

Commission for the Conservation of  
Southern Bluefin Tuna



みなみまぐろ保存委員会

# **Report of the Twelfth Meeting of the Compliance Committee**

**5 - 7 October 2017  
Yogyakarta, Indonesia**

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### Agenda Item 1. Opening of meeting

#### *1.1. Welcome*

1. The meeting was opened by the Chair of the Compliance Committee (CC), Mr Frank Meere, who welcomed participants and thanked Indonesia for its hospitality.
2. Members and observers introduced their delegations to the meeting. The list of participants is shown at **Attachment 1**.

#### *1.2. Adoption of agenda*

3. The agenda was adopted and is provided at **Attachment 2**.
4. The list of documents for the meeting is shown at **Attachment 3**.

#### *1.3. Meeting arrangements*

5. The Executive Secretary announced the main arrangements for the meeting.

### Agenda Item 2. Overview of Compliance with CCSBT Conservation and Management Measures

#### *2.1. Report from the Secretariat*

6. The Secretariat presented paper CCSBT-CC/1710/04 which summarised compliance with CCSBT Management Measures by Members and CNMs. The main areas highlighted were that:
  - There were no reported over-catches in 2016;
  - There still appears to be an issue with some smaller importers of SBT not independently detecting and submitting import copies of CDS forms without assistance from the Secretariat, e.g. for Australia, the EU and South Africa;
  - Korea's submission of import copies of forms has increased a lot for REEFs, but no expected importer copies of CMFs were submitted;
  - There was an issue with 61.5% of Japan's REEFs not being validated by authorised validators during 2016;
  - New Zealand continues to submit a large number of duplicate tag numbers; there was also one small export detected which occurred without the required CDS documentation;

- The Philippines has not submitted any annual reports in 2017, most notably its National Report to the Compliance Committee (CC) and Extended Commission (EC);
  - Three Members/CNMs (Indonesia, Japan and the Philippines) have not yet submitted the required information for the Minimum Standards for Inspection in Port Resolution;
  - South Africa has not yet submitted CDS forms for three of its pole and line vessels for 2016, and the current CDS tags being used do not comply with CCSBT's tag standards; and
  - Two late carry-forward notifications were received – one from Australia and one from Indonesia.
7. The Secretariat advised that it would produce a further revision of its paper to include a few additional updates received from Members prior to the meeting.
  8. Members explained the reasons for their non-compliance and how they planned to address the issues and improve in the future.
  9. Indonesia reported that it ratified the FAO Port State Measure Agreement in July 2016. Currently, a Standard Operation Procedure for implementing this agreement is being developed, and CCSBT port inspection as well as other tuna-RFMOs Resolutions will be included. Indonesia commit to submit it to CCSBT as soon as it is completed.
  10. Japan reported that it has ratified the FAO Port State Measures Agreement in 2017 and harmonised it with its internal regulations. CCSBT port inspections are included in the framework and designated port and contact points are expected to be provided to the Secretariat soon after finalising internal arrangements.
  11. New Zealand noted that it will introduce electronic reporting which it hopes will help to address its problem of duplicate CDS tag numbers. Australia mentioned it will be trialling bar codes on CDS tags for longline vessels, the purpose of which is to enable fishers to better record tag numbers.
  12. There was some discussion on the late submission of carry forward notifications by Australia and Indonesia, in particular whether late notification prevents quota from being carried forward from the previous year. Members confirmed that such late notifications are against the resolution, but no agreement was reached on the interpretation of the above aspect of the Resolution<sup>1</sup>. Japan stated that such late notifications are invalid under the current resolution, but there is no intention to deny carry forward themselves, if other Members agreed. Australia indicated its view based on legal advice that the breach of the notification requirement did not invalidate or prevent a carry forward.
  13. A small working group was formed to consider the necessity of amendments to the Resolution to clarify the measure. The working group did not reach consensus on changes to the Resolution and the Compliance Committee decided to leave the Resolution unchanged and refer the matter to the EC. .
  14. Further discussion on the carry-forward Resolution occurred. The CC noted that there are two distinct areas that the EC may wish to consider with respect to the Carry-forward Resolution. These were to clarify:

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<sup>1</sup> Resolution on Limited Carry-forward of Unfished Annual Total Allowable Catch of Southern Bluefin Tuna

- The best way to require the provision of carry-forward notifications in the future; and
  - The consequence of providing a late carry-forward notification.
15. In addition, a range of options were discussed regarding notification provision including potentially:
- Removing the notification requirement from the Resolution, and providing notifications through alternative means, for example annually in the National Reports to the CC/EC;
  - Retaining the notification period within the Resolution and:
    - Requesting the Secretariat to assist with the process by providing notification reminders; and/or
    - Clarifying the impact of providing late notifications on a Member's ability to carry-forward unfished quota to the next fishing season.
16. South Africa advised that it plans to deal with quota holders who exceeded their quota in the 2010 to 2015 fishing seasons and that it is considering what penalties to apply, in order to prevent South Africa from exceeding its national allocation again.

## ***2.1. Reports from Members and Cooperating Non-Members***

### *2.1.1. Annual Reports*

17. Members summarised their Annual Reports to the Compliance Committee and provided highlights from their reports, including improvements to management systems, recent catches, observer coverage, progress on implementing the common definition of attributable catch and other issues of significance.
18. Discussions, including questions of clarification were held in relation to the contents of Annual Reports that were submitted to the meeting. Important aspects of reported matters and associated discussions are described below.
19. In relation to attributable catch:
- Australia advised that it will outline its approach and intent at EC24.
  - Japan advised that their industry instructed their fishers not to discard dead SBT.
  - Indonesia advised that it reports all attributable catch from its CDS data, including vessels of less than 30 GRT.
  - Taiwan allocates 10 t to releases and discards, based on estimates by observers and fishing effort of its SBT fishing vessels.
  - It was agreed that transparency of how Members estimate attributable catch was important and would be part of future Extended Scientific Committee (ESC) reporting.
20. In response to questions about high levels of seabird interactions and mortalities:
- Korea needed to consult with its scientists to find the cause, but a possible reason could be a change of area fished.

- New Zealand had incidents where operators were not using required mitigation measures one of which caught a large number of birds. The operator was prosecuted and is no longer active in this fishery. Observer coverage was increased to help prevent further incidents. New Zealand has employed a liaison officer programme to help improve fishers understanding and compliance with mitigation measures.
  - Japan noted that its figure of seabird interactions has not decreased since 2014 and is also investigating the reasons. A possibility is that observers are being deployed in areas of high seabird interactions, due to the convenience of observer arrangement in effort to raise the observer coverage within a limited budget in recent years, and Japan encourages to deploy observers more equally among fishing areas.
21. In response to questions about observer coverage, both Indonesia and South Africa advised that they planned to increase the level of observer coverage of their domestic fleets.
  22. Australia clarified that all of its 2015/16 longline observer data has been from electronic monitoring (EM), with no physical observers on longline vessels since the middle of 2015.
  23. The European Union clarified that its vessels are prohibited from targeting SBT, as a precautionary measure to avoid exceeding its allocation, but its vessels are allowed to catch as bycatch and retain on board.
  24. Regarding Indonesia's over-catch in previous years, it was noted at paragraph 78 of the report of EC 22 that the agreed corrective action was to help Indonesia achieve compliance, not to pay back the over-catch. Indonesia has taken steps to strengthen its system and its 2016 catch was less than its allocation. Indonesia advised that it is improving its national CDS system further and aims to incorporate logbook, landings, and observer data to improve the accuracy and quality of data.
  25. Japan clarified that the reason for its high shark mortalities was mainly due to catches of blue shark that was being duly retained for commercial purposes due to catches increasing on a global basis. Japan also pointed out the fundamental difference between seabirds and sharks in the international framework (i.e. FAO Code of Conduct) and that sharks can be utilised if the relevant stocks are managed in a sustainable manner.
  26. Japan introduced the paper CCSBT-CC/1710/BGD01 on the 2017 update on monitoring of Southern Bluefin Tuna trading in the Japanese domestic markets. Improvements in the market analysis were presented to ESC22 and were noted by Members. Japan advised that there were no anomalies detected in the market.
  27. Australia understood that Korea introduced an e-monitoring trial on four vessels in the second half of 2016 and indicated that subject to the trial, it may further develop the system in 2017. Australia asked how this work was progressing.
  28. Korea advised that it is still analysing the results of its EM trials in 2016 and has not yet decided on its future plans for EM.
  29. Taiwan advised that it has conducted a Quality Assurance Review (QAR) phase 2 in 2017 and the overall findings indicate strong compliance, and that the

management systems are robust, capable of detecting infringements and issuing punishment.

30. The meeting noted that the Philippines did not submit a national report to the meeting.
31. It was noted that logbooks may contain important disaggregated data for the review of bycatch mitigation effectiveness and not reported directly for confidentiality reasons. A recommendation could be made to the ERSWG for it to consider developing an internal process or framework for Members to analyse their logbook data and prepare ERSWG reports for this purpose.
32. The Chair noted that some Members are using CDS data as their main catch monitoring tool, and this requires that the CDS be as accurate and as efficient as possible. An electronic CDS needs to be considered. The benefits of EM have been demonstrated and discussion on how to progress this is also needed, noting that human observers are required but EM can help reduce bias in certain instances.

### ***2.3. Assessment of compliance with CCSBT management measures***

#### *2.3.1. Compliance of Members*

33. The meeting did not identify any areas of non-Compliance by Members that required specific recommendations for improvement.

#### *2.3.2. Compliance of Cooperating Non-Members*

34. The Compliance Committee noted that the only Cooperating Non-Member, the Philippines, did not attend the meeting and has not been compliant with its reporting requirements in that it did not provide an Annual Report to the Extended Scientific Committee or to the Compliance Committee and the Extended Commission.

#### *2.3.3. Application of the Corrective Actions Policy*

35. The meeting discussed a hypothetical question from Birdlife International regarding whether a response under the CCSBT Corrective Actions Policy would be triggered if a Member failed to implement the required seabird bycatch mitigation measures.
36. The Executive Secretary advised that only failure to implement the CCSBT's Tori line measure would trigger the CCSBT's Corrective Action's Policy as CCSBT's other seabird bycatch mitigation measure (the Recommendation to Mitigate the Impact on Ecologically Related Species of Fishing for Southern Bluefin Tuna) is not a binding measure. However, the guidelines of the Corrective Actions Policy could be used to assist a Member to improve its compliance with the CCSBT's ERS Recommendation.
37. The meeting noted that CCSBT Members are legally bound to comply with their Ecologically Related Species (ERS) obligations and commitments under relevant Convention Areas of RFMOs to which CCSBT Members belong when fishing for SBT in the absence of a binding CCSBT measure. Furthermore, at CCSBT

20, CCSBT Members provided a commitment to adhere to the ERS rules in the relevant RFMO Convention Areas in which their vessels fish for SBT and their commitment has already been reflected in CCSBT's MPRs.

38. Australia advised that it has submitted a proposal for a binding seabird mitigation resolution for consideration at CCSBT 24.
39. The Chair noted that if the CCSBT had binding mitigations measures, then the CCSBT's Corrective Actions Policy would apply and that to his knowledge, the other tuna RFMOs do not have such a corrective actions policy.

### **Agenda Item 3. Operation of CCSBT Measures: Issues & Updates**

40. The Secretariat presented paper CCSBT-CC/1710/06 which reports on any problems or updates with respect to the operation of CCSBT's key measures not discussed in other papers, or for which supplementary information is available.
41. The United States (USA) provided an update of its participation with the CCSBT. The USA is continuing to strengthen its efforts to cooperate with the CCSBT. Since 20 September 2017, USA importers are now required to submit all import data through a centralised electronic portal called the International Trade Data System, and this is expected to improve timely collection of USA CDS import data. The USA also recently conducted a review of SBT imports and identified incorrect codes used to mislabel SBT. The USA is undertaking targeted outreach and enforcement based on this review. The USA also thanked Indonesia for their assistance in identifying intended importers of Indonesian product, which greatly assisted in the review.
42. The meeting expressed its appreciation for the cooperation with the CDS by the United States.
43. The Secretariat presented paper CCSBT-CC/1710/07 concerning CCSBT's draft IUU Vessel List. This paper summarised alleged IUU activity information received, and included a copy of the CCSBT Draft IUU Vessel List along with the supporting evidence distributed to Members/CNMs in Circular #2017/037 on 28 July 2017. Three Chinese-flagged fishing vessels were placed on CCSBT's Draft List for consideration. Notification for two of these vessels (*Da Yang 15* and *Da Yang 16*) was received from New Zealand. Information for the third vessel (*Yuan Da 19*) was received from Australia, and it was placed on the Draft List by the Executive Secretary following intersessional discussion with the Extended Commission. The Draft CCSBT IUU Vessel List was transmitted to China on 28 July 2017. China responded to the Executive Secretary noting that the, "*Chinese government does not agree to put these three Chinese fishing vessels into the CCSBT IUU vessel list*".
44. The meeting agreed that China has taken effective action against all three vessels in accordance with paragraph 14b of the CCSBT IUU Vessel List Resolution<sup>2</sup>, and noted that note these vessels had been removed from the relevant RFMO authorised vessel lists. The Compliance Committee welcomed the action by

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<sup>2</sup> Resolution on Establishing a List of Vessels Presumed to have Carried Out Illegal, Unreported and Unregulated Fishing Activities For Southern Bluefin Tuna (SBT).

China against these vessels and agreed to remove the three vessels from CCSBT's Draft IUU Vessel List.

45. HSI noted the value of ensuring that decisions made pursuant to paragraph 14b were based on the same documentation test used for delisting decisions pursuant to paragraph 22.
46. Members expressed disappointment that China was not present at the Compliance Committee meeting because direct feedback from Chinese officials would provide greater assurance in regards to corrective actions taken by China. Members were also concerned that other Chinese vessels could be catching SBT and requested that China strengthen its MCS measures. Some Members considered it likely that some Chinese vessels would be catching SBT as a bycatch and that if this was occurring, China should consider becoming a Member or Cooperating Non-Member of the CCSBT otherwise its vessels that bycatch SBT would be considered to be IUU vessels.
47. There was general agreement that the CCSBT should continue to seek improved cooperation from China in general and China's cooperation with the CDS in particular.

#### **Agenda Item 4. CCSBT Resolutions: Review and Revision**

##### ***4.1. Catch Documentation Scheme (CDS)***

48. The Secretariat presented paper CCSBT-CC/1710/08 concerning CCSBT's draft revised CDS Resolution which has been under discussion since 2015. The paper provided updates on:
  - The current status of the draft revised CDS Resolution (section 4 and Attachment A); and
  - Any known intersessional discussions that occurred on the draft CDS since CC11.
49. The Secretariat advised that, at Korea's request, it had drafted some additional new text (6.6 bis) to try to assist Korea resolve its difficulties with validating the landed weights on the proposed Catch/Harvest and Export Certificate (CHEC).
50. Members expressed their desire to make further progress with the draft revision of the CDS Resolution and discussion focused on three main aspects of the draft for which consensus had not been reached, these being:
  - Rules regarding delegation of the authority to validate CDS documents;
  - Whether Farm Stocking Certificates and Catch Tagging Certificates should be attached to Catch Harvest Export Certificates (CHECs); and
  - The need to validate landed weights on CHECs.
51. No progress was made towards an agreed approach for the above aspects of the draft revised CDS.
52. There was general agreement that the CCSBT should be moving towards an eCDS, noting that issues such as costs and administrative burdens need to be minimised for an eCDS.

53. The meeting gave consideration to alternative models for developing an eCDS, including being based on CCSBT's current CDS resolution, or on ICCAT's eCDS. However, it was noted that ICCAT's system was likely to be a high cost option and that there were inefficiencies in CCSBT's current CDS that should be addressed before moving to an eCDS. The Chair also noted that there is a need to settle outstanding issues before starting the development of an eCDS otherwise there could be cost blowouts in the system development.
54. It was agreed that the steps for developing an eCDS would be further considered in the discussion of the Compliance Action Plan for 2018-2020.

#### ***4.2. Authorised Vessel Resolution***

55. The Chair noted that the possibility that IMO Numbers might be issued for non-steel and/or small vessels which operate outside areas under national jurisdiction is being considered for formal inclusion within the International Maritime Organisation's (IMO) Resolution A.1078(28) in November this year. If included, IMO numbers should be available for issue to a much wider range of vessel sizes/types in future.
56. In response to a suggestion from HSI that the Secretariat commence work to prepare for collection of additional vessel data that might result from this change, the Chair advised that it may be too early to direct the Secretariat to do any preparatory work at the current time because:
  - The IMO Resolution has not yet been agreed; and
  - If it is agreed in November (with respect to smaller, non-steel vessels), CCSBT Members will need to decide whether they wish to adopt/require the issuing of IMO Numbers for non-steel vessels of less than 100GT/GRT.

#### ***4.3. Vessel Monitoring System (VMS) Resolutions***

57. The Secretariat presented paper CCSBT-CC/1710/09. This paper addresses CC11's request that Members and the Secretariat review CCSBT's existing 2006 and 2008 VMS Resolutions prior to CC12.
58. The Secretariat noted that it did not receive any Member proposals in relation to CC11's request. Therefore, the Secretariat reviewed the existing two VMS Resolutions, taking a two-step approach to the review process:
  - Firstly, it consolidated the two existing Resolutions into a single 2017 Resolution; and
  - Secondly, it proposed adding a series of amendments to try to strengthen the new consolidated VMS Resolution, and to better align it with current VMS arrangements already adopted by other tuna RFMOs.
59. A small working group was formed to consider a new consolidated VMS Resolution. The working group agreed to remove most of the proposed enhancements of the Resolution to ensure that the consolidated VMS Resolution is compatible with the VMS Resolutions of other RFMOs in the jurisdictions that SBT fishing vessels operate.

60. The Compliance Committee noted that a variety of simple enhancements to the CCSBT VMS Resolution would be desirable, such as improved clarity of the requirements in the event of VMS failure, transmitting speed and course, and increasing the transmission frequency to enable better determination of a vessel's fishing activity.
61. The EU highlighted that the revision and merging of the existing VMS Resolutions was an opportunity to considerably improve the VMS provisions, notably on requirements that are commonly adopted in other tuna RFMOs, and regretted that the CC was unable to further review the VMS Resolution.
62. Both HSI and the United States urged the CCSBT to consider increased transmission frequencies. The United States also noted that it considers that a reporting rate of more than once every two hours is not sufficient to adequately determine a vessel's fishing activity.
63. The Compliance Committee supported the consolidated VMS Resolution produced by the working group at **Attachment 4** and noted that this is an interim step in the work to develop enhanced VMS arrangements that commences in 2018.

#### ***4.4. Transshipment/ Minimum Standards for Inspection in Port Resolutions***

64. The Secretariat presented paper CCSBT-CC/1710/10 which examines areas of overlap between the CCSBT's Transshipment and Minimum Standards for Inspection in Port Resolutions. This paper proposed a series of amendments to the Transshipment Resolution to:
  - Attempt to standardise the text in areas where the two Resolutions overlap;
  - Update references to CCSBT's 2006 and 2008 VMS Resolutions to instead refer to the consolidated 2017 VMS Resolution; and
  - Amend Annex II, paragraph 6c to reflect the actual frequency (every 5 days) that observers' daily reports are transmitted to the observer programme administrator.
65. The meeting agreed to the revised Transshipment Resolution at **Attachment 5**.
66. The Chair reminded the meeting that the Ecologically Related Species Working Group (ERSWG) had requested the Compliance Committee to consider ways to effectively monitor seabird mitigation measures. The ERSWG had suggested that modifications to CCSBT's Resolution for a CCSBT Scheme for Minimum Standards for Inspection in Port and CCSBT's transshipment Resolution to provide for the collection of appropriate information was one option. This could include the examination of fishing gear for evidence of tori lines and tori poles, the presence of line weights, and the inspection of log books for evidence of night setting.
67. Birdlife International presented the paper CCSBT-CC/1710/Info01, noting that the paper is intended to generate discussion amongst CCSBT Members regarding options for monitoring usage of seabird mitigation measures using transshipment observers at sea and in-port inspections. The paper suggested that for transshipments at sea, observers could take stern photos to detect the presence of tori poles, 10-15 photos of log book pages to obtain evidence of night setting and

photos of the gear to verify use and positioning of line weights. Similar options existed for inspections in port.

68. Members discussed the practicality of collecting the additional information, particularly for transshipments at sea given that the observer's priority is in relation to the transshipment and that any delays caused by the extra work could impact on transshipment schedules. It was noted that there was a similar recommendation to IOTC in 2016 and it was agreed that the Secretariat would contact IOTC to see what is being done at IOTC and to consider the likely impact of such work on transshipment observers.
69. For inspections in port, it was noted that Annex B of the Resolution for a CCSBT Scheme for Minimum Standards for Inspection in Port could be modified to include the additional information fields necessary for monitoring usage of seabird mitigation measures.
70. Members will provide the Secretariat with fields for monitoring of seabird mitigation measures to add to Annex B of the Resolution for a CCSBT Scheme for Minimum Standards for Inspection in Port. This will be considered at CC13.

#### ***4.5. IUU Vessel List Resolution***

71. The Secretariat presented paper CCSBT-CC/1710/10 which proposed minor amendments to CCSBT's IUU Vessel Resolution.
72. The meeting agreed the amendments and the updated IUU Vessel Resolution is provided at **Attachment 6**.

### **Agenda Item 5. CCSBT Policies & Arrangements: Review, Revision & Progress Reports**

#### ***5.1. Compliance Action Plan for 2018-2020***

73. The Secretariat presented paper CCSBT-CC/1710/12 which provides a draft three-year Compliance Action Plan (CAP) for the 2018 – 2020 period. The draft CAP included:
  - The set of revised compliance risks agreed by 11th Meeting of the Compliance Committee (CC11);
  - Several specific action items agreed by CC11;
  - An action item to address ERSWG12's request to the CC to consider ways to effectively monitor seabird mitigation measures; and
  - Other proposed action items for either specific project or regular maintenance work, many of which were carried forward from the 2015 - 2017 CAP.
74. For item 1 of the CAP (review areas of greatest compliance risk), it was agreed to make this a standing item on the agenda and that the Secretariat review the list of risks identified by CC11 and report what has been done to mitigate or better quantify the risks.
75. Action on electronic observation technologies was excluded from the CAP and the meeting recommended that the EC consider establishing an EM working

group of the EC, since EM is relevant to other CCSBT subsidiary bodies as well, not just the Compliance Committee, but noting that the cost of the meeting needs to be minimised.

76. The meeting noted that no progress had been made since CC 11 in resolving the remaining issues in the draft revised CDS resolution. It was agreed to continue discussions intersessionally for another year to attempt to resolve them. Australia will work with Japan on certain issues and the Secretariat will continue to work with Korea. There was some discussion as to whether an eCDS could be progressed despite having outstanding issues, but it was noted that the CDS resolution should be finalised before commencing the development of the eCDS system, as identified in communication with ICCAT, to avoid extra costs.
77. It was noted that the compliance action plan did not contain any items concerning the issues related to Australian farms and the Japanese market survey that had been identified by the ESC. The meeting did not reach consensus on including any of these issues in the compliance action plan. New Zealand expressed its disappointment in the lack of progress by the Compliance Committee in regards to these issues.
78. The CC discussed the value of cross-listing provisions in IUU vessel listing procedures and agreed to consider appropriate cross-listing procedures during future reviews of the IUU vessel list resolutions and take into accounts similar resolutions adopted in other RFMOs.
79. The recommended Compliance Action Plan for 2018 to 2020 is provided at **Attachment 7**.

### ***5.2. Minimum Performance Requirements (MPRs)***

80. The Secretariat presented paper CCSBT-CC/1710/13 concerning proposed additions and amendments to CCSBT's Minimum Performance Requirements (MPRs).
  - New sets of MPRs were proposed for:
    - 3.5 Minimum Standards for Inspection in Port; and
    - 6.4 ERSWG Data Exchange.
  - Revised MPRs were proposed for:
    - 4.1 Scientific Observer Program Standards (SOPs);
    - 5.2 Recommendation on Ecologically Related Species; and
    - 6.6 Annual Reporting to the Compliance Committee.
81. The meeting agreed to the revised Minimum Performance Requirements (MPRs) with only a minor change. The agreed revised MPRs are provided at **Attachment 8**.

### ***5.3. Quality Assurance Reviews (QARs)***

82. The Secretariat presented paper CCSBT-CC/1710/14 which is the final report on the overall 2017 Quality Assurance Review (QAR) Program. The Secretariat noted that the main purpose of the overall QAR report is to document the

methodology and to provide recommendations on the methodology for future QARs. Consequently, much of the 2017 report is the same as the 2016 report and the focus of the meeting should be on the recommendations in the report.

83. The Compliance Committee noted that recommendations and agreed that the current methodology should be continued until all Members have completed the first round of QARs. The Compliance Committee further commented that recommendations for improvements would be considered after all Members had conducted their QARs.
84. The meeting recommended that South Africa undergo a QAR in 2018 and that the European Union undergo a QAR in 2019. It was considered appropriate that South Africa's QAR be conducted before the QAR of the European Union because South Africa is an important Port State and because South Africa has a higher allocation of SBT global catch limit than the European Union. Both QARs would be combined Phase 1 and Phase 2 QARs.

#### ***5.4. Template for Annual Report to the CC and EC***

85. The Secretariat presented paper CCSBT-CC/1710/15 which proposed two minor amendments to the Template for the Annual Report to the Compliance Committee and Extended Commission.
86. The meeting agreed to the proposed amendments. The revised reporting template is provided at **Attachment 9**.

#### ***5.5. Transshipment MoC with WCPFC***

87. The Secretariat presented paper CCSBT-CC/1710/16 on a Transshipment Memorandum of Cooperation (MoC) between the CCSBT and the Western and Central Pacific Fisheries Commission (WCPFC). It was noted that:
  - Several information exchanges had occurred between the CCSBT and WCPFC Secretariats;
  - The work required to operationalise the MoC is still in progress, and therefore it is not yet possible to implement it; and
  - This work will continue as a priority following CCSBT 24.
88. Japan appreciated the work being conducted by the CCSBT and WCPFC Secretariats and hoped that the process to implement the transshipment MoC would be in place soon.

#### ***5.6. International Networks and Bilateral Arrangements***

89. The Secretariat presented paper CCSBT-CC/1710/17 which provided updates on the CCSBT's compliance relationships with the International Monitoring, Control and Surveillance Network (IMCSN), the Tuna Compliance Network (TCN), and RFBs/ RFMOs.
90. The meeting noted the report from the Secretariat and in particular, the benefits that could be gained through involvement in the Tuna Compliance Network.

## **Agenda Item 6. Implementation of the CCSBT Compliance Plan**

### ***6.1. Monitoring of Markets and IUU Activity***

91. The Secretariat presented paper CCSBT-CC/1710/18 on potential Non-Member fishing activity and trade/emerging markets. The paper provided information on a potential instance of non-Member fishing activity that occurred during 2017, as well as a brief update on 2016 trade information. Global Trade Atlas (GTA) data indicated that there still appear to be species miscoding issues occurring for trade in some markets, in particular the EU and the USA.

### ***6.2. Cooperation with Non-Members***

92. The meeting considered whether there are any specific Non-Member port and market States whose cooperation should be sought and advise the EC accordingly. It was recommended that China, Singapore and the USA be invited to participate as observers to CC 13.
93. The meeting noted that trade and CDS export data suggested that the main Non Member markets were still China and the USA, with no new countries having substantial SBT imports that needed be considered.
94. There was discussion on efforts to engage with China and its lack of response to letters from the CCSBT, apart from IUU correspondence. The meeting agreed to recommend to the EC that the Chair of the EC write a formal letter to China during EC24, requesting that China participate in CCSBT meetings, exercise greater control over its fishing vessels, and cooperate with the CCSBT CDS.
95. The meeting noted that fishing activities for SBT by Non-Members could be conducted potentially and share the view on the importance of high sea patrol and port inspection in order to gather evidence of IUU fishing activities.

### ***6.3. Electronic Observation Technologies***

96. Australia presented an overview of its electronic monitoring (EM) system that has been operating since July 2015. Key points of the system are as follows:
  - The system has been implemented in Australia's Eastern and Western tuna and billfish fisheries, currently on 37 vessels.
  - The primary goal of the system is to improve logbook reporting.
  - The system can monitor 100% of fishing activities, apart from rare cases of system breakdown. In these cases the fisher must return to port after conclusion of their current trip to have the system repaired before fishing again. The EM system is monitored remotely to ensure it is operational while the vessel is at sea.
  - There are no physical observers on board. Biological samples could be taken in port.
  - 10% of footage is sampled, generally at random but some targeting occurs.
  - The system has been successful in improving logbook reporting, particularly with respect to discards and bycatch. Identification of birds and sharks to a species level can sometimes be difficult.

- Camera placement is key to success of the system and requires careful consideration for each vessel to get the best angles and views. Each vessel has between 4 and 6 cameras.
97. It was noted that the trip period of Australian longline fishing vessels monitored by EM is from 2 to 7 days and different from that of far sea longline vessels.
  98. Korea provided some information on its EM trials, which had a purpose of protecting the human rights and the safety of fishers. Korea is considering expanding the system to obtain fishing and bycatch information but it is waiting for feedback from vessels and costs need to be considered.
  99. Taiwan reported that it is trialling EM on small vessels and has noted challenges for deep sea vessels due to long fishing trips and photos not being clear. Its tests are continuing.
  100. It was noted that some vessels in CCAMLR waters are using interesting EM technologies, including
    - Sensors on winches that detect starting and ending of fishing sets, with software to show graphically whether sets during a trip were set during the night or during the day; and
    - Pressure sensitive mechanisms used to detect tori line usage.
  101. Members noted the potential and power of the technology and supported its use, but there was concern that EM should not fully replace human observers but should be complementary to them and therefore discussion on this issue remain open to subsequent CCSBT meetings.

#### ***6.4. SBT Identification Technologies***

102. There were no items of discussion under this agenda item.

#### ***6.5. Ongoing Identification and Sharing of Best Practices for MCS systems***

103. There were no items of discussion under this agenda item.

### **Agenda Item 7. Work program for 2018**

104. The Compliance Committee developed the following workplan for 2018. Annual tasks of an ongoing nature are not shown unless they are new for 2018.

Activity	Approximate Period	Resource
Update the contract with the current service provider to implement a QAR for South Africa subject to funding by CCSBT 23.	Nov-Dec 2017	Secretariat
Continue work with the WCPFC to operationalise the transshipment MoC with the WCPFC	As soon as practical	Secretariat
South Africa undertake a combined Phase 1 and Phase 2 QAR in 2018	Before CC13	South Africa
Invite China, Singapore and the USA to participate as observers at CC13	Before CC13	Secretariat
Contact IOTC to determine whether IOTC is trialing the use of transshipment observers for collecting information on usage of seabird mitigation measures and to obtain information on the likely impact of this on the work of transshipment observers.	Before CC13	Secretariat
Members to provide the Secretariat with fields for monitoring of seabird mitigation measures to add to Annex B of the Resolution for a CCSBT Scheme for Minimum Standards for Inspection in Port	Before CC13	Members / Secretariat
Add a new annual standing item in the CC agenda to review the list of compliance risks identified by CC11 & consider emerging risks.	Before CC 13	Secretariat
Conduct intersessional discussions to resolve outstanding issues in the draft revised CDS resolution in order to pave the way for developing an eCDS. In particular, Australia and Japan will work on certain issues and the Secretariat will work with Korea.	Before CC13	Members (particularly Australia, Japan, Korea) / Secretariat
Implement the 2018 action items of the Compliance Action Plan	Before CC13	Members / Secretariat

### **Agenda Item 8. Other business**

105. Japan tabled paper CCSBT-CC/1710/BGD01, which provided an update on the monitoring of southern bluefin tuna trading in Japanese domestic markets, for the information of Members.
106. Australia tabled paper CCSBT-CC/1710/BGD03 which provided Australia's analysis of the Japanese market data, and suggestions on how it can be improved. Australia also tabled paper CCSBT-CC/1710/BGD02 on an updated review of tuna growth performance in ranching and farming operations.
107. In response to questions about its study on the automation of underwater measurement of fish length using stereo video monitoring technology, Australia clarified that:
- The camera footage used was from a trial in 2011.
  - Of the 22138 fish transferred into 8 pontoons, 11647 were able to be measured manually, while 2614 (11.8%) were measured using the semi-automatic method. The paper details the difficulties encountered with the semi-automatic approach, which includes fish moving too fast, being occluded, or in poor light.
  - While the results were positive, Australia is seeking a fully-automated and cost-effective system that operates in real time without bias. There are still

issues to resolve and further work is required, noting improvements in camera and computing technologies since the trial was done. It needs to consult with scientists, AFMA, and consider budgetary implications before deciding on a way to move forward.

- No 40-fish sampling of the fish in the pontoons was done coincident with the camera trials.
108. Australia was requested to perform a comparison of the stereo-video results with the harvest data from the trialled pontoons, in particular with respect to growth rates, and report either intersessionally or at the next ESC meeting. Australia noted that this was a complicated issue and it would take this on notice and will consider and respond when able.
109. Australia presented some information on the fishing methods used for farms, to highlight that the fishers cannot practically target specific age groups as it believed that Japan has hypothesised that farmed fish were mostly 4 years old.
110. Japan clarified that this was not its hypothesis and that it assumed that there were larger proportions of 2 and 3 year olds than 4 year olds placed into farms. Japan also pointed out that the catch level is quite sensitive to the age composition of farmed SBT.
111. It was noted and appreciated that Japan, Australia and other interested Members will work intersessionally to resolve their differences, as agreed and outlined at ESC22.

### **Agenda Item 9. Recommendations to the Extended Commission**

112. The Compliance Committee made the following recommendations to the Extended Commission.
- USA, Singapore and China be invited to attend future Compliance Committee meetings;
  - That the EC Chair write to China seeking greater cooperation in the operation of the CDS, participation at CCSBT meetings and improved control of vessels likely to catch SBT;
  - That the EC encourage Members to undertake additional high seas patrols and in port inspections in order to gather evidence of IUU fishing is collected;
  - The proposed 2018 Workplan for the Compliance Committee be approved;
  - That the EC note that the Philippines had not submitted an Annual Report to the CC/EC and did not attend the CC meeting;
  - That the EC note the strong support indicated by Members for a smooth and orderly move to an eCDS in accordance with the Compliance Action Plan and that a new CDS Resolution would facilitate such a move;
  - That the EC consider establishing an e-monitoring Working Group to develop standards for the use of this new technology;
  - That the following revised Resolutions be adopted:
    - the Transshipment Resolution,
    - the IUU Vessel List Resolution, and

- the VMS Resolution;
- That the revised Minimum Performance Requirements be adopted;
- That the revised Annual Report template to the CC/EC be adopted;
- That an integrated Phase 1 and 2 QAR be conducted in South Africa in 2018 and the European Union in 2019;
- That the Compliance Action Plan 2018 – 2020 be adopted; and
- That any amendment to the Carry-Forward Resolution seek to clarify:
  - the consequences of providing a late notification of carry-forward, and
  - the preferred way for Members to notify carry-forward in the future.

## **Agenda Item 10. Conclusion**

### ***10.1. Adoption of meeting report***

113. The report was adopted.

### ***10.2. Close of meeting***

114. The meeting closed at 16:01 pm on 7 October 2017.

## **List of Attachments**

### **Attachment**

- 1 List of Participants
- 2 Agenda
- 3 List of Documents
- 4 Revised Resolution on the CCSBT Vessel Monitoring System (VMS)
- 5 Revised Resolution on Establishing a Program for Transshipment by Large-Scale Fishing Vessels
- 6 Revised Resolution on Establishing a List of Vessels Presumed to have Carried Out Illegal, Unreported and Unregulated Fishing Activities For Southern Bluefin Tuna (SBT)
- 7 Three-Year Compliance Action Plan (2018-2020)
- 8 Revised Minimum Performance Requirements (Sections 3.5, 4.1, 5.2, 6.4, 6.6)
- 9 Revised Template for the Annual Report to the Compliance Committee and the Extended Commission

**List of Participants**  
**The Twelfth Meeting of the Compliance Committee**

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**Twelfth Meeting of the Compliance Committee  
5 – 7 October 2017  
Yogyakarta, Indonesia  
Agenda**

- 1. Opening of Meeting**
  - 1.1 Welcome
  - 1.2 Adoption of Agenda
  - 1.3 Meeting Arrangements
  
- 2. Overview of Compliance with CCSBT Conservation and Management Measures**
  - 2.1 Report from the Secretariat
  - 2.2 Reports from Members and Cooperating Non-members - Annual Reports
  - 2.3 Assessment of compliance with CCSBT Management Measures
    - 2.3.1 Compliance of Members
    - 2.3.2 Compliance of CCSBT's Cooperating Non-Member
    - 2.3.3 Application of the Corrective Actions Policy
  
- 3. Operation of CCSBT Measures: Issues & Updates**
  
- 4. CCSBT Resolutions: Review and Revision**
  - 4.1 Catch Documentation Scheme (CDS)
  - 4.2 Authorised Vessel Resolution
  - 4.3 Vessel Monitoring System (VMS) Resolutions
  - 4.4 Transshipment/ Minimum Standards for Inspection in Port Resolutions
  - 4.5 IUU Vessel List Resolution
  
- 5. CCSBT Policies & Arrangements: Review, Revision & Progress Reports**
  - 5.1 Compliance Action Plan for 2018-2020
  - 5.2 Minimum Performance Requirements (MPRs)
  - 5.3 Quality Assurance Reviews (QARs)
  - 5.4 Template for Annual Report to the CC and EC
  - 5.5 Transshipment MoC with WCPFC
  - 5.6 International Networks and Bilateral Arrangements

- 6. Implementation of the CCSBT Compliance Plan**
  - 6.1 Monitoring of Markets and IUU Activity
  - 6.2 Cooperation with Non-Members
  - 6.3 Electronic Observation Technologies
  - 6.4 SBT Identification Technologies
  - 6.5 Ongoing Identification and Sharing of Best Practices for MCS systems
  
- 7. Work Program for 2018**
  
- 8. Other business**
  
- 9. Recommendations to the Extended Commission**
  
- 10. Conclusion**
  - 10.1 Adoption of Meeting Report
  - 10.2 Close of Meeting.

**List of Documents**  
**The Twelfth Meeting of the Compliance Committee**

**(CCSBT-CC/1710/-)**

1. Provisional Agenda
2. List of Participants
3. List of Documents
4. (Secretariat) Compliance with CCSBT Management Measures  
(CC agenda item 2.1)
5. (CCSBT) Phase 2 combined - Quality Assurance Review On behalf of the Commission for the Conservation of Southern Bluefin Tuna. Member Report: Fishing Entity of Taiwan  
(CC agenda items 2.2)
6. (Secretariat) Operation of CCSBT Measures  
(CC agenda items 3, 4.2)
7. (Secretariat) CCSBT Draft IUU Vessel List  
(CC agenda item 3)
8. (Secretariat) Draft Revision of the CCSBT's Catch Documentation Scheme (CDS) Resolution (Rev.1)  
(CC agenda item 4.1)
9. (Secretariat) Consolidation and Revision of CCSBT's Two VMS Resolutions  
(CC agenda item 4.3)
10. (Secretariat) A Comparison of CCSBT's Transshipment and Minimum Standards for Inspection in Port Resolutions  
(CC agenda item 4.4)
11. (Secretariat) CCSBT IUU Vessel List Resolution: Proposed Revisions  
(CC agenda item 4.5)
12. (Secretariat) Development of an Updated Three-Year Compliance Action Plan (2018 – 2020)  
(CC agenda item 5.1)
13. (Secretariat) Draft Revised Minimum Performance Requirements (Compliance Policy 1)  
(CC agenda item 5.2)
14. (CCSBT) Summary Report on the 2017 Quality Assurance Review Programme  
(CC agenda item 5.3)

15. (Secretariat) Proposed Revision to the Template for the Annual Report to Compliance Committee and Extended Commission  
(CC agenda item 5.4)
16. (Secretariat) Transshipment Memorandum of Cooperation (MoC) with the WCPFC  
(CC agenda item 5.5)
17. (Secretariat) Update on CCSBT's Compliance Relationships with the International Monitoring, Control and Surveillance Network (IMCSN), the Tuna Compliance Network (TCN), and RFBs/ RFMOs  
(CC agenda item 5.6)
18. (Secretariat) Potential Non-Member Fishing Activity & Trade/ Emerging Markets  
(CC agenda item 6.1)

**(CCSBT-CC/1710/BGD)**

1. (Japan) Monitoring of Southern Bluefin Tuna trading in the Japanese domestic markets: 2017 update (*Previously CCSBT-ESC/1708/25*) (CC agenda item 2.2)
2. (Australia) An update Review of Tuna Growth performance in Ranching and Farming Operations (*Previously CCSBT-ESC/1708/Info02*) (CC agenda item 2.2)
3. (Australia) Japan Market Update 2017 (*Previously CCSBT-ESC/1708/Info01*)  
(CC agenda item 2.2)

**(CCSBT-CC/1710/SBT Fisheries)**

Australia	Annual Report to the Compliance Committee and the Extended Commission
European Union	Annual Report to the Compliance Committee and the Extended Commission (Rev.1)
Indonesia	Annual Report to the Compliance Committee and the Extended Commission (Rev.1)
Japan	Annual Report to the Compliance Committee and the Extended Commission
Korea	Annual Report to the Compliance Committee and the Extended Commission (Rev.1)
New Zealand	Annual Report to the Compliance Committee and the Extended Commission (Rev.1)
South Africa	Annual Report to the Compliance Committee and the Extended Commission (Rev.1)

**(CCSBT-CC/1710/Info)**

1. (BirdLife International) Consideration of data fields for monitoring compliance with seabird bycatch mitigation measures as part of port inspection and transshipment monitoring (CC agenda item 4.4)
2. (Australia) Towards automating underwater measurement of fish length: a comparison of semi-automatic and manual stereo-video measurements (CC agenda item 2.2)

**(CCSBT-CC/1710/Rep)**

1. Report of the Twenty-Second Meeting of the Scientific Committee (September 2017)
2. Report of The Twelfth Meeting of the Ecologically Related Species Working Group (March 2017)
3. Report of the Twenty-Third Annual Meeting of the Commission (October 2016)
4. Report of the Eleventh Meeting of the Compliance Committee (October 2016)
5. Report of the Fourth Meeting of the Compliance Committee Working Group (April 2016)
6. Report of the Twenty-Second Annual Meeting of the Commission (October 2015)
7. Report of the Tenth Meeting of the Compliance Committee (October 2015)

**Resolution on the CCSBT Vessel Monitoring System (VMS)**

*(adopted at the Twenty-Fourth Annual Meeting: 12 October 2017)*

The Extended Commission for the Conservation of Southern Bluefin Tuna (CCSBT),

*Recalling* that, at its thirteenth annual meeting, the Extended Commission Members and Cooperating Non-Members (CNMs) agreed the “Resolution on the development and implementation of a Vessel Monitoring System” (2006), and at its fifteenth annual meeting also agreed the “Resolution on establishing the CCSBT Vessel Monitoring System” (2008);

*Recognising* the need for monitoring, control and surveillance measures to apply to all sectors of the global Southern Bluefin Tuna (SBT) fishery;

*Recognising* the importance of these Vessel Monitoring Systems as an integral part of an effective monitoring, control and surveillance regime for the southern bluefin tuna fishery, in particular to ensure the long-term sustainability of the stock;

*Mindful* that a Vessel Monitoring System was identified as one of the important monitoring, control and surveillance measures to deter illegal, unreported and unregulated fishing in the Course of Actions adopted at the Kobe Joint Meeting of Tuna Regional Fisheries Management Organisations (tRFMOs) in January 2007;

*Recognising* the need to stipulate minimum standards for the Vessel Monitoring Systems;

*Agrees*, in accordance with paragraph 3(b) of Article 8 of the Convention for the Conservation of Southern Bluefin Tuna, that:

1. The Members and Cooperating Non-Members (CNMs) of the Extended Commission shall adopt and implement satellite-linked Vessel Monitoring Systems (VMS) for vessels flying their flag fishing<sup>1</sup> for or taking SBT on the following basis:
  - a. for such vessels fishing in the IOTC Convention Area, in accordance with IOTC, “Resolution 15/03 on the Vessel Monitoring System (VMS) Programme” (including Annex 1 to that Resolution);
  - b. for such vessels fishing in the WCPFC Convention Area, in accordance with WCPFC Conservation and Management Measure 2014-02, “Commission Vessel Monitoring System” (including Annex 1 to that Measure);

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<sup>1</sup> As described in Article 2(b) of the CCSBT Convention, "fishing" means:

(i) the catching, taking or harvesting of fish, or any other activity which can reasonably be expected to result in the catching, taking or harvesting of fish; or

(ii) any operation at sea in preparation for or in direct support of any activity described in sub-paragraph (i) above.

- c. for such vessels fishing in the CCAMLR Convention Area, in accordance with CCAMLR Conservation Measure 10-04 (2015), “Automated Satellite-Linked Vessel Monitoring System (VMS)” (including Annexes 10-04/A, 10-04/B and 10-04/C to that Measure);
  - d. for such vessels fishing in the ICCAT Convention Area, in accordance with ICCAT Recommendation 14-09, “Recommendation by ICCAT concerning Minimum Standards for the Establishment of a Vessel Monitoring System in the ICCAT Convention Area”; and
  - e. for such vessels fishing in any other high seas area outside the IOTC, WCPFC, CCAMLR, and ICCAT Convention Areas, in accordance with IOTC, “Resolution 15/03 on the Vessel Monitoring System (VMS) Programme” (including Annex 1 to that Resolution).
2. The application of the VMS provided for in paragraph 1(a-e) shall be consistent with any modifications to those VMS requirements that may be adopted by those respective Commissions.
3. Members and Cooperating Non-Members shall implement a mandatory Vessel Monitoring System for vessels fishing for or taking SBT inside any Exclusive Economic Zones not included in paragraph 1 in accordance with each Member’s/CNM’s respective legislation.
4. The Vessel Monitoring Systems shall include at least the following elements:
  - a. Flag States/fishing entities shall monitor and manage their vessels equipped with vessel monitoring devices.
  - b. The data specified in paragraph 4d shall be transmitted to the relevant national and regional authorities at least once every 4 hours.
  - c. The flag State/Fishing Entity may only authorise the Automatic Location Communicator (ALC) to be switched off when the vessel is in port and when the Port State has been notified.
  - d. The data to be collected and transmitted shall include: the vessel identification; its geographical position; and the date and time.
  - e. Vessel monitoring devices shall be tamper-resistant and located in a sealed unit with official seals that indicate whether the unit has been accessed or tampered with.
  - f. In the event of a technical failure of the device, the master or owner of a vessel shall be required to report to the flag State/fishing entity, at a frequency that allows the fishing activity of a vessel to be identified, the vessel’s identification, its geographical position, and the date and time.

5.
  - a. The Members and CNMs of the Extended Commission shall provide VMS summary reports annually in advance of the Compliance Committee meeting and in the format approved by the Commission.<sup>2</sup>
  - b. In relation to incidents concerning specific vessel(s) when the vessel(s) are suspected to have operated in contravention of CCSBT conservation and management measures, Members and CNMs of the Extended Commission may request another Member and CNM of the Extended Commission which is the flag State/fishing entity of the vessel(s) to provide VMS data on the vessel(s) on a case by case basis. The Member and CNM which receives such a request shall:
    - (i) investigate the incidents and provide details of the investigation to the Member or CNM which requested VMS data; or
    - (ii) provide VMS data on the vessel(s) to the requesting Member or CNM, which will inform the results of its investigation to the Members or CNM which is the flag State/fishing entity of the vessel(s).
6. The Extended Commission agrees to adopt the confidentiality and security provisions attached in Annex I in relation to the information provided pursuant to paragraph 5(b).
7. With the assistance of the Secretariat, the Compliance Committee shall review and report to the Compliance Committee in 2018 or 2019 on the implementation of this Resolution and any possible measures to improve its effectiveness as a component of the monitoring, control and surveillance regime for the SBT fishery. Such a review shall take account of any developments by other RFMOs, including development of a harmonised VMS across tuna RFMOs.
8. The VMS shall not derogate from the rights and responsibilities of flag States/fishing entities.
9. This Resolution replaces and supersedes the two CCSBT Resolutions, the “Resolution on the development and implementation of a Vessel Monitoring System” (2006), and the “Resolution on establishing the CCSBT Vessel Monitoring System” (2008).

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<sup>2</sup> These summary reports should be provided in accordance with the [Template for the Annual Report to the Compliance Committee and Extended Commission](#).

## **Annex I – Confidentiality, Use and Security of VMS Data**

### **Confidentiality and use of VMS Data**

1. VMS data shall be confidential and may only be provided or used as permitted by this Resolution.
2. Members and CNMs of the Extended Commission which receive VMS data from another Member or CNM of the Extended Commission shall maintain the confidentiality of those data and shall not use the data except as specified in the Resolution. In particular, Members and CNMs of the Extended Commission which receive VMS data may only provide those data to representatives and officials of the Member or CNM for the purposes outlined in paragraph 3 of this Annex.
3. Members and CNMs of the Extended Commission may only use those VMS data to monitor compliance with CCSBT conservation and management measures.

### **Information technology security**

4. Members and CNMs of the Extended Commission which receive VMS data shall adopt secure information technology systems to ensure that the confidentiality of VMS data is maintained.

### **VMS Data Confidentiality Policies**

5. Members and CNMs of the Extended Commission which propose to request VMS data shall prepare a VMS Data Confidentiality Policy and provide that Policy to the Secretariat and all other Members and CNMs of the Extended Commission. The VMS Data Confidentiality Policy shall outline all measures which the Member and CNMs of the Extended Commission proposes to implement to ensure it complies with the requirements in Annex I of this Resolution.

**Resolution on Establishing a Program for Transshipment by Large-Scale Fishing Vessels**

*(revised at the Twenty-Fourth Annual Meeting: 12 October 2017)*

**The Commission for the Conservation of Southern Bluefin Tuna (CCSBT),**

TAKING ACCOUNT of the need to combat illegal, unregulated and unreported (IUU) fishing activities because they undermine the effectiveness of the conservation and management measures already adopted by the CCSBT;

EXPRESSING GRAVE CONCERN that organised tuna laundering operations have been conducted and a significant amount of catches by IUU fishing vessels have been transhipped under the names of duly licensed fishing vessels;

IN VIEW THEREFORE OF THE NEED to ensure the monitoring of the transshipment activities by large-scale longline fishing vessels, including the control of their landings;

TAKING ACCOUNT of the need to maintain the integrity of the CCSBT Catch Documentation Scheme (CDS), and recognising that transshipment operations represent an area of increased compliance risk;

TAKING ACCOUNT of the need to collect Southern Bluefin Tuna (SBT) data from such largescale long-line tuna fishing vessels to improve the scientific assessments of those SBT stocks and the tracking of SBT product in line with the Catch Documentation Scheme;

Agrees in accordance with paragraph 3(b) of Article 8 of the CCSBT Convention, that:

**SECTION 1. GENERAL RULE**

*Use of terms*

1. For the purpose of this Resolution:

- (a) “LSTLV” means a tuna longline fishing vessel with Freezing Capacity;
- (b) “Carrier Vessel” means any vessel, except a container vessel, that receives SBT transhipped from a LSTLV;
- (c) “Freezing Capacity”: A vessel is deemed to have Freezing Capacity if it has a freezer which is capable of storing more than 500 kilograms of SBT at -30°C or below”; and
- (d) “Southern Bluefin Tuna” or “SBT” means Southern Bluefin Tuna or fish products originating from SBT.

2. Except under the programme to monitor transshipments at sea for “LSTLVs”, all LSTLV transshipment operations of SBT must take place in port. If the Member/CNM authorises at-sea transshipment by its flag LSTLVs, such transshipments shall be conducted in accordance with the procedures defined in Sections 2, 3 and 5, and **Annexes I and II** of this Resolution.

3. When transshipping SBT in port, Members and Cooperating Non-Members (CNMs) shall take the necessary measures to ensure that LSTLVs flying their flag comply with the obligations set out in Sections 2, 4 and 5 and **Annex I** of this Resolution.

## **SECTION 2. RECORD OF VESSELS AUTHORISED TO RECEIVE TRANSHIPMENTS INVOLVING SBT**

4. The Executive Secretary shall establish and maintain a CCSBT Record of Carrier Vessels authorised to receive SBT from LSTLVs at sea or in port. For the purposes of this Resolution, Carrier Vessels not entered on the record are deemed not to be authorised to receive SBT from LSTLVs in transshipment operations.

Members and CNMs shall ensure that they:

- a) do not authorise Carrier Vessels not already authorised by other RFMOs and,
- b) do not authorise Carrier Vessels included in other RFMOs’ IUU Vessel Lists.

5. 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. This list shall include the following information:

- 1 The flag of the vessel
- 2 CCSBT Record Number (if any)
- 3 Lloyds/ IMO Number (if available)
- 4 Name of vessel, vessel registration number
- 5 Previous name (if any)
- 6 Previous flag (if any)
- 7 Previous details of deletion from other registries (if any)
- 8 International radio call sign
- 9 Type of vessels, length, gross tonnage (GT) and carrying capacity
- 10 Name and address of owner(s) and operator(s)
- 11 Time period authorised for transshipping.

6. The Executive Secretary shall maintain the CCSBT Record of Carrier Vessels and take measures to ensure publicity of the record and through electronic means, including placing it on the CCSBT website, in a manner consistent with confidentiality requirements notified by Members and CNMs for their vessels.

7. Carrier vessels authorised by Members and CNMs to conduct at-sea or in-port transshipments shall be required to have an operational Vessel Monitoring System (VMS) that is operating in accordance with all applicable CCSBT Resolutions and decisions, including the *Resolution on the CCSBT Vessel Monitoring System (2017)*, and any successor Resolution, including any future revisions thereto.

8. LSTLVs which tranship at sea or in-port shall be required to install and operate a VMS in accordance with CCSBT's *Resolution on the CCSBT Vessel Monitoring System (2017)*, and any successor Resolution, including any future revisions thereto.

### **SECTION 3. PROGRAM TO MONITOR TRANSHIPMENTS AT SEA INVOLVING SBT**

9. The Commission hereby establishes a program to monitor transshipments at sea involving SBT which applies only to LSTLVs and to Carrier Vessels authorised to receive transshipments from these vessels at sea. The Commission shall review and, as appropriate, revise this Resolution.

10. Members and CNMs shall determine whether or not to authorise their LSTLVs to tranship at sea.

11. Transshipments by LSTLVs in waters under the jurisdiction of Members and CNMs are subject to prior authorisation from the Coastal State / Fishing Entity concerned. An original or copy of the documentation of Coastal State/ Fishing Entity prior authorisation must be retained on the LSTLV and made available to the CCSBT observer when requested.

12. Members and CNMs shall take the necessary measures to ensure that LSTLVs flying their flag comply with the conditions in paragraphs 13 to 20 below:

#### **Flag State / Fishing Entity Authorisation**

13. LSTLVs are not authorised to tranship at sea, unless they have obtained prior authorisation from their Flag State / Fishing Entity. An original or copy of the documentation of prior authorisation must be retained on the LSTLV and made available to the CCSBT observer when requested.

## **Notification obligations**

### ***Fishing vessel:***

14. To receive the prior authorisation mentioned in paragraph 13 above, the master and/or owner of the LSTLV must notify the following information to its Flag State / Fishing Entity authorities at least 24 hours in advance of an intended transshipment:

- a) the name of the LSTLV and its number in the CCSBT Authorised Vessel List,
- b) the name of the Carrier Vessel and its number in the CCSBT Record of Carrier Vessels  
authorised to receive transshipments at sea,
- c) the product to be transhipped,
- d) the tonnage by product to be transhipped,
- e) the date and location of transshipment,
- f) the geographic location of the SBT catches.

15. The LSTLV concerned shall complete and transmit to its Flag State / Fishing Entity, and, where applicable, the Coastal State / Fishing Entity, not later than 15 days after the transshipment, the CCSBT transshipment declaration, in accordance with the format set out in **Annex I**.

### ***Receiving Carrier Vessel:***

16. Before starting transshipment, the master of the receiving Carrier Vessel shall confirm that the LSTLV concerned is participating in the CCSBT programme to monitor transshipment at sea (which includes payment of the fee in paragraph 14 of **Annex II**), and has obtained the prior authorisation from their Flag State / Fishing Entity referred to in paragraph 13. The master of the receiving Carrier Vessel shall not start such transshipment without such confirmation.

17. The master of the receiving Carrier Vessel shall complete and transmit the CCSBT transshipment declaration to the CCSBT Secretariat and the Flag Member/ CNM of the LSTLV, along with its number in the CCSBT Record of Carrier Vessels authorised to receive transshipment at sea, within 24 hours of the completion of the transshipment. The Secretariat will forward all received Transshipment Declarations to the Flag Member/ CNM of LSTLVs on a quarterly basis, and the Flag Member / CNM will reconcile these against Transshipment Declarations they have received.

18. The master of the receiving Carrier Vessel shall, no later than 48 hours before landing, transmit a CCSBT transshipment declaration, along with its number in the CCSBT Record of Carrier Vessels authorised to receive transshipment at sea, to the competent authorities of the State / Fishing Entity where the landing takes place.

***Regional Observer Program***

19. Each Member and CNM shall ensure that all Carrier Vessels transshipping at sea have on board a CCSBT observer, in accordance with the CCSBT Regional Observer Program in **Annex II**. The CCSBT observer shall observe the compliance with this Resolution, and notably that the transhipped quantities of SBT are reasonably consistent with the reported catch in the CCSBT transshipment declaration and, as recorded in the fishing vessel logbook and CDS documents.

20. Vessels shall be prohibited from commencing or continuing transshipping at sea without a CCSBT regional observer on board, except in cases of 'force majeure' duly notified to the Executive Secretary.

**SECTION 4. PROGRAM TO MONITOR LSTLV TRANSHIPMENTS IN PORT INVOLVING SBT**

21. For effective in-port inspections, Flag States of fishing vessels shall designate foreign ports of transshipment of southern bluefin tuna for their vessels, prohibit such transshipment at other foreign ports and communicate with those designated port states to share relevant information required for effective monitoring.

22. In-port transshipments shall only be undertaken in accordance with the procedures set out in paragraphs 23 to 29 below:

**Notification obligations**

**Fishing vessel:**

23. Prior to transshipping, the Captain of the LSTLV must notify the following information to the Port State authorities, at least 48 hours in advance or as specified by Members/CNMs, or immediately after the end of fishing operations if the time to the port is less than 48 hours; for the latter, the Port State must have enough time to examine the information:

- a) the name of the LSTLV and its number in the CCSBT record of fishing vessels;
- b) the name of the Carrier Vessel and its number in the CCSBT Record of Carrier Vessels authorised to receive transshipments,
- c) the product to be transhipped;
- d) the tonnage by product to be transhipped;
- e) the date and location of transshipment;
- f) the major fishing grounds of the SBT catches.

24. The Captain of a LSTLV shall, at the time of the transshipment, inform its Flag State/ Fishing Entity of the following;

- a) the products and quantities involved;
- b) the date and place of the transshipment;
- c) the name, registration number and flag of the receiving Carrier Vessel, and its number in the CCSBT Record of Carrier Vessels authorised to receive transshipments;
- d) the geographic location of the SBT catches.

25. The Captain of the LSTLV concerned shall complete and transmit to its Flag State/ Fishing Entity the CCSBT transshipment declaration, along with its number in the CCSBT Record of Fishing Vessels, in accordance with the format set out in **Annex I** not later than 15 days after the transshipment<sup>1</sup>.

**Receiving vessel:**

26. Not later than 24 hours before the beginning of the transshipment, the master of the receiving Carrier Vessel shall inform the Port State authorities of the quantities of SBT to be transhipped to the receiving Carrier Vessel.

27. Within 24 hours of the completion of the transshipment, the master of the receiving Carrier Vessel shall complete and transmit the CCSBT transshipment declaration to the Port State authorities, the Flag Member/ CNM of the LSTLV, and the CCSBT Secretariat. A copy of this transshipment declaration shall be retained on board the receiving Carrier Vessel.

28. Following receipt of a transshipment including SBT, and after leaving the transshipment port, the master of the receiving Carrier Vessel shall, at least 48 hours before landing its transhipped SBT, complete and transmit a copy of the CCSBT transshipment declaration referred to in paragraph 27, to the competent authorities of the landing State/ Fishing Entity where the landing will take place.

**Port and Landing State Cooperation**

29. The Port State and the landing State referred to in the above paragraphs shall make an effort to take the appropriate measures to verify the accuracy of the information received and shall cooperate with the work of the Flag Member or CNM of the LSTLV to ensure that reported catches, transshipments and landings are consistent with the reported catch amounts of each vessel. This verification shall be carried out so that the vessel suffers the minimum interference and inconvenience, and so that degradation of the fish is avoided.

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<sup>1</sup> In the case where the SBT are being transferred temporarily to bonded cold storage before being transferred to the receiving Carrier Vessel, then the LSTLV shall complete and transmit the transshipment declaration to its Flag State/ Fishing Entity, and where applicable, the Coastal State/ Fishing Entity, not later than 15 days from the date from which the SBT is transferred into the bonded cold storage facility. In such cases, the receiving Carrier Vessel agent shall sign the transshipment declaration on behalf of the Carrier Vessel master.

## **SECTION 5. GENERAL PROVISIONS (all transhipments)**

30. To ensure the effectiveness of the CCSBT conservation and management measures pertaining to the Catch Documentation System (CDS):

- a) In validating the necessary CCSBT CDS documentation, as required by the CDS, Flag Members and CNMs of LSTLVs shall ensure that transhipments are consistent with the reported catch amount by each LSTLV.
- b) The Flag Member or CNM of LSTLVs shall validate the necessary CCSBT CDS documentation for the transhipped fish, as required by the CDS, after confirming that the transhipment was conducted in accordance with this Resolution. If transhipped at sea this confirmation shall be based on the information obtained through the CCSBT Regional Observer Program.
- c) Members and CNMs shall require that SBT caught by LSTLVs, when imported into the territory of a Member or CNM, be accompanied by the necessary CCSBT CDS documentation validated for the vessels on the CCSBT Authorised Vessel List and a copy of the CCSBT transhipment declaration.

31. The Members and CNMs shall include in their annual report 4 weeks prior to the Annual Meeting of the Commission:

- a) The quantities and percentage of SBT transhipped at sea and in port during the previous fishing season,
- b) The list of the LSTLVs registered in the CCSBT Authorised Vessel List which have transhipped at sea and in port during the previous fishing season, and
- c) A comprehensive report assessing the content and conclusions of the reports of the observers assigned to Carrier Vessels which have received at-sea transhipments from their LSTLVs during the previous fishing season.

These reports shall be made available to the Extended Commission and relevant subsidiary bodies for review and consideration.

32. All SBT landed or imported by Members and CNMs, either unprocessed or after having been processed on board and which are transhipped, shall be accompanied by the CCSBT transhipment declaration until the first sale has taken place.

33. Each year, the Executive Secretary shall present a report on the implementation of this Resolution to the Compliance Committee meeting which shall review compliance with this Resolution.

34. Nothing in this Resolution affects the rights of a Member or CNM to exercise its authority over ports located in areas under its jurisdiction in accordance with its domestic laws and international law.

35. These provisions shall be applicable from 1 January 2015.

36. The transshipment resolution adopted by CCSBT15 (2008) is superseded by this Resolution.

37. To avoid the duplication of the same measures, ICCAT, IOTC, or WCPFC observers who are on board vessels on the CCSBT Record of Carrier Vessels, may be deemed to be participating in the CCSBT transshipment program, provided these observers meet the standards established in this Resolution and the CCSBT Secretariat is informed. The CCSBT Secretariat shall liaise with the ICCAT, IOTC and WCPFC with respect to any information submitted to those organisations regarding SBT. The CCSBT Secretariat shall also exchange information on transshipment and observer standards with other RFMO Secretariats.

## ANNEX I - CCSBT TRANSHIPMENT DECLARATION

Carrier Vessel	Fishing Vessel
Name of the Vessel and Radio Call Sign:	Name of the Vessel and Radio Call Sign:
Flag:	Flag:
Flag State / Fishing Entity license number:	Flag State / Fishing Entity license number:
National Register Number, if available:	National Register Number, if available:
CCSBT Register Number, if available:	CCSBT Register Number, if available:

Departure	Day	Month	Hour	Year	Agent's name:	Master's name of LSTLV:	Master's name of Carrier:
	<input style="width: 20px; height: 20px;" type="text"/>						
Return	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>		From (Port name):	Signature: _____	Signature: _____
Transhipment	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/>		to (Port name):	Signature: _____	Signature: _____

Indicate the weight in kilograms or the unit used (e.g. box, basket) and the landed weight in kilograms of this unit: |\_\_\_\_\_| kilograms

### LOCATION OF TRANSHIPMENT

Species	Port		Sea	Type of product													
				RD <sup>1</sup>	GGO <sup>1</sup> (kg)	GGT <sup>1</sup> (kg)	DRO <sup>1</sup> (kg)	DRT <sup>1</sup> (kg)	Filleted <sup>1</sup>	Other <sup>1</sup> (kg)							

If transhipment effected at sea, CCSBT Observer Name and Signature:

<sup>1</sup> The type of product should be indicated as Round (RD), Gilled and gutted – tail on (GGO), Gilled and gutted - tail off, (GGT), Dressed – tail on (DRO), Dressed – tail off (DRT), Fillet (FL), or Other (OT).

If filling out an ICCAT, IOTC or WCPFC Transhipment Declaration (TD), record the SBT weight (kg) against the product type that most closely matches the appropriate CCSBT SBT product type (as listed above).

## **ANNEX II - CCSBT REGIONAL OBSERVER PROGRAM**

1. Each Member and CNM shall require Carrier Vessels included in the CCSBT Record of Carrier Vessels authorised to receive transshipments at sea and which tranship at sea, to carry a CCSBT observer during each transshipment operation at sea.
2. Between approximately 15 days to 2 months before the Carrier Vessel will sail for a trip that will include a SBT transshipment, the Flag State/ Fishing Entity shall complete and transmit a CCSBT observer deployment request to the CCSBT Secretariat.
3. The Executive Secretary shall appoint the observers and shall place them on board the Carrier Vessels authorised to receive transshipments at sea from LSTLVs flying the flag of Members and Cooperating Non-Members that implement the CCSBT Regional Observer Program.

### **Designation of the observers**

4. The designated observers shall have the following qualifications to accomplish their tasks:
  - a) sufficient experience to identify species and fishing gear;
  - b) satisfactory knowledge of the CCSBT conservation and management measures;
  - c) the ability to observe and record information accurately;
  - d) a satisfactory knowledge of the language of the flag of the vessel observed.

### **Obligations of the observer**

5. Observers shall:
  - a) have completed the technical training required by the guidelines established by CCSBT, or the guidelines established by IOTC or ICCAT providing that the observers have also been trained in relation to paragraphs 4(a) – (c);
  - b) to the extent possible, not be nationals of the Flag State / Fishing Entity of the receiving Carrier Vessel;
  - c) be capable of performing the duties set forth in point 6 below;
  - d) be included in the list of observers maintained by the Secretariat of the Commission;
  - e) not be a crew member of an LSTLV or an employee of an LSTLV company.

6. The observer tasks shall be in particular to:

a) while on the Fishing Vessel intending to tranship to the Carrier Vessel and before the transhipment takes place:

- i) check the validity of the fishing vessel's authorisation or licence to fish for SBT;
- ii) check and note the total quantity of catch on board, and the quantity to be transferred to the Carrier Vessel;
- iii) check that the VMS is functioning and examine the logbook;
- iv) verify whether any of the catch on board resulted from transfers from other vessels, and check documentation on such transfers;
- v) in the case of an indication that there are any violations involving the fishing vessel, immediately report the violations to the Carrier Vessel master; and
- vi) report the results of these duties on the fishing vessel in the observer's report.

b) monitor the Carrier Vessel's compliance with the relevant conservation and management measures adopted by the Commission. In particular the observers shall:

- i. record and report upon the transhipment activities carried out;
- ii. verify the position of the vessel when engaged in transshipping;
- iii. observe and estimate products transhipped;
- iv. verify and record the name of the LSTLV concerned and its CCSBT Authorised Vessel List number;
- v. verify the data contained in the transhipment declaration;
- vi. certify the data contained in the transhipment declaration;
- vii. countersign the transhipment declaration;

c) produce a daily report of the Carrier Vessel's transshipping activities and transmit a summary of these daily reports to the Secretariat every 5 days;

d) establish general reports compiling the information collected in accordance with this paragraph and provide the captain the opportunity to include therein any relevant information;

e) submit to the Secretariat the aforementioned general report within 20 days from the end of the period of observation; and

f) exercise any other functions as defined by the Commission.

7. Observers shall treat as confidential all information with respect to the fishing operations of the LSTLVs and of the LSTLVs owners and accept this requirement in writing as a condition of appointment as an observer.

8. Observers shall comply with requirements established in the laws and regulations of the Flag State / Fishing Entity which exercises jurisdiction over the vessel to which the observer is assigned.

9. Observers shall respect the hierarchy and general rules of behavior which apply to all vessel personnel, provided such rules do not interfere with the duties of the observer under this program, and with the obligations of vessel personnel set forth in paragraph 10 of this program.

### **Obligations of the Flag State / Fishing Entities of Carrier Vessels**

10. The responsibilities regarding observers of the Flag State / Fishing Entities of the Carrier Vessels and their captains shall include the following, notably:

- a) Observers shall be allowed access to the vessel personnel and to the gear and equipment;
- b) Upon request, observers shall also be allowed access to the following equipment, if present on the vessels to which they are assigned, in order to facilitate the carrying out of their duties set forth in paragraph 6:
  - i) satellite navigation equipment;
  - ii) radar display viewing screens when in use;
  - iii) electronic means of communication;
- c) Observers shall be provided accommodation, including lodging, food and adequate sanitary facilities, equal to those of officers;
- d) Observers shall be provided with adequate space on the bridge or pilot house for clerical work, as well as space on deck adequate for carrying out observer duties; and
- e) The Flag State / Fishing Entities shall ensure that captains, crew and vessel owners do not obstruct, intimidate, interfere with, influence, bribe or attempt to bribe an observer in the performance of his/her duties.

11. The Executive Secretary, in a manner consistent with any applicable confidentiality requirements, is requested to provide to the Flag State / Fishing Entity of the Carrier Vessel under whose jurisdiction the vessel transhipped and to the Flag Member or Cooperating Non-Member of the LSTLV, copies of all available raw data, summaries, and reports pertaining to the trip four months prior to the CCSBT Compliance Committee meeting.

### **Obligations of LSTLV during transhipment**

12. Observers shall be allowed to visit the fishing vessel if the observer's safety can be reasonably assured given the weather and sea conditions, and access shall be granted to personnel and areas of the vessel necessary to carry out their duties set forth in paragraph 6.

13. The Executive Secretary shall submit the observer reports to the Compliance Committee and to the Scientific Committee.

**Observer fees**

14. The costs of implementing this program shall be financed by the flag Members and Cooperating Non-Members of LSTLVs wishing to engage in transshipment operations. The fee shall be calculated on the basis of the total costs of the program. This fee shall be paid into a special account of the CCSBT Secretariat and the CCSBT Executive Secretary shall manage the account for implementing the program.

15. No LSTLV may participate in the at-sea transshipment program unless the fees, as required under paragraph 14, have been paid.

**Resolution on Establishing a List of Vessels Presumed to have Carried Out  
Illegal, Unreported and Unregulated Fishing Activities For Southern Bluefin  
Tuna (SBT)**

*(revised at the 24<sup>th</sup> Annual Meeting, 12 October 2017)*

The Extended Commission for the Conservation of Southern Bluefin Tuna (CCSBT),

*Recalling* that the FAO Council adopted on 23 June 2001 an International Plan of Action to prevent, to deter and eliminate illegal, unreported and unregulated fishing (IPOA-IUU). This plan stipulates that the identification of the vessels carrying out illegal, unreported and unregulated (IUU) activities should follow agreed procedures and be applied in an equitable, transparent and non-discriminatory way;

*Recalling* that the Extended Commission adopted the CCSBT Compliance Plan at its Eighteenth Annual Meeting in October 2011;

*Concerned* by the fact that Southern Bluefin Tuna (SBT) IUU fishing activities diminish the effectiveness of CCSBT conservation and management measures,

*Determined* to address the challenge of an increase in IUU fishing activities by way of counter-measures to be applied in respect to the vessels, without prejudice to further measures adopted in respect of flag States or entities under the relevant CCSBT instruments;

*Considering* the action undertaken in all other tuna regional fisheries management organisations to address this issue;

*Conscious* of the need to address, as a matter of priority, the issue of fishing vessels conducting IUU fishing activities,

*Noting* that efforts to prevent, deter and eliminate IUU fishing must be addressed in the light of all relevant international fisheries instruments and in accordance with other relevant international obligations, including the rights and obligations established under the World Trade Organisation (WTO) Agreement;

*Recalling* Article 15 (4) of the Convention, which calls on Members to cooperate in taking appropriate action, consistent with international law and their respective domestic laws, to deter fishing activities for SBT by nationals, residents or vessels of any State or entity not party to the CCSBT Convention where such activity could affect adversely the attainment of the objective of the Convention;

*Agrees*, in accordance with paragraph 3(b) of Article 8 of the Convention for the Conservation of Southern Bluefin Tuna, that:

## Definition of SBT IUU Fishing Activities and CCSBT IUU Vessel Lists

1. At each annual meeting, the Extended Commission will identify those vessels which have engaged in fishing activities for SBT in a manner which has undermined the effectiveness of the Convention and the CCSBT measures in force. The Extended Commission shall establish, and amend as necessary in subsequent years, a list of such vessels (the CCSBT IUU Vessel List), in accordance with the procedures and criteria set out in this Resolution (or subsequent revision).
2. As part of the annual process, a Draft IUU Vessel List will first be drawn up by the Executive Secretary based on information received from Members/ Cooperating non-Members (CNMs) pursuant to paragraph 4 and, with agreement from the Extended Commission pursuant to Rule 6(5) of the Rules of Procedure, any other suitably documented information at his/her disposal. The Compliance Committee (CC) will then adopt a Provisional IUU Vessel List based on the initial Draft IUU List and any information provided in relation to the vessels on this Draft List. The CC will also consider the current CCSBT IUU Vessel List and may make recommendations to remove vessels from it as appropriate. Finally, the Extended Commission will consider both the Provisional IUU List and any recommendations made by the CC to amend the current CCSBT IUU Vessel List, and then adopt a final CCSBT IUU Vessel List. CCSBT IUU Vessel List definitions are provided at **Annex I**.
3. For the purposes of this Resolution, the vessels are presumed to have carried out SBT IUU fishing activities, *inter alia*, when a Member or CNM presents suitably documented evidence that such vessels:
  - a. Harvested SBT and were not authorised by a Member or CNM to fish for SBT, or;
  - b. Did not record and/or report their SBT catches or catch-related data in accordance with CCSBT reporting requirements, or made false reports, or;
  - c. Used prohibited or non-compliant fishing gear in a way that undermines CCSBT conservation and management measures, or;
  - d. Transhipped with, or participated in joint operations such as re-supplying or re-fuelling vessels included in the CCSBT IUU Vessel List, or;
  - e. Harvested SBT in the waters under the national jurisdiction of the coastal State or entity without authorisation and/or committed a serious infringement of its laws and regulations directly related to the SBT fishery, without prejudice to the sovereign rights of the coastal State or entity to take measures against such vessels, or;
  - f. Engaged in fishing activities for SBT, including transhipping, re-supplying or re-fuelling, contrary to any other CCSBT conservation and management measures.

## Information on alleged SBT IUU Fishing Activities

4. Members and CNMs shall transmit every year to the Executive Secretary at least 14 weeks before the annual meeting of the CC, a list of vessels presumed to be carrying out SBT IUU fishing activities during the current and/or previous year, accompanied by the suitably documented supporting evidence concerning the presumption of SBT IUU fishing activity. The CCSBT Reporting Form for SBT Illegal Activity (**Annex II**) shall be used.
5. This list and evidence shall be based, *inter alia*, on information collected by Members and CNMs from all relevant sources including but not limited to:
  - a) Relevant resolutions of the CCSBT, as adopted and amended from time to time;
  - b) Reports by Members and CNMs on vessel inspections;
  - c) Reports by Members and CNMs relating to CCSBT conservation and management measures in force;
  - d) Catch and trade information obtained on the basis of relevant trade statistics such as Food and Agriculture Organisation of the United Nations (FAO) data, statistical and CDS documents, and other national or international verifiable statistics; and
  - e) Any other information obtained from port States or entities and/or gathered from the fishing grounds that is suitably documented.
6. Before or at the same time as transmitting a list of presumed SBT IUU vessels to the Executive Secretary, the Member or CNM shall notify the relevant flag State or entity, either directly or through the Executive Secretary (using the Reporting Form in **Annex II**), of a vessel's inclusion on this list, and provide that flag State or entity with a copy of the pertinent suitably documented information. Where a vessel will be included on the Draft IUU list and has not been proposed by a Member or CNM, the Executive Secretary shall notify the relevant flag State or entity (using the Reporting Form in **Annex II**), of the vessel's inclusion on this list, and provide that flag State or entity with a copy of the pertinent suitably documented information as early as practicable.

## Draft CCSBT IUU Vessel List

7. On the basis of the information received pursuant to paragraph 4, and any other suitably documented information available, the Executive Secretary shall draw up a Draft IUU Vessel List. This list shall be drawn up in conformity with **Annex III**. The Executive Secretary shall transmit it together with the current CCSBT IUU Vessel List, including any inter-sessional amendments, as well as all the supporting evidence provided, to all Members, and CNMs as well as to those Non-Cooperating Non-Members (NCNMs) whose vessels are included on these lists, at least 10 weeks before the annual CC meeting.
8. The Executive Secretary shall request the flag State or entity to notify the owner of the vessel(s) of its/their inclusion in the Draft IUU Vessel List and of the

consequences that may result from its/their inclusion being confirmed in the CCSBT IUU Vessel List adopted by the Extended Commission.

9. Upon receipt of the Draft IUU Vessel List, Members and CNMs shall closely monitor the vessels included in the Draft IUU Vessel List in order to determine their activities and possible changes of name, flag and/or registered owner.
10. Members, CNMs and NCNMs with vessels included on the Draft IUU and/or current CCSBT IUU Lists will transmit any comments to the Executive Secretary at least 6 weeks before the annual CC meeting, including suitably documented information as described in paragraph 22, showing that the listed vessels have not fished for SBT in a way that undermines CCSBT conservation and management measures.
11. On the basis of the information received pursuant to paragraphs 7 and 10, the Executive Secretary shall circulate the Draft IUU Vessel list and the current CCSBT IUU Vessel List, together with all suitably documented information provided pursuant to paragraph 10 as a CC meeting document to all Members and CNMs 4 weeks in advance of the annual CC meeting.
12. All Members, CNMs, and any NCNMs concerned may at any time submit to the Executive Secretary any additional information, which might be relevant for the establishment of the CCSBT IUU Vessel list. The Executive Secretary shall circulate the information, at the latest before the annual CC meeting, together with all the evidence provided.

#### **Provisional CCSBT IUU Vessel List**

13. Each year the CC shall examine the Draft IUU Vessel List and current CCSBT IUU Vessel list, as well as the information referred to in paragraphs 7, 11 and 12.
14. The CC shall remove a vessel from the Draft IUU Vessel List if the flag State or entity demonstrates that:
  - a) The vessel did not take part in any SBT IUU fishing activities described in paragraph 3, or
  - b) Effective action has been taken in response to the SBT IUU fishing activities in question, including, *inter alia*, prosecution and/or imposition of sanctions of adequate severity. Members and CNMs will report any actions and measures taken to promote compliance by their flagged vessels with CCSBT conservation and management measures.
15. Following this examination, the CC shall:
  - a) Adopt a Provisional IUU Vessel List in conformity with **Annex III** following consideration of the Draft IUU Vessel List and information and evidence circulated under paragraphs 7, 11 and 12. The Provisional IUU Vessel List shall be submitted to the Extended Commission for approval, and
  - b) Recommend to the Extended Commission which, if any, vessels should be removed from the current CCSBT IUU Vessel List, following consideration

of the current List and of the information and evidence circulated under paragraphs 10 and 12.

### **CCSBT IUU Vessel List**

16. At its annual meeting the Extended Commission shall review the Provisional IUU Vessel List, taking into account any new suitably documented information related to vessels on the Provisional IUU Vessel List, and any recommendations to amend the current CCSBT IUU Vessel List made pursuant to paragraph 15 above. The Extended Commission will then adopt a new CCSBT IUU Vessel List.
17. Upon adopting the new CCSBT IUU Vessel List, Members, CNMs and NCNMs with vessels on the CCSBT IUU Vessel List are requested to:
  - a) Notify the owner of the vessel of its inclusion on the CCSBT IUU Vessel List and the consequences that result from being included on the CCSBT IUU Vessel List, as referred to in paragraph 18, and
  - b) Take all the necessary measures to eliminate these IUU fishing activities, including, if necessary, the withdrawal of the registration or the fishing licenses of these vessels, and to inform the Extended Commission of the measures taken in this respect.
18. Members and CNMs shall take all necessary non-discriminatory measures subject to, and in accordance with their applicable laws and regulations, international law and each Member's/ CNM's international obligations to:
  - a) Remove or withdraw any SBT fishing authorisations for the vessel or impose alternative sanctions consistent with domestic laws and regulations of the flag State;
  - b) Ensure that the fishing vessels, flying their flag do not assist in any way, engage in fishing processing operations or participate in any transshipment or joint fishing operations with vessels included on the CCSBT IUU Vessel List;
  - c) Ensure that vessels on the CCSBT IUU Vessel List are not authorised to land, tranship, re-fuel, re-supply, or engage in other commercial transactions in their ports, except in case of *force majeure*;
  - d) Ensure that foreign flagged vessels included on the CCSBT IUU Vessel List do not enter into their ports, except in case of *force majeure*, unless vessels are allowed entry into port for the exclusive purpose of inspection and/or effective enforcement action;
  - e) Ensure that a vessel included in the CCSBT IUU Vessel List is not chartered based on its license;
  - f) Ensure that foreign-flagged vessels included in the CCSBT IUU Vessel List are not granted their flag, except if the vessel has changed owner and the new owner has provided sufficient evidence demonstrating the previous owner or operator has no further legal, beneficial or financial interest in, or control of, the vessel, or having taken into account all relevant facts, the flag Member or

CNM determines that granting the vessel its flag will not result in IUU fishing;

- g) Ensure that SBT from vessels included in the CCSBT IUU Vessel List are not landed, farmed, transhipped and/or traded internationally and and/or domestically; and
  - h) Collect and exchange with other Members and CNMs any appropriate information with the aim of searching for, controlling and preventing false CDS documents and/or false import/export certificates of SBT from vessels included in the CCSBT IUU Vessel List.
19. The Executive Secretary will take any necessary measure to ensure publicity of the CCSBT IUU Vessel List adopted by CCSBT, in a manner consistent with any applicable confidentiality requirements, and through electronic means, by placing it on the CCSBT web site. Furthermore, the Executive Secretary will transmit the CCSBT IUU Vessel List to appropriate regional fisheries organisations for the purposes of enhanced co-operation between CCSBT and these organisations in order to prevent, deter and eliminate IUU fishing.

#### **Cross-Listing**

20. The Extended Commission may consider cross-listing IUU vessel lists with all other tuna Regional Fisheries Management Organisations and relevant organisations on a case by case basis as agreed by the Extended Commission.

#### **Trade Measures/ Sanctions**

21. Without prejudice to the rights of flag States or entities and coastal States or entities to take proper action consistent with international law, including applicable WTO obligations, Members and CNMs shall not take any unilateral trade measures or other sanctions against vessels provisionally included in the Draft and Provisional IUU Vessel Lists, pursuant to paragraphs 7 and 15, or which have been already removed from the CCSBT Draft, Provisional or Current IUU Vessel Lists, pursuant to paragraphs 14 or 16 or 22 - 26, on the grounds that such vessels are involved in SBT IUU fishing activities.

#### **Deletion from the CCSBT IUU Vessel List**

22. A Member, CNM or NCNM whose vessel appears on the CCSBT IUU Vessel List may request the removal of the vessel from the list through the Compliance Committee or at any time during the inter-sessional period by submitting to the Executive Secretary suitably documented information demonstrating that:
- a) It has adopted measures so that this vessel complies with all CCSBT conservation and management measures; and
  - b) It is and will continue to assume effectively its responsibilities with respect to this vessel in particular as regards the monitoring and control of the SBT fishing activities executed by this vessel; and

- c) One or more of the following:
  - i) It has taken effective action in response to the SBT IUU fishing activities that resulted in the vessel's inclusion in the CCSBT IUU Vessel List, including prosecution or the imposition of sanctions of adequate severity;
  - ii) The vessel has changed ownership and that the new owner can establish that the previous owner no longer has any legal, financial or real interests in the vessel or exercises control over it, and that the new owner has not participated in SBT IUU fishing activities;
  - iii) The case regarding the vessel that conducted SBT IUU fishing activities has been settled to the satisfaction of the Member(s)/ CNM(s) that originally submitted the vessel for listing and the flag State or entity involved.
- 23. On the basis of the information received in accordance with paragraph 22, the CCSBT Executive Secretary will transmit electronically the removal request, with all the supporting information to each Member within 15 days following the notification of the removal request.
- 24. Each Member of the Extended Commission will examine the request to remove the vessel and notify the Executive Secretary in writing of their conclusion regarding either the removal from, or the maintenance of the vessel on the CCSBT IUU Vessel List within 21 days following the notification by the Executive Secretary referred to in paragraph 23.  
Decisions on any inter-sessional requests to remove the vessel shall be made in accordance with Rule 6(5) of the Rules of Procedure, such that no response is considered to be support for the request.
- 25. The Executive Secretary shall communicate the result of the decision to all Members and CNMs and to any NCNM which requested the removal of its vessel from the CCSBT IUU Vessel List.
- 26. If Members agree to the removal of the vessel from the CCSBT IUU Vessel List, the Executive Secretary will take the necessary measures to remove the vessel concerned from the CCSBT IUU Vessels List, as published on the CCSBT web site. Moreover, the Executive Secretary will forward the decision of removal of the vessel to appropriate regional fisheries organisations.
- 27. If a Member does not agree with the request for the removal of the vessel from the CCSBT IUU Vessel List, the vessel will be referred to the Compliance Committee for further consideration and the Executive Secretary will inform the Members, CNMs as well as any NCNMs that made the removal request.

## **ANNEX I: CCSBT IUU Vessel List Definitions**

The format of all CCSBT IUU Vessel Lists must conform to **Annex III**.

### **Draft CCSBT IUU Vessel List**

This list is drawn up by the Executive Secretary in accordance with paragraph 7, and based on information submitted by Members and CNMs on the CCSBT Reporting Form for SBT Illegal Activity (**Annex II**), and any other suitably documented information about vessels presumed to be carrying out SBT IUU fishing activities during the current and/or previous year. This list is then examined each year by the Compliance Committee (CC).

### **Provisional CCSBT IUU Vessel List**

This list is derived from the Draft IUU Vessel List.

It is created when the CC has completed its consideration of the Draft IUU Vessel List and the associated evidence circulated, and has made any appropriate amendments to the Draft List. At this point, the appropriately amended Draft List is adopted by the CC as a Provisional IUU Vessel List.

### **Current CCSBT IUU Vessel List**

This list is created from a combination of considering the agreed Provisional IUU Vessel List and the Current CCSBT IUU Vessel List.

The Extended Commission reviews the Provisional IUU Vessel List at its annual meeting, taking into account any new suitably documented information related to vessels on the Provisional list, as well as any recommendations to amend the current CCSBT IUU Vessel List made by the CC. This process will result in a CCSBT IUU Vessel List which is agreed and adopted by the Extended Commission as the current CCSBT IUU Vessel List.

The current CCSBT IUU Vessel List can be modified inter-sessionally according to paragraph 20 by cross-listing additions and/or removals from other RFMOs, or through requests from Members/CNMs/NCNMs according to paragraphs 22 to 27.

## **ANNEX II: CCSBT Reporting Form for SBT Illegal Activity**

### **1. Details of Vessel**

- a Current Name of Vessel (Previous name/s, if any);
- b Current Flag (previous flag/s, if any);
- c Date first included on CCSBT IUU Vessel List (if applicable);
- d Lloyds, IMO and UVI Number (if available);
- e Photo(s) (if any);
- f Call Sign (previous call sign, if any);
- g Owner / Beneficial Owner/s (previous owner/s, if any), and owner's place of registration (if any);
- h Operator (previous operator/s, if any);
- i Master/Fishing master name and nationality;
- j Date of alleged SBT IUU fishing activities;
- k Position (as accurately identified as possible)<sup>1</sup> of the alleged SBT IUU fishing activities (if available);
- l Summary of alleged SBT IUU activities (see section 2 for more detail);
- m Summary of any actions known to have been taken in respect of the alleged SBT IUU fishing activities;
- n Outcome of actions taken.

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<sup>1</sup> Positional information may include latitudes/ longitudes, geographic location name(s) and/or CCSBT statistical area number (s), etc

## 2. Details of CCSBT Resolution Elements Contravened

Place a "X" next to the individual elements of paragraph 3 of this Resolution that were contravened, and provide relevant details including date, location and source of information. Additional information can be provided in an attachment if necessary, and listed under section 3.

<b>Parag raph Refer ence</b>	<b>SBT IUU Fishing Activity</b>	<b>Indicate</b>
3a	Harvested SBT and were not authorised by a Member or CNM to fish for SBT	
3b	Did not record and/or report their SBT catches or catch-related data in accordance with CCSBT reporting requirements, or made false reports	
3c	Used prohibited or non-compliant fishing gear in a way that undermines CCSBT conservation and management measures	
3d	Transhipped with, or participated in joint operations such as re-supplying or re-fuelling vessels included in the CCSBT IUU Vessel List	
3e	Harvested SBT in the waters under the national jurisdiction of the coastal State or entity without authorisation and/or committed a serious infringement of its laws and regulations directly related to the SBT fishery, without prejudice to the sovereign rights of the coastal State or entity to take measures against such vessels	
3f	Engaged in fishing activities for SBT, including transshipping, re-supplying or re-fuelling, contrary to any other CCSBT conservation and management measures	

## 3. Associated Documents

List here the associated documents that are appended e.g. boarding reports, court proceedings, and photographs.

**ANNEX III: Information to be Included in all CCSBT IUU Vessel Lists**  
(Draft, Provisional and Current)

The Draft, Provisional and Current CCSBT IUU Vessel Lists shall contain the following details, where available:

- i) Name of the vessel and previous name/s, if any;
- ii) Flag of the vessel and previous flag/s, if any;
- iii) Owner of the vessel and previous owner/s, including beneficial owners, if any, and owner's place of registration (if any);
- iv) Operator of the vessel and previous operator/s, if any;
- v) Call sign of the vessel and previous call sign/s, if any;
- vi) Lloyds/IMO and UVI number, if available;
- vii) Photograph(s) of the vessel, where available;
- viii) Date vessel was first included on the CCSBT IUU Vessel List;
- ix) Summary of the activities which justify inclusion of the vessel on the List, together with references to all relevant supporting documents and evidences;
- x) Date and location of any relevant sightings of the vessel, if any;
- xi) Summary of any other related activities performed by the vessel contrary to CCSBT conservation and management measures, if any.

## **Appendix 1. Three-Year Action Plan (2018-2020)**

*(Appendix 1: Three-Year Action Plan revised at the Twenty-Fourth Annual Meeting: 12 October 2017)*

This Plan sets out actions under each Compliance Goal and Strategy for the period 2018 – 2020.

In October 2010 the Extended Commission (EC) agreed that the Compliance Plan should place special emphasis on managing specific compliance risks identified by the Compliance Committee on the basis of a risk assessment.

CC11 reviewed previously identified compliance risks and produced the following revised list of compliance risks that should be considered when developing the 2018-20 Compliance Action Plan (CAP) – the risks are listed in no particular order:

- 1) Non-compliance or incomplete implementation of the CDS;
- 2) Members not fully implementing the agreed Conservation and Management Measures of the CCSBT;
- 3) Incomplete reporting of SBT mortalities and not fully attributing all SBT mortalities (such as recreational catch, artisanal catches, discards, farm sector catches, non-farm commercial sector catches) against national allocations;
- 4) Risks associated with transshipments (both in port and at-sea), including difficulties in tracking product, preventing unauthorised introduction of product and the limitations of transshipment observers detecting infringements (including identification of SBT) when product is transhipped at-sea;
- 5) SBT being landed as other (non SBT) species;
- 6) Catches of SBT by Non-Cooperating Non-Members (NCNMs);
- 7) Expansion of markets for SBT that are not cooperating with the provisions of the CCSBT's CDS; and
- 8) Incomplete or inaccurate reporting of non-SBT bycatches, including sea birds.

The shaded cells in Table 1 on the following pages represent the year(s) in which the actions are planned to be undertaken.

**Table 1: CAP Project Action Items**

<b>Goal 8 – Monitoring, control, and surveillance</b>						
Integrated, targeted and cost-effective monitoring, control and surveillance measures are in place to ensure the Commission’s goals are met.						
<b>Compliance Plan Strategy No.</b>	<b>Item Number</b>	<b>Priority Actions</b>	<b>Responsibility</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>
<b>8.2 Develop and implement MCS strategy</b>	<b>1</b>	Review areas of greatest compliance risk in order to facilitate a consistent and coordinated approach to compliance/MCS planning and prioritisation by Members and the Compliance Committee	Members	<b>On-going</b>		
<b>8.3 Strengthen compliance (MCS systems and services)</b>	<b>2</b>	Review the Compliance Plan	Members/ Secretariat			
	<b>3a</b>	CDS Resolution: a) It was agreed that the remaining issues in the draft revised CDS Resolution (of 2016) could be addressed intersessionally during 2018. If these issues have not been resolved, then consider rejecting the 2016 draft revised Resolution and decide whether to identify and incorporate any of the already agreed revisions (and/or any additional proposals) into a newly revised draft of the CDS Resolution for consideration	Members			
	<b>3b</b>	b) While reviewing the existing systems, determine and document future work priorities with respect to the CDS Resolution, in particular how the CCSBT plans to reduce the cost of introducing an eCDS in future, and when to commence its introduction.	Members			

Table 1: CAP Project Action Items *continued*

<b>Goal 8 – Monitoring, control, and surveillance (continued)</b>						
Integrated, targeted and cost-effective monitoring, control and surveillance measures are in place to ensure the Commission’s goals are met.						
Compliance Plan Strategy No.	Item Number	Priority Actions	Responsibility	2018	2019	2020
<b>8.3 Strengthen compliance (MCS systems and services) contd.</b>	<b>4a</b>	With regard to VMS information: a) Identify information gaps where, enhanced CCSBT VMS arrangements are necessary to strengthen CCSBT's existing Conservation and Management Measures, <i>e.g.</i> the ability to cross-reference VMS data against operational fishing data, including CDS and transshipment data, and	Members/ Secretariat			
	<b>4b</b>	b) Determine and implement appropriate VMS arrangements to make available Members' VMS data to address information gaps identified in a), and review CCSBT's VMS Resolution(s) and revise accordingly	Members/ Secretariat			
	<b>5a</b>	Review and revise the following CCSBT Resolutions as appropriate: a) the Resolution on Minimum Standards for Inspections in Port	Members/ Secretariat			
	<b>5b</b>	b) CCSBT's IUU Vessel Resolution, particularly the cross-listing provision, in order to facilitate the implementation of cross-listing with other tRFMOs/relevant organisations on a case by case basis as agreed by the Extended Commission	Members/ Secretariat			
	<b>6</b>	Consider options to effectively monitor seabird mitigation measures, including during inspections in port (Members) and as part of the transshipment observation programme (Secretariat)	Members/ Secretariat			

**Table 1: CAP Project Action Items *continued***

<p><b>8.5 Sharing compliance data</b></p>	<p>7</p>	<p>Review CCSBT’s MCS Information Collection and Sharing Policy (Compliance Policy Guideline 4) to ensure that it includes an efficient process by which available information/ intelligence that will assist with the identification of IUU fishing can be shared with the Secretariat and/or Members in a timely and secure manner</p>	<p>Members/ Secretariat</p>			
<p><b>8.7 Research &amp; development</b></p>	<p>8</p>	<p>Regular report-backs on R and D on new technologies &amp; tools to aid observers, certifiers, and validators to identify SBT (in particular once processed) to be provided by Members, in particular developments in the effectiveness and availability of practical on-site genetic testing kits for tuna species identification</p>	<p>Members</p>			
<p><b>9.1 Auditing Members’ systems and processes</b></p>	<p>9a</p>	<p>Continue to implement an integrated programme for conducting regular Quality Assessment Reviews (QARs) for each Member, as well as conducting ad hoc targeted QARs based on risk assessment advice: a) i) Aim to conduct at least 1 QAR each year until the initial round of QARs has been completed, and ii) request the Secretariat to research and draft a potential CCSBT Compliance Assessment process (and accompanying Measure) which distinguishes between trivial/non-trivial compliance matters, for future use alongside the existing QAR process, and which may be conducted independently.</p>	<p>Members/ Secretariat</p>			

**Table 1: CAP Project Action Items *continued***

<b>Goal 9— Members’ obligations</b>						
All Members comply with rules of CCSBT.						
<b>Compliance Plan Strategy No.</b>	<b>Item Number</b>	<b>Priority Actions</b>	<b>Responsibility</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>
<b>9.1 Auditing Members’ systems and processes contd.</b>	<b>9b</b>	b) Once all of the initial round of on-site QARs have been completed, review the value of the information obtained and any remedial actions taken by Members, and determine whether to continue with the QAR process	Members			
	<b>9c</b>	c) If continuing with a new round of QARs: i) Review and revise the QAR terms of reference as appropriate to define: - which CCSBT measures should be assessed by future QARs, - a concise format for the presentation of future QAR executive summary information, ii) Determine whether any targeted <sup>1</sup> QARs need to be conducted	Members/ Secretariat			
<b>9.2 Corrective action and remedies</b>	<b>10</b>	Refine the corrective actions policy, for example by considering and then determining whether the policy should be further revised to publicly record instances of non-compliance identified (other than associated with the global SBT TAC) and the corrective action taken in response	Members/ Secretariat			
<b>10.1 Compliance Assistance</b>	<b>11</b>	Targeted analysis of capacity building needs and Compliance "missions" to assist developing State Members	Members/ Secretariat	As requested		

<sup>1</sup> A ‘targeted’ QAR may be conducted in cases where there are concerns about a specific Members’ systems and processes, in which case that Member may be nominated to participate in an ad hoc and specifically targeted QAR

**Table 2: CAP Annual Ongoing Maintenance Action Items**

<b>Goal 8 – Monitoring, control, and surveillance</b>			
Integrated, targeted and cost-effective monitoring, control and surveillance measures are in place to ensure the Commission’s goals are met.			
<b>Compliance Plan Strategy No.</b>	<b>Item Number</b>	<b>Priority Actions</b>	<b>Responsibility</b>
<b>8.1 Implementing agreed MCS measures</b>	<b>12</b>	Continue to implement adopted Resolutions and Decisions	Members/ Secretariat
	<b>13a</b>	Maintain and enhance:	Secretariat
		a) the agreed list of conservation and management measures	Secretariat
		b) the already developed Minimum Performance Requirements (MPRs), in particular the Routine Reporting Measures as existing Resolutions are revised, as well as developing new MPRs for any newly adopted Resolutions (e.g. the Resolution on large-scale driftnet fishing)	
	<b>13c</b>	c) the associated consolidated national report template in which Members report their performance against the obligations and agreed MPRs	Secretariat
<b>14</b>	Performance reporting system in place (the Secretariat's Compliance with Measures and Operation of CCSBT Measures reports)	Secretariat	
<b>8.3 Strengthen compliance (MCS systems and services)</b>	<b>15</b>	Maintain and strengthen relationships with other Regional Fisheries Management Organisations (RFMOs) and international networks (such as the International Monitoring, Control and Surveillance Network)	Secretariat

**Table 2: CAP Annual Ongoing Maintenance Action Items *continued***

<b>Goal 8 – Monitoring, control, and surveillance (continued)</b>			
Integrated, targeted and cost-effective monitoring, control and surveillance measures are in place to ensure the Commission’s goals are met.			
<b>Compliance Plan Strategy No.</b>	<b>Item Number</b>	<b>Priority Actions</b>	<b>Responsibility</b>
<b>8.4 Monitoring expansion of SBT markets</b>	<b>16</b>	Regular monitoring for emerging SBT markets, including reviews and trend analysis of SBT trade/market data.	Members/ Secretariat
<b>8.5 Sharing compliance data</b>	<b>17</b>	Share catch and effort data, and any other available information/ intelligence that will assist with the identification of IUU fishing	Members/ Secretariat - as required
<b>8.6 Secretariat MCS Services</b>	<b>18</b>	Analyse MCS data and report on trends (annually), as well as assessing the effectiveness of MCS measures based on the data submitted.  These analyses should include an annual summary of any non-compliance detected with respect to the collection and provision of non-SBT bycatch information.	Members/ Secretariat
	<b>19</b>	Ensure all transshipment observers are trained in CCSBT obligations (in the event that SBT is involved), including any cross-endorsed WCPFC ROP transshipment observers	Secretariat

**Table 2: CAP Annual Ongoing Maintenance Action Items *continued***

<b>Goal 9— Members’ obligations</b>			
All Members comply with rules of CCSBT.			
<b>Compliance Plan Strategy No.</b>	<b>Item Number</b>	<b>Priority Actions</b>	<b>Responsibility</b>
<b>9.2 Corrective action and remedies</b>	<b>20</b>	Update CCSBT's public website with details of any instances of non-compliance with a Member's/CNM's allocation of the global SBT TAC, and the corrective action(s) that was/were taken by the Member/ CNM concerned	Secretariat

<b>Goal 10: Supporting developing countries</b>			
Developing country Members and Cooperating Non-Members are able to comply with the Commission’s management measures and other requirements.			
<b>CCSBT Strategic Plan Strategy No.</b>	<b>Item Number</b>	<b>Priority Actions</b>	<b>Responsibility</b>
<b>10.1 Compliance Assistance</b>	<b>21</b>	Ongoing identification and sharing of best practice and information for MCS systems	Members/ Secretariat

**Table 2: CAP Annual Ongoing Maintenance Action Items *continued***

<b>Goal 11: Participation in the CCSBT</b>			
Encourage the cooperation of port and market States with CCSBT's objectives and management arrangements.			
<b>Compliance Plan Strategy No.</b>	<b>Item Number</b>	<b>Priority Actions</b>	<b>Responsibility</b>
<b>11.1 Inclusive cooperation</b>	<b>22</b>	Identify (using trade and market analyses), as well as any other information supplied by Members, e.g. evidence of IUU SBT fishing, non-member port and market States whose cooperation should be sought	Members/ Secretariat
	<b>23</b>	As appropriate, nominate such States to the Commission	Members/ Secretariat

### 3.5 Minimum Standards for Inspection in Port (Resolution)

**Title:** Resolution for a CCSBT Scheme for Minimum Standards for Inspection in Port

**Link:** [https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_Minimum\\_Port\\_Inspection\\_Standards.pdf](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_Minimum_Port_Inspection_Standards.pdf)

**Notes:** This Resolution includes Annexes A and B. Annex A is a form for the information that needs to be provided in advance by vessels requesting port entry; Annex B is a form for reporting the results of inspections.

3.5 Minimum Standards for Inspection in Port	
Obligations	Minimum performance requirements
<p>i. Each Member wishing to grant access to its ports to foreign fishing vessels shall designate a point of contact for the purposes of receiving notifications. Each Member shall designate a point of contact for the purpose of receiving inspection reports. It shall transmit the name and contact information for its points of contact to the CCSBT Secretariat no later than 30 days following the entry into force of this Resolution. Any subsequent changes shall be notified to the CCSBT Secretariat at least 14 days before such changes take effect. The CCSBT Secretariat shall promptly notify Members of any such change.</p>	<p><b><i>Unless otherwise stated, Port Members/CNMs are required to meet the minimum performance requirements provided in this section (3.5) if they wish to consider granting port access to foreign Fishing or Carrier Vessels<sup>1</sup> equal to or greater than 12m LOA carrying SBT or fish products originating from SBT that have not been previously landed or transhipped in port:</i></b></p> <ol style="list-style-type: none"> <li>1. Submit to the CCSBT Secretariat:               <ol style="list-style-type: none"> <li>a) a designated point of contact for receiving port entry requests; and</li> <li>b) a list of designated ports to which foreign FVs/CVs may request entry.</li> </ol> </li> <li>2. Appoint a competent authority capable of carrying out the inspections in each designated port.</li> </ol>
<p>ii. Each Member wishing to grant access to its ports to foreign fishing vessels shall:</p> <ol style="list-style-type: none"> <li>a) designate its ports to which foreign fishing vessels may request entry pursuant to this Resolution;</li> <li>b) ensure that it has sufficient capacity to conduct inspections in every designated port pursuant to this Resolution;</li> </ol>	

<sup>1</sup> Not including container vessels

**3.5 Minimum Standards for Inspection in Port**

Obligations	Minimum performance requirements
<p>c) provide to the CCSBT Secretariat within 30 days from the date of entry into force of this Resolution a list of designated ports. Any subsequent changes to this list shall be notified to the CCSBT Secretariat at least 14 days before the change takes effect.</p>	<p>3. Submit to the CCSBT Secretariat promptly and at least 14 days before any changes take effect:</p> <ul style="list-style-type: none"> <li>a) any updates to the designated point of contact for receiving port entry requests, and</li> <li>b) any updates to the list of designated ports.</li> </ul> <p>4. All Members/CNMs shall:</p> <ul style="list-style-type: none"> <li>a) submit to the CCSBT Secretariat, the name and contact information of a designated point of contact for the receipt of inspection reports<sup>2</sup>; and</li> <li>b) submit any subsequent changes to the designated point of contact for the receipt of inspection reports to the CCSBT Secretariat promptly and at least 14 days before such changes take effect.</li> </ul>
<p>iii. Each port Member wishing to grant access to its ports to foreign fishing vessels shall require foreign fishing vessels seeking to use its ports for the purpose of landing and/or transshipment to provide the required information<sup>3</sup>, at least 72 hours before the estimated time of arrival at the port. The port Member may also request other information as it may require to determine whether the vessel has engaged in IUU fishing, or related activities.</p>	<p>1. Submit to the CCSBT Secretariat any designated port entry prior notification times (in hours) that differ from the standard 72 hours.</p>

<sup>2</sup> These inspection reports will be for FVs/ CVs that were inspected by a Port Member/CNM for the purposes of this Resolution

<sup>3</sup> As a minimum standard, the information set out in Annex A

**3.5 Minimum Standards for Inspection in Port**

Obligations	Minimum performance requirements
<p>iv. The port Member may prescribe a longer or shorter notification period, taking into account, inter alia, the type of fishery product, the distance between the fishing grounds and its ports. In such a case, the port Member shall inform the CCSBT Secretariat, which shall publish the information promptly on the CCSBT website.</p>	
<p>v. After receiving the relevant information, as well as such other information as it may require to determine whether the foreign fishing vessel requesting entry into its port has engaged in IUU fishing, the port Member shall decide whether to authorize or deny the entry of the vessel into its port. In case the port Member decides to authorize the entry of the vessel into its port, the following provisions on port inspection shall apply.</p>	<p>1. Operating systems and processes established and implemented to:</p> <ul style="list-style-type: none"> <li>a) review and assess the port entry request information provided by any foreign FV/ CV carrying SBT and determine whether to authorise port entry;</li> <li>b) select which vessels to inspect based on risk-assessment profiles and any information received from other RFMOs; and</li> <li>c) schedule vessel inspections to achieve the target inspection rate of 5% of all landings/ transshipments involving SBT (or fish products originating from SBT) that occur in designated ports each calendar year.</li> </ul>
<p>vi. Inspections shall be carried out by a competent authority of the port Member.</p>	
<p>vii. Each year Members shall inspect at least 5 % of landing and transshipment operations in their designated ports as are made by foreign fishing vessels.</p>	
<p>viii. In determining which foreign fishing vessel to inspect, the port Member shall, in accordance with its domestic law, take into account, inter alia:</p> <ul style="list-style-type: none"> <li>a) Whether a vessel has failed to provide complete information;</li> <li>b) requests from other Members or relevant regional fisheries management organizations (RFMOs) that a particular vessel be inspected, particularly where such requests are supported by evidence of IUU fishing by the vessel in question;</li> </ul>	

**3.5 Minimum Standards for Inspection in Port**

Obligations	Minimum performance requirements
<p>c) whether clear grounds exist for suspecting that a vessel has engaged in IUU fishing, including information derived from RFMOs.</p>	
<p>ix. Each inspector shall carry a document of identity issued by the port Member. In accordance with domestic laws, port Member inspectors may examine all relevant areas, decks and rooms of the fishing vessel, catches processed or otherwise, nets or other fishing gears, equipment both technical and electronic, records of transmissions and any relevant documents, including fishing logbooks, Cargo Manifests and Mates Receipts and landing declarations in case of transshipment, which they deem necessary to ensure compliance with the CCSBT conservation and management measures. They may also question the Master, crew members, or any other person on the vessel being inspected. They may take copies of any documents considered to be evidence of a possible infringement. The Port member shall ensure the operational confidentiality of such documents.</p>	<ol style="list-style-type: none"> <li>1. Rules are in place to ensure that all inspectors are provided with appropriate identification which they must carry while undertaking inspections.</li> <li>2. Operating systems and processes established and implemented to ensure that inspectors:               <ol style="list-style-type: none"> <li>a) are provided with an inspection manual that sets out the standards/ guidelines for conducting Port State inspections including:                   <ol style="list-style-type: none"> <li>i) how to check the relevant SBT product, as well as equipment and documentation on board, and</li> <li>ii) an inspection report template which facilitates the recording of all of the relevant inspection information required by this Resolution, including any infringements detected; and</li> </ol> </li> <li>b) Physically monitor the landing and/or transshipment of SBT.</li> </ol> </li> </ol>
<p>x. Inspections shall involve the monitoring of the landing or transshipment and include a cross-check between the quantities of SBT notified in the prior notification message and held on board. Inspections shall be carried out in such a way that the fishing vessel suffers the minimum interference and inconvenience, and that degradation of the quality of the catch is avoided, to the extent practicable.</p>	

<b>3.5 Minimum Standards for Inspection in Port</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
<p>xi. On completion of the inspection, the port Member inspector shall provide the Master of the foreign fishing vessel with the inspection report<sup>4</sup>. The Master shall be given the opportunity to add any comments or objection to the report and to contact the flag Member. The inspector and the Master shall sign the report and a copy of the report shall be provided to the Master. The Master's signature shall serve only as acknowledgement of the receipt of a copy of the report.</p>	<p>1. Operating systems and processes established and implemented to administer the completion of inspection reports including to:</p> <p>a) provide a mechanism to append notes on any practical problems encountered during the inspection such as safety concerns and/or lack of cooperation or intimidation by the vessel master and/or crew;</p> <p>b) submit each completed inspection report to:</p> <p>i) the master of the inspected vessel upon completion, and</p> <p>ii) the CCSBT Secretariat no later than 14 days after the inspection completion date(s); and</p> <p>c) notify the CCSBT Secretariat if an inspection report cannot be provided to the Secretariat within the specified 14 day time period, as well as the reason for the delay.</p>
<p>xii. The port Member shall transmit a copy of the inspection report to the CCSBT Secretariat no later than 14 days following the date of completion of the inspection. If the inspection report cannot be transmitted within 14 days, the port Member should notify the CCSBT Secretariat within the 14 day time period the reasons for the delay and when the report will be submitted.</p>	
<p>xiii. Flag Members shall take necessary action to ensure that Masters facilitate safe access to the fishing vessel, cooperate with the competent authorities of the port Member, facilitate the inspection and communication and not obstruct, intimidate or interfere, or cause other persons to obstruct, intimidate or interfere with port Member inspectors in the execution of their duties.</p>	

<sup>4</sup> Including, as a minimum standard, the information set out in Annex B

<b>3.5 Minimum Standards for Inspection in Port</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
<p>xiv. If the information collected during the inspection provides evidence that a foreign fishing vessel has committed an infringement of the CCSBT conservation and management measures, the inspector shall:</p> <ul style="list-style-type: none"> <li>a) record the infringement in the inspection report;</li> <li>b) transmit the inspection report to the port Member competent authority, which shall promptly forward a copy to the CCSBT Secretariat and to the flag Member point of contact and, as appropriate, the relevant coastal Member;</li> <li>c) to the extent practicable, ensure safekeeping of the evidence pertaining to such infringement. If the infringement is to be referred to the flag Member for further action, the port Member shall promptly provide the evidence collected to the flag Member.</li> </ul>	<p>1. In cases where an infringement was detected, operating systems and processes established and implemented to:</p> <ul style="list-style-type: none"> <li>a) provide a copy of the inspection report containing the infringement(s) to the relevant Flag Member's inspection point of contact<sup>5</sup>;</li> <li>b) collect and securely store any supporting evidence so that it can be provided to the Flag Member if required; and</li> <li>c) take legal action if appropriate, and notify the relevant Flag Member, coastal State Member and the CCSBT Secretariat (as applicable) within 14 days of that action being taken.</li> </ul>
<p>xv. If the infringement falls within the legal jurisdiction of the port Member, the port Member may take action in accordance with its domestic laws. The port Member shall promptly notify the action taken to the flag Member, the relevant coastal Member, as applicable, and the CCSBT Secretariat.</p>	

<sup>5</sup> The CCSBT Secretariat should already have been provided with a copy of the inspection report

**3.5 Minimum Standards for Inspection in Port**

Obligations	Minimum performance requirements
<p>xvi. Infringements that do not fall within the jurisdiction of the port Member, and infringements for which the port Member has not taken action, shall be referred to the flag Member and, as appropriate, the relevant coastal Member. Upon receiving the copy of the inspection report and evidence, the flag Member shall promptly investigate the infringement and notify the CCSBT Secretariat of the status of the investigation and of any enforcement action that may have been taken within 6 months of such receipt. If the flag Member cannot notify the CCSBT Secretariat this status report within 6 months of such receipt, the flag Member should notify the CCSBT Secretariat within the 6 month time period the reasons for the delay and when the status report will be submitted.</p>	<p>1. All Members/CNMs have established and implemented operating systems and processes to:</p> <ul style="list-style-type: none"> <li>a) investigate any infringements by vessels flying their Flag notified to them by the Port State where the Port State did not take action; and</li> <li>b) notify the CCSBT Secretariat of the status of any such investigations including any enforcement action(s) taken within 6 months of receiving the infringement notice(s), or if a status update cannot be provided within 6 months, advise the CCSBT Secretariat when an update will be given, as well as the reason for the delay.</li> </ul>
<p>xvii. Should the inspection provide evidence that the inspected vessel has engaged in IUU activities of fishing SBT, the port Member shall promptly report the case to the flag Member, and the relevant coastal Members, as applicable, and notify as soon as possible the CCSBT Secretariat, along with its supporting evidence, for the purpose of inclusion of the vessel in the draft IUU list.</p>	<p>1. Operating systems and processes implemented and established to report any evidence of IUU fishing activities to the Flag Member, relevant coastal Members, and the CCSBT Secretariat at least 14 weeks before the annual meeting of the Compliance Committee.</p>

## 4. Science Measures

This section sets out minimum performance requirements for obligations relating to the Scientific Observer Program Standards.

### 4.1 Scientific Observer Program Standards (Decision/Recommendation)

**Title:** CCSBT Scientific Observer Program Standards

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

**Notes:** The objectives of the CCSBT Scientific Observer Program Standards are to:

- Provide a framework for the alignment of Members' scientific observer programs with the objectives of the SRP;
- Standardise scientific observer programs across fleets and fisheries among Members;
- Specify minimum standards for the development of a Scientific Observer Program for Members without a program; and
- To provide a minimum set of standards for collection of bycatch data, consistent with international recommendations, and where appropriate to assist in harmonisation of bycatch data collection across tuna Regional Fisheries Management Organisations.

4.1 Scientific Observer Program Standards	
Obligations	Minimum performance requirements
i. All Members are expected to adapt their respective programs to, at a minimum, meet these standards but noting that Members are encouraged to implement further requirements in their respective programs.	1. All Flag Members' programs meet the minimum standards for the <a href="#">CCSBT Scientific Observer Program</a> .
ii. Responsibility for the operation of the CCSBT Scientific Observer Program on the high seas and in domestic EEZ fisheries lies with the Member whose flag is flown on the vessel.	
iii. The CCSBT Scientific Observer Program covers the fishing activity of CCSBT Members wherever southern bluefin tuna are targeted or are a significant bycatch.	1. Operating systems and processes established, documented and implemented for the Scientific Observer Program to: <ol style="list-style-type: none"> <li>a. ensure the program applies to all the Member's CCSBT authorised fishing vessels, wherever SBT is targeted or are a significant bycatch;</li> </ol>
iv. The Program has a target observer coverage of 10% for catch and effort monitoring for each fishery. Observer coverage should be representative of different vessel-types in distinct areas and	

**4.1 Scientific Observer Program Standards**

Obligations	Minimum performance requirements
<p>times. In order to approach 10% coverage in some strata (e.g., specific vessel-types in certain areas and times) it may be necessary to have higher than 10% coverage in other strata.</p>	<p>b. set out procedures to meet the target observer coverage of 10% for catch and effort monitoring in each fishery, including:</p>
<p>v. Each Member should assign observers to its vessels and cruises based on a carefully considered and appropriately designed sampling scheme that has a high likelihood of ensuring reasonably representative coverage. The program should ensure that, within the main fishing areas and seasons and to the extent possible, all representative vessels, areas, and time periods have an approximately equal probability of being sampled. Consideration should also be given to higher levels of coverage in some strata from time to time to address specific fisheries management questions (e.g. to better quantify non-fish and protected species bycatch where this is identified as a risk).</p>	<p>i. requiring observer coverage to be representative of the Member’s range of SBT fisheries;            ii. have a mechanism in place to consider and implement higher levels of observer coverage in some strata if required;</p> <p>c. set out how observers are assigned to vessels;            d. analyse, at least once a year, the effectiveness of the actual assignment of observers in achieving 10% coverage across a representative range of the Member’s SBT fisheries;            e. implement observer recruitment and training schemes to meet section 8 of the CCSBT Scientific Observer Program Standards relating to: Qualification of observers, Independence/Integrity, Scientific Observer Training, and Recruitment of observers;</p>
<p>vi. Each Member should evaluate and analyse the sampling scheme used for the assignment of observers against the principles outlined above. Each Member should document the scheme used for the observer assignments actually implemented and make this information and data collected available to the Commission in its national report (as described in the reporting requirements) to enable review within the Commission of whether or not the standards are being met.</p>	<p>f. specify agency/agencies responsible for implementing each component of the Scientific Observer Program, including:            i. checking that observers are adequately qualified, independent and have no recent serious criminal offences,            ii. training, including with respect to tag recapture reporting,            iii. assigning observers to vessels,            iv. monitoring performance of assignments in relation to achieving target observer coverage,</p>
<p>vii. The placement of observers should also encompass arrangements to ensure the independence and scientific integrity of the data.</p>	

<b>4.1 Scientific Observer Program Standards</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
viii. Observer plans and training programs should include specific provision for the role and responsibilities of observers for tag recapture reporting.	v. receiving and analysing observer information, and vi. forwarding information to the Extended Scientific Committee.
ix. Each Member is responsible for the recruitment and training of observers for placement on their flagged vessels. Training schemes should be constructed to impart the skills necessary to adequately collect the scientific data and should take account of the principles specified in section 8 of the CCSBT Scientific Observer Program Standards relating to: Qualifications of observers, Independence/Integrity, Scientific Observer Training, and Recruitment of observers.	
x. Any vessel selected for an observation should be capable of meeting the minimum requirements for accommodation, sanitary facilities, meals, equipment and communication systems equivalent to those of the crew (junior officer when possible) so that the observer's duties are not compromised. A selected vessel should be advised of its responsibility for the observer while they are on board.	1. Operating systems and processes established, documented and implemented to: <ul style="list-style-type: none"> <li>a. confirm all selected fishing vessels can meet the minimum requirements for placing observers on board;</li> <li>b. advise a selected fishing vessel of its responsibilities while the observer is on board.</li> </ul>
xi. The scientific data to be collected should include the following categories of information. A detailed description of the information to be collected for each of these categories is provided in Attachment 1 of the CCSBT Scientific Observer Program Standards. Annex 1 of that attachment provides hierarchies for prioritising the collection of data. <ul style="list-style-type: none"> <li>A. Details of the observed vessel, including its size, capacity and equipment.</li> </ul>	1. Operating systems and processes established, documented and implemented to: <ul style="list-style-type: none"> <li>a. ensure the required information/data is collected as specified in section 10 and Attachment 1 of the Scientific Observer Program Standards and, where necessary, the hierarchies to prioritise data collection are applied; and</li> <li>b. analyse information/data collected in 1.a above and report the information/data specified in Attachment 2 of the Observer Program Standards to the CCSBT Extended</li> </ul>

#### 4.1 Scientific Observer Program Standards

##### Obligations

- B. Summary of the observed trip, which will include information such as the observer name and identification number, degree of experience, dates of embarkation and disembarkation.
- C. Comprehensive catch, effort and environmental information for each set that occurred while the observer was on-board the vessel, regardless of whether the set/haul was actually observed. This includes the target species, location fished and quantity of gear used.
- D. Fishing methods and gear, including mitigation measures in use while fishing. The observer should record/describe mitigation measures, including the configurations that were in use during the observed period. This includes the details of mitigation measures and their use as described in Attachment 1 of the CCSBT Scientific Observer Program Standards. Where applicable, the absence of mitigation equipment should also be noted.
- E. Observed catch information for each period of observation, including the time at start and end of observation, the number of hooks observed, the observed catch in number and weight for SBT and all other species caught to the extent possible.
- F. Biological measurements taken of individual SBT, as much as possible, including its condition, length, weight, sex and details of samples (otoliths, scales, gonads, etc.) that were taken from the SBT for later analysis.

##### Minimum performance requirements

Scientific Committee (ESC) and the Ecologically Related Species Working Group (ERSWG).

#### 4.1 Scientific Observer Program Standards

##### Obligations

- G. Information on SBT and ERS not retained should include counts by species and their life status (using the relevant codes as detailed in Attachment 1 of the SOPS).
- H. SBT tag recovery information, including, both tag numbers (actual tags also to be provided), date, location, length, weight, sex, details of samples taken (e.g. otoliths), and whether or not the tags were spotted during a period of fishing that was being observed.

##### Minimum performance requirements

## 5.2 Recommendation on Ecologically Related Species (Recommendation)

**Title:** Recommendation to Mitigate the Impact on Ecologically Related Species of Fishing for Southern Bluefin Tuna.

**Link:** Details of CCSBT’s Recommendation and the relevant links for IOTC and WCPFC Resolutions/CMMs and ICCAT Recommendations for all ERS can be found on the bycatch mitigation page of the CCSBT website at:

[https://www.ccsbt.org/site/bycatch\\_mitigation.php](https://www.ccsbt.org/site/bycatch_mitigation.php)

**Notes:** At CCSBT 20, Members provided a commitment to adhere to the ERS rules in IOTC, WCPFC and ICCAT Convention areas of the IOTC, WCPFC and ICCAT in which their vessels fish for SBT.

5.2 Recommendation on Ecologically Related Species	
Obligations	Minimum performance requirements
<p>i. Members will, to the extent possible, implement the International Plan of Action for Reducing Incidental Catches of Seabirds in Longline Fisheries (IPOA-Seabirds), the International Plan of Action for the Conservation and Management of Sharks (IPOA-Sharks), and the FAO Guidelines to reduce sea turtle mortality in fishing operations (FAO-Sea turtles), if they have not already done so.</p> <hr/> <p>ii. Members will comply with all current binding and recommendatory measures aimed at the protection of ecologically related species, including seabirds, sea turtles and sharks, from fishing, which are adopted from time to time:</p> <ul style="list-style-type: none"> <li>○ by the Indian Ocean Tuna Commission, when fishing in its Convention area,</li> <li>○ by the Western and Central Pacific Fisheries Commission, when fishing in its Convention area,</li> <li>○ by the International Commission for the Conservation of Atlantic Tunas, when fishing in its Convention area, and</li> <li>○ irrespective of whether the Member concerned is a Member of the relevant Commission or otherwise cooperates with it.</li> </ul>	<p><b><i>CCSBT Members are bound to comply with their ERS obligations and commitments under relevant Convention Areas of RFMOs to which CCSBT Members belong when fishing for SBT in the absence of a binding CCSBT measure. Hence it is useful to have minimum performance requirements, as set out below.</i></b></p> <p>1. Operating systems and processes established to:</p> <ul style="list-style-type: none"> <li>a. comply with the following measures to protect seabirds set by the IOTC, the WCPFC or the ICCAT; <ul style="list-style-type: none"> <li>i. when fishing south of 25 degrees South latitude in the IOTC or the ICCAT Convention Areas, or when fishing south of 30 degrees South latitude in the WCPFC Convention Area, ensure that all longline vessels use at least two of the three mitigation measures which are 1) night setting with minimum deck lighting, 2) bird-scaring lines (tori lines) , and 3) Line weighting. (Specification of the measures should be consistent with those provided by relevant RFMOs);</li> <li>ii. when fishing in other areas of the IOTC, ICCAT or WCPFC Convention Areas, consider implementing the</li> </ul> </li> </ul>

## 5.2 Recommendation on Ecologically Related Species

Obligations	Minimum performance requirements
<p>iii. Members will collect and report data on ecologically related species to the Extended Commission and/or its subsidiary bodies as appropriate, including the Ecologically Related Species Working Group. Further, the undertaking described in paragraph “ii.” will include a commitment to comply with measures adopted by the Indian Ocean Tuna Commission, the Western and Central Pacific Fisheries Commission and the Commission for the Conservation of Atlantic Tunas on the collection and reporting of data in relation to ecologically related species.</p>	<p>measures described above, as appropriate, consistent with scientific advice.</p> <ul style="list-style-type: none"><li>b. comply with any other measures to protect ecologically related species (including sea birds, sea turtles and sharks) set by the IOTC, the WCPFC or the ICCAT when fishing in their Convention Areas;</li><li>c. comply with any information/data collection and reporting requirements adopted by the IOTC, the WCPFC or the ICCAT with respect to the incidental catch and mortality of seabirds, sea turtles and sharks while fishing in their Convention Areas; and</li><li>d. report ERS information/data to:<ul style="list-style-type: none"><li>i. the CCSBT Extended Commission/ Compliance Committee (refer to section 6.6v. of these MPRs), and the Ecologically Related Species Working Group (refer to section 6.8i. of these MPRs), and</li><li>ii. the IOTC, the WCPFC or the ICCAT where SBT fishing occurs in their Convention Areas.</li></ul></li></ul>

## 6.4 Ecologically Related Species Data Exchange (Annual Decision)

**Title:** Ecologically Related Species Data Exchange

**Link:** Requirements for the 2015 onwards Data Exchange are at Attachment 7 of the ERSWG 11 report:

[https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs\\_english/general/ERSWG%20Data%20Exchange.pdf](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/general/ERSWG%20Data%20Exchange.pdf)

**Notes:** The ERS Data Exchange requirements are detailed and ERS data for the immediately preceding calendar year must be provided by 31 July of the current year (so data for 2016 are to be provided to the Secretariat by 31 July 2017).

6.4 Ecologically Related Species Data Exchange	
Obligations	Minimum performance requirements
i. Members will comply with the requirements of the ERSWG Data Exchange.	1. Operating systems and processes established, documented and implemented to annually collect and provide the data specified in the <a href="#">ERSWG Data Exchange</a> for the immediately preceding calendar year, and submit these data to the CCSBT Secretariat by 31 July of the current year.

## 6.6 Annual Reporting to the Compliance Committee (Suite of Decisions/Resolutions/Recommendations)

**Title:** Template for the Annual Report to the Compliance Committee and Extended Commission<sup>6</sup>

**Links:** The following points provide the source of the associated obligations within this measure:

- i. Procedural Rule 10 of the Terms of Reference of the Compliance Committee: -  
[https://www.ccsbt.org/userfiles/file/docs\\_english/basic\\_documents/terms\\_of\\_reference\\_for\\_subsidary\\_bodies.pdf](https://www.ccsbt.org/userfiles/file/docs_english/basic_documents/terms_of_reference_for_subsidary_bodies.pdf)
- ii. Paragraph 26 (and Attachment 5) of the CC7 report:-  
[https://www.ccsbt.org/userfiles/file/templates/Annual\\_CC-EC\\_Reporting\\_Template.doc](https://www.ccsbt.org/userfiles/file/templates/Annual_CC-EC_Reporting_Template.doc)
- iii. Paragraph 4 (a) of the Resolution on establishing the CCSBT vessel monitoring system:-  
[https://www.ccsbt.org/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_VMS.pdf](https://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_VMS.pdf)
- iv. Paragraph 31 of the Resolution on establishing a program for transshipment by large-scale fishing vessels:-  
[https://www.ccsbt.org/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_Transhipment.pdf](https://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_Transhipment.pdf)
- v. Paragraph 4 of the Recommendation to mitigate the impact on ecologically related species of fishing for southern bluefin tuna:-  
[https://www.ccsbt.org/userfiles/file/docs\\_english/operational\\_resolutions/Recommendation\\_ERS.pdf](https://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Recommendation_ERS.pdf)
- vi. Paragraph 66 of the EC20 report (Attributable Catch):-  
[https://www.ccsbt.org/userfiles/file/docs\\_english/meetings/meeting\\_reports/ccsbt\\_20/report\\_of\\_CCSBT20.pdf](https://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_20/report_of_CCSBT20.pdf)
- vii. Paragraph 25 (and Attachment 5) of the CC7 report (best estimates of all sources of mortality):-  
[https://www.ccsbt.org/userfiles/file/docs\\_english/meetings/meeting\\_reports/ccsbt\\_19/report\\_of\\_CC7.pdf](https://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_19/report_of_CC7.pdf)

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<sup>6</sup> The reporting template can be found at the following link: [https://www.ccsbt.org/userfiles/file/templates/Annual\\_CC-EC\\_Reporting\\_Template.doc](https://www.ccsbt.org/userfiles/file/templates/Annual_CC-EC_Reporting_Template.doc)

**6.6 Annual Reporting to the Compliance Committee**

Obligations	Minimum performance requirements
<p>i. Each Member shall submit the above Annual Report to the Compliance Committee (CC) and Extended Commission (EC) in accordance with the agreed format for the template of the annual Report to the CC and EC<sup>6</sup> four weeks prior to the convening of the Compliance Committee meeting.</p>	<p>1. The report is submitted electronically to Executive Secretary at least 4 weeks before the annual meeting of Compliance Committee. No sections of the template should be left empty. If the required information is not collected, this should be stated rather than leaving a section empty. Similarly, if a section is not applicable to a particular fishery, this should be stated instead of leaving that section empty.</p>
<p>ii. Each Member should continue to improve the detail in its report to the Compliance Committee and Extended Commission<sup>6</sup>, and the report should be kept up to date and submitted to future annual meetings of the Compliance Committee.</p>	
<p>iii. Members shall provide VMS summary reports in advance of the Compliance Committee meeting.</p>	<p>1. Complete section II(1)(d): VMS of the Annual National Report template.<sup>6</sup></p>
<p>iv. Members shall report the following to the Executive Secretary 4 weeks prior to the Annual Meeting of the Commission:</p> <ul style="list-style-type: none"> <li>o The quantities of SBT transhipped at sea and in port during the previous fishing season;</li> <li>o The list of the LSTLVs registered in the CCSBT Authorised Vessel List which have transhipped at sea and in port during the previous fishing season, and</li> <li>o A comprehensive report assessing the content and conclusions of the reports of the observers assigned to Carrier Vessels which have received at-sea transhipments from their LSTLVs during the previous fishing season.</li> </ul>	<p>1. Complete sections II(3)(a) i – iii of the Annual National Report template.<sup>6</sup></p>

<b>6.6 Annual Reporting to the Compliance Committee</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
v. Members will report annually to the Compliance Committee on the action they have taken pursuant to paragraphs 1, 2 and 3 of the Recommendation to mitigate the impact on ecologically related species of fishing for SBT.	1. Complete sections III(2)(a) – (d) of the Annual National Report template. <sup>6</sup>
vi. Members will report annually on the details of their implementation timetable and implementation progress with respect to the development of a common definition of Attributable SBT Catch that takes into account the importance of including all sources of mortality.	1. Complete section I(3) of the Annual National Report template. <sup>6</sup>
vii. Members will report annually on their best estimates of all sources of mortality including recreational catch and discards.	1. Complete section III(3) of the Annual National Report template. <sup>6</sup>

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

*(Revised as agreed at CCI2 following CCSBT 24)*

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

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

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

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

Monitoring Methods	Description
Daily log book	<p>Specify:</p> <ul style="list-style-type: none"> <li>i. Whether this was mandatory. If not, specify the % of SBT fishing that was covered:-</li> <li>ii. The level of detail recorded (shot by shot, daily aggregate etc):-</li> <li>iii. Whether the effort and catch information collected complied with that specified in the “Characterisation of the SBT Catch” section of the CCSBT Scientific Research Plan (Attachment D of the SC5 report), including both retained and discarded catch. If not, describe the non-compliance:-</li> <li>iv. What information on ERS was recorded in logbooks:-</li> <li>v. Who were the log books submitted to<sup>1</sup>:-</li> <li>vi. What was the timeframe and method<sup>2</sup> for submission:-</li> <li>vii. The type of checking and verification that was routinely conducted for this information:-</li> <li>viii. Reference to applicable legislation and penalties:-</li> <li>ix. Other relevant information<sup>3</sup>:-</li> </ul>

<sup>1</sup> If the reports are not to be submitted to the Member’s or CNM’s government fisheries authority, then also specify whether the information will later be sent to the fisheries authority, including how and when that occurs.

<sup>2</sup> In particular, whether the information is submitted electronically from the vessel.

<sup>3</sup> Including information on ERS, and comments on the effectiveness of the controls or monitoring tools and any plans for further improvement.

<p><i>Additional reporting methods (such as real time monitoring programs)</i></p>	<p>If multiple reporting methods exists (e.g. daily, weekly and/or month SBT catch reporting, reporting of tags and SBT measurements, reporting of ERS interactions etc), create a separate row of in this table for each method. Then, for each method, specify:</p> <ul style="list-style-type: none"> <li>i. Whether this was mandatory. If not, specify the % of SBT fishing that was covered:-</li> <li>ii. The information that was recorded (including whether it relates to SBT or ERS):-</li> <li>iii. Who the reports were submitted to and by whom (e.g. Vessel Master, the Fishing Company etc)<sup>1</sup>:-</li> <li>iv. What was the timeframe and method<sup>2</sup> for submission:-</li> <li>v. The type of checking and verification that was routinely conducted for this information:-</li> <li>vi. Reference to applicable legislation and penalties:-</li> <li>vii. Other relevant information<sup>3</sup>:-</li> </ul>																																														
<p><i>Scientific Observers</i></p>	<p>Specify:</p> <ul style="list-style-type: none"> <li>i. The percentage of the SBT catch and effort observed and the total number of days that observers were actually deployed for in the three previous seasons for each sector (e.g. longline, purse seine, commercial charter fleet, domestic fleet). The unit of effort should be hooks, sets and tows for longline, purse seine and towing respectively:-</li> </ul> <table border="1" data-bbox="403 1010 1337 1249"> <thead> <tr> <th rowspan="2">Fishing Season (e.g. 2011/12)</th> <th colspan="2">Sector 1</th> <th rowspan="2">Obs. days deployed</th> <th colspan="2">Sector 2</th> <th rowspan="2">Obs. days deployed</th> <th colspan="2">Sector 3</th> <th rowspan="2">Obs. days deployed</th> </tr> <tr> <th>% effort obs.</th> <th>% catch obs.</th> <th>% effort obs.</th> <th>% catch obs.</th> <th>% effort obs.</th> <th>% catch obs.</th> </tr> </thead> <tbody> <tr> <td></td> </tr> <tr> <td></td> </tr> <tr> <td></td> </tr> </tbody> </table> <ul style="list-style-type: none"> <li>ii. The system used for comparisons between observer data and other catch monitoring data in order to verify the catch data:-</li> <li>iii. Excluding the coverage, specify whether the observer program complied with the CCSBT Scientific Observer Program Standards. If not, describe the non-compliance. Also indicate whether there was any exchange of observers between countries:-</li> <li>iv. What information on ERS was recorded by observers:-</li> <li>v. Who were the observer reports submitted to:-</li> <li>vi. Timeframe for submission of observer reports:-</li> <li>vii. Other relevant information (including plans for further improvement – in particular to reach coverage of 10% of the effort):-</li> </ul>	Fishing Season (e.g. 2011/12)	Sector 1		Obs. days deployed	Sector 2		Obs. days deployed	Sector 3		Obs. days deployed	% effort obs.	% catch obs.	% effort obs.	% catch obs.	% effort obs.	% catch obs.																														
Fishing Season (e.g. 2011/12)	Sector 1		Obs. days deployed	Sector 2		Obs. days deployed	Sector 3		Obs. days deployed																																						
	% effort obs.	% catch obs.		% effort obs.	% catch obs.		% effort obs.	% catch obs.																																							
<p><i>VMS</i>  <i>The items of "ii" are required in association with the Resolution on establishing</i></p>	<p>Specify:</p> <ul style="list-style-type: none"> <li>i. Whether a mandatory VMS for SBT vessels that complies with CCSBT's VMS resolution was in operation. If not, provide details of non-compliance and plans for further improvement:-</li> </ul>																																														

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

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

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

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

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

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

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

(d) For “b” and “c” above, describe the process used for completing, validating<sup>4</sup> and collecting the relevant CCSBT CDS documents (Farm Stocking Form, Farm Transfer Form):-

(e) Other relevant information<sup>3</sup>

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

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

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

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

ii. The list of the LSTLVs registered in the CCSBT Authorised Vessel List which have transhipped at sea and in port during the previous fishing season:-

iii. A comprehensive report assessing the content and conclusions of the reports of the observers assigned to carrier vessels which have received at-sea transhipments from their LSTLVs during the previous fishing season:-

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

- i. Flag State rules for and names of:
  - designated foreign ports where SBT may be transhipped, and
  - foreign ports where in-port transhipments of SBT are prohibited:-
- ii. Flag State inspection requirements for in-port transhipments of SBT (include % coverage):-
- iii. Information sharing with designated Port States:-
- iv. Monitoring systems for recording the quantity of SBT transhipped:-
- v. Process for validating<sup>4</sup> and collecting the relevant CCSBT CDS documents (Catch Monitoring Form, Catch Tagging Form):-
- vi. Reference to applicable legislation and penalties:-
- vii. Other relevant information<sup>3</sup>:-

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

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

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

- iv. Reference to applicable legislation and penalties:-
- v. Other relevant information<sup>3</sup>:-

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

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

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

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

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

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

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

- i. Rules for designated ports of landing of SBT:-
- ii. Inspections required for landings of SBT (including % coverage):-
- iii. Details of genetic testing conducted and any other techniques that are used to verify that SBT are not being landed as a different species:-
- iv. Monitoring systems for recording the quantity of SBT landed:-
- v. Process for validating<sup>4</sup> and collecting the relevant CCSBT CDS documents (Catch Monitoring Form, and depending on circumstances, Catch Tagging Form):-
- vi. Reference to applicable legislation and penalties:-
- vii. Other relevant information<sup>3</sup>:-

**(6) SBT Exports**

(a)

i. Specify the quantity of the domestic catch that was exported and provide an estimate of the total quantity of the domestic SBT catch (weight in tonnes to 1 decimal place) that was retained within the country/fishing entity (i.e. the quantity can be estimated by subtracting the total export from domestic catch) during each of the last 3 full calendar years to each country/fishing entity. All weights provided in this table should be net weights, not whole weights.

Calendar Year <sup>5</sup>	Estimate of retained within the country/fishing entity (Domestic catch-Export)	SBT Exported to							
		Country / Fishing Entity 1	⋮	⋮	⋮	⋮	⋮	⋮	⋮

ii. Specify the quantity of imported catch that was re-exported

Calendar Year <sup>5</sup>	SBT Re-exported to							
	Country / Fishing Entity 1	⋮	⋮	⋮	⋮	⋮	⋮	⋮

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

- i. Inspections required for export of SBT (including % coverage):-
- ii. Details of genetic testing conducted and any other techniques that are used to verify that SBT are not being exported as a different species:-
- iii. Monitoring systems for recording the quantity of SBT exported:-
- iv. Process for validating<sup>4</sup> and collecting the relevant CCSBT CDS documents (Catch Monitoring Form and depending on circumstances, Catch Tagging Form or Re-export/Export after landing of domestic product Form):-
- v. Reference to applicable legislation and penalties:-
- vi. Other relevant information<sup>3</sup>:-

<sup>5</sup> “Calendar year” refers to the calendar year of the (re-)export date

### **(7) SBT Imports**

(a) Specify the total quantity of SBT (weight in tonnes to 1 decimal place) imported during each of the last 3 full calendar years from each country/fishing entity. All weights provided in this table should be net weights, not whole weights.

Calendar Year <sup>5</sup>	SBT Imported from								
	Country / Fishing Entity 1	:	:	:	:	:	:	:	:

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

- i. Rules for designating specific ports for the import of SBT:-
- ii. Inspections required for imports of SBT (including % coverage):-
- iii. Details of genetic testing conducted and any other techniques that are used to verify that SBT are not being imported as a different species:-
- iv. Process for checking and collecting CCSBT CDS documents (Catch Monitoring Form and depending on circumstances, Re-export/Export after landing of domestic product Form):-
- v. Reference to applicable legislation and penalties:-
- vi. Other relevant information<sup>3</sup>:-

### **(8) SBT Markets**

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

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

(c) Other relevant information<sup>3</sup>

### **(9) Other**

Description of any other MCS systems of relevance.

### III. Additional Reporting Requirements

#### **(1) Coverage and Type of CDS Audit undertaken**

*As per paragraph 5.9 of the CDS Resolution, specify details on the level of coverage and type of audit undertaken, in accordance with 5.8<sup>6</sup> of the Resolution, and the level of compliance.*

#### **(2) Ecologically Related Species**

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

- i. Specify whether each of the following plans/guidelines have been implemented, and if not, specify the action that has been taken towards implementing each of these plans/guidelines:-*
  - International Plan of Action for Reducing Incidental Catches of Seabirds in Longline Fisheries:*
  - International Plan of Action for the Conservation and Management of Sharks:*
  - FAO Guidelines to reduce sea turtle mortality in fishing operations:*
- ii. Specify whether all current binding and recommendatory measures<sup>7</sup> aimed at the protection of ecologically related species<sup>8</sup> from fishing of the following tuna RFMOs are being complied with. If not, specify which measures are not being complied with and the progress that is being made towards compliance:-*
  - IOTC, when fishing within IOTC's Convention Area:*
  - WCPFC, when fishing within WCPFC's Convention Area:*
  - ICCAT, when fishing within ICCAT's Convention Area:*
- iii. Specify whether data is being collected and reported on ecologically related species in accordance with the requirements of the following tuna RFMOs. If data are not being collected and reported in accordance with these requirements, specify which measures are not being complied with and the progress that is being made towards compliance:-*
  - CCSBT<sup>9</sup>:*
  - IOTC, for fishing within IOTC's Convention Area:*
  - WCPFC, for fishing within WCPFC's Convention Area:*
  - ICCAT, for fishing within ICCAT's Convention Area:*

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<sup>6</sup> Paragraph 5.8 of the CDS Resolution specifies that "Members and Cooperating Non-Members shall undertake an appropriate level of audit, including inspections of vessels, landings, and where possible markets, to the extent necessary to validate the information contained in the CDS documentation."

<sup>7</sup> Relevant measures of these RFMOs can be found at: [http://www.ccsbt.org/site/bycatch\\_mitigation.php](http://www.ccsbt.org/site/bycatch_mitigation.php).

<sup>8</sup> Including seabirds, sea turtles and sharks.

<sup>9</sup> Current CCSBT requirements are those in the Scientific Observer Program Standards and those necessary for completing the template for the annual report to the ERSWG.

(b) Specify the number of observed ERS interactions including mortalities, and describe the methods of scaling used to produce estimates of total mortality (information should be provided by species – including the scientific name – wherever possible<sup>10</sup>):

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

(c) Mitigation – describe the current mitigation requirements:

(d) Monitoring usage of bycatch mitigation measures:

- i. Describe the methods being used to monitor compliance with bycatch mitigation measures (e.g. types of port inspections conducted and other monitoring and surveillance programs used to monitor compliance). Include details of the level of coverage (e.g. proportion of vessels inspected each year):
  
- ii. Describe the type of information that is collected on mitigation measures as part of compliance programmes for SBT vessels:

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

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

<sup>10</sup> Where species specific information is available, insert additional line(s) for each species below the relevant Seabird, Sharks, and/or Sea Turtles sub headings.



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

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

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

**CCSBT Authorised Vessel Resolution**

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

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