and carrier vessels have obtain pre-approval from the FA 7 days/1 month prior to the occurrence of SBT transhipment in port or at sea respectively<sup>99</sup>. Master and Owners of fishing or carrier vessels submit application documents to obtain the transhipment permission from FA before the occurrence of transhipment<sup>100</sup>. According to operating policy, carrier vessels are prohibited to receive transhipment of SBT from fishing vessels that did not registered with the RFMO. Carrier vessels that tranship SBT at sea have a duty to collect and return regional observer on assigned time and location to agreed ports<sup>101</sup>. The FA maintains an updated list of authorised fishing and carrier vessels with CCSBT, which is available to the public from the CCSBT website. In the process for transhipping SBT at sea, captains of fishing and carrier vessels and the regional observer sign jointly in the required field on the catch monitoring form to confirm their participation in at-sea SBT transhipment<sup>102</sup>. For fishing or carrier vessels transhipping SBT at designated ports, there are delegated FA officials who cross checks all the CDS documents and validates the catch to be transhipped with their stamp and signature.

<sup>99</sup> Article 3 of the “Regulations for Deep Sea Tuna Longline Vessels and Carrier Vessels Engaging in Transhipments in the Three Oceans”

<sup>100</sup> Article 5 of the “Regulations for Deep Sea Tuna Longline Vessels and Carrier Vessels Engaging in Transhipments in the Three Oceans”

<sup>101</sup> Article 6 of the “Regulations for Deep Sea Tuna Longline Vessels and Carrier Vessels Engaging in Transhipments in the Three Oceans”

<sup>102</sup> Articles 13 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans” and Article 6 of the “Operation Directions for Application and Issuance of CCSBT SBT Catch Document”

**3.15.4 MPR2e: [Rules in place to ensure] Transshipment declarations are completed, signed and transmitted by the fishing vessel and the carrier vessel, in accordance with paragraphs 11-14 of the Transshipment Resolution, in particular that the LSTLV shall transmit its CCSBT Registration Number and a completed CCSBT Transshipment Declaration to its flag State / Fishing Entity, within 15 days of the transshipment.**

**Summary** – Taiwan has rules and processes to ensure the transshipment requirements are met. Captains of carrier and fishing vessels report the vessel names, locations, species and amount of the catch, 24 hours in advance to the FA before the occurrence of at-sea transshipment. Catch information is retained by the FA and used to cross-check accuracy in the transshipment declarations. Any discrepancies could raise the need for investigation when the carrier vessel arrives at port to off-load its consignment. Transshipment declarations are signed and immediately sent to the FA and the authority unit that is in charge of that area, such as ICCAT or IOTC within 24 hours, (therefore complying with the 24 hours and 15 days communication requirement)

**Key points**

- Transshipment declarations are signed by Masters of Carrier and Fishing vessels, and Observers, and immediately sent to FA and RFMO.
- The FA communicates SBT catch and transshipment reports monthly to CCSBT.

Taiwan has established regulations and management systems to ensure transshipment declarations are accurately completed and timely communicated to the FA. Captains of carrier and fishing vessels report the vessel names, locations, species and amount of the catch, 24 hours in advance to the FA before the occurrence of at-sea transshipment. Catch information is retained by the FA and used to cross-check accuracy in the transshipment declarations. Any discrepancies could raise the need for investigation when the carrier vessel arrives at port to off-load its consignment.

At the end of each transshipment, regional observer, along with Masters of fishing, and carrier vessel, and validators (if at port) sign jointly all relevant documents and the transshipment declaration is immediately sent to the FA and the authority unit that is in charge of that area, such as ICCAT or IOTC, (therefore complying with the 24 hours and 15 days communication requirement after the completion of transshipment of SBT<sup>103</sup>). In addition the FA provided monthly communication of SBT catch and transshipment to the CCSBT.

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<sup>103</sup> Article 9 of the “Regulations for Deep Sea Tuna Longline Vessels and Carrier Vessels Engaging in Transshipments in the Three Oceans”

### 3.15.5 MPR3a, b: [Operating systems and processes to] Issue transshipment authorisations and verify the date and location of transshipments.

**Summary** – Masters of fishing or carrier vessels submit transshipment proposal to the FA for pre-approval and transshipment authorisation. Proposed arrival dates, locations and estimated time of transshipment are included in the proposal. Proposal are submitted to the FA at the start or during the fishing season, in addition to 24 hours prior notice with catch information is sent to the FA. Fishing vessels transshipping SBT in designated port request authorisation one week prior to the transshipment date. In all cases, FA cross-checks all the information and catch documents including reports from observers to examine if there is discrepancy before authorising transshipment.

#### **Key points**

- For fishing vessels transshipping SBT in port, authorisation is arranged one week prior to the transshipment, or one month in advance for vessels that tranship SBT at sea, which is before the carrier vessel arrives at the port for picking up the regional observer.
- FA cross-checks information and catch documents including reports form observers to examine if there is discrepancy before authorising transshipment.

Taiwan has established operating systems and processes to ensure all SBT transshipment is authorised by FA, and the date as well as location of transshipments is verified. Masters of fishing or carrier vessels, submit transshipment proposal, including; dates, locations from nautical chart, estimated time period of transshipment to obtain transshipment pre-approval from FA before transshipment takes place. Fishing vessels that tranship SBT in port request pre-approval from the FA one week before the transshipment date.

**3.15.6 MPR3c-f: [Operating systems and processes to] Request placement of observers on board carrier vessels; notify any cases of ‘force majeure’ (where transhipment occurs without an observer on the carrier vessel) to the Executive secretary as soon as possible; ensure observers can board the fishing vessel before transhipment takes place, and have access to personnel and areas necessary to monitor compliance; enable observers to report any concerns about inaccurate documentation or obstruction, intimidation, or influence in relation to carrying out their duties**

**Summary** – Taiwan has a number of systems to support regional observers. All carrier vessels that tranship SBT at sea, collected and returned the regional observer on the time and location informed by FA based on the regional observer program. Transhipment of SBT at sea or in port needs pre-authorization. All transhipment at sea was conducted with pre-authorization and the presence of regional observers signing the documentations. There were no reports of complaint from the regional observers’ with regards to hindrances during the recent fishing season. Fishermen and the captain of Carrier vessels provide the regional observer with required space, facility and documents for working and living on the vessel, and necessary and adequate assistances in relation to carrying out their duties. Fishermen are not allowed to prevent, threaten, hamper, interfere or bribe the regional observers in carrying out their duties.

**Key points**

- Carrier vessels did not require replacement of regional observers.
- All transhipment were authorised by the FA with regional observers signature in the transhipment declaration.
- There were no complaints of hindrances from regional observers. Fishermen are not allowed to prevent, threaten, hamper, interfere or bribe the regional observers in carrying out their duties.

Taiwan has a number of management systems which supports compliance with regional observer’s requirements. Records of replacing regional observers was not identified in the information or discussions about recent fishing season. The current process explained before includes 1month prior notice for carrier vessels to collect Observers from a designated port before participating in transhipment. Carrier vessels transhipping SBT at sea are required to pick up and send back the regional observer on the time and location assigned by FA according to the regional observer program of RFMOs such as ICCAT, IOTC, IATTC or WCPFC<sup>104</sup>. By regulation SBT transhipping at sea or in port without the authorization of FA in advance is not permitted. There is a management regulation that carrier vessels have an obligation to provide the regional observer adequate working condition, including required space, facility, documents for working on and living in the vessel, as well as necessary assistances in order to support them carrying out their duties. Fishermen are forbidden to prevent, threaten, hamper, interfere or bribe the regional observers to fulfil their duties, and must request all the crews to obey this regulation<sup>105</sup>. No report of complaints or hindrances was recorded in information from regional and Taiwan observers for the recent fishing seasons.

<sup>104</sup> Article 6 of the “Regulations for Deep Sea Tuna Longline Vessels and Carrier Vessels Engaging in Transhipments in the Three Oceans”

<sup>105</sup> Article 7 of the “Regulations for Deep Sea Tuna Longline Vessels and Carrier Vessels Engaging in Transhipments in the Three Oceans”

### 3.15.7 MPR3g,h: [Operating systems and processes to] monitor compliance with the control measures; and impose sanctions or corrective action programmes for any non-compliance detected.

**Summary** – Taiwan has operating systems and processes to monitor compliance with control measures and apply sanctions where needed. Fishing and carrier vessels are required equipped with VMS and are monitored by the FMC of the FA. Transshipment proposal are crossed checked with vessels history of compliance before pre-approvals are granted. The FA has power to impose sanction to the carrier vessels that failed to make corrections, and to propose to the secretariat of RFMOs to revoke the transshipment permit of the carrier vessel.

#### Key points

- Vessels fishing and transshipment activities are monitor against FA control measures.
- No infringements were identified from the records presented. By policy the FA has authority to instruct authorised fishing or carrier vessels that infringe the principles of SBT transshipment to make corrections within a specified period of time.
- The FA can propose de-listing of non-complying carrier vessels to the RFMO.

Taiwan has operating systems and processes to monitor compliance with control measures and apply sanctions where needed. Fishing and carrier vessels are required equipped with VMS and are monitored by the FMC of the FA. Transshipment proposal are crossed checked with vessels history of compliance before pre-approvals are granted. To actually land or tranship SBT at designated domestic or foreign ports, Masters fishing and carrier vessels submit their application (including catch monitoring documents) to the FA who cross check this information and grant authorisation only when the vessels comply with FA and CCSBT control measures.

FA officers are dispatched at designated ports to inspect the landing and transshipment of SBT. Fishing vessels transshipping SBT in foreign ports are required to report the arrival date to FA for the purpose of operations supervision by FA authorities<sup>106</sup>. Fishing and carrier vessels that tranship SBT at sea work collaboratively with the regional observer for facilitating the inspection and signing transshipment declarations<sup>107</sup>.

No reports of infringements were identified from the records presented. By policy the FA has authority to instruct authorised fishing or carrier vessels that infringe the principles of SBT transshipment to redress the wrongs and to make corrections or improvement within a specified period of time. FA can imposes sanction to vessels that failed to make corrections, and report them to the secretary of ICCAT, IOTC, IATTC or WCPFC so as to revoke the transshipment permission of the carrier vessels<sup>108</sup>. The operating systems and processes established ensure to monitor compliance with the control measures and impose sanctions or corrective action programmes for any non-compliance detected.

<sup>106</sup> Article 11 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans”

<sup>107</sup> Articles 13 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans”

<sup>108</sup> Article 14 of the “Regulations for Deep Sea Tuna Longline Vessels and Carrier Vessels Engaging in Transshipments in the Three Oceans”

### 3.16 Transshipment (at sea) Monitoring Program 2 (CCSBT Obligation 3.3 (vi))

#### 3.16.1 MPR1: Operating systems and processes are in place to (a) identify and resolve any discrepancies between the fishing vessel's reported catches, CDS documents and the amount of fish counted as transhipped; and (b) 100% supervision of all fish transhipped.

**Summary** – FA officers supervise 100% all the SBT landed and transhipped in designated ports with signed documentation. By regulation fishermen apply to the FA for catch monitoring documents and authorisation to fish SBT. FA staff cross check a number of CDS documents and reports, such as daily and weekly reports, landing declarations, transshipment declaration, and 3<sup>rd</sup> party Agent reports. There are processes to raise the need for further investigations where discrepancies are identified. An example is seen where further investigation was raised for the vessel Sea Mansion when it was assumed to tranship SBT.

#### Key points

- FA staff cross check vessel fishing locations with catch reports and VMS data, and raise the need for further investigations or sanctions where discrepancies and sanctions are identified.
- FA staff supervise 100% of SBT transfers (with at sea support from observers, and 3<sup>rd</sup> party agency in port).
- No report of discrepancies were identified from the records and discussions.

Taiwan has operating systems and processes to identify and resolve discrepancies between the fishing vessel's reported catches, CDS documents and the amount of fish counted as transhipped, as well as transshipment supervision levels. FA officers supervise 100% all the SBT landed and transhipped in designated ports with signed documentation. By regulation fishermen apply to the FA for catch monitoring documents (the application form, catch reporting form checked by TTA, SBT transshipment form for carrier vessels, and catch tagging form<sup>109</sup>) and authorisation to fish SBT.

FA staff cross check a number of CDS documents and reports, such as daily and weekly reports, landing declarations, transshipment declaration, and 3<sup>rd</sup> party Agent reports. There are processes to raise the need for further investigations where discrepancies are identified. An example is seen where further investigation was raised for the vessel Sea Mansion when it was assumed to tranship SBT.

All information provided indicates that fishing and carrier vessels transshipping SBT at sea cooperate with the FA and observer assigned by IOTC or ICCAT for inspection<sup>110</sup>. Also the current management systems are adequate to identify any discrepancies between reported catches of SBT by fishing vessels, CDS documents, and the amount of fish counted as transhipped, or the 100% supervision of all fish transfer.

<sup>109</sup> Article 4 of the "Operation Directions for Application and Issuance of CCSBT SBT Catch Document"

<sup>110</sup> Articles 13 of the "Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans"

### 3.16.2 MPR2: Operating systems and processes are in place to allow any CDS forms for domestically landed SBT that were transhipped at sea to be validated at the time of landing.

**Summary** – Taiwan requires that all at sea transhipment are conducted with an observer (assigned by IOTC or ICCAT<sup>111</sup>) present to inspect and sign CDS documents along with masters of fishing and carrier vessels. Documents reviewed indicated the pre-approval process for transhipment at sea. No report of discrepancies were identified. More of importance is that all (100%) fish transfers is supervised by a FA staff.

**Key points**

- At sea observers inspect and sign CDS document for SBT during at sea transhipment (transhipment declaration).
- FA Validators are located at domestic port and conduct cross checking of SBT information in CTF and CMF, as well as validation of catch where no discrepancies are identified.

Taiwan has operating systems and processes in place to ensure that CDS forms are effective for domestic landed SBT that were transhipped at sea. FA staff (catch validator) is located at Taiwan domestic port and validate all SBT landings. All at sea transhipment are conducted with an observer (assigned by IOTC or ICCAT<sup>111</sup>) present to inspect and sign CDS documents along with masters of fishing and carrier vessels. Documents reviewed indicated the pre-approval process for transhipment at sea. No report of discrepancies were identified. The officer of FA cross-checked all at sea transhipment cases and made overall evaluation. After identifying no discrepancies, FA shall report all CDS to CCSBT on a quarterly basis. More of importance is that all (100%) of fish transfer is supervised by a FA staff. At domestic port FA staff is present and conduct cross checking of SBT information in CTF and CMF, as well as validation of the catch where no discrepancies are identified.

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<sup>111</sup> Articles 13 of the “Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans”

### 3.17 Transshipment (at sea) Monitoring Program 3 (CCSBT Obligation 3.3 (vii))

#### 3.17.1 MPR1: Rules, systems and procedure to ensure all transhipped product is accompanied by signed Transshipment Declaration until the first point of sale.

**Summary** – Taiwan, has management systems and procedure to ensure all transhipped SBT catch is accompanied by signed Transshipment Declaration until the first point of sale. Recorded information from the CTF and CMF is required to remain with the fish until first point of sale (exchange) or landing, whichever comes first, in addition, traders are understood to retain tags and information from CTF and CMF with the fish/product for extended periods to advice on traceability, after first sale.

#### Key points

- It is mandatory for Taiwan SBT to be tagged, and accompany with appropriate CTF and CMF for authorisation and preparation of signed transshipment declaration covering the product until first point of sale.
- Taiwan monitoring resources are currently are arranged to monitor SBT catch to the first point of sale.

Taiwan has established rules, management systems and procedure to ensure all transhipped SBT catch is accompanied by signed Transshipment Declaration which accompany the fish, at least until the first point of sale. This protocol apply to all transshipment at sea and port<sup>112</sup>. Masters of fishing and carrier vessels, along with regional observers and validators sign the transshipment declaration to demonstrate their participation in the process and that the CDS documents complied with FA management control measures. This signed document is immediately sent to the FA following transshipment and is used to monitor (reconcile) movement of Taiwan SBT to the first point of sale. This is also the extent to which Taiwan resources are arranged to monitor SBT catch.

Recorded information from the CTF and CMF is required to remain with the fish until first point of sale (exchange) or landing, whichever comes first.

In addition, traders are understood to retain tags and information from CTF and CMF with the fish/product for extended periods to advice on traceability, after first sale.

### 3.18 Annual Reporting to the Compliance Committee (CCSBT Obligation 6.5)

The aim of this obligation is to ensure that Members have processes in place to ensure information and reports are submitted to the CCSBT in a timely fashion.

<sup>112</sup> Article 8 of the “Regulations for Deep Sea Tuna Longline Vessels and Carrier Vessels Engaging in Transshipments in the Three Oceans”

### 3.18.1 MPR1: Submit information and report electronically to Executive Secretary at least 4 weeks before the annual Compliance Committee meeting.

**Summary** – Taiwan submits information and report electronically to Executive Secretary at least 4 weeks before the annual Compliance Committee meeting. In addition to regular monthly and quarterly updates on SBT catch or changes the fishery.

**Key points**

- FA is in charge of submitting required information by email and uploads in the private section to CCSBT website.

The division of Deep Sea Fisheries of FA is in charge of submitting national report, percentage of the national quota used, and coverage rate of observers, as well as reporting rate of VMS, transshipments of SBT at sea and a list of active carrier vessels electronically to the Executive Secretary four weeks before the annual Compliance Committee meeting<sup>113</sup>. The FA submitted on 30<sup>th</sup> March 2016 the list of authorized carrier vessels to the Executive Secretary electronically by email using the CCSBT data provision form before the beginning of new fishing season.

### 3.18.2 MPR 2: The report for the previous calendar year must (a) include the quantities of SBT transhipped; (b) list the LSTLVs on the CCSBT Authorised Vessel List that transhipped; (c) analyse the observers reports received including assessing the content and conclusions of the reports of observers assigned to carrier vessels.

**Summary** – Taiwan submitted the required information for preparation of the National Report. Among the information submitted are: quantity of SBT transhipped, a list of carrier vessels on the CCSBT Authorised Vessel List transshipping SBT, analysis of the observers reports that assesses the content and makes conclusions for the observers assigned to the carrier vessels, and changes in the fishery. The observer reports were detailed and contain actual time and location of the transshipment, species caught, weight, and relevant fishing information.

**Key points**

- The Division of Deep Seas Fisheries of FA is in charge of the preparation of information that is collated into the National Report and submits this information to Executive Secretary.

Taiwan provided a number of required information to the CCSBT which is collated into the national report annually and meet the requirement. The National Report of Taiwan submitted for fishing season 2013/14 to 2015/16 includes the quantity of SBT transhipped, a list of carrier vessels on the CCSBT Authorised Vessel List transshipping SBT and an analysis of the observers reports that assesses the content and makes conclusions for the observers assigned to the carrier vessels<sup>114</sup>. The observer reports contain actual time and location of the transshipment of SBT, species caught, weight, and relevant verified information.

<sup>113</sup> Report to the Compliance Committee and the Extended Commission. CCSBT-CC/1310/SBT Fisheries – Taiwan; Review of Taiwan SBT Fishery of 2011/2012. CCSBT-ESC/1309/SBT Fisheries-Taiwan; National Report of Taiwan: Ecologically Related Species in the Taiwanese Southern Bluefin Tuna Fishery 2011-2012. CCSBT-ERS/1308/SBT Fisheries – Taiwan.

<sup>114</sup> Report to the Compliance Committee and the Extended Commission. CCSBT-CC/1310/SBT Fisheries – Taiwan; Review of Taiwan SBT Fishery of 2011/2012. CCSBT-ESC/1309/SBT Fisheries-Taiwan

## 4 Phase 2 Member site visit

The objectives of the Member site visit was to verify the extent that systems and processes described in documentation and records provided in Phase 1 are fully implemented and consistent with the procedure described by the Member. The site visit determines the effectiveness of the processes, systems and activities in ensuring that Members meet their obligations specific to the MPR's covered by the scope of the QAR.

Meeting took place during 21<sup>st</sup> – 23<sup>rd</sup> March 2017. Correspondence by e-mail took place prior to and following the meeting with exchange of information. The meeting were schedule with a list of representatives from departments of the FA dealing with Southern Bluefin Tuna fisheries and started from 10am and ended around 4pm. In addition the close proximity of the review team to the FA offices, facilitated multiple occasions of consultation including physical meetings as well as conference telephone conversations. The schedule of the site visit, a list of attendee and agenda topics that were discussed is shown in **Table 10**.

**Table 10: Schedule of QAR MPR Site visit Meetings and Consultations.**

Date	Time	Organisation/ Contact Name	Contact details	Venue
21 <sup>st</sup> March 2017	09:30am - 12:00am	FA - Deep Sea Fisheries Division 1. Deep Sea Fisheries Management Section 2. Research and Development Section 3. National Observer FA - Application and Public Service Centre Taiwan Tuna Association	Deputy Director – Shiu-Ling LIN <a href="mailto:shiuling@ms1.fa.gov.tw">shiuling@ms1.fa.gov.tw</a> Specialist – An-Chiang Huang <a href="mailto:Anchiang@ms1.fa.gov.tw">Anchiang@ms1.fa.gov.tw</a>	401-1 of FA
	14:00 – 17:00pm	Taiwan - Overseas Fisheries Development Council	Secretary – Lisa Chuang <a href="mailto:lisa@ofdc.org.tw">lisa@ofdc.org.tw</a> Secretary – Yi-Te Huang <a href="mailto:yite@ofdc.org.tw">yite@ofdc.org.tw</a> Secretary – Sheng-Ming HUNG <a href="mailto:allen@ofdc.org.tw">allen@ofdc.org.tw</a>	Meeting room of OFDC
	17:00- 17:30pm	Summary and close – day 1		Meeting room of OFDC
22 <sup>nd</sup> March 2017	13:30- 15:00pm	FA- Application and Public Service Centre	Specialist – An-Chiang Huang <a href="mailto:Anchiang@ms1.fa.gov.tw">Anchiang@ms1.fa.gov.tw</a>	Application and Public Service Centre
	15:00- 16:30pm	Taiwan Tuna Association Summary and close - day 2	President – Wen-Jung HSIEH <a href="mailto:wenjung@tuna.org.tw">wenjung@tuna.org.tw</a> Chairman – Yin-Ho LIU <a href="mailto:woen.chang@msa.hinet.net">woen.chang@msa.hinet.net</a>	Meeting room of TTA

			Secretary – Kuan-Ting LEE <a href="mailto:simon@tuna.org.tw">simon@tuna.org.tw</a>	
23 <sup>rd</sup> March 2017	09:30am - 11:00am	FA - Deep Sea Fisheries Division 1. Deep Sea Fisheries Management Section 2. Research and Development Section FA - Application and Public Service Centre	Deputy Director – Shiu-Ling LIN <a href="mailto:shiuling@ms1.fa.gov.tw">shiuling@ms1.fa.gov.tw</a> Specialist – An-Chiang Huang <a href="mailto:Anchiang@ms1.fa.gov.tw">Anchiang@ms1.fa.gov.tw</a>	401-1 of FA
	11:00am-12:00pm	Team review - day 3		401-1 of FA
List of Attendees and Agenda Points				
Date	Attendees	Itinerary		
21/03/2017	FA Deputy Director – Shu-Ling Lin FA Specialist – Chiu-Fen Chen FA Specialist – Wei-Chih Wu OFDC Specialist – Shi-Ting Chang OFDC Specialist – Yi-Te Haung Observer – Chen-Chun Long FA Specialist – AnChaing Huang OFDC Specialist – Shiao Chih Hao TTA – Kuanting Lee TTA - Lo-Chung Hsung TTA President Wen-Jung Hsieh TTA General Secretary – Edward C.C. Huang  SAI Global – Rohan Smith SAI Global - Nan-Jay Su SAI Global – Ya-Ting Hu	<ul style="list-style-type: none"> <li>Opening meeting, introductions, objectives of phase 2 quality assurance review.</li> <li>Discus updates to Taiwan catch management and authorisation system and processes for SBT.</li> <li>Update on catch monitoring and controls.</li> <li>Update on IOTC and ICCAT Observer program arrangements.</li> <li>Update on coordinating and management of scientific data, fishery data, ERS data, E-logbook, VMS, catch validation and compliance.</li> <li>Update on Transshipment, Scientific Observer program, Ports authorisation and controls.</li> <li>Update on general changes in the fishery</li> <li>Day 1 - Review and closing meeting</li> </ul>		
22/03/2017	FA- Application and Public Service Centre: - FA Deputy Director – Shu-Ling Lin - FA Specialist – AnChaing Huang - Observer – Chen-Chun Long - Observer – Hsu Po Hsin - FA Specialist – Chen Li He - FA Specialist – Wei-Chih Wu - FA Specialist – Tsa- Yi Jun TTA Chairman – Hsieh Wen-Jing	<ul style="list-style-type: none"> <li>Opening meeting, phase 2 objectives and introductions.</li> <li>Update on VMS system, with system demonstration.</li> <li>Update on catch documentations system, controls, monitoring, back-up systems.</li> <li>Update on catch inspection and sampling.</li> <li>Update on domestic and overseas port arrangements.</li> <li>Update on vessel quota allocations.</li> <li>Update on communication, training, management with fishers.</li> <li>Day 2 - Review and closing meeting</li> </ul>		

	TTA President Wen-Jung Hsieh TTA General Secretary – Edward C.C. Huang  SAI Global – Rohan Smith SAI Global - Nan-Jay Su SAI Global – Ya-Ting Hu	
23/03/2017	FA - Deep Sea Fisheries Division: - FA Deputy Director – Shu- Ling Lin - FA Specialist – AnChaing Huang - FA Specialist – Wei-Chih Wu - FA Specialist – Feng Chi Kuo - SAI Global – Rohan Smith SAI Global - Nan-Jay Su SAI Global – Ya-Ting Hu	<ul style="list-style-type: none"> <li>• Opening meeting, phase 2 objectives</li> <li>• Review of management system and process for SBT catch authorisation and monitoring.</li> <li>• Review of catch data (2014-2016).</li> <li>• Summary of observations (strengths and weaknesses).</li> <li>• Day 3 - Closing meeting</li> </ul>

#### 4.1 Fishery management review

Further to **section 2.4**, of this report, a number of important management system updates are mentioned. Authorisation protocols for SBT fishing remain the same. All fishing vessels authorised to fish for SBT are required to report catch, effort, individual length, and weight of SBT using e-logbooks systems from the start of the 2016 fishing season. Furthermore, in the areas of catch monitoring a number of improvements are being achieved. In 2014, Taiwan commissioned 3<sup>rd</sup> Agent in Japan to conduct examination of its SBT transhipped at-sea and directly exported to Japan. Comprehensive reports is provided to the FA, with FA Official continuing to validate CMF. A benefit of this change is more accurate report of the weight and numbers of SBT transhipped at-sea. This system will remain in place along with the regional observers dispatched by the RFMO.

FA communicated that a new system which facilitates enhanced transparency in vessel and catch transhipment monitoring as well as convergence of VMS and catch data is being tested by the FMC and is expected to be is use in the coming fishing seasons.

Also communicated, starting in 2016/17 fishing season, all commercial catch, releases or discards will be reported with the national allocation to CCSBT and be available to updating characterisation of ERS in the fishery.

As of 20<sup>th</sup> Jan. 2017 a new regulation to manage the SBT fishery has been enforceable. The Distant Water Fisheries Act, is scoped to cover and address all Taiwan flagged vessels operating in and beyond the national jurisdiction, as well as national fleet engaging in distant water fisheries and related activities. Violations of this Act in any parts are enforceable by law. These added managements measures are expected to facilitate more transparent information as well as ecological and economical improvements for the SBT stocks shared among CCSBT Members (and CNM).

## 4.2 Data Review

In addition to the FMC that manages VMS data, OFDC collates and interrogates catch data generating various reports, such as abundance trend as well as spatial catch and effort models, with data collected by observers (**Figure** ). Also of importance is ERS data that is being used to prepare a more detailed and representative species characterisation of the SBT fishery by CCSBT Scientific committee.

### 2014-2015 觀察員 CPUE 分佈圖

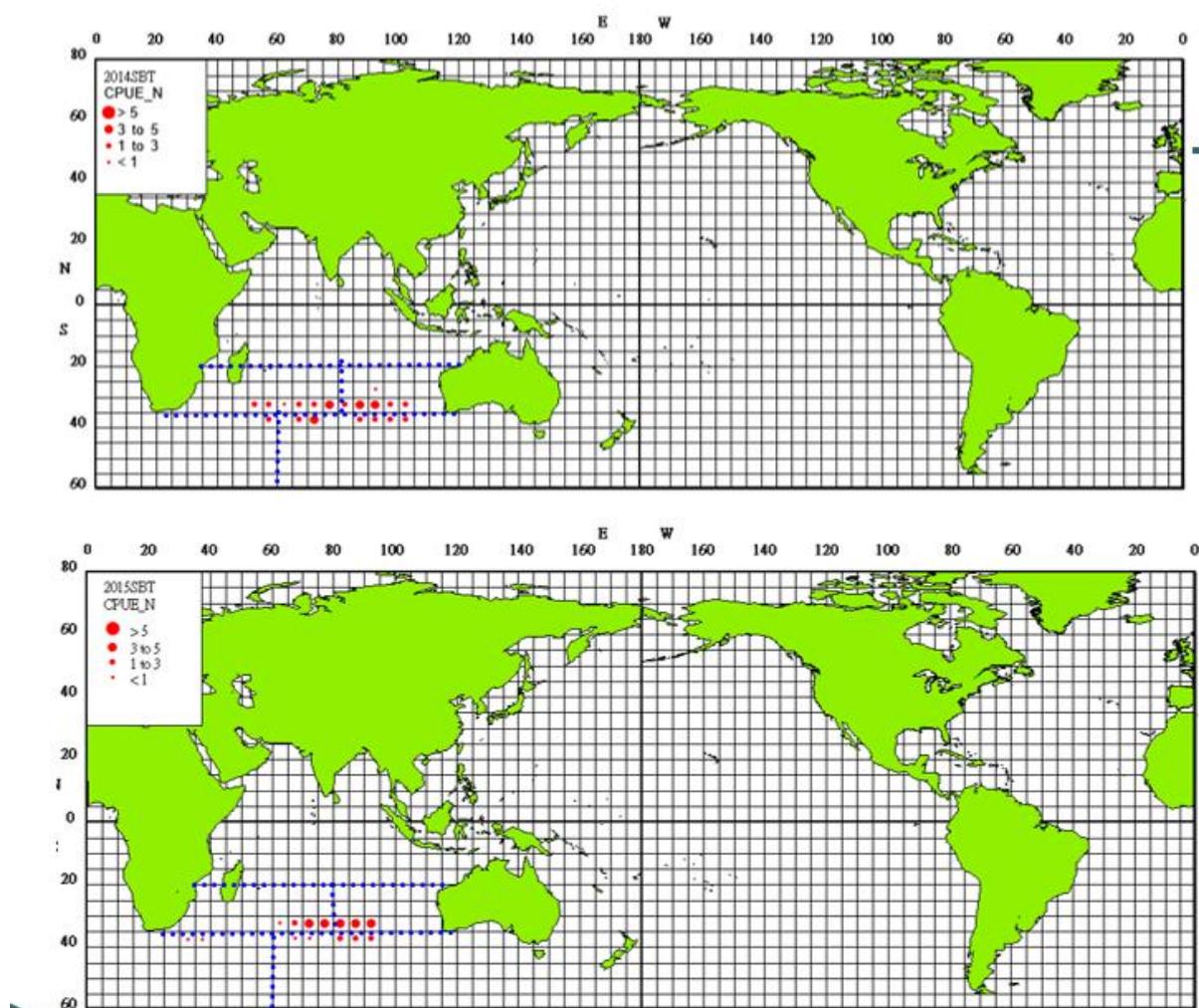


Figure 6: Taiwan catch and effort in the SBT (Source: FA-OFDC)

## 4.3 Validation systems

Taiwan current information on catch validation provides details of transparency on the structure of the system. Validators are designated to 3 places of inspection; South Africa (Cape Town), Mauritius (Port Louis), and Taiwan. The validators name, title, signature and seal are registered with CCSBT.

The catch validation process has also remained effective and unchanged for a number of years. Typically catch is tagged and key information recorded in CTF and CMF by the trained crew for the vessel Master to certify and report in e-logbooks to the FA (and vessel owners). This is followed by a next stage where FA Officials cross-check vessel catch against allocations, and catch reports (CMF)

during transshipment (at-sea or port) or landing, to validate compliance with weight and the FA traceability protocol.

Various CTF and CMF used in FET 2015/16 fishing season was presented by the FA as evidence during phase 2 meetings. National observers in the SBT fishery are trained in inspecting catch documents and providing feedback to Vessel Masters. The CTF reviewed from fishing vessels (CT6-1013, CT6-0962, and CT6-1402) fishing in the Atlantic Oceans and Indian Ocean showed correct recording of information and were signed by the vessel master (Phase 2, personal communication with TTA and FA).

## 5 Member Process Flow Map

- Overview

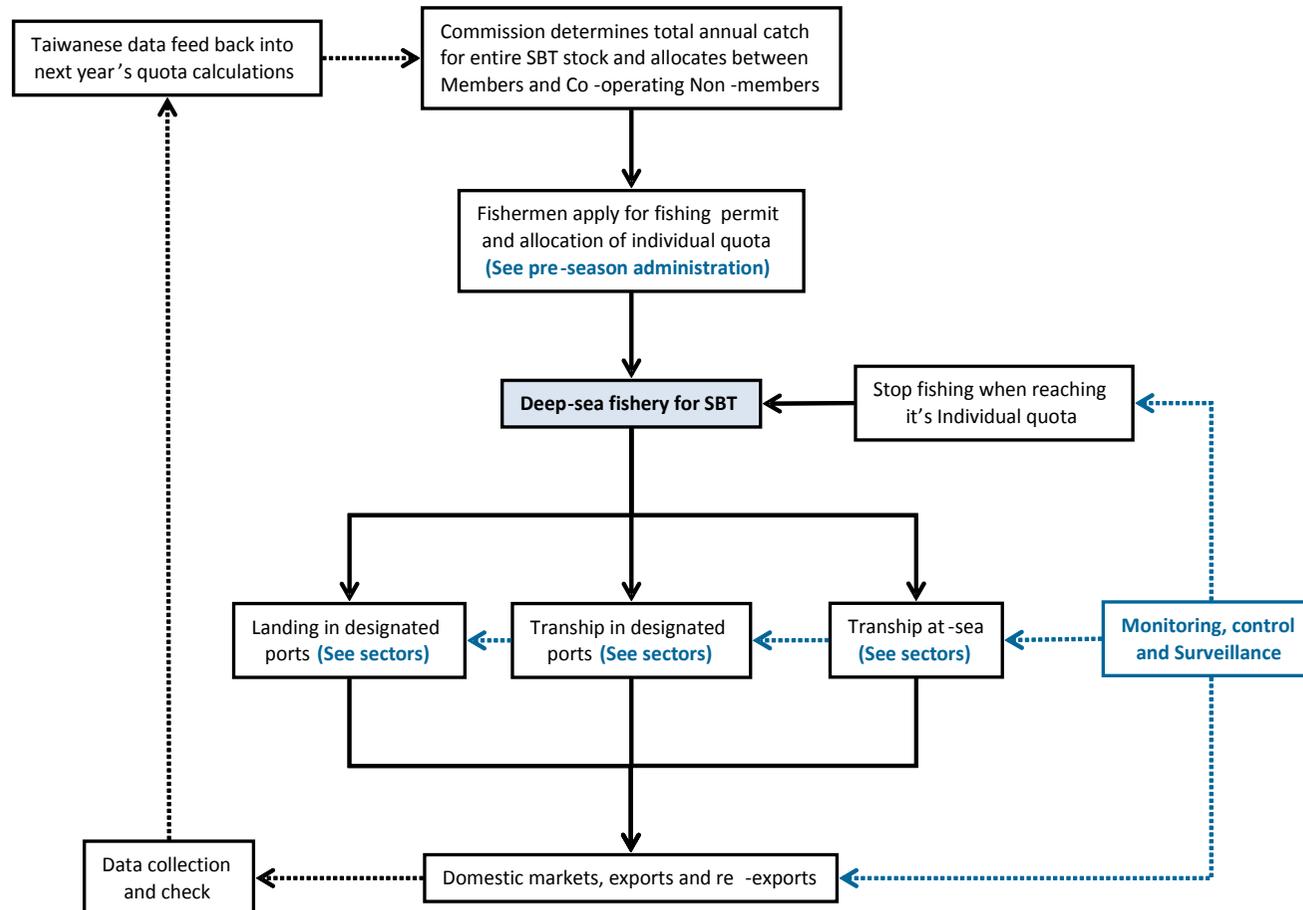


Figure 7: System Overview

• Pre-Season Administration

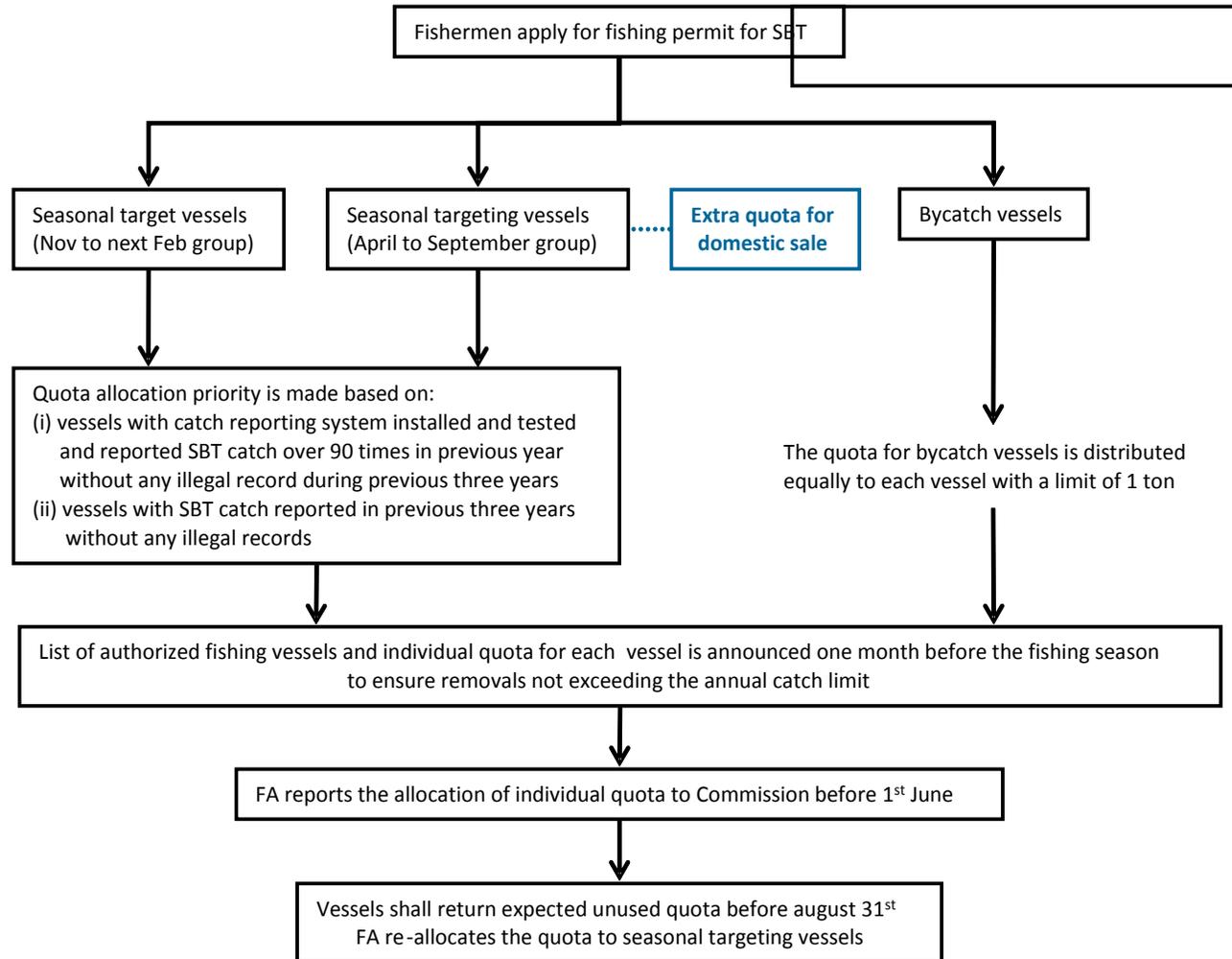


Figure 8: Commercial Landings (MPR 2a (ii); 2a (iii); 2b) - Pre-season administration

• Sectors Relevant to Member

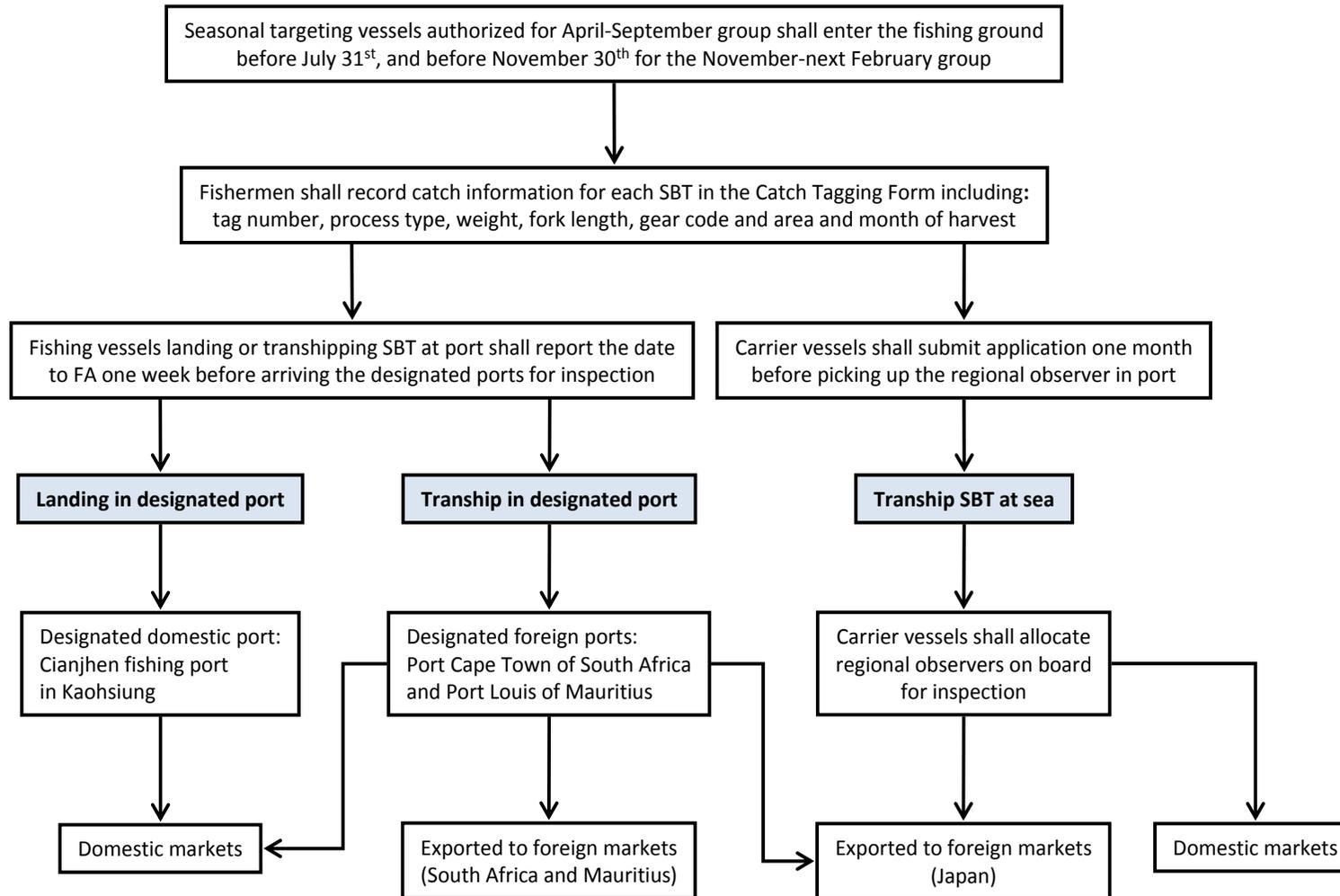


Figure 9: Customary Landings ((MPR 2a (ii); 2a (iii); 2b) - Sectors (include each relevant sector – dependent on Member)

- **Monitoring, Enforcement and Sanction**

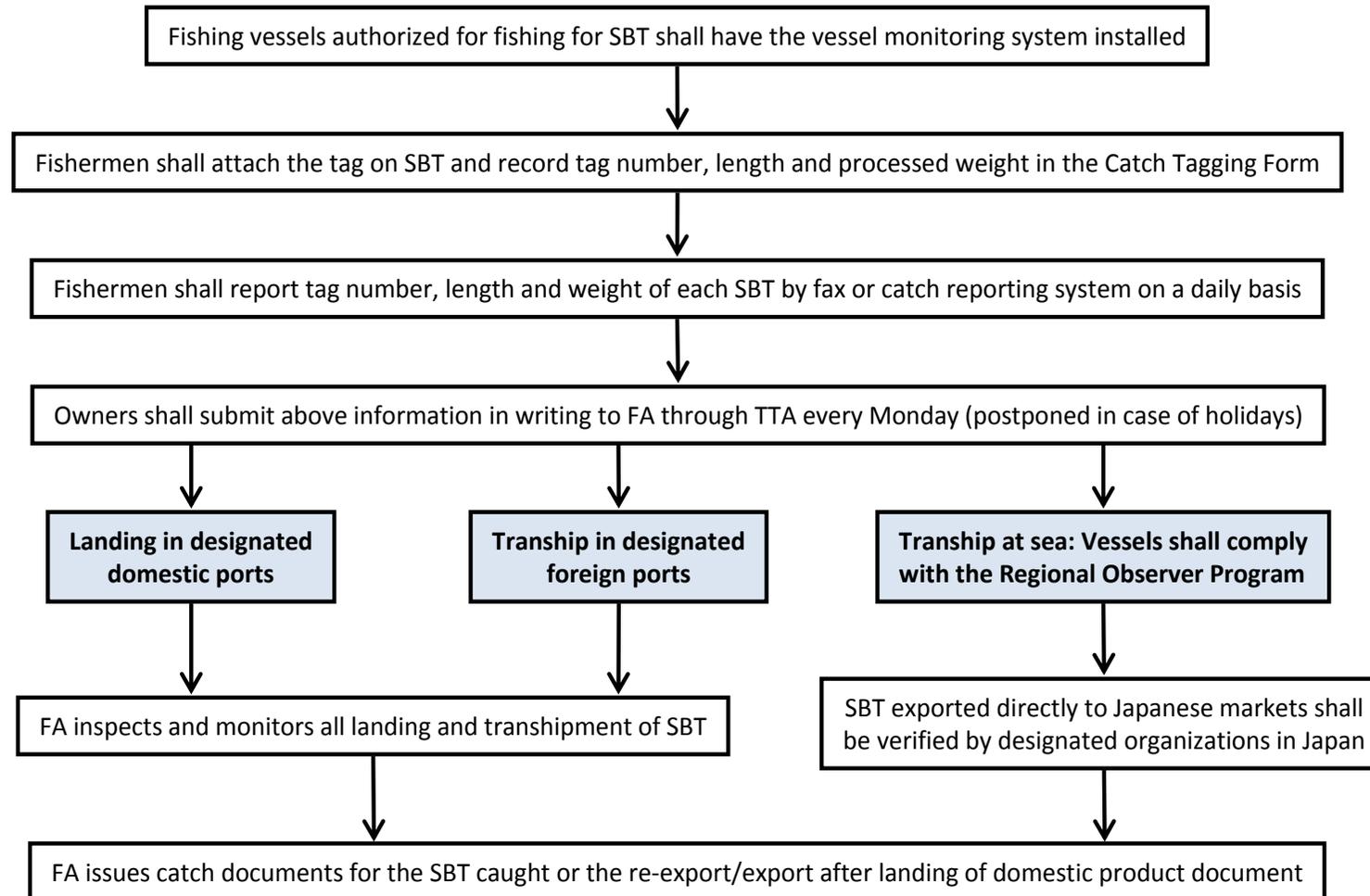


Figure 10: Monitoring, control, enforcement & sanctions (MPR 2c, 4)

## 6 Management System Effectiveness

Taiwan's SBT fisheries management systems have been shown comparable transparencies and effectiveness with the CCSBT minimum performance requirements as outlined in **Section 3**. Utilising information provided by the Member state during consultation as well as information provided by a review of the available documentation, a strengths, weaknesses, opportunities and threats (SWOT) analysis has been conducted. The SWOT has been conducted to provide information on the strengths, weaknesses and risks (threats) associated with Taiwan's SBT fishery in **Appendix 3**, and recommendations (opportunities) of the SWOT are displayed in the following section;

### **The key areas of strengths identified by the QAR are:**

- **Fishing authorisation process;** FA operates an authorisation process where vessels wishing to fish for SBT can apply for quota, and based on their compliance (catching and safety) records they are permitted a portion of the national TAC that is authorised by CCSBT. Fishers are supported by the TTA with appropriate training, as well as to complete and submit application Forms to the FA with their intention to participate in the seasonal targeted fishery or by-catch fishery for SBT. Catch cross-checking and validation is a management process conducted by the FA prior to submitting a request for authorisation with CCSBT for catch carry-forward in next fishing seasons.
- **Catch monitoring system;** an established catch monitoring at-sea and port, and dynamic catch balancing system is in use, with discrepancy analysis conducted on at-sea observer reports and commercial catch reports. Regional observers – IOTC and ICCAT – are dispatched on board carrier vessels to monitor and support catch validation. FA officials and independent third parties agent provide physical catch monitoring, validation, and investigations, including 100% supervised landing and 5% sampling inspection. Taiwan will include all commercial catch and discards into its national allocation and catch reporting as of 2016/17 fishing season. An Independent Observer coverage (11-13% of effort and catch) is in use with mandatory requirements and did not report any discrepancies during recent fishing seasons (2013 to 2015).
- **Established mandatory reporting;** Since 2016, it is a mandatory process for all fishing vessels authorised to fish SBT to report daily catch, effort, and individual length and weight of SBT through the e-logbook system. A back up system and process is established to submit SBT catch information daily by fax, where e-logbook system malfunctions. It is mandatory for fishing companies to submit weekly catch reports to the FA through the TTA. A back up system and process is established to submit SBT catch information on alternatives dates where a reporting date is a national holiday. System of mandatory catch reporting and inter-annual dynamic balancing of fishing quota is implemented and ensures Taiwan does not exceed its annual allocation of catch from CCSBT.
- **Effective MCS system for fishing and carrier fleet;** the technical functions of VMS on carrier vessels are verified by FMC of the FA who provides a report on vessel geographic positions. All fishing effort and catch monitoring systems must be maintain in working order with frequent reporting for vessels to continue fishing, such as e-logbook and VMS reporting. The FA monitor carrier vessel with regards to their cooperation with at-sea observers.
- **Established fisheries legislation;** There is an effective legal framework established. The most recent Act for Distant Water Fisheries provides Articles for conservation management, measures balancing fishing capacity and cooperation with other countries and international fisheries organisation. The Regulation for Tuna Longline Fishing Vessel Proceeding to the Indian Ocean for Fishing Operation provides Articles on permit requirement fish for SBT and transshipment procedures. The Regulation for Fishing Vessels Conducting Southern Bluefin Tuna Fishery,

provides Articles fishing permit from the competent authority (FA), vessel group, and application process using support from the TTA.

- **Enforceable sanctions;** Violations of the above regulations are punishable by law. Some tolerances are allowed for certain areas of fishing operation, such as catch estimation, however late or failing to comply with mandatory requirements such as reporting catch or vessel position are considered serious offences and can result in suspended or cancellation vessel Master licence based on the degree of offence.

**The key areas of weakness or threats (risk) identified by the QAR are:**

- **Discontinuation of at-sea patrol;** No patrol boats has being dispatched to the Indian Ocean since 2010, which was an appropriate element of spatial monitoring and inspection of fishing to evidence compliance with CCSBT obligations.
- Catch weight estimates and landed weight records comply with allowable tolerances, of weights particularly for direct exports
- Tag reconciliation currently does not include unused tags.

## 7 Recommendations for Improvement

SWOT analysis and review of the effectiveness of management systems against the CCSBT minimum performance requirements in **Section 3**, the review team has provided recommendations for improvement of Taiwan's fishery management systems.

**The key recommendations proposed by the QAR are:**

- **Review alternative process to reduce discrepancies between catch and landing weight records;** while the FA comply within the allowable tolerances of this CCSBT systems, there is opportunity to discuss a way forward with the CCSBT to narrow gaps (<2.5%) or any discrepancies between catch weight and landing weight of the national fleet in national annual reports.
- **Review return of un-used tags;** is expected to provide benefits of tag reconciliation as well as reduce tag misuse, incidental loss of tags that contributed to any tags lost at sea.
- **(Whilst not identified as a weakness) Increase at-sea observer coverage;** while Taiwan meet and exceed the 10% required by CCSBT, there may be benefits of increasing observer coverage and reporting in good spatial balance across the fishery in order to gather more independent information on commercial as well as ERS.
- **(Whilst not identified as a weakness) Implementation of formal procedure for investigation of irregularities** providing the fishing industry with public access to information on Taiwan investigation procedures is very likely to improve transparencies in fishery management and how violations are handled. Regular audits (internal or 3<sup>rd</sup> party) of these management processes would also demonstrate levels of their effectiveness.

## 8 Phase 2 Gap analysis

A Gap analysis was conducted by the review team to identify whether there were areas within CCSBT's MPRs where the information provided by Taiwan during Phase 1 was inconsistent with the information sighted/provided during the Phase 2 site visit. **Table 11** summarises the key points associated with MPRs from Phase 1 and compares this with observations during Phase 2 to identify whether there are any gaps. If and where gaps were noted, these have been highlighted and associated recommendations made where applicable.

A range of the evidence documentation reviewed on site or provided by e-mail is listed in Appendix 4.

Overall points of the gap analysis are provided in the immediate following section, with supporting information in the Appendices.

Table 11: GAP analysis of information obtained during phase 1 and the information sighted/provided during the phase 2 site visit.

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents / Systems sighted	Summary
1.1 (i)	1	<ul style="list-style-type: none"> <li>Dynamic fishing quota balancing is used to re-allocate un-used catch.</li> <li>Unfished quota to maximum of 20% is carry forward into next fishing year.</li> <li>Total attributable catch is all SBT landed.</li> </ul>	<ul style="list-style-type: none"> <li>Dynamic fishing quota balancing is used to re-allocate un-used catch.</li> <li>Unfished quota to maximum of 20% is carry forward into next fishing year.</li> <li>Total attributable catch is all SBT landed.</li> </ul>	<ul style="list-style-type: none"> <li>FA Dynamic balance spreadsheet 2016/17.</li> <li>Letter to CCSBT, from FA, notification for catch carry forward of unfished quota 2015 to 2016.</li> <li>FA spreadsheet of annual TAC and landing by vessel 2015 /16 and preliminary data 2016/17.</li> </ul>	<ul style="list-style-type: none"> <li>In phases 2 the FA Team demonstrated how Dynamic quota balancing takes place (in multiple intervals) as well as format of communication with CCSBT to arrange carry forward of unfished quota in order to establish annual TAC and balance against total attributable catch.</li> </ul>
	2a (i)	<ul style="list-style-type: none"> <li>SBT fishing is by commercial vessels only, further fishing restrictions are based on vessel category – seasonal target fleet or by-catch fleet</li> </ul>	<ul style="list-style-type: none"> <li>SBT fishing is by commercial vessels only, further fishing restrictions are based on vessel category – seasonal target fleet or by-catch fleet</li> </ul>	<ul style="list-style-type: none"> <li>Fishers' application documents to participate in 2015/16, 2016/17 fishing season (with the TTA and FA).</li> <li>FA spreadsheet of quota allocation (2015/16, 2016/17)</li> </ul>	<ul style="list-style-type: none"> <li>Fishers submit application to participate in the fishing. First applications are reviewed by the TTA and then by the FA for authorisation and quota based on vessel category, compliance, and fishing history.</li> </ul>

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents / Systems sighted	Summary
	2a (ii)	<ul style="list-style-type: none"> <li>Daily report is provided to the FA of Tuna longlining catch and effort returns include fish by-catch information for both retained and released or discarded catches.</li> </ul>	<ul style="list-style-type: none"> <li>Daily report is provided to the FA of Tuna longlining catch and effort returns include fish by-catch information for both retained and released or discarded catches.</li> </ul>	<ul style="list-style-type: none"> <li>Catch tagging/monitoring Forms 2015/16.</li> <li>E-logbook reporting system</li> </ul>	<ul style="list-style-type: none"> <li>Catch tagging forms, and catch monitoring forms with data from 2015/16 season was provided, and a demonstration provided of the e-logbook system.</li> </ul>
	2a (iii)	<ul style="list-style-type: none"> <li>Fishing company submit their report on a weekly basis to the FA through the TTA.</li> </ul>	<ul style="list-style-type: none"> <li>Fishing company submit their report on a weekly basis to the FA through the TTA.</li> </ul>	<ul style="list-style-type: none"> <li>Samples of weekly fishing vessel reports 2015/16 received at the FA by fax from vessel owners.</li> <li>Computer system for fishing data.</li> </ul>	<ul style="list-style-type: none"> <li>The FA showed the process used for entering on a daily basis all data in weekly reports sent from vessel owners.</li> </ul>
	2b	<ul style="list-style-type: none"> <li>Commercial catch or discard related mortality is estimated and recorded on the tuna longline catch and effort returns.</li> </ul>	<ul style="list-style-type: none"> <li>Commercial catch or discard related mortality is estimated and recorded on the tuna longline catch and effort returns.</li> </ul>	<ul style="list-style-type: none"> <li>Samples of catch returns forms, and spreadsheet of full year catch and discard summary 2015/16.</li> </ul>	<ul style="list-style-type: none"> <li>Catch reporting forms in current use record estimated weight of retained catch and estimated number of non-retained catch of SBT. For example 105 and 76 SBT were recorded as non-retained in 2014/15, and 2015/16 fishing</li> </ul>

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents / Systems sighted	Summary
					seasons respectively.
	2c	<ul style="list-style-type: none"> <li>FA officials and independent third parties provide physical catch monitoring, validation, and investigations, including 100% supervised landing and 5% sampling inspection</li> </ul>	<ul style="list-style-type: none"> <li>FA officials and independent third parties provide physical catch monitoring, validation, and investigations, including 100% supervised landing and 5% sampling inspection</li> </ul>	<ul style="list-style-type: none"> <li>List of FA Validators located in designated ports.</li> <li>Meeting with FA Observers from 2015/16.</li> <li>Samples of validated catch reporting forms.</li> <li>Sample SWORN catch landing inspection report.</li> </ul>	<ul style="list-style-type: none"> <li>Patrol vessel are not currently dispatched to the Indian Ocean, however remote monitoring by VMS and physical catch inspection are taking place.</li> </ul>
	3	<ul style="list-style-type: none"> <li>Fisheries officials at the FA, particularly the Deep Sea Fisheries Division communicate SBT catch report monthly and quarterly to the CCSBT.</li> </ul>	<ul style="list-style-type: none"> <li>Fisheries officials at the FA, particularly the Deep Sea Fisheries Division communicate SBT catch report monthly and quarterly to the CCSBT.</li> </ul>	<ul style="list-style-type: none"> <li>Discussions with the FA.</li> <li>Schedule of dates on communication</li> <li>Sample email communications</li> </ul>	<ul style="list-style-type: none"> <li>The FA communicates SBT catch updates to CCSBT monthly and quarterly, and provided annual information that used to prepare the national compliance report.</li> </ul>
	4	<ul style="list-style-type: none"> <li>FA catch monitoring systems are in place to compare actual catch against TAC and to impose sanctions such as catch pay-back.</li> </ul>	<ul style="list-style-type: none"> <li>FA catch monitoring systems are in place to compare actual catch against TAC and to impose sanctions such as catch pay-back.</li> </ul>	<ul style="list-style-type: none"> <li>FA spreadsheet full year TAC and landing, and vessel paying back over catch 2015/16.</li> </ul>	<ul style="list-style-type: none"> <li>Actual catch and TAC by vessel is monitored and vessel that over-fish their quota received restricted TAC (pay</li> </ul>

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents / Systems sighted	Summary
				<ul style="list-style-type: none"> <li>Computer system use to update catch and TAC monitoring</li> </ul>	back) in the next fishing season.
1.1 (iii)	1a – 1b	<ul style="list-style-type: none"> <li>Taiwan submitted notification with approval to the CCSBT for catch carry-forward in 2013/14 fishing seasons</li> </ul>	<ul style="list-style-type: none"> <li>Taiwan submitted notification with approval to the CCSBT for catch carry-forward in 2013/14 and 2015/16 fishing seasons.</li> <li>Taiwan submits the catch documents and relevant information (CMF and CTF) on a quarterly basis to CCSBT Secretariat.</li> </ul>	<ul style="list-style-type: none"> <li>FA Catch Carry Forward email to CCSBT, dated 25<sup>th</sup> April 2016.</li> </ul>	<ul style="list-style-type: none"> <li>The FA catch carry forward request was approved in 2013/14 however not in 2015/16 by the CCSBT. Concluded year TAC is compared with actual catch when considering carry forward request.</li> </ul>
2.3 (i–ii)		<ul style="list-style-type: none"> <li>Carrier vessels are not allowed to receive transhipments from fishing vessels that are not registered in the RFMO list.</li> </ul>	<ul style="list-style-type: none"> <li>Carrier vessels are not allowed to receive transhipments from fishing vessels that are not registered in the RFMO list.</li> </ul>	<ul style="list-style-type: none"> <li>List of FA authorised carrier vessel.</li> <li>Email communication with updated carrier vessel list from FA to CCSBT 16<sup>th</sup> March 2016</li> </ul>	<ul style="list-style-type: none"> <li>List of carrier vessels authorised by the FA and held by CCSBT was the same.</li> </ul>
2.3 (iii)		<ul style="list-style-type: none"> <li>Five carrier vessels were authorised to carry out transhipment in the 2015/16 fishing season; all vessels install 2 VMS to ensure reporting capability.</li> </ul>	<ul style="list-style-type: none"> <li>Five carrier vessels were authorised to carry out transhipment in the 2015/16 fishing season; all vessels install 2 VMS to ensure reporting capability.</li> </ul>	<ul style="list-style-type: none"> <li>VMS tracking system at the FA Fisheries Monitoring Centre (FMC).</li> </ul>	<ul style="list-style-type: none"> <li>FA staff at the FMC provided a demonstration of the VMS tracking system, showing locations of carrier vessels during</li> </ul>

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents / Systems sighted	Summary
					2015/16 fishing season
3.1 (i-v)	1a - c	<ul style="list-style-type: none"> <li>The FA and TTA communicate regularly with all entities involved with SBT fishing about the CDS rules and provided local as well as remote training in appropriate use of the CTF and CMF. Formal training manual and videos were provided during the phase 2 stakeholder meetings with TTA and FA</li> </ul>	<ul style="list-style-type: none"> <li>The FA and TTA communicate regularly with all entities involved with SBT fishing about the CDS rules and provided local as well as remote training in appropriate use of the CTF and CMF. Formal training manual and videos were provided during the phase 2 stakeholder meetings with TTA and FA.</li> <li>Training material in video and PowerPoint format was presented.</li> </ul>	<ul style="list-style-type: none"> <li>Formal training manual and training plan documents for vessel masters, crew, observers, 3<sup>rd</sup> party agency, and traders.</li> </ul>	<ul style="list-style-type: none"> <li>Training material in the format of video and PowerPoint presentation on how to appropriately tag each fish and complete CTF and CMF was provided, along with a detail training manual.</li> </ul>
	1e +3	<ul style="list-style-type: none"> <li>The captains of fishing and carrier vessels and the observers sign jointly in the catch monitoring form to certify the catch and this is used by FA staff to conduct review and cross-checking of catch document to verify compliance with certification procedures.</li> </ul>	<ul style="list-style-type: none"> <li>Vessel master certified daily and weekly catch documents before submitting to the FA.</li> <li>The CTF reviewed from fishing vessels (CT6-1013, CT6-0962, and CT6-1402) fishing in the Atlantic Oceans and Indian Ocean showed correct recoding of information and were signed by the vessel master.</li> </ul>	<ul style="list-style-type: none"> <li>Sample CTF and CMF, and weekly catch reports 2015/16</li> </ul>	<ul style="list-style-type: none"> <li>CDS documents were correctly completed and submitted to the FA.</li> <li>CTF reviewed from fishing vessels (CT6-1013, CT6-0962, and CT6-1402) fishing in the Atlantic Oceans and Indian Ocean showed correct recoding of information and</li> </ul>

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents / Systems sighted	Summary
					were signed by the vessel master.
3.1 (vi)	1 - 2	<ul style="list-style-type: none"> <li>Carrier vessels are not allowed to receive transhipments from the fishing vessels that are not registered in the list of RFMOs.</li> <li>Fishing vessels that tranship SBT catch at sea cooperate with the regional observer assigned by IOTC or ICCAT for inspection.</li> <li>All fishing and carrier vessels that catch or tranship SBT need authorization from FA and are monitored with VMS.</li> </ul>	<ul style="list-style-type: none"> <li>The FA authorised list of fishing and carrier vessels were same at the FA as with CCSBT, and used to demonstrate VMS back-trace of vessel activities in 2015/16. The applicable regulation such as "Regulations for Fishing Vessels Fishing for Southern Bluefin Tuna in the Three Oceans", was discussed with reference to Articles 11 and 14 dealing with transhipment compliance and enforcement.</li> </ul>	<ul style="list-style-type: none"> <li>FA authorised list of Fishing and Carrier vessels.</li> <li>VMS back-trace for sample of fishing and carrier vessels in 2015/16</li> </ul>	<ul style="list-style-type: none"> <li>The FA authorised list of fishing and carrier vessels as well as VMS systems were effective in monitoring transhipment.</li> </ul>
3.1 (vii ix)	1 - 3	<ul style="list-style-type: none"> <li>Documents such as CDS documents are used as agreed with CCSBT without modifications.</li> </ul>	<ul style="list-style-type: none"> <li>CTF and CMF shared and discussed with the FA were identified to be as agreed with CCSBT for catch report.</li> </ul>	<ul style="list-style-type: none"> <li>CTF and CMF 2015/16</li> </ul>	<ul style="list-style-type: none"> <li>The FA authorised CTF and CMF were same as that agreed with CCSBT and that which is submitted by vessel masters.</li> </ul>
3.1 (x – xii)	1a-e	<ul style="list-style-type: none"> <li>Taiwan revised regulation and management systems to include CTF and coordinate fishers through the TTA in meeting the minimum specifications for tagging of SBT.</li> </ul>	<ul style="list-style-type: none"> <li>Catch tags are purchased by fishers and issued at the start of the season, as well as during any increase in quota. Used tags are reconciled by the FA using CTF submitted</li> </ul>	<ul style="list-style-type: none"> <li>CTF</li> <li>Sample of catch tags</li> <li>Operation Directions for Application and Issuance of CCSBT</li> </ul>	<ul style="list-style-type: none"> <li>Catch tags are authorised and reconciled by the FA, however unused tag are not currently reconciled, and this</li> </ul>

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents / Systems sighted	Summary
			by fishers and vessel owners. However unused tags are not reconciled.	SBT Catch Document	is being considered to reduce possible issues of tag misuse or tag adding to marine litter, or threat to marine species.
3.1 (xiii – xviii)	1-2	<ul style="list-style-type: none"> <li>FA issue annually catch tags to authorised fishers and requires all authorized vessels to use tags with unique series numbers including identification symbols for Taiwan (TW) and the fishing year (16). Only catch with correct tag information is validated by FA Officials</li> </ul>	<ul style="list-style-type: none"> <li>FA Officials conduct comparison of daily and weekly catch information (CTF). The risk management strategy referring to MPR <i>'minimise opportunities of illegal SBT is marketed'</i> was discussed with FA. The strategy was described: 100% supervised fish transfer/landing, 5% random consignment sample inspection, CDS cross-checking by FA staff, and disincentive sanctions such as suspending of fishing license of vessel, master and crew for fixed period.</li> <li>In 2016 Taiwan adopted the National Plan of Control and Inspection for Fisheries which include risk-based approaches to fishery</li> </ul>	<ul style="list-style-type: none"> <li>CTF</li> <li>National compliance report (2014, 15, and 16).</li> <li>FA spreadsheet for TAC and landing 2015 and dynamic balancing.</li> </ul>	<ul style="list-style-type: none"> <li>FA authorised the list of catch tags annually and reconcile weekly using information submitted in daily and weekly catch reporting forms.</li> </ul>

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents / Systems sighted	Summary
			management. For example under the unilateral MCS framework, coast patrol by foreign states are permitted to board Taiwan vessels at-sea and report any untoward matters.		
3.1 (xix – xxi)	1a-f, 2	<ul style="list-style-type: none"> <li>FA officers function to validate (check, stamp, and sign, to authorize) Catch Monitoring Form for SBT with reference to: Re-Export/Export after Landing of Domestic Product.</li> <li>All SBT validators are FA staff trained to carry of catch validation responsibilities.</li> <li>FA cross check SBT catch in weekly reports, e-logbook and commercial trading information for Japanese markets. Accuracy of these information are used to check performance compliance and effectiveness of validators.</li> </ul>	<ul style="list-style-type: none"> <li>The list of FA authorised validators held by CCSBT were the same. A sample of CDS forms from 2015/16 season was reviewed confirming use of the validators.</li> <li>The effectiveness of validators is monitored by the FA and actions such as training is provided when improvement is needed.</li> <li>Only SBT with catch documents that are validated are permitted to land, and this is enforced by national regulations.</li> </ul>	<ul style="list-style-type: none"> <li>List of FA authorised validators.</li> <li>Email communication with validators.</li> <li>Validated CDS forms 2015/16.</li> </ul>	<ul style="list-style-type: none"> <li>Only trained FA staff are delegated with responsibility to validate SBT catch documents. Validator effectiveness is monitored by the FA.</li> </ul>
3.1 (xxii – xxv)	1b	<ul style="list-style-type: none"> <li>Correct records of stamped and signed validator information accompany the SBT at landing or transhipment through to first point of sale.</li> </ul>	<ul style="list-style-type: none"> <li>Validation information on SBT export, import or re-exported were provided during the phase 2 sessions with the FA.</li> </ul>	<ul style="list-style-type: none"> <li>“Records of landing inspection at Kaohsiung Harbour, Taiwan; in Japan by 3rd Agent; in Mauritius, and in</li> </ul>	<ul style="list-style-type: none"> <li>Transparency is demonstrated from the FA records, which validated SBT information is maintained with the</li> </ul>

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents / Systems sighted	Summary
				Cape Town". In addition record of custom clearance, was provided which indicated CMF information that used for SBT traceability back to source.	product during catch transfers, export, and import.
3.1 (xxvi)		<ul style="list-style-type: none"> <li>All required catch documents have been stored securely in FA office.</li> </ul>	<ul style="list-style-type: none"> <li>FA demonstrated that the catch documents and relevant information (CMF and CTF) are submitted on a quarterly basis for the recent fishing season to the CCSBT.</li> </ul>	<ul style="list-style-type: none"> <li>CDS database and CMF and CTF</li> <li>VMS database</li> </ul>	<ul style="list-style-type: none"> <li>All catch documents in hard copies are properly stored in secure location of the FA office under conditions that avoid damage or deterioration. Electronic database are securely maintained at the FA offices.</li> </ul>
3.1 (xxix – xxxi)	1, 2a – e, 3	<ul style="list-style-type: none"> <li>Japan Marine Surveyors and Sworn Measure Association is contracted by the FA to conduct landing inspections and examination of SBT catch (CDS) transhipped directly to Japan.</li> <li>FA officials at designated ports validate Catch CDS; FA staff in Taiwan office verify CDS validations.</li> </ul>	<ul style="list-style-type: none"> <li>The FA provides training, information and authorisation to 3<sup>rd</sup> party contracting agency such as SWORN to facilitate the effectiveness of their service. Catch inspection reports prepared by SWORN is compared with CDS by the</li> </ul>	<ul style="list-style-type: none"> <li>FA list of authorised validators</li> <li>Validated SBT catch documents 2015/16.</li> <li>SWORN catch landing inspection report.</li> </ul>	<ul style="list-style-type: none"> <li>Quarterly effectiveness review is conducted on FA validators and SWORN Agency to confirm compliance with FA catch control measures.</li> </ul>

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents / Systems sighted	Summary
		<ul style="list-style-type: none"> <li>The Deep Sea Fisheries Division of FA evaluates effectiveness of the system on a quarterly basis.</li> <li>Certified catch information are compared with validators' reports and independent 3<sup>rd</sup> party examination report, any discrepancies identified could trigger further investigation and sanctions.</li> <li>Using national regulations, the FA can mandate fishing vessel to stop operations and return directly to a designated port for inspection when the vessel is suspected of illegal fishing or reporting catch abnormally.</li> </ul>	<p>FA, to measure effectiveness of the agency with reference to FA catch control measures.</p>	<ul style="list-style-type: none"> <li>Training and information documents for SWORN.</li> <li>R</li> </ul>	
3.3 (I – v)	1a-b, 2a-e, 3a-g)	<ul style="list-style-type: none"> <li>Fishermen, Owner or Masters of fishing vessels submit required documents to obtain approval for the transshipment from FA prior to occurrence of the SBT transshipment.</li> <li>SBT documents for authorisation are submitted to the FA at least 3days in advance of date of transshipment occurring.</li> <li>By MoU and Taiwan processes, regional observers are provided with space, facility, and documents, as well as</li> </ul>	<ul style="list-style-type: none"> <li>The pre-season process for authorisation of carrier vessel 2015/16 and 2016/17 season was shown by the TTA representative.</li> <li>Transshipment application documents included VMS report and confirmation that fees are paid to RFMO for accepting regional observers on board.</li> </ul>	<ul style="list-style-type: none"> <li>Pre-season transshipment application documents and process.</li> <li>List of FA authorised fishing and carrier vessels.</li> <li>Pre-season transshipment application and proposal.</li> </ul>	<ul style="list-style-type: none"> <li>The TTA support fishing company to prepare pre-season transshipment allocation which should include information confirming VMS installation, and payment of observer fees. Complaints or</li> </ul>

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents / Systems sighted	Summary
		<p>necessary and adequate assistances so as to help them to carry out their duties.</p> <ul style="list-style-type: none"> <li>Carrier vessel communicate with regional observers to arrange collection from designated ports at least 1 month in advance.</li> <li>By regulation, carrier and fishing vessels are not allowed to participate in SBT transshipment with vessels that are not registered and authorized by RFMOs.</li> </ul>	<ul style="list-style-type: none"> <li>No compliant of hindrance to regional observers were recorded in their reports to the RFMO.</li> </ul>	<ul style="list-style-type: none"> <li>CDS documents signed by regional observers</li> </ul>	<p>hindrances was not reported by the regional observer.</p>
3.3 vi	1-2	<ul style="list-style-type: none"> <li>FA staff supervise 100% of SBT transfers (with at sea support from observers, and 3<sup>rd</sup> party agency in port).</li> <li>FA staff cross check vessel fishing locations with catch reports and VMS data, and raise the needed for further investigations or sanctions where discrepancies are identified.</li> <li>FA Validators are located at domestic port and conduct cross checking of SBT information in CTF and CMF, as well as validation of catch where no discrepancies are identified.</li> </ul>	<ul style="list-style-type: none"> <li>Fishing and carrier vessels notification system facilitated FA staff and 3<sup>rd</sup> party agents to be present during fish transfers and ensuring 100% supervision of the process.</li> <li>Documents and systems used during catch crossing checking and before validation was shown by the FA.</li> </ul>	<ul style="list-style-type: none"> <li>CDS forms 2015/16</li> <li>SBT catch database 2015/16</li> </ul>	<ul style="list-style-type: none"> <li>All transfers of SBT are 100% supervised across FA staff and 3<sup>rd</sup> party contractor agents. Systems and documents were shown for cross checking and validating SBT Catch.</li> </ul>
3.3 (vii)	1	<ul style="list-style-type: none"> <li>It is mandatory for Taiwan SBT to be tagged, and accompany with appropriate CTF and CMF for</li> </ul>	<ul style="list-style-type: none"> <li>Catch monitoring documents remain with the product until the first point of sale. It was explain that</li> </ul>	<ul style="list-style-type: none"> <li>Signed landing declarations</li> </ul>	<ul style="list-style-type: none"> <li>tags remain with each SBT to the first point of sale.</li> </ul>

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents / Systems sighted	Summary
		authorisation and preparation of signed transshipment declaration covering the product until first point of sale	this does not suggest the product is no longer accompanied with tags.		
6.5	1-2	<ul style="list-style-type: none"> <li>The Division of Deep Seas Fisheries of FA is in charge of the preparation of information that is collated into the National Report and submits this information to Executive Secretary</li> </ul>	<ul style="list-style-type: none"> <li>In addition to monthly reporting, the FA provide quarterly updates on catch rates against TAC to the CCSBT</li> </ul>	<ul style="list-style-type: none"> <li>Email communication to the FA</li> </ul>	<ul style="list-style-type: none"> <li>FA provides regularly communication with CCSBT, such as monthly, quarterly and annually.</li> </ul>

## **9 Post Final Report Member Comments**

This section is available to the Member to make any comments on the report post the final submission.

## 10 Appendices

### Appendix 1: Consultation Process and Attendee List

Table 12: Consultation Process and Attendee List

Organisation	Person	Action	Date
SAI Global	Rohan Smith Nan-Jay Su Oliver Wilson Dave Garforth	Introduction and Overview of the QAR	25 <sup>th</sup> Jan - 23 <sup>rd</sup> March 2017
COA -FA	Shiu-Ling Lin		
CCSBT	Bob Kennedy		
SAI Global	Rohan Smith Nan-Jay Su	<b>Phase 1 Review Desk based</b> information gathering and arrangements for Phase 2 Consultation	9 <sup>th</sup> Feb - 8 <sup>th</sup> March 2017
CCSBT Secretariat	Bob Kennedy Susie IBALL		
Council of Agriculture (COA) – Fisheries Agency (FA)	Shiu-Ling Lin		
COA - FA	Rohan Smith Nan-Jay Su Oliver Wilson	Conference call to introduce team and Phase 2 intent, and checklist information request	8 <sup>th</sup> – 10 <sup>th</sup> March
COA –FA; Sections: Deep Sea Fisheries Division, Research and Development Section, Application and Public Service Centre, Observer Section, Ports – Domestic and Foreign Section, Tuna Trade Section – New Japan Surveys and Responsible Tuna	Shiu-Ling Lin Lan-Long Yu Chiu-Fen Chen  Dung-Chu Wei Wei-Yang LIU Sheng-Ming HUNG I-Lu LAI  Joyce WU	<b>Phase 2 site visit</b>  Providing documentation prior to consultation	21 <sup>st</sup> & 23 <sup>rd</sup> March 2017
SAI Global	Rohan smith Nan-Jay Su Ya-Ling Ting		
TTA, Coast Guard, OFDC	WEN-JUNG HSIEH YIN-HO LIU KUAN-TING LEE	Phase 2 site visit Providing additional documentation	22 <sup>nd</sup> March 2017
SAI Global	Rohan Smith Nan-Jay Su Ya-Ling Ting		
SAI Global	Rohan smith Nan-Jay Su Oliver Wilson	Post site visit discussions - Additional information request – update report	May 2017 – June 2017

## Appendix 2: Catch Allocation by Vessel

Vessel Name	Total Shares of TAC (T) Allocation	Restricted Shares (T)	Restriction Type	Rounded ACE Equivalent (kg)	% of ACE
FULL LI HSIANG	33.5			33500	3%
YING YONG HSIANG	33.5	0.069	Return	33431	3%
YU CHAN HSIANG	33.5	0.195	Return	33305	3%
LI HSIANG	33.5			33500	3%
SHIN SHUEN FAR 668	33.5	0.211	Return	33289	3%
SHIN SHUEN FAR 688	33.5			33500	3%
SHIN SHUEN FAR 889	33.5			33500	3%
SHUU CHANG 6	33.5			33500	3%
MAN AN	33.5			33500	3%
YI JEN CHUN 668	33.5			33500	3%
JUI DER 16	33.5	0.213	Return	33287	3%
JIN JAAN SHYANG 3	33.5			33500	3%
SHIN SHUEN FAR 69	33.5			33500	3%
SIN HUA FONG 168	33.5			33500	3%
SHUN FENG 12	33.5	0.351	Return	33149	3%
HUNG JIE WEI 669	33.5			33500	3%
SHANG FENG 3	33.5			33500	3%
JUI DER 112	33.5			33500	3%
SIN HUA FONG 16	33.5	0.019	Return	33481	3%
JIN YUAN	23.5			23500	2%
HO HSIN HSING 601	23.5			23500	2%
HUNG SHING 212	23.5			23500	2%
HAO CHING 101	23.5	0.565	Return	22935	2%
HSIANG FA 16	23.5			23500	2%
HUNG JIE WEI 668	23.5			23500	2%
JOHO	23.5			23500	2%
HWA HUNG 202	23.5			23500	2%
WIN LONG	23.5	0.041	Return	23459	2%
FARN SHUEN 1	23.5			23500	2%
JO WEN	23.5			23500	2%
FU YU	10			10000	1%
SHUANG LIAN	10			10000	1%
SHYANG CHYANG 88	10			10000	1%
HONG IU 313	10			10000	1%
FENG KUO 888	1			1000	0.10%
FUH SHENG 11	1			1000	0.10%

Vessel Name	Total Shares of TAC (T) Allocation	Restricted Shares (T)	Restriction Type	Rounded ACE Equivalent (kg)	% of ACE
FULL SHINE 7	1			1000	0.10%
WOEN YU CHANG 6	1	0.25	Return	750	0.08%
KIEN CHANG 33	1			1000	0.10%
CHIEN TSAO 322	1			1000	0.10%
CHIEN JUI 102	1			1000	0.10%
CHIN CHANG LONG	1			1000	0.10%
CHIN LIANG MEI	1	0.004	Return	996	0.10%
CHIEN CHUAN 6	1	0.014	Return	986	0.10%
RUEY SHENG 1	1			1000	0.10%
SHYANG CHYANG 8	1	0.631	Return	369	0.04%
HONG DA 1	1			1000	0.10%
FULL ALWAYS	1			1000	0.10%
KUANG YING	1	0.083	Return	917	0.09%
HUNG CHUAN 232	1			1000	0.10%
HOU CHUN 1	1	0.167	Return	833	0.09%
WOEN YU 168	1			1000	0.10%
FONG CHUN 66	1	0.007	Return	993	0.10%
WIN FAR 888	1	0.583	Return	417	0.04%
LIAN HORNG 67	1			1000	0.10%
HUNG RUNG 2	1	0.167	Return	833	0.09%
REN HORNG DAR NO.68	1			1000	0.10%
TA CHUN 101	1			1000	0.10%
FU CHUN 128	1			1000	0.10%
HUNG HWA 202	1			1000	0.10%
CHIN SHENG WIN	1	1	Return	0	0.00%
SHYANG CHYANG 888	1			1000	0.10%
HUNG JUNG 101	1			1000	0.10%
YNG HSING 23	1			1000	0.10%
SHANG FU	1			1000	0.10%
JAIN HSUAN 202	1	0.016	Return	984	0.10%
HSIANG MAN SHING	1			1000	0.10%
FONG CHUN 136	1	0.038	Return	962	0.10%
FONG CHUN 166	1			1000	0.10%
FONG CHUN 36	1			1000	0.10%
LIAN HORNG 777	1			1000	0.10%
CHEN HSING 888	1			1000	0.10%
WIN FAR 828	1			1000	0.10%
CHEN HSING 188	1			1000	0.10%

Vessel Name	Total Shares of TAC (T) Allocation	Restricted Shares (T)	Restriction Type	Rounded ACE Equivalent (kg)	% of ACE
FULL KUO SHENG	1			1000	0.10%
HSIANG HSIN 6	1			1000	0.10%

**Appendix 3:** Strengths, weaknesses, opportunities and risks (threats) (SWOT) analysis conducted for Taiwan's systems determining compliancy to CCSBT Minimum Performance requirements (MPR's)

Obligation	MPR	Strengths
1.1(i)	1	<ul style="list-style-type: none"> <li>Quota is allocated to individual vessel based on the vessel category.</li> <li>Individual vessel is responsible to manage its quota within fishing policies or is subjected to penalties.</li> <li>System of mandatory catch reporting and inter-annual dynamic balancing of fishing quota is implemented and ensures Taiwan does not exceed its annual allocation of catch from CCSBT.</li> </ul>
2	2a(i)	<ul style="list-style-type: none"> <li>FA operates an authorisation process where vessels wishing to fish for SBT can apply for quota, and based on their compliance (catching and safety) records they are permitted a portion of the national TAC that is authorised by CCSBT.</li> </ul>
	2a(ii)	<ul style="list-style-type: none"> <li>Since 2016, it is a mandatory process for all fishing vessels authorised to fish SBT to report daily catch, effort, and individual length and weight of SBT through the e-logbook system.</li> <li>A back up system and process is established to submit SBT catch information daily by fax, where e-logbook system malfunctions.</li> <li>A back up system and process is established to submit SBT catch information on alternatives dates where a reporting date is a national holiday.</li> </ul>
	2a(iii)	<ul style="list-style-type: none"> <li>It is a mandatory system for fishing companies to submit weekly catch reports to the FA through the TTA.</li> <li>A back up system and process is established to submit SBT catch information on alternatives dates where a reporting date is a national holiday.</li> </ul>
	2b	<ul style="list-style-type: none"> <li>Taiwan will include all commercial catch and releases or discards into its national allocation and catch reporting as of 2016/17 fishing season.</li> <li>An Independent Observer coverage (11-13% of effort and catch) is in use with mandatory requirements and did not report any discrepancies during recent fishing seasons (2013 to 2015).</li> </ul>
	2c	<ul style="list-style-type: none"> <li>An established catch monitoring at-sea and port, and dynamic catch balancing system is in use, with discrepancy analysis conducted on at-sea observer reports and commercial catch reports.</li> <li>Regional observers – IOTC and ICCAT – are dispatched on board carrier vessels to monitor and support catch validation.</li> <li>FA officials and independent third parties provide physical catch monitoring, validation, and investigations, including 100% supervised landing and 5% sampling inspection</li> </ul>

Obligation	MPR	Strengths
	3	<ul style="list-style-type: none"> <li>Taiwan submit annual SBT mortality data to the CCSBT which among its use includes updating the characterisation of global SBT fisheries information system.</li> </ul>
	4	<ul style="list-style-type: none"> <li>FA confirms individual vessel permission to fish SBT annually.</li> <li>All fishing effort and catch monitoring systems must be maintain in working order with frequent reporting for vessels to continue fishing, such as e-logbook and VMS reporting.</li> <li>Sanctions are enforceable by the national legal system and financial fines with disc-incentives.</li> </ul>
1.1 (iii)	1a	<ul style="list-style-type: none"> <li>Catch cross-checking and validation is a management process conducted by the FA prior to submitting a request for authorisation with CCSBT for catch carry-forward in next fishing seasons.</li> </ul>
	1b	<ul style="list-style-type: none"> <li>Taiwan comply with CCSBT 60days notification timeline for reporting concluded year quota and catch.</li> <li>The Taiwan submit quota balance and catch levels on monthly and quarterly, season end with CCSBT.</li> </ul>
2.3(i)	1a	<ul style="list-style-type: none"> <li>Carrier vessels are authorised by the FA to participate in transshipment with Taiwan fishing vessels where they continue to comply with Taiwan Distant Water Fisheries Act (Article 11) and CCSBT transshipment resolution or requirement.</li> </ul>
	1b	<ul style="list-style-type: none"> <li>The FA monitor carrier vessel with regards to their cooperation with at-sea observers.</li> <li>By memorandum of understand (MoU) deployments of regional observers are conditional on a number of factors which the Carrier Vessel Operators must meet.</li> </ul>
	1c	<ul style="list-style-type: none"> <li>The FA communicates Taiwan list of authorised carrier vessels on a quarterly basis to CCSBT.</li> <li>Taiwan authorised carrier vessel list has remain consistent in recent years.</li> </ul>
	1d	<ul style="list-style-type: none"> <li>Annually the list of authorised carrier vessels was sent to the Executive Secretary on a quarterly basis (January, April, July, and October) by email. Nil changes or update was made to the list of carrier vessel from start to end of the 2015/16 fishing season, and in recent years. Which comply with the 1-month timing arrangement of CCSBT transshipment resolution.</li> </ul>
	1e	<ul style="list-style-type: none"> <li>The FA submitted the list of authorized carrier vessels to the Executive Secretary electronically by email using the CCSBT data provision form in January, April, July, and October, annually, with acknowledgement from the CCSBT of receiving this information within approximately 1-5days.</li> </ul>
2.3(iii)	1a-c	<ul style="list-style-type: none"> <li>The technical functions of VMS on carrier vessels are required to be verified by FMC of the FA who provides a report on vessel geographic positions. Carrier vessel authorisation is only likely where compliance is identified.</li> </ul>
3.1(i-v)	1a	<ul style="list-style-type: none"> <li>FA records included CTF and CMF, which along with CCSBT annual compliance reports evidence Taiwan compliance with the CDS.</li> <li>FA and TTA provide training on use of CTF and CMF to all entities participating in the Taiwan SBT fishery.</li> </ul>
	1b	<ul style="list-style-type: none"> <li>FA officials regularly review and validate CMF and CTF as well as provide reports to the CCSBT.</li> </ul>
	1c	<ul style="list-style-type: none"> <li>Masters of the longline fishing vessels are required to certify SBT Catch Tagging Form and submit the reports to FA every week.</li> </ul>

Obligation	MPR	Strengths
		<ul style="list-style-type: none"> <li>FA cross-checks and verify all the information in the applications including Catch Tagging Form and catch reports, are correctly completed and if correct, issues the SBT catch documents to the owners.</li> </ul>
	1d	N/A, Taiwan does not operate SBT farming
	1e	<ul style="list-style-type: none"> <li>The FA has manual and electronic systems and processes to regularly cross-check catch reports, and vessel Master signature and verify compliance with the catch certification process.</li> <li>Masters of fishing and carrier vessels and the regional observers' are required to sign jointly the catch monitoring form, which verifies compliance with certification procedures.</li> </ul>
	2	N/A, Taiwan does not operate in recreational SBT fishing
	3	<ul style="list-style-type: none"> <li>TTA and FA provide training with regards to completing CTF and CMF to Vessel Masters and Crew before fishing SBT for the first time and before start of each fishing year.</li> </ul>
3.1(vi)	1&2	<ul style="list-style-type: none"> <li>It is mandatory that only authorised carrier vessels are allowed to receive transshipments from authorised fishing vessels that are registered in the list of RFMOs, Taiwan, and CCSBT.</li> <li>Carrier vessels are monitored by VMS.</li> <li>Masters of fishing and carrier vessels and the regional observer shall sign jointly in the Catch Monitoring Form for verification of the transshipment, penalties are enforced if there are non-compliance with authorisation rules.</li> </ul>
3.1(vii-ix)	1-3	<ul style="list-style-type: none"> <li>The Deep Sea Fisheries Division of FA is in charge of the compliance for the CDS documents to ensure that the CDS form currently used by Taiwan is in accordance with CCSBT requirement.</li> </ul>
3.1 (x-xii)	1a-e	<ul style="list-style-type: none"> <li>TTA provide training to vessel Master and Crew with regards to attaching tags to SBT.</li> <li>New coded fish tags in amounts of 500 to 1000 are distributed to Masters or Owners of authorised fishing at the start of each fishing season based on their quota allocation.</li> <li>Starting in 2017/18 fishing season vessel Masters and Owners should return, unused fish tags to FA.</li> <li>The FA shall be informed of lost and replacement tag codes, where replacement tag is needed for any SBT.</li> </ul>
3.1(xiii-xviii)	1&2	<ul style="list-style-type: none"> <li>FA requires all the fishing vessels authorized for fishing for SBT shall use tags with unique series numbers including identification symbols for Taiwan and the fishing year.</li> <li>Vessel Masters shall use new alternative tags and record the new tag number and original tag number (if possible) when tags are damaged and unusable.</li> <li>Owners shall report the record of tag replacement in writing to FA through TTA in three days after landing for future reference.</li> </ul>
3.1(xix-xxi)	1a-f	<ul style="list-style-type: none"> <li>Validators are FA officers with responsibilities to sign and authorize the Catch Monitoring Form or Re-Export/Export after Landing of Domestic Product Form for validation.</li> <li>Vessel Master certify CTF and CMF, while only trained FA Officers perform catch validate roles.</li> <li>The FA of Taiwan checks the trading information with the weekly reports of fishing vessels and logbooks, and assigns other officials on-site to evaluate the executive performance of the validator on a quarterly basis.</li> </ul>

Obligation	MPR	Strengths
3.1(xxii-xxv)	1a-c & 2a-b	<ul style="list-style-type: none"> <li>FA supervises (100%) and inspects (5%) of all landing and transshipment of SBT in both foreign and domestic ports, and verifies the CDS forms.</li> <li>The catch documents for SBT will only be issued by FA when authorisation procedures are correctly followed.</li> <li>FA has established regulations to ensure fishing and carrier vessels use only the designated fishing ports for inspection.</li> <li>FA officer cross-checks the trading information with the logbooks and weekly reports of SBT catch.</li> <li>Although not an enforcement agency, FA informs and cooperates with the Coast Guard Administration to undertake the enforcement for inspection of the fishing vessels.</li> </ul>
3.1(xxvi)	1	<ul style="list-style-type: none"> <li>All SBT authorisation and catch documents are stored securely in FA office for over 3 years, along with an electronic database of important Taiwan SBT information.</li> </ul>
3.1(xxvii-xxviii)	1&2	<ul style="list-style-type: none"> <li>FA submits completed CTF and CMF information on a quarterly basis to CCSBT.</li> </ul>
3.1(xxix-xxxi)	1&2a-e, 3	<ul style="list-style-type: none"> <li>All SBT catch landed domestically by carrier vessels, containers or fishing vessels shall be 100% supervised and inspected for about 5% of the total landing.</li> <li>The Deep Sea Fisheries Division of FA validates CDS by cross-checking weekly reports, logbooks, and the trading information, and then issues catch documents if correct on a quarterly basis.</li> <li>OFDC examines the completeness of data on CDS forms and then cross-checks the consistency of the data on CDS forms received from the owner or company.</li> <li>FA cross-checks data from the Executive Secretary's CDS six-monthly report and examines and analyses to see if there are any discrepancies.</li> <li>Captains of the fishing vessels shall report the processed weight, length and unique tag number for the SBT caught on a daily basis. VMS and e-logbook reporting are mandatory.</li> <li>FA inspectors validate all the data and send an inspection report to FA.</li> </ul>
3.3(i-v)	1-3	<ul style="list-style-type: none"> <li>Fishermen, owner or the Masters of the fishing vessels, or the trading agent, shall submit required documents to obtain approval for the transshipment from FA prior to occurrence of the SBT transshipment.</li> <li>Fishing vessels transshipping SBT in port shall submit the application one week prior the transshipment occurring, and should submit application forms with SBT transshipment application forms 24 hours before the transshipment occurs.</li> <li>Taiwan has demonstrated their management systems ensuring that the captain or fishermen of fishing or carrier vessels shall send the transshipment declaration and its CCSBT registration number to FA for reference in 15 days after the fishing vessel completes the transshipment in port or at sea.</li> </ul>
3.3(vi)	1&2	<ul style="list-style-type: none"> <li>The captain or fishermen shall submit application forms and obtain approval from FA 24 hours in advance before the transshipment occurs for at sea transshipment.</li> <li>Fishing and carrier vessels transshipping SBT at sea shall cooperate with the observer assigned by IOTC or ICCAT for inspection.</li> </ul>

Obligation	MPR	Strengths
3.3(vii)		<ul style="list-style-type: none"> <li>It is mandatory for Taiwan SBT to be tagged, with appropriate CTF and CMF as well as other meeting all of the FA requirements for authorisation and preparation of signed transshipment declaration covering the product until first point of sale.</li> </ul>
6.5	1&2	<ul style="list-style-type: none"> <li>The Division of Far Seas Fisheries of FA is in charge of the preparation of National Report and submission to the Executive Secretary.</li> </ul>

Obligation	MPR	Weakness/Threats
	2b	<ul style="list-style-type: none"> <li>Discontinuation of patrol boats in the Indian Ocean, which provide additional monitoring of compliance, since 2010.</li> </ul>
	2c	<ul style="list-style-type: none"> <li>No patrol boats has being dispatched to the Indian Ocean since 2010.</li> </ul>
	3	<ul style="list-style-type: none"> <li>Catch weight estimates and landed weight records are within allowances but may require further review to ensure do not lead to greater irregularity in the catch documentation/annual reports.</li> </ul>
Obligation	MPR	Opportunity
	3	<ul style="list-style-type: none"> <li>While the FA comply within the allowable tolerances of this CCSBT systems, there is opportunity to discuss a way forward with the CCSBT to narrow gaps or any discrepancies between catch weight and landing weight of the national fleet in national annual reports.</li> <li>Additional opportunity to expand tag reconciliation for both used and unused tags.</li> </ul>
3.1(xxix-xxxi)	2e	<ul style="list-style-type: none"> <li>Opportunity to establish and make available to the public a formal investigation procedures for investigating irregularities in Taiwan SBT fishery.</li> </ul>

## Appendix 4: Copies of fishery logbooks &amp; other paperwork reviewed

Appendix	Form	Source
2	Catch allocation by vessel	FA
N/A	List of Taiwan validators	CCSBT
N/A	Taiwan list of authorised vessel and carriers (14 <sup>th</sup> March 2017)	CCSBT
N/A	Regulation for fishing vessel conducting southern Bluefin tuna fishery – Paper	FA
N/A	Regulation for tuna longline fishing vessel procedure to the Indian ocean for fishing operation – paper	FA
N/A	Act for distant water fisheries – paper	FA
N/A	CPUE Report 2014-15 Taiwan	FA – OFDC
N/A	Printed email of communication between fishers and TTA during application for fishing permit 2015/16 season, and 2016/17	TTA
N/A	Fishers' applications to FA for fishing permit 2016/17 fishing season, Fishing Vessel Yi Jen Chun 668, CT6-1402, and Carrier vessel CHITOSE.	TTA
N/A	PowerPoint Presentation use to train fisher on tagging SBT (Video also shown)	FA
N/A	Printed copies of completed e-logbook with VMS data.	FA
N/A	Printed copies of Catch tagging Forms and Catch Monitoring Form	
N/A	Demonstration of VMS live system – tracking vessels CT 60962, CT 61298 (March 31 <sup>st</sup> – 1 <sup>st</sup> September 2016, and 21 <sup>st</sup> March 2017)	FA - FMC
N/A	Manual fishing data entry process and team at the FA Application and Public Service Centre. Also back-trace on catch information for vessel Sea Mansion (2015) investigation, and vessel Chin Shang Mei (2013) that sank.	FA
N/A	Email from FA to CCSBT- Catch Tagging Form to CCSBT on a quarterly basis for Q1 (22/06/2016), Q2 (27/09/2016), Q3 (30/12/2016), Q4 (07/04/2017), new season 2017Q1 (28/06/2017)	FA
N/A	CCSBT instruction sheet for Catch Tagging Form	FA
N/A	National Plan of Control and Inspection for Fisheries of the Republic of China (Taiwan)	FA
N/A	Records of Landing Inspection by the 3 <sup>rd</sup> party Japan Agent after Transshipment at sea (with direct export to Japan), dated 16 <sup>th</sup> July 2016	FA
N/A	Records of catch Landing/Transfer/Transshipment inspection in Mauritius, vessel CT6-1439, CMF# (CM-TW160082), dated 23 <sup>rd</sup> Sept. 2016, and validator stamped.	FA
N/A	Records of landing inspection in Chienchen fishing harbour, Kaohsiung, Taiwan, vessel CT6-1402, CMF# (CM-TW160026), CTF# (T-TW160026), for operation period June and July 2016.	FA
N/A	Records of catch Landing/Transfer/Transshipment inspection in South Africa – Cape Town, vessel CT6-1340, CMF# (CM-TW160108), dated 28 <sup>th</sup> Dec. 2016, and validator stamped.	FA
N/A	Record of SBT sales and custom clearance (Nippon Kaiji Kentei Kyokai), traced to CMF# (CN-TW170003) and fishing vessel CT6-1401, date 14 <sup>th</sup> Mar 2017	FA
N/A	Record of communication with CCSBT, with regards to IOTC Observer investigation into undeclared SBT Transshipment, April 2015	FA