



CCSBT-CC/0910/04 rev4

COMPLIANCE WITH CCSBT MANAGEMENT MEASURES

Purpose

To provide a summary of compliance with CCSBT conservation and management measures by Members and Cooperating Non-Members.

Background

The importance of reviewing the compliance of RFMO members has received attention during 2009 by both the CCSBT Strategy and Fisheries Management Working Group (SFMWG) Meeting and the Second Joint Meeting of Tuna RFMOs (Kobe2).

The SFMWG noted the value of round table discussions that seek to examine the compliance of each Member and recommended continuation of this exercise as a function of the Compliance Committee. The Secretariat was asked to present a summary of the round table data discussions from the informal meeting to the next meeting of the Compliance Committee. This summary is provided at **Attachment C**.

One of the proposals for immediate action from the Kobe2 meeting was:

“The implementation of a robust compliance review mechanism within each RFMO recording the actions by the Parties and non Contracting Parties, on a yearly basis, with a view to possible sanctions to Parties and non Contracting Parties found to be non compliant and possible incentives for good compliance.”

In order to assist with the review of compliance, the Secretariat has compiled a summary of Compliance with the main CCSBT measures for the period from July 2008 to June 2009. This is provided at **Attachment A**

The Total Allowable Catch is CCSBT’s primary conservation measure and a comparison of catches against allocation for this measure is shown at **Attachment B**. The primary source of information for this comparison is taken from monthly catch reports. Catches from other reports to CCSBT have been included where available.

Prepared by the Secretariat

Compliance with CCSBT measures for the period 01-Jul-2008 to 31-Jun-2009.

With the exception of National reports and Quota, all compliance indicators are as at 04 September 2009. The notation used within the table is described on the next page.

		Australia	Indonesia	Japan	Korea	New Zealand	Taiwan	Philippines	South Africa	European Commission	
Data	Monthly Catch Reports	✓	F	✓	F	✓	✓	F	F	P	
	Quota Allocation & Final Catch per entity	✓	X	✓ ¹	✓	✓	✓	✓	✓	X	
	Scientific Data Exchange ²	✓	P	✓	P	✓	✓	✓	F	✓	
TIS	Exports	Electronic list received	✓	X	F	P	✓	✓	F	P	F
		% of forms with complete export information provided (after follow up with exporting country)	100%	100% ⁴	100%	96%	95%	98%	100%	100%	n/a
	Imports	TIS Forms received	X ³	X	F	P	✓	✓	F	P	F
		% of forms with complete import information provided (after follow up with importing country)	0% ³	100% ⁴	96% ⁵	100%	n/a	n/a	n/a	n/a	22%
		Validation details updated	✓	✓	✓	✓	✓			✓	
		6 Month Farm Reports	✓	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Transhipment	Deployment requests for SBT Received ⁶	n/a	n/a	X	n/a	n/a	P	X	n/a	n/a	
	Transhipment Declarations received	n/a	n/a	✓	n/a	n/a	✓	✓	n/a	n/a	
	Transhipment Declarations contain correct information ⁷	n/a	n/a	✓	n/a	n/a	P	P ⁸	n/a	n/a	
	Carrier vessel authorised at time of transhipment	n/a	n/a	✓	n/a	n/a	P	✓	n/a	n/a	
	Fishing Vessel authorised at time of transhipment	n/a	n/a	✓	n/a	n/a	P	✓	n/a	n/a	
	Members Report (due 8/9/09)	n/a	n/a	F	n/a	n/a	✓	X	n/a	n/a	
Authorised Vessels/Farms	Fishing Vessels	✓	P	F	✓	✓	F	✓	✓	F	
	Carrier Vessels	n/a	n/a	✓	n/a	n/a	P	P	n/a	n/a	
	Farms	F	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	
ERS Recommendations	Implement IPOA – Seabirds	✓	X	✓	F	✓	✓	X	✓	F	
	Implement IPOA – Sharks	✓	X	✓	F	✓	✓	X	F	✓	
	Implement FAO-Sea Turtles	✓	X	✓	X	✓	✓	X	X	X	
	Comply with IOTC Measures	✓	X	✓	✓	n/a	✓	X	X	✓	
	Comply with WCPFC Measures	✓	X	✓	X	✓	✓	X	X	✓	

		Australia	Indonesia	Japan	Korea	New Zealand	Taiwan	Philippines	South Africa	European Commission
2009 National Reports	ERSWG	✓	X	✓	F	✓	F	F	F	✓
	ESC	F	F	F	F	✓	F	X	X	X
	CC/EC	Not required at the time of writing								
VMS	Members Report (in advance)									
CDS	To be determined	Not required at the time of writing								

- ✓ - For Data and TIS - Indicates Full compliance where the total number of days outside the due date was less than 28 (when added together for the entire period).
- For National Reports – Indicates that reports were at least 28 days of the start of the meeting.
- For Authorised Vessels/Farms – indicates that data has been received and there is no evidence of periods of non-authorisation

- F - For Data and TIS - Indicates Full compliance but the total number of days outside the due date was greater than 28 (when added together for the entire period).
- For National Reports – Indicates that reports were received within 28 days of the start of the meeting.
- For ERS – indicates that a plan is ‘Under Development’
- For Authorised Vessels/Farms – indicates that full information has been received; however there has been some period of non-authorisation

P - Indicates Partial compliance (not all data received)

- X - Indicates non compliance (no data received, or no advice provided)
- For ERS – indicates non-implementation of measure, or no advice provided.

n/a - Not Applicable

¹ Japan’s final catch per vessel is provided directly to other Members on a bilateral basis, instead of to the CCSBT Secretariat.

² Evaluation is limited to provision of core specified data items, including: Total catch by fleet, Catch and effort, Catch at size, Catch at age, CPUE indices and Direct ageing.

³ Australia has indicated that there have been no imports of SBT, However the Secretariat has received, and provided to Australia for follow up, detailed export information on a number of imports to Australia. Note that these have usually contained only one or two SBT per document.

⁴ No TIS documents have been received from Indonesia, but re-exports from Indonesia containing TIS documents were provided by Japan.

⁵ However, in the latest batch of TIS forms, most documents were missing the ‘Point of Import’ or ‘Import Date’ information.

⁶ This is an Operational requirement of the transshipment program rather than a specified requirement of the CCSBT transshipment resolution.

⁷ Correct information is interpreted to mean that the Transshipment Declaration contains the same information on SBT (presence and/or weight) as the Observer reports, or has not been revised.

⁸ The only information received for this transshipment has been a Transshipment Declaration. An observer report has been received for this Carrier vessel; however there is no mention of this particular transshipment in that report.

Season Following CCSBT 14 (Oct 2007)

	Season	National Allocation	Estimated Whole weight (tonnes) from Monthly Catch Reports (until July 2009)	Whole weight (tonnes) from other reports to CCSBT (type of report) ¹
Australia	1-Dec-07 to 30-Nov-08	5265	5,234.2	5234 (ESC)
Indonesia	1-Jan-08 to 31-Dec-08	750	873.1	926 (DE)
Philippines	1-Jan-08 to 31-Dec-08	45	44.7	44.7(ERSWG)
South Africa	1-Jan-08 to 31-Dec-08	40	45.5	45.5 (DE)
European Commission	1-Jan-08 to 31-Dec-08	10	6.5	6.5 (ERSWG)
Taiwan	1-Apr-08 to 31-Mar-09	1140	926.6	
Japan	1-Apr-08 to 31-Mar-09	3000	2,921.1	2919 (ESC)
Korea	1-Apr-08 to 31-Mar-09	1140	1,140.2	
New Zealand	1-Oct-08 to 30-Sep-09	420	402.0 ²	

Season Following CCSBT 15 (Oct 2008)

	Season	National Allocation	Estimated Whole weight (tonnes) from Monthly Catch Reports (until July 2009)	Whole weight (tonnes) from other reports to CCSBT (type of report) ¹
Australia	1-Dec-08 to 30-Nov-09	5265	4,888.1 ²	No Reports yet available
Indonesia	1-Jan-09 to 31-Dec-09	750	530.3 ²	
Philippines	1-Jan-09 to 31-Dec-09	45	29.5 ²	
South Africa	1-Jan-09 to 31-Dec-09	40	13.9 ²	
European Commission	1-Jan-09 to 31-Dec-09	10	0.0 ²	
Taiwan	1-Apr-09 to 31-Mar-10	1140	160.0 ²	
Japan	1-Apr-09 to 31-Mar-10	3000	801.8 ²	
Korea	1-Apr-09 to 31-Mar-10	1140	425.0 ²	
New Zealand	1-Oct-09 to 30-Sep-10	420	No data available yet	

¹ In order of preference, the following information sources were used:

- ESC – National Reports to the Extended Scientific Committee
- ERSWG – National Reports to the Ecologically Related Species Working Group
- DE – Data Exchange (2009)

² Monthly Catch Report information is available until July 2009. If the fishing season ends after this date, then the figure shown represents the estimated catch from Monthly Catch Reports until the end of July 2009 only.

**Summary of round table discussions on data collection, provision and verification by
CCSBT Members
(from the Informal Meeting of CCSBT Members held in Tokyo, Japan on 14 April 2009)**

At the informal meeting, each Member briefly stated its data collection, provision and verification arrangements as summarised below. It is noteworthy that there was significant variation in the level of verification conducted by the different Members.

After the meeting, a copy of the relevant summary was provided to each Member for proofing. Minor amendments were provided by most Members and all amendments provided are incorporated in the summaries below.

Japan

- All domestic landings of SBT must be conducted at one of the eight designated SBT landing ports. All SBT landed at these ports are inspected by government officials.
- Landings of imported SBT via carrier vessels are not restricted to these eight ports.
- The scientific observer coverage is 8-10% of the SBT fishing effort.
- Monitoring is conducted at Tsukiji market once per month. The results will be presented to the next ESC and EC meetings. Even though not required, most of the SBT at the market still have the tags on them, but some had been lost during transport after landing. However, when landed, it is required that each SBT have a tag. So lost tags at this point need to be replaced with a tag.
- Quota trading is allowed between vessels within a single company. The owner must apply to the Fisheries Agency before the quota is traded. If a fisher exceeds his quota he loses the right to participate in the next five year's fishery. A fisher that does not have SBT quota must release any SBT that are accidentally caught.
- In the current year, due to capacity reductions in the longline fleet, 102 vessels were allocated quota and each vessel received about 30t of quota.

New Zealand

- The New Zealand SBT fishery operates almost entirely within the New Zealand EEZ. It has 2 components: (1) The fresh SBT fishery, typically from small domestic vessels; (2) Freezer vessels operating under charter in New Zealand waters.
- New Zealand fishers are required to collect and return catch and effort information. They must also report estimates of unloaded catch which is subsequently compared with records of licensed fish receivers (LFR). Independent reports from fishers and LFRs is part of the verification system. SBT is managed within the Quota Management System so it is also subject to the general compliance regime that applies to quota species. Quota

holders must provide a monthly report of their catch, which is then compared with the previously mentioned reports.

- The majority of SBT is exported, so the CCSBT TIS provides further verification. Validation for the TIS is conducted by authorised LFRs who have undergone training by the New Zealand Qualifications Authority.
- New Zealand does not rely on physical inspection of domestic landings by government officials although some inspections of this type occur as part of the general compliance regime. New Zealand has a paper trail involving independent reports of catches and landings that can be used to verify catches. It also conducts both overt and covert targeted inspections of catches as part of its compliance regime.
- There is scientific observer coverage for up to 100% coverage of the frozen fish fishery.
- New Zealand provides operational level catch and effort data to the Commission.
- New Zealand allocates 4 tonnes of its national allocation to account for the SBT catch of the recreational gamefish fishery. The majority of this fishery is for Pacific Bluefin tuna, but there is also a small amount of SBT.
- There is a possible problem in species identification of SBT and Pacific Bluefin. New Zealand has done genetic testing to confirm fisher's identifications and is fairly confident on the fisher's ability to discriminate between the two species. However, species identification is a potential problem that needs to be monitored.

Indonesia

- Indonesia's SBT fishery is dominated by small fishing vessels without freezer facilities and is characterised as a bycatch fishery. It is an Olympic system with no vessel specific allocations of SBT quota. Fishing areas include the SBT spawning ground.
- Indonesia has been monitoring tuna landings since mid 2002. Indonesia's catch estimates are based sampling of landings, with a minimum of 30% of vessel landings being sampled. All fish from a sampled vessel are weighed and 10% of the fish are measured in length. Indonesia has introduced both an observer program and a log book program. The log book program is being developed to meet international standards as specified by the tuna RFMOs.
- VMS has been installed on all longline vessels over 60 gross tonnes.

Taiwan

- Taiwan collects three types of data to compile the catch and effort data for SBT, namely, (1) weekly report, (2) logbooks and (3) commercial trading information such as statistical documents of trade information scheme and certified weight reports provided by OPRT for cross-check.
- Taiwan's scientific observer coverage rate by catch and effort has reached 10%.
- Taiwan submits data to CCSBT according to the time-line set by the Scientific Committee every year.

- A voluntary experimental CDS program was launched from the fishing season of 2009 and requested all fishing vessels authorised to fish for SBT to attach a tag to each SBT at the time of kill and measure and record the length and weight.
- Taiwan also joined IOTC's at-sea transshipment program from 1 January 2009.
- SBT quota is allocated to individual vessels. In the 2009 fishing seasons, 34 vessels were authorised to fish for SBT. In general, individual quota for each vessel is 20 tonnes. Bycatch is allowed by vessels without a quota allocation, but these vessels must be registered for the bycatch and the bycatch is limited to a maximum of 1 tonne per vessel. Quota can be reallocated if a vessel needs additional quota. Penalties exist for over quota fishing.
- Taiwan dispatched scientific observers onboard and sends patrol vessels to conduct monitoring of vessel catches. Vessel catches are also inspected by the importing country. Since 1 January 2009, there are also transshipment observers conducting the monitoring of catches.

Korea

- Korea has a national SBT allocation of 1140t per year. Catch reports are provided by the vessels to the companies every 10 days, which then reports the catch to the Distant Water Fisheries Association on a monthly basis. These catches are reported to the government which reports to the CCSBT Secretariat monthly.
- Log book records are also maintained and these are provided to the National Fisheries Research and Development Institute within 90 days of end of trip.
- Korea operates the CCSBT TIS. Its inspection institute (National Quality Inspection Institute) issues the TIS document. They do not directly (physically) inspect the catch, they just authorise the catch reported by the fisher.
- Korea has an olympic system with no vessel specific allocations of SBT quota. Most of Korea's SBT catch is exported to Japan.
- All SBT fishing vessels have VMS installed.
- Two Scientific Observers will be dispatched during 2009.
- Prior to 2007, there were less than 10 SBT vessels. However, in 2008 this increased to 19.
- Physical monitoring of vessel catches by officials is typically limited to Japan's port inspection system.
- There has been a low observer coverage and low biological sampling in recent years due to the limited amount of SBT fishing that Korea has been conducting. However, with increased catches by Korea, Korea will be reviewing the coverage and sampling rates.

Australia

- Australia has both a surface and a longline fishery. Both operated under a SBT management plan with ITQs. There are penalties for overcatch. For surface fisheries the fisher estimates catch on the ground. The fish are towed in cages to Port Lincoln and then placed in pontoons, prior to which there is a 40 fish sample conducted by an independent person that is used to estimate the average weight of the fish in the pontoon. The fish are then counted by video when transferred. The longline fishery has a smaller catch and has restricted areas such that if fishing is in a core SBT area and the vessel has less than 2t of quota, it needs 100% observer coverage. Lesser observer coverage is required as the vessel's available quota increases. There are also options to purchase additional quota. For the surface fishery, Australia is currently completing forms similar to those for the CDS. Some operators already have systems in place for barcodes etc. The system is run by the Australian Fisheries Management Authority.
- Australia is trying to improve the nature of its sampling. It has estimated that the cost of an experiment to properly estimate bias in the 40 fish sample would be AU\$15million.
- Authorised Licensed Fish Receivers are used to validate the CCSBT TIS. There is an inspection process in place in relation to the compliance system and this varies according to the risk of a fishery and might vary on an annual basis as well.
- The responsibility for monitoring recreational catch is with the state governments within Australia, but the Commonwealth is discussing improved monitoring with the states.