



Phase 1 & 2 combined - Quality Assurance Review

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



Undertaken by Global Trust Certification Ltd.

Member Report: Australia (Phase 2: Farm State)

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Executive Summary

This Quality Assurance Review (QAR) report provides an evidence-based review of Australia's southern bluefin tuna (SBT) fishery and associated fisheries management against selected sections, as determined by the CCSBT Secretariat, of CCSBT's Compliance Policy 1, "Minimum performance requirements to meet CCSBT Obligations". QAR's consist of two phases;

- Phase 1 which was a desk based consultation which was completed August 31st 2013 with up-dates in February – April 2014 included in this report.
- Phase 2 which was an on-site inspection of the Member's MCS systems and processes documented in the Phase 1 QAR. The phase 2 site visit was conducted from 4 – 7th February 2014.

Member Phase 1 and 2 reviews can be conducted on separate occasions with a separate Phase 1 Report and a final combined Report to include Phase 2 or; Phase 1 and 2 reviews can be conducted concurrently and reported in a combined Report. In the case, of the Australian report Phase 1 and 2 were conducted independently and combined for submission to CCSBT.

Australia's SBT fisheries management systems have been shown to be effective in terms of the CCSBT minimum performance requirements, with well-established fisheries legislation, a strong fisheries management regulatory system and established fisheries reporting and sanctions.

Australian vessels primarily capture SBT live for transfer to farms off the coast of South Australia, although there is also a comparatively small direct landings sector which operates as a component of the Eastern Tuna and Billfish Fishery (ETBF), and historically within the Western Tuna and Billfish Fishery (WTBF). The operational management of both sectors is the responsibility of AFMA, which devises and implements all technical measures and documentation requirements applied to the SBT fishery. The key management instrument is the application of a Total Annual Catch (TAC) quota. The TAC is set in line with the CCSBT Allocated Catch (AC), and allocated to individuals and organisations through fully tradable Statutory Fishing Rights, which also act as a permit to enter the fishery. SFRs also stipulate a range of operating conditions, including mandatory Vessel Monitoring Systems (VMS), mandatory reporting requirements, and mandatory observer accommodation when requested. At harvest the large majority of Australian SBT is exported to Japan, although small quantities are also consumed elsewhere in Asia.

The QAR demonstrates that the management systems and processes applied by Australia to the SBT fishery have successfully ensured that reported Attributable SBT Catch (ASBTC) has been below Australia's CCSBT AC. Catches are recorded daily by all fishery participants in gear-specific logbooks, and returned to AFMA within a short period of the end of the fishing trip. Similar documentation is completed throughout the farm capture, towing and transfer process, ensuring estimates of mortality at all stages of the process are ultimately subtracted from the TAC. Australia has also mandated the completion of CCSBT Catch Documentation Scheme (CDS) documents, which in addition to their primary role ensuring the tracking of SBT from capture to sale act as verification of the contents of the Australian national paperwork.

The QAR can verify that the system is sufficiently robust in monitoring the accuracy of SBT catch and mortality estimates is ensured partially through comparison of the various documentation for consistency, but also through an observer scheme, at-sea and portside inspections, and the mandatory presence of an AFMA Authorised Agent (AAR) whenever fish are transferred from a tow vessel into a farm. These measures are also used to monitor compliance, to some extent, alongside annual audits of all fish receivers and farms and mandatory VMS. Australia also conducts an internal compliance risk assessment to identify potential risks of non-compliance and direct monitoring efforts accordingly.

The QAR has also identified some weaknesses and risks associated with the Australian management system. The most significant of these – such as the potential for under-reporting of SBT mortality, misreporting in catch disposal records, and the risk of vessels being unable to purchase quota after capture of SBT – have been previously identified by AFMA. Australia is currently unable to fulfil the requirement of MPR 2b to “monitor all fishing-related mortality of SBT” in relation to “non-commercial retained catch”. The QAR review team recommend the development of a mechanism to more accurately estimate recreational removals a process that has already been initiated by the Department of Agriculture.

Information collected during the Phase 2 on site visit of both SBT facilities and the offices of AMFA provided further substantiation on the conformity of the information provided during phase 1 of the QAR. The review team did not identify any evidence that contradicted any information provided during phase 1 of the QAR.

Table 1. Summary of the Quality Assurance Review Implementation Information: Australia

QAR Phase	Dates
Phase 1 Initiation	April 15 th 2013
Phase 1 Review	April – August 2013 -
Phase 1 Consultation	19 th June 2013
Site visit (Phase 2)	4 – 7 th February 2014
Report to Member	May 30 th 2014
Report returned	July 31 st 2014
Draft Final Report for review	August 16 th 2014
Final Report	August 28 th 2014

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3.5.2	MPR 1b: [Operating systems and processes established and implemented to ensure that] CDS documents accompany SBT as relevant, including (i) a Catch Monitoring Form (CMF) for all transshipments, landings of domestic product, exports, imports and re-exports; (ii) a Re-export/Export After Landing of Domestic Product (REEF) for all exports of SBT landed as domestic product then exported, and for all re-exports of imported SBT (any REEF must also be accompanied by a copy of the associated CMF and copies of any previously issued REEFs for the SBT being exported); and (iii) a Farm Transfer Form (FTF) for all transfers of SBT between authorised farms within the Member’s jurisdiction;.....	50
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3.5.6	MPR 2: Any use of specific exemptions to CDS documentation (allowed for under obligation 3.1 A (ii) for recreational catch) must be (a) explicitly allowed and this decision advised to the Executive Secretary; and (b) have associated documented risk-management strategies to ensure that associated mortalities are accounted for and that recreational catches do not enter the market.	53
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3.8.5	MPR 1(e): [Operating systems and processes established and implemented to ensure that CCSBT Catch Tagging Program requirements are met, including] requiring details for each fish to be recorded as soon as practicable after the time of kill including month, area, method of capture, as well as weight and length measurements carried out before the SBT is frozen.	58
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3.9.2	MPR 2 Operating systems and processes established and implemented to (a) monitor compliance by operators with control measures in section 3.9.1, above; (b) impose sanctions on operators where non-compliance is detected; and (c) report any cases of whole SBT being landed without tags to the Executive Secretary, and minimise their occurrence in future.	60
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ABBREVIATIONS

AAR	AFMA Authorised Agent
AC	Allocated Catch (Individual Member quota)
AFMA	Australian Fisheries Management Authority
AFZ	Australian Fishing Zone
ALC	Automatic Location Communicator
ASBTIA	Australian Southern Bluefin Tuna Industry Association
ASBTC	Attributable Southern Bluefin Tuna Catch
CCSBT	Commission for the Conservation of Southern Bluefin Tuna
CDR	Catch Disposal Record
CDS	Catch Documentation System
CFIN	Commonwealth Fisheries Infringement Notice
CSIRO	Commonwealth Scientific and Industrial research Organisation
DA	Department of Agriculture
EEZ	Exclusive Economic Zone
EPBC	Environment Protection and Biodiversity Conservation
ERS	Ecologically Related Species
ETBF	Eastern Tuna and Billfish Fishery
FRP	Fish Receiver Permit Holder
GVP	Gross Value of Production
ICVMS	Integrated Computer Vessel Monitoring System
ITQ	Individual Transferable Quotas
MAC	Management Advisory Committee
MCS	Monitoring, control and surveillance
MPR	Minimum Performance Requirement
QAR	Quality Assurance Review
SBT	Southern Bluefin Tuna
SFR	Statutory Fishing Right
SWOT	Strengths, weaknesses, opportunities and threats
TAC	Total Allowable Catch
VMS	Vessel Monitoring System
WTBF	Western Tuna and Billfish Fishery

1 Introduction

This is an evidence based Quality Assurance Review (QAR) that forms the basis for the assessment of the Commission for the Conservation of Southern Bluefin Tuna (CCSBT) Members against specific obligations from CCSBT's Compliance Policy 1, "Minimum performance requirements to meet CCSBT Obligations". Members were requested to demonstrate, by providing supporting documentation, that they meet the obligation from CCSBT's Compliance Policy, with particular emphasis on the presence of documented procedures. The scope of the assessment was limited to obligations and associated Minimum Performance Requirements in sections 1.1, 2.3, 3.1, 3.3 and 6.5 of this policy, which are aimed at ensuring Members and Co-operating Non-Members have implemented adequate measures to ensure they do not exceed their Allocation of the global Southern Bluefin Tuna (SBT) catch, and are compliant with the Catch Documentation Scheme (CDS) and regulations associated with SBT transshipments. The obligations in this policy are derived from CCSBT Resolutions and Decisions, in particular:

- The "Resolution on the Allocation of the Global Total Allowable Catch"; and
- The "Resolution on Limited Carry-forward of Unfished Annual Total Allowable Catch of Southern Bluefin Tuna within Three Year Quota Blocks".
- The "Resolution on the Implementation of a CCSBT Catch Documentation Scheme".

Additional Minimum Performance Requirements (MPR) have been included in 2014 which extend the scope of both Phase 1 and Phase 2 reviews. Specifically, these are:

- 3.1 Catch Documentation System (A-F)
- 2.3 Record of Authorized Carrier Vessels (part of Transshipment Resolution)
- 3.3 Transshipment (At sea) Monitoring Program (Resolution)
- 6.5 Annual Reporting to the Compliance Committee (Suite of Decisions/Resolutions/Recommendations).

The main body of this report provides an overview of the management of fisheries of the Member participating in the QAR and the effectiveness of their fisheries management in line with the MPRs within the scope of this report.

A step-by-step description of the processes and practices implemented by the Member is presented and the level of performance found against each MPR based on the evidence collected and assessed through the QAR. A detailed Process Map is provided to support the analysis which illustrates the operating systems and processes implemented by the Member. Any areas where it was felt by the reviewers, that the evidence reviewed did not fully substantiate full performance to the MPR are highlighted and recommendations for improvement are provided.

In assessing the suitability of systems QARs will take into account the particular circumstances and characteristics of each Member being reviewed. QARs will also take into account any issues identified by the Compliance Committee. All QARs provide an overall review of the Members monitoring, control and surveillance (MCS) systems however some areas may need particular attention based on the Members involved, including:

i) **Market States** – emphasis will be placed on the systems and processes in place to support requirements for the importation of SBT products;

ii) **Farm States** – emphasis will be placed on the systems and processes required for accurate reporting of catch, monitoring the introduction of SBT into farms including the effectiveness of the 100 fish sampling methodology and the harvesting of farmed SBT product;

iii) **Developing States** – emphasis will be placed on the systems and processes in place required to monitor, manage and accurately report artisanal and industrial catch including to address Indonesia’s request for consideration of its allocation; and

iv) **Distant Water Fishing States** – emphasis will be placed on the systems and processes in place for the accurate reporting of catch, recording/verifying of landing and/or transshipment and monitoring of direct exports of SBT.

1.1 Methodology

The standard format for the QAR is to conduct the review in two distinct phases, the first being a desk based review and the second phase a site visit. The scope of the QAR has been extended since its inception in 2013 to encompass more CCSBT MPRs and include a phase two site visit. The methodology for each phased is shown below;

Phase 1 - an independent desk top review conducted by a review team through remote consultation stages with Member authorities to gain further evidence, seek clarification and verification of performance against the Minimum Performance Requirements of Section 1.1 of the CCSBT Compliance Policy. The review method was undertaken in four steps.

- i. Management System Review – the overall framework for management of SBT to ensure compliance with allocations
- ii. Process and implementation review – the implementation of the fishery management system (description, features, specific measures, actions, rules/regulations that allow for implementation, catch recording, catch reporting and compliance). Evidence of implementation such as specimen records, reporting and recording documents will be requested to allow verification of the system’s effectiveness to be assessed.
- iii. Management System Effectiveness - the outcome of the analysis documented using a SWOT analysis with regard to the extent that the management system implementation effectively demonstrates compliance to each of the MPR.
- iv. Recommendations for Improvement- areas identified through the review that may result in improved Member compliance (or improved reporting effectiveness for purposes of subsequent QAR activities). This is presented using the Opportunities component of the SWOT analysis.

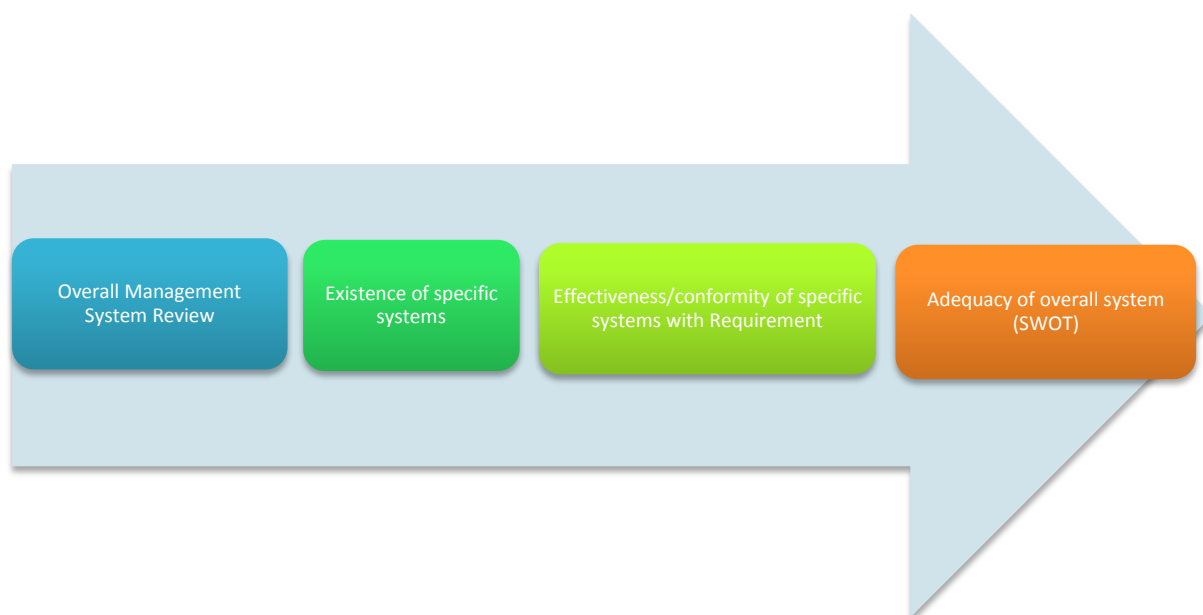


Figure 1 Methodology for Phase 1 of the CCSBT Quality Assurance Review

Phase 2 site visit - designed to verify the extent that systems and processes described in documentation and records provided in Phase 1 and the Phase 1 extension are fully implemented and consistent with the procedure described by the Member. During the site visit the reviewers will determine the extent to which the processes and activities are effective in ensuring that Members meet their obligations specific to the MPR's within the scope of the current QAR framework.

A detailed process flow map of each Member is developed to provide a 'visual' description of allocation and catch accounting systems. The process flow maps are documented initially from the desk based review and then finalized during the final reporting stage.

The report is presented in seven sections as follows:

- Section 1: This section, providing a short description of the process.
- Section 2: A background section that describes the fishery and the overall management system. This is supported with an organizational chart and table of identified agency roles specific to each MPR (where applicable).
- Section 3: Detailed description of the evidence that demonstrates conformity to the specific MPR requirement with a summary of outcome and key points (Phase 1)
- Section 5: Phase two findings and associated gap analysis of phase 1 and 2 outcomes.
- Section 4: A detailed flow chart to support the evaluation and provide specific details of the SBT Allocation, CDS and MCS in place.
- Section 5: Effectiveness of the Management Systems (SWOT analysis)
- Section 6: Opportunities/Recommendations for improvement
- Section 7: Appendices

N.B. A further report on the overall outcome and feasibility of the approach, method and conclusions has also been undertaken as part of the QAR work.

2 Southern Bluefin Fishery

2.1 Introduction

Southern Bluefin Tuna (SBT) are highly migratory fish found throughout the Southern Pacific Ocean including throughout Australian waters. The Australian SBT fishery removes around 5,000t of fish annually; however, around 96-99% of these removals are transferred live to farm enclosures off the South Australian coast where they are grown out for up to 7 months before harvest. The real gross value of the SBT fishery was \$40.6 million in the 2011/12 financial year (Figure 7), with an export value of \$150 million post-ranching^{1&3}. The remainder of the fishery removals are as bycatch in the Eastern Tuna and Billfish Fishery (ETBF) or as targeted catch in its own right, primarily by longline. It is also possible for SBT to be caught in the Western Tuna and Billfish Fishery (WTBF), although no landings have been reported in recent years with only 3 vessels reported to be fishing for tunas in the WTBF in 2012².

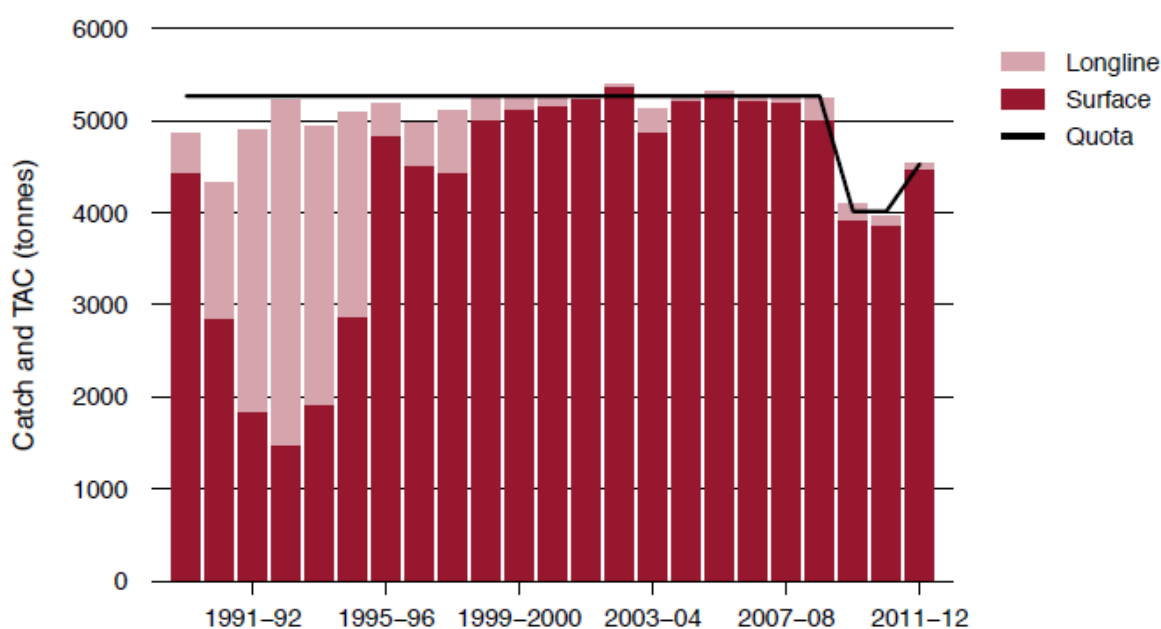


Figure 2 Australian SBT catch by financial year, 1989/90 to 2010/12³

2.2 Management Authorities

The operational management of Australian Commonwealth fisheries is the responsibility of the Australian Fisheries Management Authority (AFMA). AFMA is responsible for the majority of day-to-

¹ <http://www.afma.gov.au/managing-our-fisheries/fisheries-a-to-z-index/southern-bluefin-tuna/at-a-glance/> (accessed 17/07/13)

² Hobsbawn, P.I., Patterson, H.M., Stobutzki, I (2013). Australia's 2011-12 Southern Bluefin Tuna Fishing Season, Canberra, July. CC BY 3.0

³ Patterson, H., Stobutzki, I & Stephan, M (2012). Chapter 24 Southern Bluefin Tuna Fishery, pp. 346 – 355. In ABARES (2012) Fishery status reports 2012.

day fisheries management functions, as set out in the *Fisheries Administration Act 1991*⁴. These responsibilities include devising and implementing management regimes which meet national and international sustainability requirements and agreements, establishing and allocating fishing rights, collecting information on fishing activity and the performance of the Authority, and to coordinate communications and consultations with the public, other Australian and international governmental bodies, and other relevant organisations. With respect to Australian SBT specifically, AFMA is responsible for most of the practical management of the fishery including setting annual quotas, monitoring individual quota use and trades, in-season research, vessel and farm audits, and paperwork collection and collation⁵.

The Southern Bluefin Tuna Management Advisory Committee (SBTMAC) is the principal forum in which issues relating to the management of the domestic SBT fishery are discussed. Meetings of the Management Advisory Committee's (MAC) research and compliance sub-committees are held in conjunction with SBTMAC meetings. Advice to the AFMA Commission and other stakeholders is provided through the Chair's Summaries of each MAC meeting.⁶

The Department of Agriculture (DA), Sustainability and Biosecurity Policy Division has primary carriage for developing and reviewing fishery management policy, legislative reform, and international negotiations⁷. DA works closely with AFMA in undertaking these functions.

Table 2 details the management authority responsibilities related to the CCSBT MPRs covered in the scope of this QAR. It shows that AFMA is responsible for the daily management and implementation of national and CCSBT regulations, whilst DA is responsible for liaising with CCSBT and providing a legal and administrative basis for the fisheries management.

Table 2 Management Authority responsibilities for Minimum Performance requirements

Management Authority	Responsibilities	CCSBT MPR
Department of Agriculture (DA)	<ul style="list-style-type: none"> Provides a legal and administrative basis for fisheries management Develops and implements policies and programs to ensure Australia's fisheries are competitive, profitable and sustainable 	1.1(i) 1, 4, 6.5 and the legal basis for all other MPRs
Australian Fisheries Management Authority (AFMA)	<ul style="list-style-type: none"> Determination of Australian TAC Allocation of TAC and management and monitoring of SFRs and SFR trades Design, application and management of logbooks and other fishery documentation MCS and application of sanctions In-year research and application of core and buffer zones 	1.1(i) 1-5, 1.1(ii), 2.3, 3.1, 3.3 and 6.5

⁴ Act No. 161 of 1991, Fisheries Administration Act 1991. Available from: <http://www.comlaw.gov.au/Series/C2004A04236> (accessed 17/07/13)

⁵ <http://www.afma.gov.au/about-us/functions-and-powers/> (accessed 17/07/13)

⁶ <http://www.afma.gov.au/managing-our-fisheries/consultation/management-advisory-committees/sbtmac/> (accessed 17/07/13)

⁷ <http://www.daff.gov.au/about/contactus/srm#fisheries> (accessed 17/07/13)

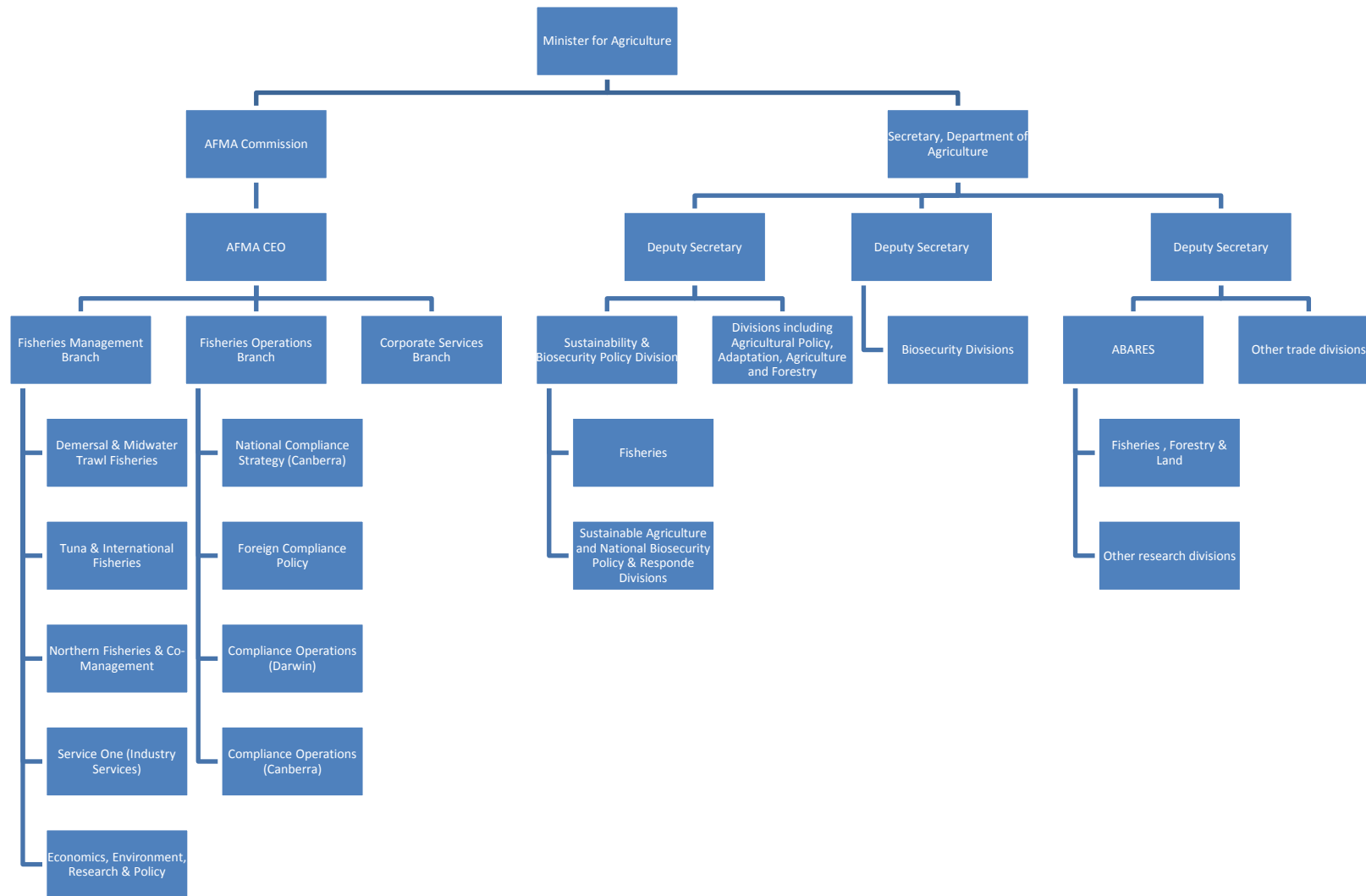


Figure 3 Australia’s fisheries management organogram. Note: some division branches not directly related to fisheries have been truncated for clarity

2.3 Management System

Two main instruments form the legislative basis for the management of the Australian SBT fishery: the *Fisheries Management Act 1991*⁸ and the *Southern Bluefin Tuna Fishery Management Plan 1995*⁹. These are supported by a framework of regulations, Statutory Fishing Right conditions, fishing permits and Directions¹⁰. The ETBF and the WTBF have specific management plans outlining the ecosystem requirement and issuance of shares within the fishery (*Eastern Tuna and Billfish Fishery Management Plan 2010* and the *Western Tuna and Billfish Management Plan 2005*)¹⁶.

The main overarching technical measure in the SBT fishery is an annual quota, set by AFMA in accordance with the CCSBT Allocated Catch for Australia and distributed equally between a set number of Statutory Fishing Rights (SFRs). Prior to the start of the fishing season, AFMA publishes an Australian Total Allowable Catch (TAC) and the derived quota-per-SFR. All SBT catch must be covered by quota within 14 days, although there is an additional requirement that quota be held in advance of entering certain pre-defined SBT areas (see Section 2.6.2). SFRs also act as a permit to fish for SBT, and have associated obligations such as mandatory catch reporting and location reporting via Vessel Monitoring System (VMS). SFRs can be temporarily leased or permanently traded between individuals and companies, a process which is monitored by AFMA. AFMA are also responsible for maintaining a database tracking the remaining quota held by each fisher, issuing letters informing fishers if they have exceeded their quota, and carrying out any follow-up compliance actions. Each SFR holding is associated with a nominated fishing vessel, which must be Australian

A further relevant piece of legislation is the *Environment Protection and Biodiversity Conservation Act 1999* (the EPBC Act). The EPBC Act is the Australian Government's central piece of environmental legislation, and provides a legal framework to protect and manage nationally and internationally important flora, fauna, ecological communities and heritage places¹¹. In 2008 the Minister for the Environment, Heritage and the Arts (Now Minister for the Environment¹²) commissioned an independent review of the EPBC Act. The final report of this review was delivered in 2009. In 2011 the Minister released the official Government response to the report as part of a broad package of reforms to Australian national environmental law¹³. In March 2013 the Department of Agriculture and AFMA provided an application to the Department of the Environment seeking continued export approval for the Australian Southern Bluefin Tuna Fishery. On 23 July 2013 the Minister for the Environment declared the operation of the Australian Southern Bluefin Tuna Fishery an approved wildlife trade operation under Part 13A of the EPBC Act.

⁸ Act No. 162 of 1991, Fisheries Management Act 1991. Available from: <http://www.comlaw.gov.au/Series/C2004A04237> (accessed 17/07/13)

⁹ Southern Bluefin Tuna Fishery Management Plan 1995. Available from: <http://www.comlaw.gov.au/comlaw/management.nsf/lookupindexpagesbyid/IP200509824?OpenDocument> (accessed 17/07/13)

¹⁰ <http://www.afma.gov.au/managing-our-fisheries/fisheries-a-to-z-index/southern-bluefin-tuna/fisheries-management/> (accessed 17/07/13)

¹¹ <http://www.environment.gov.au/epbc/> (Accessed 17/7/13)

¹² <http://www.environment.gov.au/> (Accessed 17/7/13)

¹³ <http://www.environment.gov.au/epbc/review/index.html> (Accessed 17/7/13)

2.4 History of Fishery

Catches of SBT were reported as early as the 1920s off the east coast of Australia, but significant commercial fishing for SBT did not commence until the early 1950s with the establishment of a pole-and-live-bait fishery off New South Wales, South Australia and, later, Western Australia in the 1970s. Purse seine gear overtook pole as the main fishing method and catches peaked at 21,500t in 1982, and the catch was primarily canned. Following quota restrictions in 1983–84, the Western Australian pole fishery closed down and the south-eastern fishery began to target larger juveniles to supply the Japanese sashimi market. Surface catches were further reduced between 1989 and 1995 when about half of the Australian national quota was taken by Australia–Japan joint venture longliners. The joint venture ceased in late 1995. From 1992 to 1998, domestic longliners operating off Tasmania and New South Wales also took approximately 5–10 % of the total Australian catch.

In 1990/91, about 20t of SBT were transferred to fattening cages in Port Lincoln, South Australia, to enhance their value. Use of the Australian SBT TAC in ‘farming’ operations increased from 3% of the TAC in 1991–92 to 98% in 1999–2000 and has remained at similarly high levels since.

After the declaration of the Australian Fishing Zone (AFZ) in 1979, Japanese longliners fished in Australia's waters under a range of bilateral conditions, real time monitoring program and joint-venture arrangements. In 1997, Japanese longliners were excluded from all AFZ fishing operations following a failure to reach agreement on a global TAC within the CCSBT¹⁴.

2.5 Location

The Australian SBT fishery officially extends throughout the Australian EEZ, and into nearby high seas (Figure 4) with the Eastern and Western Tuna and Billfish Fisheries shown in Figure 5. However, in practice SBT is almost exclusively caught in the Commonwealth-managed waters off the South Australian coast, with the remainder caught in the south-east (Figure 6). The standard Australian SBT season runs from 1 December to 30 November the subsequent year. The majority of fishing by purse seine for grow out ranching occurs from December – March. Longlining for SBT occurs primarily in winter months off Southern NSW.

¹⁴ Hobsbawn, P.I. Patterson, H. Stobutzki, I. CCSBT-CC/1209/SBT - Australia's 2011 Review of the Southern Bluefin Tuna Fishery

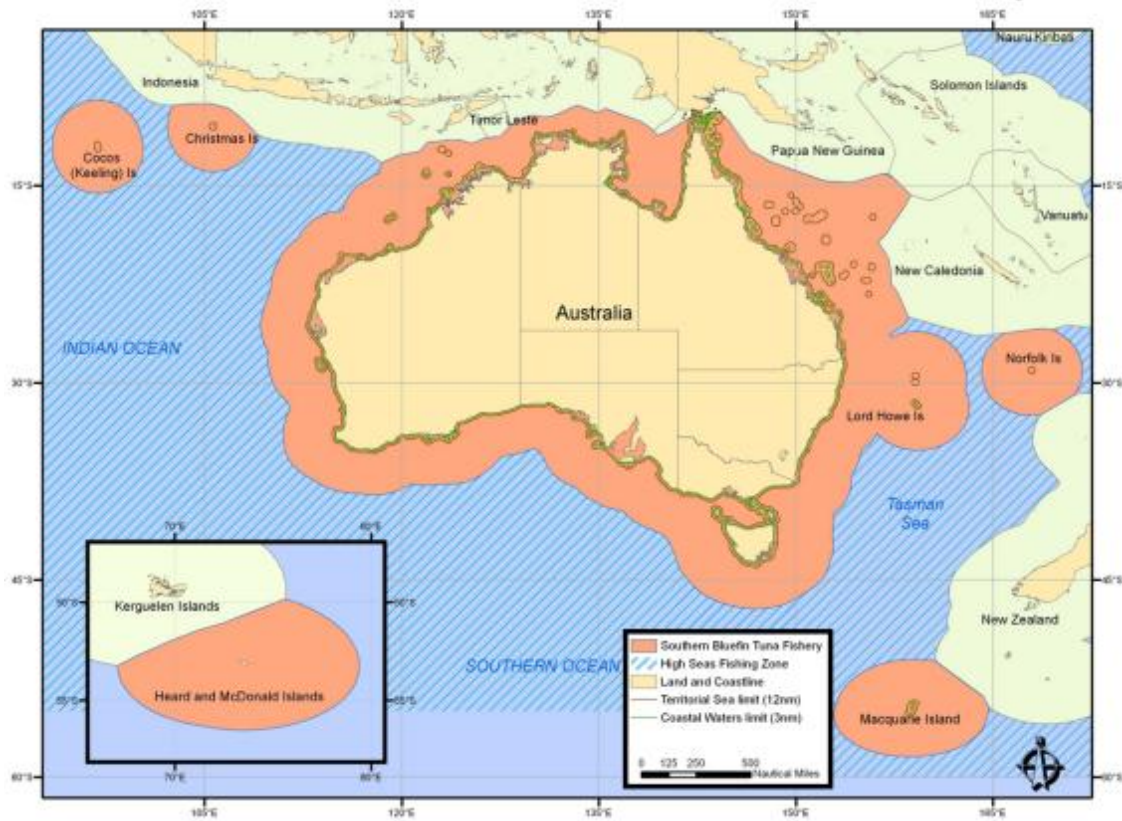


Figure 4 Area of the Australia SBT fishery, as described by the 1995 SBT FMP¹⁵

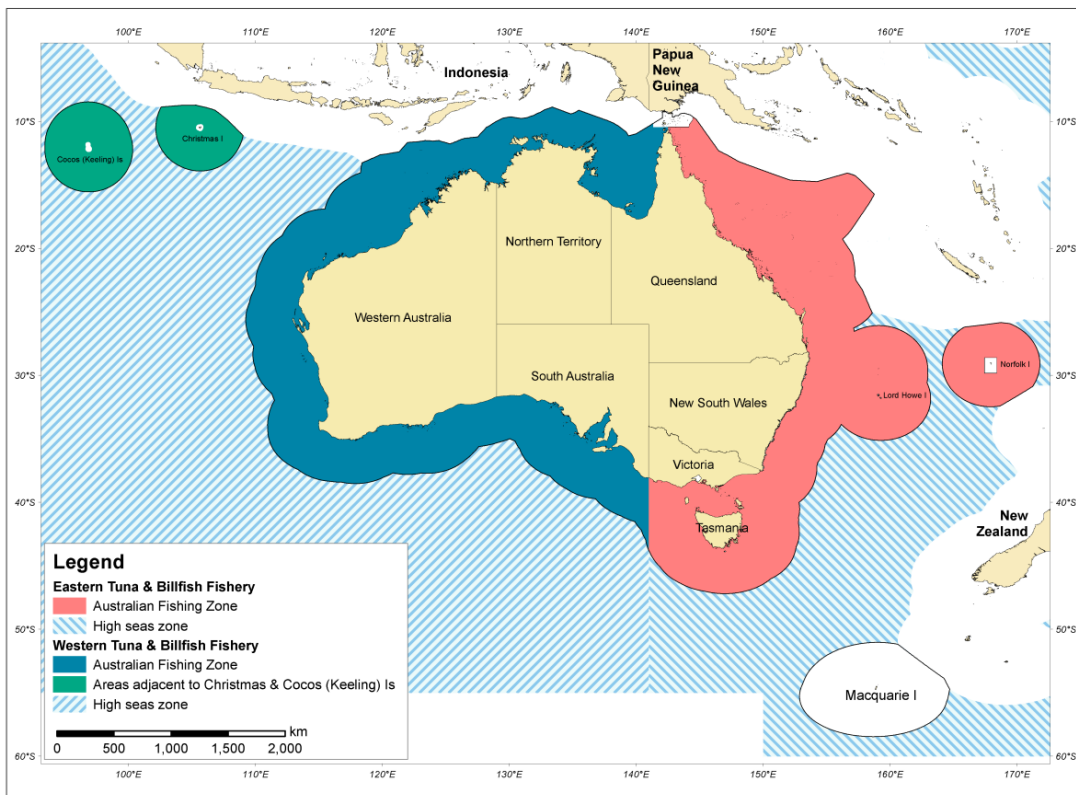


Figure 5 Australia's Eastern and Western Tuna and Billfish Fisheries¹⁶

¹⁵ <http://www.afma.gov.au/wp-content/uploads/2010/06/Map-SBT-Fishery.jpg> (accessed 17/07/13)

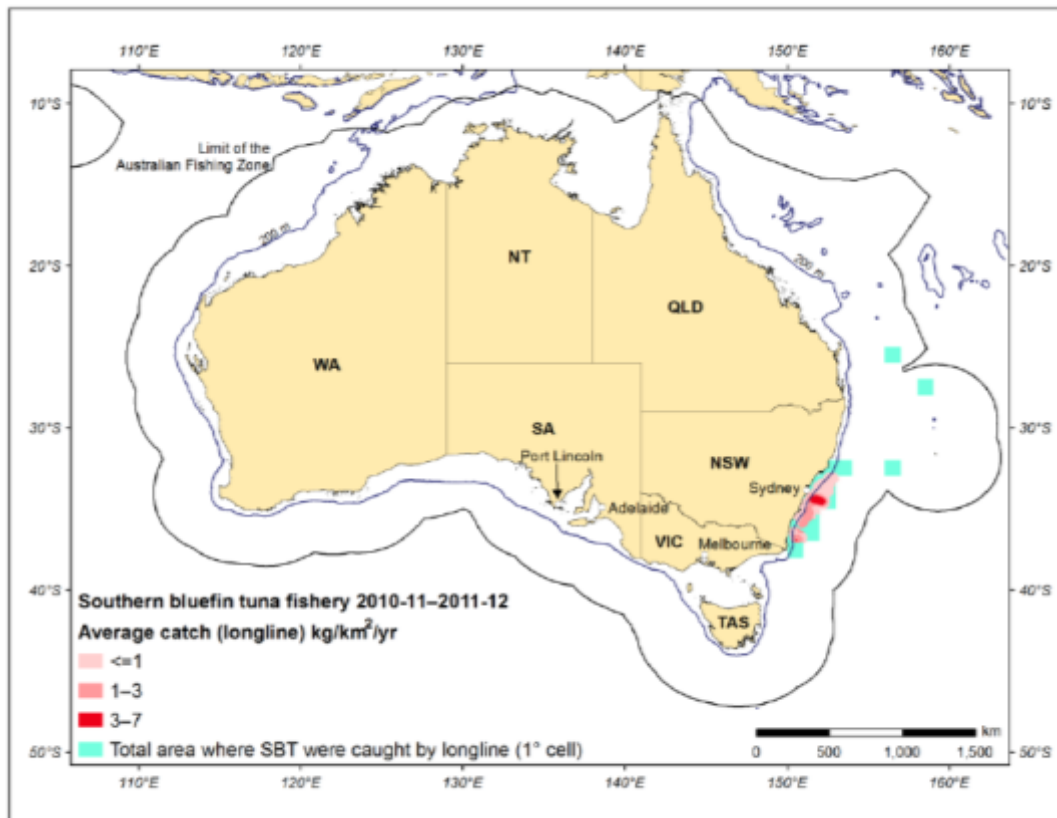
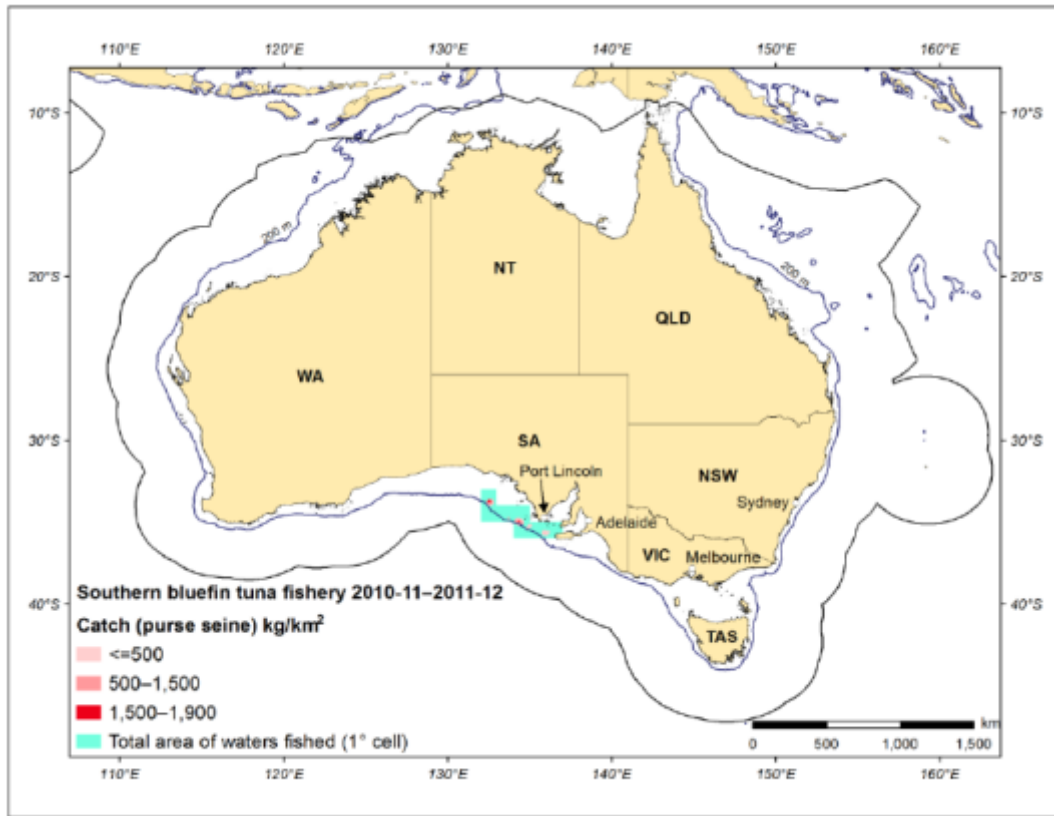


Figure 6 Australian SBT catch in the in 2010 -11 and 2011 – 12 fishing year, by 1 degree squares¹⁶. Top graph – Location of purse seine SBT catches. Bottom graph – Location of longline SBT (Please note as per Australian privacy requirements only those cells where five or more vessels have operated have been included in these maps)

2.6 Fishery sectors

2.6.1 Farming Sector

The large majority of SBT caught by Australian vessels (98.7% in the 2011 – 12 fishing season¹⁶) is captured using purse seine, and subsequently transferred via tow vessels to farms off Port Lincoln, South Australia where they are grown out for up to 7 months. Value is directly added by ranching in the form of additional kilograms (kg) of fish, but also exponentially as larger fish are worth more per kilo. Fishery removals for farming purposes are covered by the same SFR pool as the direct landings sector, and a similar set of daily logbook and VMS requirements. However, additional obligations are in place to ensure the accurate reporting of towing and farming activities, including mandatory observation of the stage where towed fish are transferred to the ranching cage.

2.6.2 Direct Landings Sector

The remainder of Australian SBT removals are taken either as bycatch in the ETBF, WTBF or less frequently, as a targeted species in its own right. In 2011-12 SBT was landed by the ETBF; however no SBT were landed by the WTBF^{2&16}.

The main management instrument after SFRs is the implementation of weekly-updated area-based fishing restrictions. In-year scientific monitoring allows managers to track major concentrations of SBT along the east coast, and designate nearby waters as 'core' and 'buffer' zones. The core zone is defined as an area within which there is an 80% probability of catching SBT, the buffer zone 15%. In non-designated waters the probability is estimated at around 5%. Vessels wishing to fish in a core or buffer zone must possess SBT quota, even if SBT is not the target species. There are also additional requirements for scientific observer coverage of vessels within the zones, starting at 20% coverage in the core zone and 10% in the buffer zone, and increasing as remaining quota falls to a maximum of 100% coverage on vessels with less than 500kg remaining.

2.6.3 Recreational fishery

Recreational angling for SBT has been popular among game fishing club members in Tasmania and South Australian waters for many years, but there has been increased activity among the general recreational fishing sector in the last five years, particularly in western Victorian waters near Portland and Port Fairy^{3&17}Error! Bookmark not defined. Recreational fisheries in Australia occur primarily in the State waters within 3nm of the coast, and as such fall under the jurisdiction of State government authorities.

A regional study conducted in Victoria in 2011 estimated 19,700 fish were caught weighing an estimated 240t¹⁷. In addition 6,900 fish are estimated to have been caught and released during the period of the survey³

¹⁶ Patterson, H.M., Hobsbawn, P.I and Stobutzki, I. (2013). Australian Country report – Ecologically Related Species in the Australian Southern Bluefin tuna Fishery 2010 – 11 and 2011 – 12. Australian Government – Department of Agriculture, Fisheries and Forestry ABARES (CCSBT-ERS/1308/Annual Report – Australia)

¹⁷ ABARES fishery status reports 2011, pp.330-338, SBT. Available from: http://adl.brs.gov.au/data/warehouse/9aam/fsrXXd9abm /fsr11d9abm_0022011/24_FishStatus2011SthnBluefinTuna_1.0_0.pdf (accessed 17/07/13)

No national estimate of the total recreational removals of SBT is available, with the data available considered very limited³. The Australian government has commenced a project to develop a methodology to better ascertain removals by the recreational fishery.

2.6.4 Economic Aspects

In 2010/11, the Gross Value of Production (GVP) – the value of the wild catch at the point of transfer to pens for farming – for Australian SBT was estimated as \$30.5 million and in 2011/12 this increased to \$39.8 million³**Error! Bookmark not defined.**. This is significantly lower (in real terms) than in earlier years (Figure 7). The value of the SBT catch peaked at \$97.8 million in 2002/03, but then declined substantially in 2003/04 to \$46.8 million, mainly driven by a reduction in average unit prices, from \$18.00 per kilogram in 2002/03 to \$9.20 per kilogram in 2003/04. GVP then remained stable at around \$50 million, before reducing to a low of \$25 million in 2009/10^{3&17}.

SBT are farmed to achieve a higher return for harvested fish. Growing fish out to a larger size leads to a higher unit price, since larger tuna fetch higher market prices per kilogram. The value of farmed SBT production in 2010/11 (after ranching) was \$115.3 million and has increased for 2011/12 to \$150 million^{3&17}**Error! Bookmark not defined.**. Nearly all farmed SBT are exported. Therefore, trends in the fishery's GVP can be linked to export trends. The real value (in 2010/11 dollars) of Australian SBT exports decreased by \$220.9 million (66%) between 2002/03 and 2009/10^{3&17}. Most of this decrease is attributed to the reduced price received for fish in Australian dollars, resulting from an increase in the exchange rate and increased supplies of other bluefin tuna species to international markets from European tuna farms. In 2010/11, reductions in supply were a key driver of an increase in prices on the global tuna market. The supply-side factors generally relate to reduced fishing activity, which resulted in a reduced supply of Atlantic bluefin tuna from Mediterranean. The real unit price for exported fish increased by 36% between 2009/10 and 2010/11, from \$14.5 to \$19.7 per kilogram (2010/11 dollars). Although this reverses the declining trend in average export unit prices since 2002/03, average export unit prices in 2010/11 were still less than half the price in 2002/03¹⁷.



Figure 7 Top graph: Real GVP of SBT production, by financial year, 2001/02 to 2011/12. Lower graph: Real value of SBT exports by financial year and processing methods, 2001/02 to 2011/12³

2.7 Key Markets

The dominant market for Australian SBT is the export market to Japan, with smaller markets in the US, EU and Republic of Korea¹⁸. In the 2011 calendar year, Australia exported a total of 7,233.9t of SBT, which has increased to 7241.9t in 2012. In 2012, 7,220.3t were received by Japan (around 99.7%), with smaller exports made to other destinations in Asia. Australia also imported 3.4t from New Zealand in 2012, which is an increase on the 285kg imported in 2011¹⁴.

¹⁸ Department of the Environment (2013). Assessment of the Australian Southern Bluefin Tuna Fishery - July 2013.

3 Phase 1 Member Management System Implementation

This section is based on a review of information on management system processes, historical Member Compliance Action Plans against the 2012 quota allocation; data that demonstrates performance of compliance to date against the 2013 quota and including reference to 2014 allocation and direct consultation with Member through conference call and e-mail exchange.

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

The aim of this obligation is to ensure that Members do not exceed their allocated catch. MPR 1 represents the over-arching requirement, with MPRs 2-4 describing subsidiary requirements.

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

Summary – Effort in the Australian SBT fishery is limited by the application of a national Total Allowable Catch (TAC). In recent years the TAC has been set in line with the Australian CCSBT Allocated Catch (AC). During the time period under scrutiny, the total Attributable SBT Catch (ASBTC) reported by Australia exceeded the national TAC by 19t (0.2%) in the 2009-11 season, and by 34.6t in 2011/12⁶³.

Key points

- Australian fishing season runs for 12 months from 1st December – 30th November, although between December 2009 and November 2011 a 24-month season was implemented.
- SBT management plan requires the TAC be set in compliance with the Australian CCSBT AC.
- Australia has used the carry-forward procedure for unfished quota from 2013 to the 2014 fishing season. Australia has advised the Commission and will report the carry forward in its annual report to the Extended Commission (Section 9). Due to an administrative oversight this formal notification was not within 60 days of the start of the new quota year (see Section 3.2.2).

The key management measure implemented to limit fishery removals in the Australian SBT fishery is a national quota. Every year, before the start of the SBT season, the AFMA Commission makes a decision on the national TAC for SBT¹⁹. The Australian SBT Fishery Management Plan (1995) requires the national TAC to be set at or below the Australian CCSBT AC²⁰. All national quotas from 2010 – 2014 have been set at or under the CCBT allocation to Australia. For Australia, the ASBTC is defined as “All commercial catch, except catch that is released in a live and vigorous state”²¹. To date, the

¹⁹ Conference call, 19/6/13

²⁰ CCSBT-CC/1209/Compliance Action Plan – Australia – Australia’s Compliance Action Plan for the Commission for the Conservation of Southern Bluefin Tuna

²¹ Minimum Performance Requirements to meet CCSBT Obligations – Compliance Policy Guideline 1

total reported ASBTC for Australia has been below the original AC. Table 3 shows the national TACs and ACs since the 2009/10 season.

Table 3 Australian Allocated Catch, TAC and ASBTC for each SBT fishing season since 2010/11

CCSBT Year	SBT Season	Allocated Catch	National TAC	ASBTC
2010 & 2011*	Dec 2009 – Nov 2011	8,030t, of which not more than 5,265t to be caught in 2010/11	8,030t, no more than 5,265t to be caught in 2010/11 ²⁵	2009/10 = 4,091t ¹⁴ 2010/11 = 3,958t ¹⁴ (Total = 8,049t)
2012	2011/12	4,528t ²²	4,528t ²³	4,543t ²⁴
2013	2012/13	4,698t ²²	4,698t ²³	N/A
2014	2013/14	5,151t ²²	5,151t	N/A

* Between 1st December 2009 and 30 November 2011 a 24 month season was implemented. The allocated catch of 8,030t applied over two fishing seasons.

CCSBT ACs are allocated to Members on an annual calendar year basis. However, the standard Australian SBT fishing season runs from 1 December to 30 November in the following year. The Australian TAC is set in line with the CCSBT AC of the second calendar year in the season – i.e. the TAC for the 2012/13 season was set in line with the 2013 AC.

Between 1 December 2009 and 30 November 2011 a 24 month season was implemented, but from 1 December 2011 the SBT fishing season reverted back to a 12 month season. The reason for the two-year quota period was to counteract the drop in CCSBT AC, which came at a time when planning for the 09/10 Australian SBT fishing season was well advanced. In addition to the season adjustment, AFMA introduced a Temporary Order which enabled it to release the quota in two instalments during the extended season, and thus ensure the catch in the first year of the season did not exceed 5,265t²⁵.

As outlined in Section 9 updated information provided by Australia shows that the carry-forward procedure for unfished quota has been used from the 2013 to the 2014 fishing season. An administrative oversight means that the details of the Australian carry-forward will be reported in Australia's upcoming annual report to the Extended Committee.

²² http://www.ccsbt.org/site/total_allowable_catch.php (accessed 29/6/13)

²³ <http://www.afma.gov.au/managing-our-fisheries/fisheries-a-to-z-index/southern-bluefin-tuna/notices-and-announcements/sbt-tacs/> (accessed 29/6/13)

²⁴ Johnathon Davey, *Pers. Comm.* 26/08/13

²⁵ AFMA Annual Status Report – Southern Bluefin Tuna Fishery – 2010. Available from:

<http://www.environment.gov.au/coasts/fisheries/commonwealth/southern-bluefin-tuna/pubs/sbt-fisheries-reassessment.pdf> (accessed 17/07/13)

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

Summary - Each year the Australian national TAC is divided equally between approximately 5.3 million Statutory Fishing Rights (SFRs). In the 2013/14 season each SFR represented approximately 0.97kg of quota, and so an individual holding 1,000 SFRs would be entitled to catch 970kg of SBT. SFRs can be leased or permanently traded at any time during the fishing season, or up to 14 days after the season ends. SFRs also act as a permit to fish, and are associated with a nominated fishing vessel. A database of SFR owners, holders, and nominated vessels is maintained by AFMA.

Key points

- AFMA publish TAC and resultant quota per SFR before the start of the season.
- AFMA monitor quota trades, which can occur at any time during or up to 14 days after the end of the season.
- AFMA monitor the amount of quota remaining for each SFR holder, and the vessel to which that quota is assigned.

Quota is allocated to companies and individuals using Individual Transferable Quotas (ITQs) in the form of SFRs. SFRs are granted under Section 31 of the *Fisheries Management Act 1991* and act as both an indicator of quota share and a permit to participate in the fishery²⁶. As of the 15th May 2014, the total number of SFRs was 5,324,422, owned by 92 individuals and companies. Due to the facility for owners to lease SFRs, there were only 36 individuals and companies holding quota on that date. The top ten holders by number of SFRs (representing 97% of the total number of SFRs) are shown in Table 4.

Table 4 Top ten holders of SFR by number of rights held, as of 15th May 2014. These holders represent 96.19% of the total number of SFRs²⁷.

Statutory Fishing Right holder name	No. of SFRs held as of 15/05/13
AUSTRALIAN FISHING ENTERPRISES PTY. LTD.	789,243
AJKA PTY. LTD.	649,733
TONY'S TUNA INTERNATIONAL PTY LTD	643,312
STEHR GROUP PTY LTD	612,177
KIS TUNA PTY LTD	516,839
MARNIKOL FISHERIES PTY. LTD.	516,839
SAMS TUNA PTY LTD	516,839
SARIN MARINE FARM PTY LTD	516,839
TUNA FARMERS PTY LTD	286,775
SA TUNA PTY LTD	73,009

²⁶ <http://www.afma.gov.au/services-for-industry/licensing-and-quota-management/statutory-fishing-rights-and-permits/> (accessed 29/6/13)

²⁷ <https://www.google.co.uk/url?sa=t&rct=j&q=&esrc=s&source=web&cd=3&cad=rja&ved=0CEAQFjAC&url=http%3A%2F%2Fwww.afma.gov.au%2Fwp-content%2Fuploads%2F2013%2F04%2FSouthern-Bluefin-Tuna-Fishery-9-April-2013.xls&ei=8PrOUaCyEamI7AbGslCACQ&usq=AFQjCNEApRuBrr6NqGub7Bg0qv8LYEO9gg&sig2=S-it7tCJJ002TmkrYongzQ&bvm=bv.48572450,d.ZGU> (Accessed 17/7/13)

Each year the national TAC is divided equally between SFRs, entitling SFR holders to a portion of the TAC equivalent to the proportion of SFRs held. The total Australian TAC for the 2012/13 season was set at 4,698t, equating to 0.8823492kg/SFR²³. This has increased for the current 2013/14 season and has been set at 5,151t, equating to 0.9674290 kg/SFR²⁸.

The number of SFRs remains constant from year-to-year, and so the quota weight represented by each individual SFR varies depending on the total quota. Although SFRs can be traded or leased (see below), SFR holders who do not trade their rights retain the same number every year¹⁹. AFMA provides quota holders²⁹ and leasers³⁰ with certificates stating the relevant number of SFRs. There are no non-Australian owners of SFRs, although one SFR holder has an international address. In general SFRs are owned by the individuals or organisations prosecuting the fishery¹⁹.

SFRs must be nominated to a specific Australian vessel, although such nominations are not permanent and holders may apply to AFMA to transfer the nomination. SFRs have an associated list of conditions including mandatory pre-departure reporting (to AFMA), mandatory Integrated Computer Vessel Monitoring System (ICVMS) implementation with Automatic Location Communicator (ALC), and mandatory logbook requirements as described in detail in the logbook section below³¹.

SFRs can be traded at any time in the season, and up to 14 days after the end of the season to cover previous catches. Vessels also have 14 days after catching fish for which they do not already have quota to obtain sufficient SFRs. In the majority of similar Australian fisheries, the period is 28 days, and the reduced period in the SBT fishery is intended to reflect the importance of obtaining quota for the species. SFR trades can be permanent or temporary (i.e. leased, returning to the original owner for the subsequent fishing season). The monetary value of any trades is determined solely by the trading parties and is not directly influenced by AFMA. There is no distinction between quota used for farming and quota used for longlining. There are no restrictions on the maximum number of SFRs which can be held by an individual or organisation¹⁹, and there are no restrictions on who can buy SFRs³².

AFMA must be informed of any trades electronically or by post using a *Permanent Transfer Application for Fishing Concessions*³³ (TC form) or a *Seasonal Lease Application for Fishing Concessions*³⁴ (LC form). In addition to the TC or LC form, applicants must complete *Attachment SBT*³⁵, which is specific to the trading of SBT SFRs. Finally, if the new SFR holder intends to utilise the quota on a different vessel to the previous holder, a *Boat Nomination*³⁶ form must be completed. The holding of SBT SFR acts as a permit to fish, and so any nominated vessel with quota remaining can fish for SBT. AFMA tracks the remaining SFRs nominated to each vessel, and therefore the vessel's remaining quota. The paper or electronic forms must be signed by both the current and new owners of the SFR. When leasing, the lessor will notify AFMA and the receiver will confirm the

²⁸ AFMA (2013). Pre-season Briefing Guide – Southern Bluefin Tuna Fishery, Farm Sector

²⁹ Certificate of Quota Statutory Fishing Rights – Appendix 3.5

³⁰ Lease Confirmation form – Appendix 3.6

³¹ http://web-test.afma.gov.au/wp-content/uploads/2010/07/sbt_conditions.pdf (accessed 29/6/13)

³² Matthew Daniel, *Pers. Comm.* 16/7/13

³³ Form TC – Appendix 3.1

³⁴ Form LC – Appendix 3.2

³⁵ Attachment SBT – Appendix 3.3

³⁶ BN – Appendix 3.4

amount. Since early 2014 single party leases have been implemented meaning that only the lessor is now required to sign¹⁹.

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

Summary - All Australian vessels fishing for SBT, or which might catch SBT as bycatch, are required by law to complete a gear-specific daily logbook detailing catch, including date, time, location and an estimate of weight caught.

Key points

- All commercial catch recorded by crew in mandatory gear-specific logbooks
- Catch data recorded on a daily, shot-by-shot basis
- Australian CCSBT definition of Attributable SBT Catch encompasses commercial retained catch only

Daily catch data are recorded in logbooks which are mandatory under Section 42 of the Fisheries Management Act 1991²⁰. Data are collected on a shot-by-shot basis. The specific paperwork completed varies depending on gear type and purpose (i.e. farming or longlining). The forms which must be completed daily by SBT catcher vessels are as follows:

- Australian Purse Seine and Pole Daily Fishing Log (TPB03) – For Farmed Southern Bluefin Tuna Only³⁷. Data required includes vessel information; reasons for not fishing on days when this occurs; date; search details, including whether a spotter plane was used; fishing start time and location; number of poles used; weight and type of bait; estimated catch weight per shot, SBT and other species; estimated % of school caught; carrier boat name; weight transferred; transfer date; SBT03 form reference details; ERS interactions.
- Australia Pelagic Longline Daily Fishing Log (AL06)³⁸ - Data required includes vessel information; non-fishing dates and reasons; shot-by-shot records of: target species, set times and locations, haul times and locations, vessel shooting speed, line length + number of hooks, seabird mitigation measures used, gear details, catch details including number of fish kept and discarded, estimated weight for each species; observer presence; ERS interactions; vessel and concession-holder details.
- Purse Seine Daily Fishing Log (PS01A)³⁹. AFMA reports that there has been no non-farm purse seining for a number of years⁴⁰. Data required by this logbook includes vessel information; non-fishing dates and reasons; list of assisting vessels; shot-by-shot record of date, search hours, spotter plane use, start time and location, estimated catch weight by

³⁷ TPB03 – Appendix 3.7

³⁸ AL06 – Appendix 3.8

³⁹ PS01A – Appendix 3.9

⁴⁰ Matthew Daniel, *Pers. Comm.* 17/7/13

species, estimated % of school caught, estimated weight of non-retained catch, bait details; ERS interactions; vessel and concession-holder details.

- Pole Daily Log for Purposes Other Than Farming (TPB01)⁴¹. AFMA reports that there has been no pole fishing for SBT for a number of years⁴⁰. Data required by this logbook includes vessel and trip information; non-fishing dates and reasons; daily record of fishing location and times, species caught (including bait species) and school catch percentage; landing details; verified catch weight (total and per species); and ERS interactions.

All logbooks must be completed on a shot-by-shot and daily basis by the vessel. Every day the fishing concession is in force must be accounted for, regardless of whether fishing took place on that day. Logbooks must remain within 50m of the boat nominated in the front of the book.

In Australia, the Attributable Southern Bluefin Tuna Catch (ASBTC) is defined as “*All commercial catch, except catch that is released in a live and vigorous state*”²¹. Australian vessels have the option to release SBT “*alive and vigorous at the place they were taken immediately after capture and before any transfer of the fish to a tow cage or another place*”⁴². Such fish will not be deducted from the vessel’s quota provided the weight, location and reason for release are recorded in the logbook.

AFMA has also implemented the CCSBT Catch Documentation Scheme (CDS). The CDS was first introduced in January 2010 to provide for tracking and validation of legitimate SBT product from catch to the point of first sale⁴³. Although CDS documentation does contain much of the same information as the Australian national logbooks and other paperwork, the implementation of the CDS scheme is not specifically a requirement of the CCSBT Minimum Performance Requirements covered by this quality assurance review (instead falling under section 3.1 – Catch Documentation System (Resolution))²¹. However, CDS paperwork is considered in a number of sections of this review in relation to its role aiding the estimation of total fishing mortality, and ensuring the accuracy of fishery removals estimates.

⁴¹ TPB01 – Appendix 3.10

⁴² <http://www.afma.gov.au/wp-content/uploads/2010/06/GBT-Pre-Season-Brief-2011-2012-1.pdf> (accessed 29/6/13)

⁴³ http://www.ccsbt.org/site/monitoring_control_surveillance.php (accessed 29/6/13)

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

Summary – Australian SBT vessels are required to submit daily logbooks and catch disposal records to defined timescales.

Key points

- Logbooks TPB03 and TPB01 must be submitted to AFMA in Canberra by the 14th day of the following month.
- An estimate of each purse seine haul is faxed to AFMA within 24 hours of being transferred to a tow vessel.
- Logbook AL06 must be submitted within 3 calendar days of the end of the fishing trip. Logbook PS01A must be submitted within 3 calendar days of the consignment being unloaded.

The majority of the Australian catch is taken by purse seiners. These vessels must return daily catch logbooks to AFMA before the 14th day of the following month. An estimate of each haul is faxed to AFMA within 24 hours of being transferred to a tow vessel. A more accurate estimate of total SBT weight must be returned to AFMA within 24 hours of the fish being transferred to the farm²⁰.

The remainder of Australian SBT is directly landed. Catch data from pelagic longliners must be submitted to AFMA within 3 days of the end of the fishing trip. Catch data from non-farm purse seiners must be submitted to AFMA within 3 days of the fish being unloaded. Catch data from vessels using poles must be submitted to AFMA by the 14th day of the following month²⁰.

The completion of catch disposal records and logbooks and their submission to AFMA are conditions placed on the holders of SFRs³¹.

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

Summary - Australia has reporting procedures and paperwork in place to ensure the reporting of commercial catch and discards. Commercial catch weights are recorded accurately at landing or estimated upon transfer to farms, and mortalities are estimated by crew members and observers.

Key points

- Commercial retained catch is estimated in mandatory daily logbooks. In the case of SBT landed directly, an accurate weight is obtained at landing. In the case of farmed fish, a more accurate estimate is made when the catch is transferred to the farm cages.
- Commercial discard mortality is estimated and reported to AFMA in the daily fishing logbooks.
- Commercial towing mortality is estimated and reported to AFMA in the daily farm transit log.
- Non-commercial (i.e. recreational) fisheries are managed and monitored by the individual Australian states. No estimate is currently available of total nationwide non-commercial retained catch or non-commercial discards, although a project is underway to develop a methodology for the calculation of such.

MPR 2b states that Australia should immediately monitor fishing-related SBT mortality from the following sources: *Commercial retained catch; Commercial discard mortality; Commercial towing mortality; Non-commercial retained catch; other discard mortality; other sources of mortality*. Commercial retained catch and commercial discards are recorded in the daily logbooks described in detail in section 3.1.3. In addition to these logbooks, vessels fishing for SBT or landing it as bycatch must complete a number of other forms. In the case of the farming sector, there is also additional paperwork to be completed by tow vessels and the farms themselves. This documentation provides further record of commercial retained catch, and some other sources of mortality.

3.1.5.1 Farm sector

Tuna caught for farming purposes undergo a series of transfers between various holding devices before eventual harvest. Wild caught SBT is first transferred from the purse seine to a pontoon, which is towed over a period of up to three weeks to the farm, where it is transferred to ranching cages for growing out. A number of mandatory forms are used to capture data at each stage of the process.

TPB03, described in detail in the section above, records information about the daily catch and the tow vessel to which catch is transferred. SBT02⁴⁴, *Farm Catch Disposal Record*, also filled out by the catcher vessel, records more detailed information about the transfer, including time, mortalities and estimated weight of fish transferred. This form must be faxed to AFMA within 24 hours of the start of the tow, and is used to make a preliminary quota reduction from the SFR holder before a more

⁴⁴ SBT02 – Appendix 3.11

accurate final estimate is available from the farm transfer paperwork (see SBT04B, below). SBT03B⁴⁵, *Farm Transit Log*, is completed by the tow vessel, and includes, amongst other things, a record of the catcher vessel, mortalities during the tow, and the eventual receiver of the fish. A fourth form, SBT04B⁴⁶, *Farm Catch Disposal Record*, is filled out at the time of the transfer to the farm, and includes an estimate of the total weight of mortalities up to that point, plus the total weight of fish transferred to the farm. SBT04B contains the final total weight to be deducted from the SFR holder's quota, and as such is signed by the tow vessel, the fish receiver, the person sampling the fish to estimate the transfer weight, and an AFMA agent.

In summary, the estimate of total number of commercial mortalities is arrived at as follows:

(Total mortalities during pursing and transfer to tow cage, from form SBT02) + (Total cumulative mortalities during tow, from form SBT03B) + (Total mortalities between tow cage arriving at farm and transfer to farm enclosure) = Total mortality

This mortality estimate is added to the estimated weight of the live fish transferred to the farm, and the total is subtracted from the SFR holder's quota share.

The total weight of live fish transferred from tow cage to farm is estimated using a combination of 100-fish sample (to determine average weight per fish) and a visual count of the number of fish transferred. Details of this process are included in section 3.1.6, below. The total weight of live fish transferred is added to the estimated total weight of mortalities, and this value is subtracted from the quota.

During the 2011–12 fishing season, no discarding of SBT was observed or reported in logbooks collected in the purse seine fishery. However, two observed sets were aborted because fish were too small. All fish were released alive¹⁴.

Fishing vessels, tow vessels and farms are also required to complete CCSBT CDS documentation.

- CCSBT CDS Farm Stocking Form (FSAU). Completed by the quota holder (or representative) at the end of the fishing season and validated by an AFMA official. Contains a summary of all the fish supplied by a specific catcher vessel, including the tow vessel and date of each tow, an estimate of total tow mortalities, and the date, average weight of fish and number of fish transferred at each farm stocking;
- CCSBT CDS Farm Transfer Form (FTAU02). Completed by farms whenever SBT is transferred from one farm to another. Contains information on the transferring and receiving farms and the tow vessel conducting the transfer;
- CCSBT CDS Catch Tagging Form (CTAU02). Completed by the farm after final harvest. Contains information on each individual fish, including size and weight and the associated tag number (which is also physically attached to the fish);
- CCSBT CDS Catch Monitoring Form (CMAU02). Completed by the farm after final harvest and validated by a licensed fish receiver. Contains a summary of the total weight and number of fish harvested, and the destination of the fish (i.e. export or domestic sale);
- CCSBT CDS Re-Export/Export After Landing of Domestic Product (REAU02). Used to further track the fish in the case of export or re-export after domestic landings.

⁴⁵ SBT03B – Appendix 3.12

⁴⁶ SBT04B – Appendix 3.13

3.1.5.2 Direct landings sector

In the direct landings sector, in addition to the daily logbooks described in the section above (AL06, PS01A and TPB01), a *Commonwealth Pelagic Fisheries Disposal Record* (form PT02B⁴⁷) must also be completed, by the vessel or designated representative and the fish receiver. PT02B records an accurate total landings weight which is used to deduct quota from the SFR holder.

In the ETBF in 2011 from May to September, south of 30°S, 451 SBT were observed to be caught, of which 255 were retained, 196 were discarded, of which 194 were released alive. Retained SBT ranged from 104cm to 204cm in length. ETBF logbooks for 2011 showed a total of 1,438 fish (84.2t) were retained in the ETBF and 203 (12.4%) were released. The reported ETBF logbook and observer data shows that of the 203 fish released, 194 (95.6%) of these were observed. This indicates a large difference in release rates between the logbook and observed data.

No SBT were observed or were reported to be caught in the WTBF in 2011¹⁴.

Fishing vessels and fish receivers are required to complete CCSBT CDS documentation.

- CCSBT CDS Catch Tagging Form (CTAU02). As described above, except completed by the vessel at landing rather than farm harvest;
- CCSBT CDS Catch Monitoring Form (CMAU02). As described above;
- CCSBT CDS Re-Export/Export After Landing of Domestic Product (REAU02). As described above.

3.1.5.3 Recreational fishery

Australian recreational fisheries occur in state waters, and as such are not managed by the Commonwealth via AFMA. AFMA collects and collates information, where available, on the estimated scale of the SBT landings from State authorities, but has no regulatory authority to require all States to provide such information. No figure is available for total Australian recreational removals of SBT.

Australia is undertaking a project valued at \$500,000 to develop a methodology to assess the national recreational and charter catch of SBT. This methodology will be designed to survey recreational and charter SBT catch in all relevant states²⁴. The project will combine information from all states where SBT are caught by recreational and charter fishers, from targeted SBT fishing surveys, indicators of activity levels and other recreational monitoring projects. Australia provides regular updates to the CCSBT as they are available¹⁴.

⁴⁷ PT02B – Appendix 3.14

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

Summary - For Australia, ASBTC is defined as “All commercial catch, except catch which is released in a live and vigorous state”. Efforts are made to ensure the accuracy of commercial catch estimates.

Key points

- At-sea observer coverage of the farming sectors total effort has reduced from 19.8% of total effort for the 2010/11 fishing season to 11.1 % for the 2011/12 fishing season. For farm purse seining 5% of tows were observed.
- For the ETBF observer coverage was 6.3% of total hooks deployed, whilst in the WTBF observed coverage increased from 1.7% in 2010/11 to 17.2% in 2011/12.
- Vessel inspections conducted at sea and in port.
- AFMA representative must be present whenever SBT is transferred from a tow vessel to a farm.

3.1.6.1 Observer Program

AFMA operates an observer program throughout the SBT fishery, including observation of vessels in the farming and direct landings sector, and observation of tow vessels. The observer program is primarily aimed at accurate catch and mortality reporting and is not a compliance mechanism to any significant extent¹⁹. Operators must, if requested by AFMA, allow a fishery observer nominated by AFMA and fishery observer’s safety and monitoring equipment to be carried on board vessels nominated to fish in the fishery. The right to fish may be suspended if the holder fails to carry an observer⁴². The observer coverage target in the purse seine fishery is 10% per season as set by CCSBT, as is the target coverage of tow operations, as set by AFMA. Coverage in the ‘direct landings’ sector is more complex.

Throughout the SBT season, AFMA monitors the locations of schools along the east coast. Based on this research, areas with a high probability of SBT bycatch are designated ‘core’ and ‘buffer’ zones. The location and timing of the Core and Buffer Zones is determined by analysing the available information from a variety of sources including outputs from an SBT habitat preference model produced by the Commonwealth Scientific and Industrial Research Organisation (CSIRO), sea surface temperatures, landings data, scientific observer and vessel monitoring system (VMS) data and industry advice²⁰. The core zones are set over an area believed to contain 80% of the east-coast SBT, and the buffer zone an additional 15%. The locations of these zones are updated on a weekly basis¹⁹. Vessels participating in the ETBF, or wishing to target SBT specifically, are required to hold SBT quota before entering a core or buffer zone. The level of observer coverage varies depending on the location of the vessel and their remaining SBT quota. The minimum observer coverage is 10% for vessels in the buffer zone and 20% for vessels in the core zone⁵¹. Coverage targets increase with

decreasing quota. Any vessel fishing in the core zone with less than 500kg of SBT quota remaining is subject to 100% observer coverage.

In the WTBF, AFMA ensures that longline boats operating in waters east of longitude 129°E are subject to at least 10% scientific observer coverage. In other waters of the WTBF, AFMA aims to maintain scientific observer coverage of at least 5%²⁰. As noted previously, the amount of SBT bycatch in the WTBF is minimal – in 2011, there was no observed or reported SBT bycatch.

Scientific observer coverage for recent fishing seasons is as follows²⁰:

Farm sector

- Purse seine operations – in the 2010/11 fishing season 21 shots were observed equalling 19.8% of total effort whilst in the 2011/12 fishing season 17 shots were observed, 11.1% of total effort². Preliminary figures for the 2012/13 season indicate an increase in observer coverage to 12.7% of effort⁵¹.
- Tow operations – 4.8 % of tows for the 2010/11 season.

Longline sector

- 7.7% of total hooks during the months and in the areas of the SBT migration in the ETBF and 2.5 per cent of operations in the WTBF in 2010;
- 6.3% (or 9.6% during May to September, south of 30°S which is the main period for catching SBT) of total hooks deployed in the ETBF and 1.7% of total hooks deployed in the WTBF in the 2010/11 fishing season. The ETBF observer coverage is comparable to the 2011/12 fishing season (6.2%), whilst for the WTBF there was a large increase in observer coverage to 17.2%³.

Scientific observers are briefed and debriefed following each trip. Issues identified in these briefings and in observer reports are analysed on a case by case basis.

Australia conducted a ten vessel electronic monitoring (EM) pilot project in the ETBF with EM trialled from October 2009 – August 2010^{48&49}. Following this pilot project Australia is currently in the process of implementing an electronic monitoring program in the ETBF. The EM uses closed circuit television cameras to record video footage of fishing activity and a removable hard drive to store the data. Hydraulic and rotation sensors activate the cameras to start recording when fishing activity commences, with the footage digitally stamped with the time, date and location of the boat using a GPS receiver. Data on vessel location and sensor activity is sent off the boat via satellite every hour while the electronic monitoring system is in operation. High resolution data on boat location and sensor activity (recorded at 10 second intervals), as well as high definition video footage, are stored in a hard drive and retrieved by exchanging the boat's hard drive⁴⁹. It is envisaged that this system will allow AFMA to better verify interactions with species such as SBT and provide a more cost effective method of verifying logbook data⁴⁹. AFMA note that these arrangements will be supplemented as required to ensure Australia continues to meet CCSBT requirements

⁴⁸ <http://www.afma.gov.au/managing-our-fisheries/data-collection/data-collection-programs/#emon>

⁴⁹ Piasente, M., Stanley, B., Timmiss, T., McElderry, H., Pria, M and Dyas, M. (2012). Electronic onboard monitoring pilot project for the Eastern Tuna and Billfish Fishery. FRDC Project 2009/048. Australian Fisheries Management Authority 105 pp.

3.1.6.2 Farm transfer monitoring

Every transfer of fish from a tow vessel to a farm must be observed and verified by an AFMA Authorised Agent (AAR), currently Protec Marine Pty Ltd. The AFMA pre-season briefing guide⁴² details the methodology to be used to estimate the total weight of fish transferred. The final estimate is the value added to the total mortality described in section 3.1.5.1 and subsequently subtracted from the SFR holder's quota share. A summary of the procedure is as follows; full details are in the pre-season briefing document in Appendix 3 (form xvi):

1. A baited line is used to catch a minimum of 100 fish $\geq 10\text{kg}$ from the tow cage (until recently the sample size was 40 fish $\geq 10\text{kg}$). This process is directed by the AAR. Sampled fish must weigh at least 10kg to be included in the sample. The AAR may use multiple weighing scales and will calibrate them beforehand. A weight sample completed without the AAR attendance is not a verified sample.
2. Two Protec Marine Pty Ltd representatives must be present when fish are transferred from the tow cage to the fish farm and oversee the operation of the video. The transfer is videoed by the AAR in such a way as to ensure all fish transferred are visible.
3. The estimated number of fish transferred is multiplied by the average weight of the 100-fish sample to produce an estimated total weight of fish transferred.

The 14th meeting of the CCSBT Scientific Committee considered the issue of potential bias in the sampling regime used to monitor farms⁵⁰. An independent review conducted in 2006 did not come to any firm conclusions on the subject, however AFMA recognises that the main risk to management arrangements of the SBT purse seine fishery identified through previous assessment reports and through the CCSBT lies with the accuracy of the methods used for determining the weight of SBT transferred to grow out farms²⁵. These risks are being addressed through the development of stereo video technology.

Although the documentation describing the stereo-video counting procedure is still under development, AFMA intends to implement the technology once it is cost-effective and does not pose an excessive regulatory and financial burden on industry, such as through the development of an automated solution^{51&52}. All stereoscopic imaging equipment will be to a standard specification¹⁹. A 2011 trial of the stereo-video counting process concluded that it "measures more fish than the current methodology, and improves the precision of the average weight estimate". The main criticisms of the system when compared to the current counting methodology were that it provided estimates of total weight only after the cage has been stocked (potentially leading to over- or under-stocking), and it is more expensive⁵³.

⁵⁰ Commission for the Conservation of Southern Bluefin Tuna - Report of the Fourteenth Meeting of the Scientific Committee – 5 - 11 September 2009 Busan, Korea.

⁵¹ Commission for the Conservation of Southern Bluefin Tuna Report of the Eight Meeting of the Compliance Committee 10 - 12 October 2013 Adelaide, Australia

⁵² Commission for the Conservation of Southern Bluefin Tuna Report of the Twentieth Annual Meeting of the Commission 14 - 17 October 2013 Adelaide, Australia

⁵³ CCSBT-CC/1110/11 - Technical assessment of the 2011 commercial trial of stereo-video in the Australian southern bluefin tuna farm sector

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

Summary – All fishing mortality is reported to the CCSBT Secretariat on a quarterly basis

Key points

- Logbook contents and CDS documentation submitted to CCSBT quarterly

Copies of all CCSBT CDS documents issued and received by AFMA are provided to the CCSBT on a quarterly basis, which forms an integral part of AFMA's auditing procedures wherein AFMA analyses, identifies discrepancies and reconciles all CCSBT CDS documents submitted by Australia¹⁴. Australian national documentation (i.e. daily logbooks, catch disposal records) are also compiled and submitted to CCSBT on a quarterly basis¹⁹.

There have been no incidences identified where the Australian authorities did not provide this information to the CCSBT Secretariat within the required timeframe.

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

Summary – Operating systems and processes are in place to monitor compliance with catching restrictions. Legal instruments allow sanctions to be imposed upon transgressions.

Key points

- Compliance is monitored using a mandatory annual two-stage audit of farms and fish receivers, mandatory VMS, and at-sea and portside inspections
- Sanctions are applied under section 95 of the Fisheries Management Act, and include fines, suspensions of fishing rights, and forfeiture of vessels and other equipment
- AFMA conducts a compliance risk assessment program to identify potential areas under which compliance may be at risk

3.1.8.1 Farm and fish receiver audits

AFMA conduct an annual two-stage audit process to ensure the accuracy of SBT documents and the compliance of those engaged in the fishery. The Level 1 audit is desk-based and covers all farms and receivers. During the Level 1 farm audit, all the documentation returned to AFMA in relation to the farm is examined, and compared to final estimates of fish in and out for the entire season. The Level

1 audit of fish receivers is a similar process. Examples of the templates for Level 1 farm⁵⁴ and wild-catch⁵⁵ audits are included in Appendix 3.

Based on the outcomes of the Level 1 audit, and any events during the SBT season, 2 or 3 farms are selected for the Level 2 audit. This involves a site visit. The stated objective of the site visit is, *“Verifying the caught/harvested/sold SBT numbers have been successfully documented and that all relevant export/sold documentation is completed fully and accurately. All company documentation of fish numbers for exports/sales balances with other documentation of exports/sold fish. To identify any compliance issues. To ensure AFMA is satisfied that no more fish have been harvested for sale than originally counted into farms to help meet AFMA’s objective of sustainable fishing.”*⁵⁶ A Level 2 audit includes a full site audit conducted in person by fisheries officers who review all company records including spread sheets, feed boat logs, dive logs, sales and export documentation.

In addition, AFMA fisheries officers may also conduct targeted compliance operations to inspect fishing boats at sea, in port, and also conduct random audits of fishing companies, fish receivers and export establishments¹⁴.

3.1.8.2 Vessel Monitoring Systems

It is a mandatory requirement that any vessel nominated to an SBT SFR is fitted with an Integrated Computer Vessel Monitoring System (ICVMS) of a category specified in the register of AFMA approved units⁵⁷. The VMS unit must remain switched on at all times including when the boat is in port or fishing in state waters. The concession holder must ensure the VMS is reporting correctly before going out to sea for the first time and that no interference occurs with the correct operation of the VMS unit. On becoming aware of a problem with the VMS functioning, the concession holder must advise AFMA as soon as practicable⁴².

3.1.8.3 At-sea and portside inspections

Australian fisheries officers conduct inspections of landings at key SBT ports, as well as at-sea boardings and inspections of boats taking SBT in the longline and purse seine fisheries. In 2010/11, Australian fisheries officers conducted 55 inspections of SBT/ETBF boats. In 2011/12, 25 inspections were undertaken²⁰.

Table 5 summarises the inspection regimes in the 2011/12 season.

3.1.8.4 Sanctions

The principal offence for non-compliance is found under Section 95 of the Fisheries Management Act 1991⁸⁸, for breaching a condition of a concession. Penalties include fines (under Section 95(5) of the Act), suspension or cancellation of concessions (under Section 98(3) of the Act), an order directing a

⁵⁴ Template for farm audit Level 1 2011/12 season – Appendix 3.15

⁵⁵ Template for wild catch audit Level 1 2011/12 season – Appendix 3.16

⁵⁶ Guidelines for conducting Level 2 audit – Appendix 3.17

⁵⁷ Register of AFMA-approved ICVMS units – <http://www.afma.gov.au/industry/vms/approved.htm>

person not to be on a boat for a specified time (under Section 98(1) of the Act) and forfeiture of the boat, equipment, catch and/or proceeds of catch (under Section 106 of the Act)²⁰.

3.1.8.5 Recent infringements and sanctions

In 2012 an investigation for offences identified as part of a 2010 at sea inspection by AFMA and Primary Industries Resources, South Australia led to seven fishermen being convicted in the Port Lincoln Magistrate Court for crimes associated with the illegal fishing of SBT, the shooting of protected seabirds and littering at sea. The fishermen were fined a total of \$22,000. This outcome was also associated to a fine previously handed down by the Port Lincoln Magistrates Court on 12 December 2012; which was issued to an SBT operator to the amount of \$1,867.00 for a breach of permit conditions²⁴.

In 2013 the master of an SBT tow cage boat was issued a Commonwealth Fisheries Infringement Notice (CFIN) for failing to complete a logbook within the required number of hours²⁴.

Table 5 Inspection summary for 2011/12²⁴. *Note: this number is for all fisheries and not just SBT

Inspection type	2011-2012	Outcome
At Sea	One patrol (eight days at sea) 11 boats inspected	No offences detected
In Port*	20 different ports 129 inspections 136 days in the field	Variety of offences detected
Fish Receiver*	71 premises inspected	Warnings issued for non-display of permits

Table 6 Inspection summary for 2012/13²⁴. *Note: this number is for all fisheries and not just SBT

Inspection type	2012 -2013	Outcome
At Sea	One patrol (eight days at sea) 15 boats inspected	The master of one SBT tow cage boat was issued a CFIN for failing to complete a logbook.
In Port*	24 different ports 232 inspections 96 days in the field	Various offences detected
Fish Receiver*	45 premises inspected	At the time of writing the review team had not identified the outcome.

3.1.8.6 Compliance risk assessment

AFMA conducts a biennial risk assessment of compliance issues in Commonwealth fisheries. The most recent assessment, conducted in 2011/12, identified 15 risks across Commonwealth fisheries that were assessed as moderate/high and high. From the executive summary of the 2012/13 National Compliance and Enforcement Program report⁵⁸, the most significant risks were:

- failure to have a Vessel Monitoring System (VMS) operating at all times (risk rating: low/moderate)
- fishing/navigating in closed areas against regulation (risk rating: moderate)
- failing to reconcile quota within the required timeframe (risk rating: low/moderate).
- failure to report interaction/retention of protected or prohibited species (risk rating: moderate/high)
- quota evasion and avoidance including (risk rating: high):
 - unreported take of quota species and/or misreporting in Catch Disposal Records (CDRs) to avoid quota decrementation
 - non-completion of CDRs by concession holders fishing solely on minor line boat Statutory Fishing Rights
 - misreporting of mortalities within the SBT farm sector (during capture, transfer to tow cages and towing phases).

⁵⁸ AFMA – National Compliance and Enforcement Program 2012-13. Available here: <http://www.afma.gov.au/wp-content/uploads/2010/06/National-Compliance-and-Enforcement-Program-2012-13.pdf> (accessed 3/7/13)

These key identified risks inform the national compliance program, including allowing targeted inspections and patrols.

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

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

NOTE: MPR 1 applies only to Members which have decided to adopt the carry-forward procedure.

3.2.1 **MPR 1a: [Operating systems and processes must be in place to ensure that]An accurate, verified and robust figure for the final Attributable Catch is available before the notification to the Secretariat of the carry-forward, and a report on the adoption and use of the carry-forward procedure is included in each annual report to the Extended Commission.**

Summary – For the 2013/14 season no carry forward of quota is allowed into the 2014/15 season because CCSBT restricts the carry-forward of quota between three year quota blocks.

Australia recently adopted the carry forward procedure through amendments to the *Southern Bluefin Tuna Fishery Management Plan 1995*. For the 2012/13 season undercatch was permitted and uncaught quota able to be carried forward into the 2013/14 season (AFMA, 2014 – Pre-season briefing guide – farm sector). For the 2013/14 season no carry forward of quota is allowed into the 2014/15 season because CCSBT restricts the carryover of quota between three year quota blocks (AFMA, 2014 – Pre-season briefing guide – farm sector).

Data from Australia's CCSBT reports indicate that there was no carry-forward from the 2012/13 season to the 2013/14 season as reported from the 8th CCSBT Commission meeting in the Compliance with CCSBT Management Measures report (CCSBT-CC/1310/04 (Rev2)). Updated information provided by Australia in Section 9 shows that the carry-forward procedure for unfished quota has in fact been used from the 2013 to the 2014 fishing season. An administrative oversight means that the details of the Australian carry-forward will be reported in Australia's upcoming annual report to the Extended Committee.

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

Summary - Australia has used the carry-forward procedure for unfished quota from 2013 to the 2014 fishing season. Australia has advised the Commission and will report the carry forward in its annual report to the Extended Commission (Section 9). Due to an administrative oversight this formal notification was not within 60 days of the start of the new quota year.

Australia reports all catches to CCSBT as per the CCSBT reporting requirements and the most recent CCSBT compliance reports from the 8th CCSBT Commission meeting have noted that these reports have been submitted within the required timeframes (see Section 3.1.7).

Australia has used the carry-forward procedure for unfished quota from 2013 to the 2014 fishing season. Due to an administrative oversight this information was not available to the review team at the time of the draft QAR report submission (Section 9). Australia has advised the Commission of this carry forward and will report the carry forward in its annual report to the Extended Commission (Section 9).

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

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

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

Summary – This MPR is not applicable to Australia, as Australia does not have any authorised carrier vessels that are authorised to receive at-sea transhipments beyond national jurisdiction areas.

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

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

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

Summary – This MPR is not applicable to Australia, as Australia does not have any authorised carrier vessels that are authorised to receive at-sea transhipments beyond national jurisdiction areas.

During the QAR no evidence of illegal carrier vessel activity was noted during either phase 1 or 2 of the review.

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

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

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

Summary – AFMA ensure that all participants within the SBT fishery are aware of their CCSBT obligations

Key points

- Pre-season briefing documents are provided to both the wild and farm sectors
- Pre-season briefing meetings are held with participants within the farm industry and the wild caught sector
- Concession notices outline national and international obligations

AFMA provides pre-season briefings to both owners and operators of authorised farms and purse seine fishing vessels fishing exclusively for ranching. The pre-season briefings outline the CCSBT obligations and specifically reference the reporting requirements associated with the CCSBT CDS.

Pre-season briefings for the farm sector are held in Port Lincoln prior to the start of the season, with AFMA staff visiting each farming company individually to discuss the upcoming season. Within these meetings the vessel skippers of the catching and towing vessels are present along with the farm staff. The pre-season briefing booklet is made available on the AFMA website.

The wild fisheries sector is provided with pre-season documentation and AFMA conduct pre-season briefings for the wild fisheries east coast fleet in multiple locations to ensure coverage of the fleet.

The pre-season briefing guides provides detailed explanations of the general obligations of all vessels catching SBT and the specific obligations related to catcher, tow and auxiliary vessels. The pre-season briefing also provides additional information on the procedures prior to landing and disposing of fish. The CCSBT CDS is covered by a separate section and details the reporting requirements at each stage of the CDS process, including the requirements related to re-exporting / exporting after landing domestic product⁵⁹. The pre-season briefing provided to the farming sector also outlines the AFMA procedures that will be followed for the 100 fish sample during the upcoming season.

In addition to pre-season briefings fishers are provided with letters outlining their obligations both nationally and internationally as part of the issue of their licence. These are issued by AFMA prior to the beginning of the season.

⁵⁹ AFMA (2013). Pre-season Briefing Guide – Southern Bluefin Tuna Fishery, Wild Fisheries Sector.

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

Summary – Australia implements the CDS and has established systems and processes to implement and monitor the use of CDS documents across the SBT fishery.

Key points

- CDS introduced in 2010
- No domestic sale, export or import can be accepted without verified CCSBT CDS documentation.

AFMA has also implemented the CCSBT Catch Documentation Scheme (CDS). The CDS was first introduced in January 2010 to provide for tracking and validation of legitimate SBT product from catch to the point of first sale⁶⁰. Since 1st January 2010, no SBT can be accepted for domestic sale, export or import, without verified CCSBT CDS documentation⁶¹. SFR holders in the SBT fishery are required to provide documentation in line with CCSBT CDS. The reporting requirements are specified by AFMA and outlined in the conditions placed on SFR holders, with the documents used registered with the Federal Register of Legislative Instruments **Error! Bookmark not defined.** Fishing vessels, tow vessels and farms are required to complete CCSBT CDS documentation with the reporting requirements outlined by AFMA’s pre-season briefing documents.

- CCSBT CDS Farm Stocking Form (FSAU). Completed by the quota holder (or representative) at the end of the fishing season and validated by an AFMA official. Contains a summary of all the fish supplied by a specific catcher vessel, including the tow vessel and date of each tow, an estimate of total tow mortalities, and the date, average weight of fish and number of fish transferred at each farm stocking;
- CCSBT CDS Farm Transfer Form (FTAU02). Completed by farms whenever SBT is transferred from one farm to another. Contains information on the transferring and receiving farms and the tow vessel conducting the transfer;
- CCSBT CDS Catch Tagging Form (CTAU02). Completed by the farm after final harvest. Contains information on each individual fish, including size and weight and the associated tag number (which is also physically attached to the fish);

⁶⁰ http://www.ccsbt.org/site/monitoring_control_surveillance.php (accessed 29/6/13)

⁶¹ CCSBT (2013). Australia National report – CCSBT-CC/1310/SBT Fisheries - Australia

- CCSBT CDS Catch Monitoring Form (CMAU02). Completed by the farm after final harvest and validated by a licenced fish receiver. Contains a summary of the total weight and number of fish harvested, and the destination of the fish (i.e. export or domestic sale);
- CCSBT CDS Re-Export/Export After Landing of Domestic Product (REAU02). Used to further track the fish in the case of export or re-export after domestic landings.

3.5.2.1 Wild Fisheries Sector

Fishing vessels and fish receivers are required to complete CCSBT CDS documentation.

- CCSBT CDS Catch Tagging Form (CTAU02). As described above, except completed by the vessel at landing rather than farm harvest;
- CCSBT CDS Catch Monitoring Form (CMAU02). As described above;
- CCSBT CDS Re-Export/Export After Landing of Domestic Product (REAU02). As described above.

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

Summary – AFMA provide document to all entities within the SBT fishery outlining their CDS requirements, including the requirement to certify the CTF form. AFMA provides this information in the pre-season briefing guides and during pre-season meetings.

In line with CCSBT requirements Australia requires that CDS documentation is certified and validated by the appropriate personnel and authorities. Instructions relating to the completion of the CDS documentation provided in the pre-season briefing guide. This specifically outlines the requirement that the CTF form must be signed by the fisher/farmer within three days of the landing/harvest. Validation of catch monitoring and re-export/export forms is completed by authorised personnel whose names have been provided to CCSBT. AFMA maintains list of those certifiers associated with different entities within the fishery. Farm stocking forms are validated by AFMA personnel⁵¹Error! bookmark not defined.

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

Summary – All entities within the SBT farm sector record catches and daily mortalities as per AFMA’s national reporting requirements and in line with CCSBT’s CDS.

All participants in the SBT farm sector are required to record SBT catches and provide a daily record of daily SBT mortality both during the catching and the towing stages. These are reported in line with the national reporting requirements described in Section 3.1.5 and include the CDS reporting requirements. Appendix 3 details the reporting requirements for the SBT farm sector and the reporting requirements for the SBT wild fisheries sector.

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

Summary – AFMA conducts compliance in line with the *National Compliance and Enforcement Policy*. Phase 1 and 2 audits are conducted to verify the certification procedures are being followed.

AFMA’s *National Compliance and Enforcement Policy* provide the framework for monitoring compliance with the CCSBT CDS. SFR holders are required to retain original copies of all CCSBT CDS document for five years from the date of completion to meet audit requirements **Error! Bookmark not defined..**

At the end of the fishing season AFMA conducts cross-checks and desk based audits (level 1 audits). These audits include the following:

- monthly breakdowns of receipt and sale of SBT including mortalities;
- verified counts of SBT conducted during transfer from tow pontoons into farms;
- CCSBT CDS figures and domestic sales; and,
- mortalities recorded by the SBT fish receiver **Error! Bookmark not defined..**

Based on this information AFMA conducts further audits, termed level 2 audits, which involved a full site audit conducted by AFMA compliance officers who review all associated auditee records. In addition to which re-counts of the fish transfers are undertaken where required to verify the compliance of certification procedures.

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

Summary – No specific exemptions identified to the CDS documentation.

The review team did not identify any specific exemptions to the CDS documentation requirements. In terms of recreational catch this is not covered under Australia's TAC, however the requirement for CDS documentation to accompany first sales of domestic product, export and re-export of documentation ensures associated mortalities from recreational catches do not enter the market. In addition to which AFMA's risk based compliance activities monitor such risks.

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

Summary – All CDS documentation is pre-printed and uniquely numbered by an established AFMA provider.

All CDS documentation is uniquely numbered with the end of season audits described in Section 3.5.5. CDS documentation is printed by an AFMA approved provider who provides all of AFMA's logbooks. Pre-printed books, which have unique numbering, are provided to SFR holders. Where previously agreed between a farm and Protec Marine, Protec Marine stores the pre-printed forms for logistical purposes. Otherwise documentation is stored on company premises or vessels as required.

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

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

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

Summary – This MPR is not applicable to Australia as Australia does not have any authorised carrier vessels that are authorised to receive at-sea transshipments beyond national jurisdiction areas.

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

Summary – AFMA maintains lists of authorised vessels and farms authorised to catch SBT. This information is maintained and updates are provided to CCSBT.

Key points

- Landing of fish products is prohibited from foreign vessels without prior approval and there have been no incidences of SBT noted in recent years.

Australia maintains records of all those vessels and farms that are authorised to catch SBT. In addition Australia maintains lists of authorised Licensed Fish Receivers. This information is provided to CCSBT as required. If there are reasonable grounds for suspecting that Australian-flagged boats not on the CCSBT Authorised Vessel List are engaged in commercial fishing for and/or transshipment of SBT the Executive Secretary is notified **Error! Bookmark not defined..**

Landing of fish and fish products by foreign vessels is prohibited unless written approval is given by the Australian Government.

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

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

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

Summary – This MPR is not applicable to Australia as Australia has not proposed or implemented any modifications to the CDS documents.

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

Summary – This MPR is not applicable to Australia as Australia has not proposed or implemented any modifications to the CDS documents.

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

Summary – This MPR is not applicable to Australia as Australia has not proposed or implemented any modifications to the CDS documents.

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

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

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

Summary – SBT tags are produced by the Australian Southern Bluefin Tuna Industry Association (ASBTIA) as approved by AFMA and in line with the CDS Resolution.

Key points

- All tags have the country code, calendar year, unique number and CCSBT logo stamped onto them.
- All operators in the SBT fishery are informed that ASBTIA provides the SBT tags

AFMA requires operators to use AFMA approved tags in line with the CDS Resolution. The AFMA approved tags have the country code, calendar year, unique number and CCSBT logo stamped on them⁶². AFMA stresses in the pre-season briefing documents to all SBT participants that only the tags from the current year are valid⁶². For the 2013 – 14 season these are orange tags stamped with the prefix AU13⁶².

All AFMA approved tags are produced by the Australian Southern Bluefin Tuna Industry Association (ASBTIA). ASBTIA are responsible for the distribution of tags to operators in both the farm and wild sector. ASBTIA provide these tags in line with the minimum specifications of the CDS Resolution⁶².

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

Summary – AFMA maintain a record of the distribution of SBT tags.

Key points

- ASBTIA provide a record of issued tags to AFMA.
- AFMA reconcile the tags issued against CDS documentation.
- Since 2013 – 2014 AFMA have instructed all SBT fishery participants to provide all unused or damaged tags to AFMA at the end of the season to aid full reconciliation of tags.

⁶² AFMA (2013). SBT Catch Documentation Scheme Longline Catch Handbook.

ASBTIA issue tags to both the farm and the wild fishing sector. The distribution of SBT tags is maintained by ASBTIA and provided to AFMA. AFMA reconcile the tags issued with the CDS tagging forms received. For the 2013-2014 season AFMA has instructed both the farm and wild sectors that all tags will be reconciled at the end of the season⁶². This will include all unused and damaged tags with operators requested to provide these tags to AFMA at the end of the season. Operators can and do provide tags to each other and as such AFMA have requested that reports are provided detailing these transfers⁶².

In the event of tags falling out AFMA maintains the reconciliation of the tags. This is achieved by requiring the old tag number and catch tagging form number to be recorded if known and the new tag number and catch tagging form number to be recorded. This information has to be submitted to AFMA within three days of the incident or landing with a covering explanation of the reason for replacing the tag⁶².

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

Summary – Australia has established systems and processes to ensure tagging is conducted in accordance with CCSBT CDS documentation.

Key points

- AFMA maintains a tagging database that monitors tagging compliance and tracks tagging form numbers.
- Audits conducted by AFMA since 2010/11 financial year in accordance with CCSBT CDS requirements.

As stated by Australia in the latest annual report to the Compliance Committee and the Extended Commission it has been a requirement since January 2010 that no SBT 'may be accepted for domestic sale, export or import without the verified CCSBT CDS documentation **Error! Bookmark not defined.**. This includes the requirement to have a valid tag attached to each SBT killed in either the farm or wild fish sector. Audits of fish tagging have been completed by AFMA in accordance with the CCSBT CDS since the 2010/11 financial year **Error! Bookmark not defined.**. AFMA maintain tagging information on an excel database for each season which tracks the tagging forms received and compares these to the CDS documents. This spreadsheet is used by AFMA as part of its validation process.

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

Summary – AFMA has pre-season guides that are issued to participants in the fishery that provide the required information related to the requirements for tagging fish. This documentation specifies the required timeframes.

The pre-season briefing guide provided by AFMA to all participants in the SBT fishery outlines the CDS requirements for those involved in the SBT fishery stating that when a SBT is killed

‘Each fish must be tagged at the time of kill (for poling operations and towing mortalities) or within 30 hours (for farmed SBT)^{28 & 59}.

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

Summary – AFMA has pre-season guides that are issued to participants in the fishery that provide the required information related to the requirements for tagging fish. This documentation specifies the required timeframes.

The pre-season briefing guide provided by AFMA to all participants in the SBT fishery outlines the CDS requirements for those involved in the SBT fishery stating the requirements for recorded information on the CTF and the associated timeframes. Information provided in the guide states that;

‘Each fish must be weighed and measured before being frozen and recorded on the Catch Tagging Form (CTF). The Catch Tagging Form is to be certified and returned to AFMA by the fisher/farmer within 3 days of landing/harvest.’

All tagging information is provided in hardcopy format by the wild fisheries sector, whilst the tagging data received by the farm sector can be submitted either in hardcopy or electronically to AFMA. Farms submit tagging form information in electronic format as AFMA allows farms to submit a single CTF at the end of the harvest period⁶³. This has been allowed due to the nature of the farming operations and logistics for reporting during the harvest period⁶⁴).

⁶³ CCSBT (2013). Compliance with CCSBT Management Measures, CCSBT CC/1310/04 (Rev 2).

⁶⁴ Anne Shepherd, Pers. Comm 07/02/14

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

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

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

Summary – AFMA have operating systems and processes in place to meet the procedural and information standards required by CCSBT’s CDS resolution.

Key points

- A tagging database is maintained by AFMA and audits of fish tagging have been completed since 2010/11
- AFMA have a risk management strategy which encompassed CDS documentation.

AFMA have a tagging database in an excel spreadsheet format that is created for each season which incorporates all SBT sectors. The tagging database is maintained and checked by AFMA with validation conducted to ensure there are no unauthorised SBT tags being used and to identify discrepancies in the data such as duplicate tag numbers.

AFMA’s risk management strategy as described in Section 3.1.8.6 includes the assessment of risks associated with CDS documentation and the risks of illegal SBT being marketed. AFMA’s compliance prioritises high risk areas and this is constantly being assessed and reviewed.

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

Summary – Compliance operations conducted both at sea and in port. Random audits also conducted on shore based facilities as required.

Key points

- Latest CCSBT compliance report showed Australia had 100% compliance with catch tagging forms submitted to CCSBT.
- No incidences recorded of whole SBT being landed without the required SBT tags.

AFMA fisheries compliance conducts targeted compliance operations both at sea and in port as well as conducting random audits of shore based facilities, as outlined in Section 3.1.8. Compliance is monitored in accordance with AFMA's "National Compliance and Enforcement Policy" with all participants in the fishery provided with information describing procedures related to the requirements of the CDS and associated tagging of fish. Original copies of CDR and CDS document are required to be kept by SFR holders for a minimum of five years from the date of completion to meet audit requirements **Error! Bookmark not defined.**

The latest compliance report from CCSBT (CCSBT-CC/1310/04 (Rev2)) reported that 100% of the catch tagging forms submitted to CCSBT by Australia exactly matched the details recorded in the catch monitoring forms. There were no incidences recorded where whole SBT had been landed without tags⁶³.

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

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

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

Summary – Authorised validator lists are maintained by AFMA and provided to CCSBT. The authorised list is updated and amended as required and amendments sent to CCSBT as necessary.

Key points

- Validators provided with unique numbers.
- Electronic authorised validator list maintained by AFMA.
- CCSBT authorised validators checked as part of Australia's audit process.

Validation of CCSBT CDS can be done by SBT Licensed Fish Receiver Permit holders who have been registered with AFMA and have the authority to act as validators. AFMA maintain a list of validators with unique numbers kept for validators and new numbers issued to LFR personnel as they are registered with AFMA. The list of authorised validators is provided to CCSBT and where required is amended with the amendments sent to CCSBT when validators are removed or added to the list.

Compliance reports between July 2012 and June 2013 showed that 99.8% of Australia's forms were submitted where validators were correctly authorised to validate the form⁶³.

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

Summary – AFMA provide validators with letters outlining the responsibilities as a CCSBT validator.

Key points

- Electronic authorised validator list maintained by AFMA.
- Validators are provided with information confirming the requirements and responsibilities of being a CCSBT authorised CDS validator.

AFMA provide all validators and Fish Receiver Permit Holders with a letter stating the requirements and responsibilities of both the validators and the Fish Receiver Permit Holders (FRP). The validator

is required to complete a validator slip signing that the validator is aware of their commitments and have read and understood the requirements and responsibilities of an SBT validator.

These validator forms are filed by AFMA and kept on site, with a form completed for each FRP, see Appendix 3. In addition to the hardcopy forms this information is recorded on the PISCES database with information marking individuals as CCSBT validators.

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

Summary – All CDS documentation is required to be completed and certified by appropriate individuals.

Key points

- Australia has demonstrated high levels of compliance for authorised validators completing CDs documentation (99.8% for 2012).

Australia requires that all CDS documents are signed by appropriate individuals, as required by CCSBT. These forms are submitted to AFMA and subsequently to CCSBT. Each form is entered into AFMA's systems and checks conducted to identify fields that haven't been completed correctly.

CCSBT's latest compliance report showed that Australia's CDS document was completed by authorised validators 99.8% of the time during 2012 and contained the complete and accurate information 96.7% of the time⁶³.

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

Summary – AFMA have data checking and validation processes in place to check that the same individual does not certify and validate information on the same CDS form.

Key points

- In 2012 96.7% of the CMF documentation submitted by Australia was correct. This includes ensuring the same individual did not certify and validate the same CDS form.

As per Section 3.10.3 in 2012 of Australia's CMF documentation submitted 96.7% was correct⁶³. This encompasses the requirement that the same individual does not certify and validate information on the CDS form. AFMA's data processes require that all CDS documentation is checked by the data management team. This process includes identifying discrepancies in the documentation such as the same individual signing the same CDS form as certifier and validator.

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

Summary – Electronic list of all authorised validators maintained by AFMA and provided to CCSBT as required.

As detailed in Section 3.10.1 AFMA maintains electronic lists of all authorised validators, in addition to which hardcopies are kept on AFMA’s premises. These lists are updated as required. Each time an update is required the updated information is submitted to the CCSBT Secretariat.

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

Summary – Electronic list of all authorised validators maintained by AFMA and provided to CCSBT as required.

As detailed in Section 3.10.1 AFMA maintains electronic lists of all authorised validators, in addition to which hardcopies are kept on AFMA’s premises. These lists are updated as required. Each time an update is required the updated information is submitted to the CCSBT Secretariat.

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

Summary – As per AFMA’s data check and validation processes all CDS documentation is checked to ensure the validator is registered and has complied with their obligations.

All CDS documentation provided to AFMA is checked as per AFMA’s data check and validation processes to ensure the validator is registered and has complied with their obligations⁶⁵. In addition AFMA conducts audits that scrutinise all aspects of the CDS documentation including the validation process.

⁶⁵ Matthew Daniel, *Pers Comm*. 16/05/14

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

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

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

Summary – AFMA monitor all CDS documentation and checks are conducted on the paperwork as it is received. Yearly audits also conducted.

Since 2010 no SBT can be sold without the required SBT documentation. AFMA monitor all validated documentation to ensure they have been completed correctly. On receipt of documentation AFMA check the data and any discrepancies are followed up with individuals before submitting the information to CCSBT. Yearly audits are conducted by AFMA to ensure compliance and this encompasses CDS validation checks.

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

Summary – All SBT consignments are required to have the associated CCSBT CDS documentation that has been correctly validated.

Key points

- For the 2012 calendar year Australia had a 94.9% compliance rate for providing complete documentation for domestic landings and 96.7% for exports
- For the first quarter of 2013 Australia had a 72.8% compliance rate for domestic landings and 89.1% for exports

Since 2010 no SBT can be sold without the required SBT documentation. CDS documentation is required for the first point of sale for the domestic sale as well as being required for all exports or imports. AFMA monitor all SBT consignments to ensure that the validated documentation accompanies them. The latest CCSBT compliance report showed that Australia had a 94.9% compliance rate for providing complete documentation for domestic landings and 96.7% compliance

rate for exports for the 2012 calendar year⁶³. Whilst for the first quarter of 2013 this had reduced to 72.8% for domestic landings and 89.1% for exports⁶³. The review team acknowledges that the compliance rates for 2013 reflect the first quarter of the year and may not reflect the final compliance rates for all of 2013. The variance in current compliance rates for 2013 can be attributed to the CDS documentation not being finalised for farms until the end of the season.

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

Summary – Australia has systems and processes to check the accuracy and validity of their CDS documentation

Australia has systems and processes to check the accuracy and validity of their CDS documentation. These have been established in line with paragraph 5.8 and 5.9 of the CDS Resolution Australia⁶⁶.

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

Summary – Operating systems and processes are in place to monitor compliance with catching restrictions. Legal instruments allow sanctions to be imposed upon transgressions.

AFMA conduct an annual two-stage audit process to ensure the accuracy of SBT documents and the compliance of those engaged in the fishery. This is a risk based audit, with the risk based framework covered in Section 3.1.8.

AFMA's level 1 audit is desk-based and covers all farms and receivers. During the Level 1 farm audit, all the documentation returned to AFMA in relation to the farm is examined, and compared to final estimates of fish in and out for the entire season. The Level 1 audit of fish receivers is a similar process. Level 1 audits include the following;

- *'monthly breakdowns of receipt and sale of SBT including mortalities;*
- *verified counts of SBT conducted during transfer from tow pontoons into farms;*
- *CCSBT CDS figures and domestic sales; and*
- *mortalities recorded by the SBT fish receiver.'*⁶⁶

⁶⁶ CCSBT-CC/1310/SBT Fisheries - Australia

The outcomes of the Level 1 audit, and any events identified during the SBT season determine the farms that are selected for a Level 2 audit with approximately 10% of farming companies and wild caught fish receivers selected⁶⁶*Error! Bookmark not defined.*. This equates to 2 or 3 farms being selected for the Level 2 audit each year. This involves a site visit. The stated objective of the site visit is, *“Verifying the caught/harvested/sold SBT numbers have been successfully documented and that all relevant export/sold documentation is completed fully and accurately. All company documentation of fish numbers for exports/sales balances with other documentation of exports/sold fish. To identify any compliance issues. To ensure AFMA is satisfied that no more fish have been harvested for sale than originally counted into farms to help meet AFMA’s objective of sustainable fishing.”*⁶⁷ A Level 2 audit includes a full site audit conducted in person by fisheries officers who review all company records including spread sheets, feed boat logs, dive logs, sales and export documentation.

In addition, compliance with the CCSBT CDS is monitored in accordance with AFMA’s *National Compliance and Enforcement Policy*. AFMA conducts a biennial risk assessment process to determine those prioritised areas that require targeted compliance and enforcement activity. This risk assessment process is conducted across major Commonwealth Fisheries, such as the SBT fishery. As a result Australian fisheries officers conducted targeted compliance operations to inspect fishing boats at sea, in port, and also conduct random audits of fishing companies, fish receivers and export establishments. The inspection process includes the inspection of relevant documentation such as CDS documents. As provided previously (Section 1d), in 2011/12 Australian fisheries officers conducted 25 inspections of SBT/ETBF boats. In 2012/13 16 SBT at sea inspections and 17 in port inspections were conducted on ETBF boats during the period 1 December 2012 to date (4 July 2013). Inspections were also carried out on four premises authorised to receive SBT in that period. In addition, AFMA fisheries officers may also conduct targeted compliance operations to inspect fishing boats at sea, in port, and also conduct random audits of fishing companies, fish receivers and export establishments¹⁴.

Examples of the templates for Level 1 farm⁶⁸ and wild-catch⁶⁹ audits are included in Appendix 3.

⁶⁷ Guidelines for conducting Level 2 audit – Appendix 3.17

⁶⁸ Template for farm audit Level 1 2011/12 season – Appendix 3.15

⁶⁹ Template for wild catch audit Level 1 2011/12 season – Appendix 3.16

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

Summary – Operating systems and processes are in place to monitor compliance with catching restrictions. Legal instruments allow sanctions to be imposed upon transgressions.

Key points

- Compliance is monitored using a mandatory annual two-stage audit of farms and fish receivers, mandatory VMS, and at-sea and portside inspections

The principal offence for non-compliance is found under Section 95 of the Fisheries Management Act 1991⁸, for breaching a condition of a concession. Penalties include fines (under Section 95(5) of the Act), suspension or cancellation of concessions (under Section 98(3) of the Act), an order directing a person not to be on a boat for a specified time (under Section 98(1) of the Act) and forfeiture of the boat, equipment, catch and/or proceeds of catch (under Section 106 of the Act)²⁰.

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

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

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

Summary – Australia stores both hardcopy and electronic copies of SBT documentation and data in secure locations as required by CCSBT’s MPRs.

Key points

- All records are kept by AFMA for a minimum of seven years. Electronic systems are maintained and backed up in line with AFMA’s data management regulations.

The storage of all SBT documents and/or scanned electronic copies is the responsibility of AFMA. All records are kept by AFMA for a minimum of seven years. Hardcopy records are kept on site in AFMA’s offices with archived documents kept in off-site storage facilities.

All electronic information is recorded on AFMA’s databases and servers. The electronic system is maintained by AFMA and is regularly backed up in line with AFMA data management regulations.

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

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

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

Summary – Australia provides CCSBT CDS documents to CCSBT within the required timeframes (quarterly). Australia compiles and submits national documentation to CCSBT on a quarterly basis.

Key points

- No incidences identified where Australia has not provided the required information within the required timeframes.

Copies of all CCSBT CDS documents issued and received by AFMA are provided to the CCSBT on a quarterly basis, which forms an integral part of AFMA's auditing procedures wherein AFMA analyses, identifies discrepancies and reconciles all CCSBT CDS documents submitted by Australia¹⁴. Australian national documentation (i.e. daily logbooks, catch disposal records) are also compiled and submitted to CCSBT on a quarterly basis¹⁹.

There have been no incidences identified where the Australian authorities did not provide this information to the CCSBT Secretariat within the required timeframe. The latest CCSBT report on compliance with CCSBT Management Measures (CCSBT-CC/1310/04 (Rev2)) noted that Australia submitted all completed CDS documents to the Executive Secretary in accordance with the specified timeframes during the reported 2012 calendar year and the first quarter of 2013⁶³. In addition CCSBT reported that Australia had submitted all the required export CMFs to Australia from both exporters and importers⁶³.

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

Summary – Catch tagging data provided to CCSBT as required and submitted to the Executive Secretary at the end of the season.

Key points

- Catch tagging information provided electronically.
- Submitted on 31st December each year at the end of the season.

Catch tagging form information is provided by AFMA to the Executive Secretary at the end of the season. Australia provides catch tagging forms which are provided by the wild catch sector during the fishing season and submitted to CCSBT⁶³. During the first quarter of 2013 one Australian CTFs was received. Australia provides its catch tagging forms at the end of the harvest period with a single electronic catch tagging form submitted⁶³. These are submitted by Australia no later than the 31st December each year.

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

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

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

Summary – AFMA have operating systems and processes in place to maintain a list of authorised individuals involved in the verification of CDS documentation

As described in section 3.10 AFMA have operating systems and processes in place to maintain a list of authorised individuals involved in the verification of CDS documentation. These individuals have signed a code of conduct that outlines the responsibilities associated with verifying CDS documentation. AFMA's data checking and validation processes are in place to ensure that no verification is carried out by unauthorised individuals.

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

Summary – AFMA conducts a biennial risk assessment across all Commonwealth Fisheries to identify priority areas requiring targeted compliance and enforcement. This incorporates identifying the risks associated with the completion and submission of CDS documentation.

Australia's SBT compliance monitoring is conducted in accordance with AFMA's '*National Compliance and Enforcement Policy*', which encompasses CCSBT CDS compliance. AFMA conducts a biennial risk assessment across all Commonwealth Fisheries to identify priority areas requiring targeted compliance and enforcement⁶⁶. SBT and its associated CDS is one part of the risk assessment and is prioritised in relation to other Commonwealth fisheries. In 2011/12, there were 15 risks across Commonwealth fisheries that were assessed as moderate/high and high. From the executive summary of the 2012/13 National Compliance and Enforcement Program report⁷⁰, the most significant risks were:

- failure to have a Vessel Monitoring System (VMS) operating at all times (risk rating: low/moderate)

⁷⁰ AFMA – National Compliance and Enforcement Program 2012-13. Available here: <http://www.afma.gov.au/wp-content/uploads/2010/06/National-Compliance-and-Enforcement-Program-2012-13.pdf> (accessed 3/7/13)

- fishing/navigating in closed areas against regulation (risk rating: moderate)
- failing to reconcile quota within the required timeframe (risk rating: low/moderate).
- failure to report interaction/retention of protected or prohibited species (risk rating: moderate/high)
- quota evasion and avoidance including (risk rating: high):
 - unreported take of quota species and/or misreporting in Catch Disposal Records (CDRs) to avoid quota decrementation
 - non-completion of CDRs by concession holders fishing solely on minor line boat Statutory Fishing Rights
 - misreporting of mortalities within the SBT farm sector (during capture, transfer to tow cages and towing phases).

These key identified risks inform the national compliance program, including allowing targeted inspections, patrols and randomised audits of fishing companies, receivers and exporters as required⁶⁶. Such inspections will include the inspection of relevant documentation specific to the fishery in question, for example the CDS documents for SBT⁶⁶. In 2011/12 Australian fisheries officers conducted 25 inspections of SBT/ETBF boats compared to 16 SBT at sea inspections and 17 in port inspections conducted on ETBF boats from 1st December 2012 to 4th July 2013⁶⁶. Inspections were also carried out on four premises authorised to receive SBT in that period.

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

Summary – AFMA have data checking and validation processes and systems in place which are used to provide cross-checking of data before submission to CCSBT. The latest CCSBT compliance report has reported on Australia’s high levels of compliance in terms of the completeness of data on CDS forms

AFMA have data checking and validation processes and systems in place which are used to provide cross-checking of data before submission to CCSBT. These systems are in place to identify discrepancies and where required these are addressed directly with the individuals/companies in question. Further discrepancies will be identified and followed up through the level 1 and level 2 audits conducted by AFMA. As highlighted in section 3.10 the latest CCSBT compliance report has reported on Australia’s high levels of compliance in terms of the completeness of data on CDS forms.

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

Summary – All suspected or detected irregularities are addressed through the end of season auditing processes

All irregularities are addressed through the end of season auditing processes. During level 1 of the AFMA audits discrepancies are identified. Following which these discrepancies are investigated further during the level 2 audit completed by compliance officers as outlined in section 3.1.8.1.

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

Summary – AFMA have data checking, validation and audit processes and systems in place to identify potential or identified discrepancies. Where required these are reported to the CCSBT Executive Secretary.

Data checking, validation and audit processes and systems are in place to enable AFMA to identify potential or identified discrepancies and subsequently report these to the CCSBT Executive Secretary. During the Phase 1 audit the review team did not identify any history of CDS documentation that had not been assessed through Australia's validation processes and systems. The completion of CDS documentation is a requirement enforced by AFMA and penalties are in place associated with misreporting, which acts a deterrent to incomplete or incorrect reporting.

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

Summary – AFMA have data checking, validation and audit processes and systems in place to identify potential or identified discrepancies. Where required these are reported to the CCSBT Executive Secretary.

As per section 3.14.5, data checking, validation and audit processes and systems are in place to enable AFMA to identify potential or identified discrepancies. AFMA level 1 and 2 audits address/identify irregularities within the CDS documentation.

During the Phase 1 audit the review team did not identify any history of CDS documentation that had not been assessed through Australia's validation processes and systems. The completion of CDS documentation is a requirement enforced by AFMA and penalties are in place associated with misreporting, which act as a deterrent to incomplete or incorrect reporting.

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

Summary – Since 2010 no SBT may be accepted for domestic sale, export or import without the verified CCSBT CDS documentation. Australia has exhibited a high level of compliance related to ensuring the correct complete CDS documentation is provided to CCSBT.

Since 2010 no SBT may be accepted for domestic sale, export or import without the verified CCSBT CDS documentation. As outlined in sections 3.14.1 - 3.14.6 AFMA has processes and systems in place to ensure that no SBT is accepted without the required CCSBT validated documentation. As per CCSBT's latest compliance report Australia has exhibited a high level of compliance related to ensuring the correct complete CDS documentation is provided to CCSBT.

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

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

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

Summary – This MPR is not applicable to Australia as Australia does not have any authorised carrier vessels that are authorised to receive at-sea transshipments beyond national jurisdiction areas.

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

Summary – This MPR is not applicable to Australia as Australia does not have any authorised carrier vessels that are authorised to receive at-sea transshipments beyond national jurisdiction areas.

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

Summary – This MPR is not applicable to Australia as Australia does not have any authorised carrier vessels that are authorised to receive at-sea transshipments beyond national jurisdiction areas.

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

Summary – This MPR is not applicable to Australia as Australia does not have any authorised carrier vessels that are authorised to receive at-sea transshipments beyond national jurisdiction areas.

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

Summary – This MPR is not applicable to Australia as Australia does not have any authorised carrier vessels that are authorised to receive at-sea transshipments beyond national jurisdiction areas.

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

Summary – This MPR is not applicable to Australia as Australia does not have any authorised carrier vessels that are authorised to receive at-sea transshipments beyond national jurisdiction areas.

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

Summary – This MPR is not applicable to Australia as Australia does not have any authorised carrier vessels that are authorised to receive at-sea transshipments beyond national jurisdiction areas.

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

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

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

Summary – This MPR is not applicable to Australia as Australia does not have any authorised carrier vessels that are authorised to receive at-sea transhipments beyond national jurisdiction areas.

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

Summary – This MPR is not applicable to Australia as Australia does not have any authorised carrier vessels that are authorised to receive at-sea transhipments beyond national jurisdiction areas.

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

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

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

Summary – This MPR is not applicable to Australia as Australia does not have any authorised carrier vessels that are authorised to receive at-sea transhipments beyond national jurisdiction areas.

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

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

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

Summary – Australian authorities provide the required compliance committee information electronically to the Executive Secretary in accordance with the reporting requirements.

There have been no incidences identified where the Australian authorities did not provide this information to the CCSBT Secretariat within the required timeframe. Information is submitted by AFMA's Licensing and Data Services Manager. The CC8 CCSBT compliance report records Australia having provided all the member reports in 2013 as required and that these reports included all the information required by templates⁶³.

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

Summary – This MPR is not applicable to Australia as Australia does not have any authorised carrier vessels that are authorised to receive at-sea transhipments beyond national jurisdiction areas.

4 Phase 2 Member site visit

The objectives of the Member site visit was to verify the extent that systems and processes described in documentation and records provided in Phase 1 and the Phase 1 extension (section 3) are fully implemented and consistent with the procedure described by the Member. The objective of the site visit was to verify the effectiveness of the processes and activities in ensuring that Members meet their obligations specific to the MPR's covered by the scope of the QAR.

Consultation meetings were planned in conjunction with Johnathon Davey (DA), Matt Daniel and Anne Shepherd (AFMA) based on the availability of key management personnel and availability of industry representatives to enable a site visit to observe processes under the scope of the Member's QAR. The site visits were not designed to be inclusive of all organizations and representatives of the fishery. However, the consultation plan was designed to strategically capture sufficient information of Member processes to allow for verification of information reviewed and presented during the Phase 1 review with the objective of determining to what extent Member's meet their obligations specific to the MPR's covered.

All consultation meetings were conducted by Mr. Oliver Wilson and Mr. David Martin.

Overview of Meeting Plan:

Meetings were held on five different dates between the 3rd February and 7th February 2014, in South Australia and Canberra, Australia.

Table 7 Schedule of Site visit Meetings

Date	Attendees	Itinerary
Monday 3 rd evening	Johnathon Davey (DA), Matt Daniel (AFMA), and Anne Shepherd (D&S Data Fix (AFMA contractor))	Pre-visit briefing
Tuesday 4 th	Johnathon Davey (DA), Matt Daniel (AFMA) Anne Shepherd (AFMA) Brian Jeffriess (ASBTIA) Protec Marine (Tony Jones and Adam Kemp) Industry representatives	On-shore audit of SBT systems <ul style="list-style-type: none"> • Opening meeting – objectives, scope and purpose of CCSBT QAR’s. Provided background on SAI Global / Global Trust Industry presentation by ASBTIA – <ul style="list-style-type: none"> • Covered feedback on Phase I report Tour of onshore operations. <ul style="list-style-type: none"> • Site visit was of the onsite harvesting activities. Visited Protec Marine (AAR) facilities
Wednesday 5 th	Johnathon Davey (DA), Matt Daniel (AFMA) Brian Jeffriess (ASBTIA)	At sea audit on SBT counting/estimate vessel <ul style="list-style-type: none"> • Review/consultation with AFMA Validators/Officials • Review/witness sample procedure • CDS recording/ reporting review
Thursday 6 th	Johnathon Davey (DA), Matt Daniel (AFMA) Brian Jeffriess (ASBTIA) Protec Marine (Tony Jones and Adam Kemp) Industry representatives	At sea audit of transfer process <ul style="list-style-type: none"> • Review/consultation with AFMA Validators/Officials • Review/witness sample procedure • CDS recording/ reporting review
Friday 7 th	Johnathon Davey (DA), Anne Shepherd (AFMA)	Closing meeting on preliminary findings from Phase 2 on land and at sea re CCSBT activities and process review.
	Matt Daniel (AFMA) Anne Shepherd (AFMA)	<ul style="list-style-type: none"> • Systems and Processes Review • Roles and Responsibilities • Sample CDS- verification systems/processes • Internal audit/review mechanisms • External Reporting • Closing meeting – findings, requests for information

4.1 Fish sampling methodology

During the phase 2 site visit the review team were transported out to the tow cage to observe the weight sampling process. The AAR determines the prevailing weather/sea state conditions that the weight sample can be taken in. No samples are allowed to be conducted without the AAR present and the AAR has the final say on the sampling process, safety and weather conditions. During the site visit the conditions were reported as being at the limit of what the weight sample would be conducted. Due to the weather conditions (heavy swell) the review team were unable to transfer onto the vessel where the weight sample was being conducted. Whilst unable to board this vessel the review team were provided with a sufficient view from the vessel they were onboard. This vessel provided a view of the whole operation and the vessel was manoeuvred as requested by the reviewers to provide different views of the sampling process. The review team remained on site for 2 hours observing 35 fish being weighed. At this point the review team had seen sufficient to confirm the processes being conducted. The observed weight sample was aborted at 62 fish (average of 21.26 kg) due to time and weather conditions. The weight sample was then completed the following morning with the final average for the 100 fish being 21.46 kg.



Figure 8 100 fish weight sample vessel set up.

The sampling methodology observed during the phase 2 site visit was consistent with the defined AFMA procedures for transfer weighing of the 100 fish sample as outlined in the pre-season briefing document provided to the farm companies and described in the section above. This clearly outlines the methodology that the AAR uses to verify the weight sample on behalf of AFMA and the

obligations of the farms during this process, such as ensuring staff are available to assist and that bait is adequate for use during sampling.

Key observations of the process from the site visit were that the AAR was in charge of the operation with two staff present, one recording the data and one taking the length and weight measurements. Both were overseeing the sampling process including the catching process by the farm manager (company representative). As per AFMA's 100 fish sample procedure the AAR is required to be present at all weight samples with either the principal or the second in charge officer of the AAR. At the phase 2 site visit it was the second in charge officer on site.

As described by AFMA's pre-determined procedure (Appendix 3) chum was thrown into the cage prior to the release of the hook by the farm representative, which for the sample observed was the farm manager. The baited hook was then thrown into the chum. Once a fish was caught it was pulled to the side of the sampling vessel and transferred into one of the sampling cradles. The cradle was then hoisted onto the vessel and a weight and length measurement of the fish taken using calibrated scales. The AAR supplies the catching gear to the factory for each weight sample. It was reported that at the end of each weight sample, once the required 100 fish sample has been achieved, the AAR cuts the hook that has been used for the weight sample in front of the farm representatives. This is done to show that the hook won't be used for any other weight samples and can therefore not bias any other weight samples. New hooks are used for each separate weight sample event.

During the weight sample the weights are checked to make sure they are calibrated correctly for each cradle being used. The cradle used during the sampling process has been specially designed to allow the AAR to collect weight and length data whilst reducing the level and handling and stress for individual fish as much as possible (Figure 11). The scales used are 50kg Salter scales with the AAR carrying spare 100kg scales should there be larger fish. The AAR has previously trialled motion compensated scales but experience has indicated that the Salter scales used are the best for the purposes of obtaining an accurate weight. These are calibrated both at the start of the weight sample and throughout the weight sample with calibration conducted every 10 fish. The cradle used during the fish weight sampling process is one that has been designed by industry to ensure an accurate weight and length measurement of the fish. Figure 11 shows the cradle used and the ruler markings on the cradle used for measuring the fish length.

The AAR data forms also include all fish that were sampled but were less than 10kg. These figures are not used as part of the weight sample but are included to ensure a weight has been recorded for all the fish weighed. The AAR data record therefore provides information for all the fish sampled including those under 10kg.

Once sampled and the data recorded the fish was then released down the chute back into the towing cage. The catching process is shown in Figure 9 whilst the weighing and measuring of the fish is shown in Figure 10.

The process is monitored by the Protec staff with either the Principal or the second in charge at the AAR taking the weight and length measurements, which the second Protec staff member records on pre-printed Protec Marine data forms. These data forms are submitted to AFMA as part of the reporting of weight samples and are included in the CDS validation conducted by AFMA (section 4.3).

During the phase 2 site visit a company representative was in attendance at the weight sample to record the weights for internal farm purposes.



Figure 9 Sampling process conducted during the 100 fish weight sample. a) Hook chucked into the chum, b) Hooked fish pulled onto the pontoon, c) Fish placed into one of the cradles and d) transferred onto the weighing vessel.



Figure 10 100 fish weight sample. Showing the weight and length measurement being taken by the AFMA Authorised Representative (Protec Marine Pty Ltd.)



Figure 11 Cradle used for weighing southern bluefin tuna during the 100 fish weight sample conducted by AFMA Authorised Representative (AAR) Protec Marine Pty Ltd.

The scope of the QAR Phase 2 on site visit was to review the fish sampling methodology in terms of whether the process in the field was as described, documented and reported by Australia to CCSBT. The review team have reviewed the processes accordingly. The QAR scope did not include an assessment of the accuracy of the sampling methodology at estimating average weight of the towed cage of SBT. However, the review team notes the 2006 report by DSI Consulting Pty Ltd was conducted to review the catch monitoring procedures used in the SBT farm industry. DSI Consulting assessed both the 40 fish sample (the required sample size at the time) and the stereoscopic cameras. The sampling process in place is consistent with recommendations in the report such as using standardised gear that is provided by the AFMA AAR.

4.2 Farm transfer

The fish transfer process observed during the Phase 2 site visit was consistent with the defined AFMA procedures for fish transfers as outlined in the pre-season briefing document provided to the farm companies which clearly outlines the methodology that the AAR uses to record and monitor the fish transfer. Protec Marine Pty Ltd. (AAR) conducts the observation and recording of the fish transfers whilst also providing the day to day monitoring and liaison with the farms. Protec also provide the weekly reports during the season and assist with the audits at the end of season by providing all requested documentation. Throughout the season the AAR are in contact with AFMA and contact is on an ad-hoc but regular basis.

During the phase 2 site visit the review team were transported out to the fish transfer and observed the process from the farm vessel that the AAR were using to observe and record the transfer. The review team observed two complete fish transfers from one tow cage into two separate farm cages. The AAR determines the conditions that the fish transfer can be conducted in, with no fish transfers allowed to be conducted without the AAR present. The AAR has the final say on safety and weather conditions related to the transfer. For each transfer the AAR has two staff members on site, one viewing the footage at all times and the second moving around the vessel providing support and liaising with the farm staff as required. During the transfer these roles may be swapped.

The AAR has three review teams; each consisting of two staff so that they can cover three transfers at any one time. If there are technical issues during a transfer the AAR have their own vessel which can be used to move between transfers and provide support to the different teams. For each transfer the AAR has two UPS units with two screens, the set up used by the AAR for viewing and recording transfers is shown in Figure 12. The transfer is recorded both onto a hardcopy VHS tape which is then subsequently viewed back in Protec's offices as well as being saved onto the external hard drive which is linked to the live link of the transfer. Back up leads and a backup camera are available depending on the number of transfers being conducted. During the site visit one of the screens was temporarily not displaying the transfer correctly. This emphasised the importance of the AAR using the dual screen and recording set up. In the event of the video recording not working correctly the AAR have the hard drive recording as a backup.



Figure 12 Transfer viewing and recording setup observed during the phase 2 site visit

As described by AFMA's pre-determined procedure (Appendix 3) the transfer didn't begin until the AAR had arrived. The fixing the camera is attached to during the transfer has a movable arm so that the positioning can be adjusted as required to ensure that the footage is as clear as possible. The transfer is not started until the AAR is happy with the field of vision and that the white board is in the correct place. The position of the white board is dictated by the position of the sun and ensuring the best visibility is achieved. In the event the visibility is not suitable for a transfer the AAR will make the decision to postpone the transfer. Whilst not observed during the site visit the AAR informed the review team that the process would be stopped prior to beginning the transfer if the visibility is too poor. An indication of this is whether the AAR can see the white board that is positioned on the opposite side of the transfer gate (Figure 13 and Figure 14). In the event that fish have transferred and then the AAR postpones the transfer then the camera is kept running and the farm transfer the fish from the farm cage back into the tow cage.



Figure 13 Crew positioning the screen used during the transfer



Figure 14 Camera view of the fish transfer observed during the site visit. The red hashed circles identify SBT within the camera view (Potential commercial in confidence information has been covered).

Once the camera was positioned the AAR instructs the farm to move the drop down net which opens the transfer gate and begins the transfer. As per AFMA's documentation the reviewers observed that the AAR was in charge of the operation with two staff present. One staff member viewing the screen at all times of the transfer and the other providing support and liaising with the farm staff where required.

Depending on the speed of the transfer the AAR instructs the farm to lift or drop the tow cage net to vary the speed of the transfer to ensure that the transfer remains as consistent as possible. Lifting of the net during the transfer is a regulated process with whichever AAR staff member is viewing the footage providing instructions to the supporting AAR staff to adjust the speed of the transfer as necessary.



Figure 15 Lifting of the tow cage net during the fish transfer from the tow cage to the farm cage

During the transfer an unofficial count is conducted by the AAR in real time with this estimate provided to the farm representative. The unofficial count is conducted in 10s using a clicker. Each individual fish is counted but due to the speed of the transfer in real time the AAR staff member presses a clicker to represent 10 fish. For example if 100 fish have been counted the clicker will read 10 ($10 \times 10 = 100$). The unofficial count is taken at the request of the farm in order to provide them with an estimate, at the time of transfer, of the number of fish transferred into the farm cage. The official count is conducted by either the principal or second in charge of the AAR and the farm representative back at the premises of the AAR. During the official count the transfer is slowed down using the AAR's video equipment to aid counting. Following the official count a second copy is burnt onto tape or CD and provided to industry. The AAR keeps all videos and paperwork for a minimum of seven years, after which the data is destroyed and sent directly to landfill. In all cases the official count is the one used to decrement quota from the farm. If there are discrepancies of over 25% between the unofficial and official counts AFMA query these and these are investigated.

At the end of the transfer once the number requested for the transfer has been completed the AAR will instruct the crew to drop the net to cover the transfer gate (Figure 16). This is to prevent any fish from transferring through whilst the gate is being sewn back together. The video footage will remain on until the net has been completely resealed to ensure that all fish are observed during the transfer (

Figure 17) at which point the camera will be brought back to the vessel. In the event that the transfer time means that two tapes are required the drop net is lowered to prevent any fish transferring whilst the tapes are being changed.



Figure 16 Crew positioned to drop the net to cover the transfer gate at the end of the transfer (The net is dropped at the instruction of the AAR)



Figure 17 Diver sewing the cage back together following the end of a transfer (Potential commercial in confidence information has been covered).

At the completion of the transfer the Protec Marine Pty Ltd. team record the details of the transfer in the daily log. The daily log is used for Protec's internal purposes and can be used during stage 2 AFMA audits, if required. The tape that was recorded during the transfer is ejected and the details related to the transfer are recorded on the label. This includes the farm name, cage number and the estimate of the number transferred (Figure 18). This information will then be updated once the video footage is officially viewed back in the Protec Marine premises.



Figure 18 Data recording being completed by the AFMA Authorised Representative (Protec Marine Pty Ltd.) following the completion of a transfer.

4.3 CDS validation systems

During the phase two site visit AFMA demonstrated the paperwork and systems that are in place which relate to the information provided in the phase 1 report. Documentation identified in the phase 1 report was sighted with explanations/demonstrations provided as to the processes and systems used to process the data. Subsequent reporting processes to CCSBT were also demonstrated.

The CDS validation systems demonstrated to the review team during the phase 2 site visit reflected the information provided during the phase 1 review. AFMA have a dedicated data management team that deal with AFMA's data reporting including the SBT fishery and its subsequent reporting to CCSBT. Specifically related to SBT the data management team roles are split to deal with different form types that are received.

It was demonstrated to the review team that key fields in the SBT reporting forms related to the TAC are entered into an older AFMA database (Ingres) which then automatically synchronises and updates the data onto the current primary database used within AFMA. PISCES is not currently set up for SBT to be entered directly into the system and as such all catch information is entered into Ingres first. SBT02 and SBT04 forms are entered in to Ingres which is primarily used to monitor quota decrementation and provides a track of all catch/quota on its system through the recording of logbook and SBT CDR information. For records received during the farm harvest period and for vessel records where the fish have been processed onboard the processed weights are entered into Ingres and the green weight figures are calculated based on a predetermined conversion factor that has been provided to the system (1.1.2 + 1kg for every fish for gilled and gutted)⁷¹.

Additional information related to the reporting forms not related to catch figures and quota decrementation is recorded on additional spreadsheets. These are used to record all the data fields on the reporting forms. With different spreadsheets being maintained to store different information related to the SBT fishery. The spreadsheets provide an overall view of both farm and wild fisheries catches and totals and as such are used as internal tools to provide quota information on quota and produce quick reports and references. PISCES is the official figure used for quota decrementation but the internal spreadsheets are used as visual reference tools for management. The review team were informed that this was due to the PISCES system currently being too slow in providing information to staff.

CDS information is also maintained on excel spreadsheets with data related to the CDS not incorporated into either Ingres or PISCES. This information is utilised for the quarterly reporting.

When forms are received all the data recorded on the forms is first entered into excel sheets. The catch figures are then entered into the Ingres system which subsequently updates the primary PISCES system. The data management team then visually check the data uploaded to PISCES against the information recorded in the excel sheets for any discrepancies. All information is entered into Ingres and onto excel spreadsheets.

⁷¹ Matthew Daniel, *Pers Comm.* 07/05/14

The phase 2 site visit demonstrated the data checking and validation processes in place. All database changes are tracked so discrepancies can be traced back to the source and linked to staff entries. All SBT forms and logbooks are manually counted and checked against the information entered into the databases, with data checked as the information is received. This relates specifically to the wild fisheries sector which is more dynamic than the farm sector. At the end of each season data quality checks are conducted against the client information and quota, with the CDS information checked against the quota recorded in the databases.

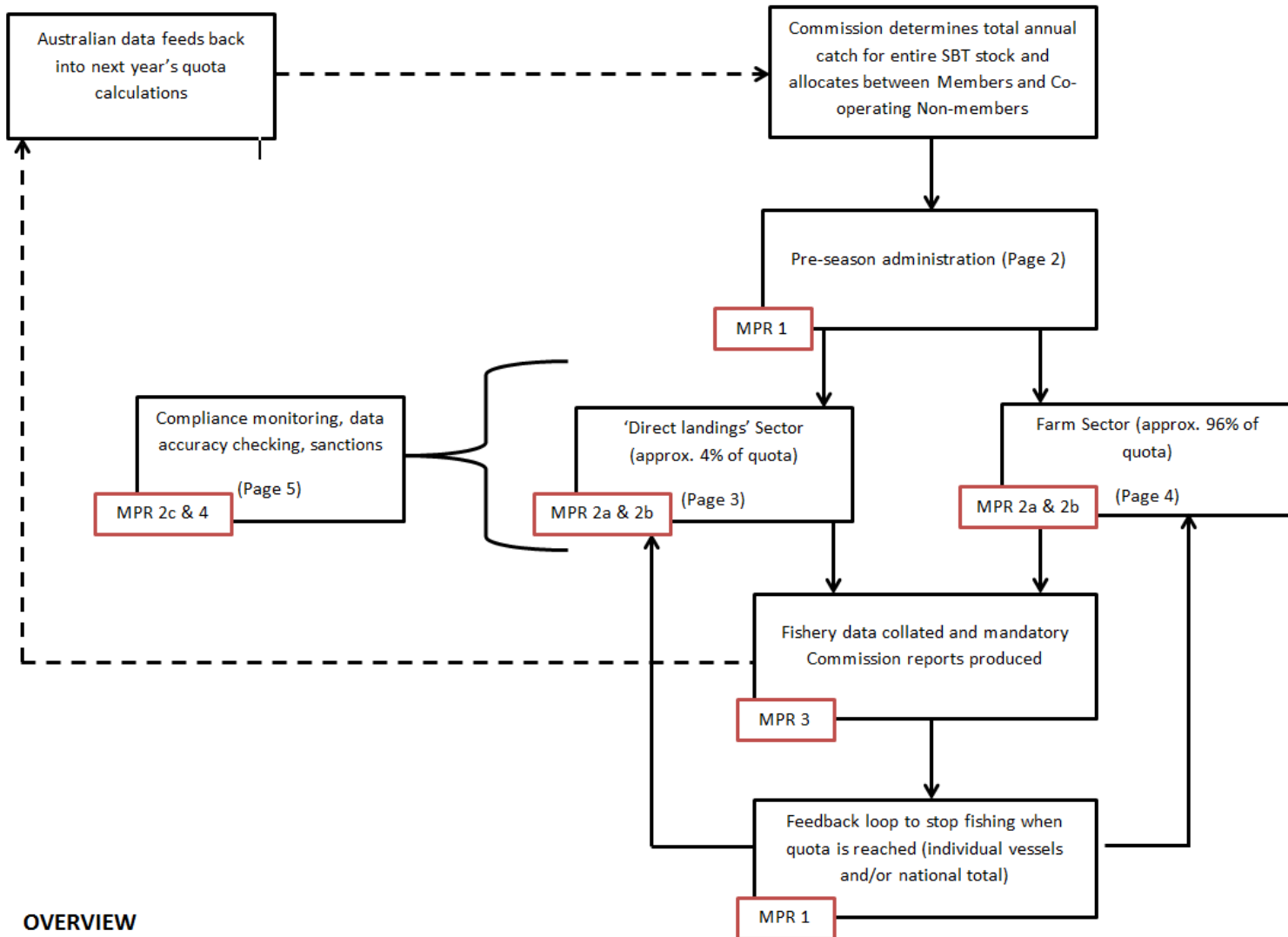
PISCES is checked annually with checks in place to ensure accuracy within the system. The data management team is subject to audits by AFMA where the data entry team is required to double entry to assess accuracy. AFMA determine the % of forms to double punch with the last audit of accuracy recording a 0.5 % discrepancy⁶⁴.

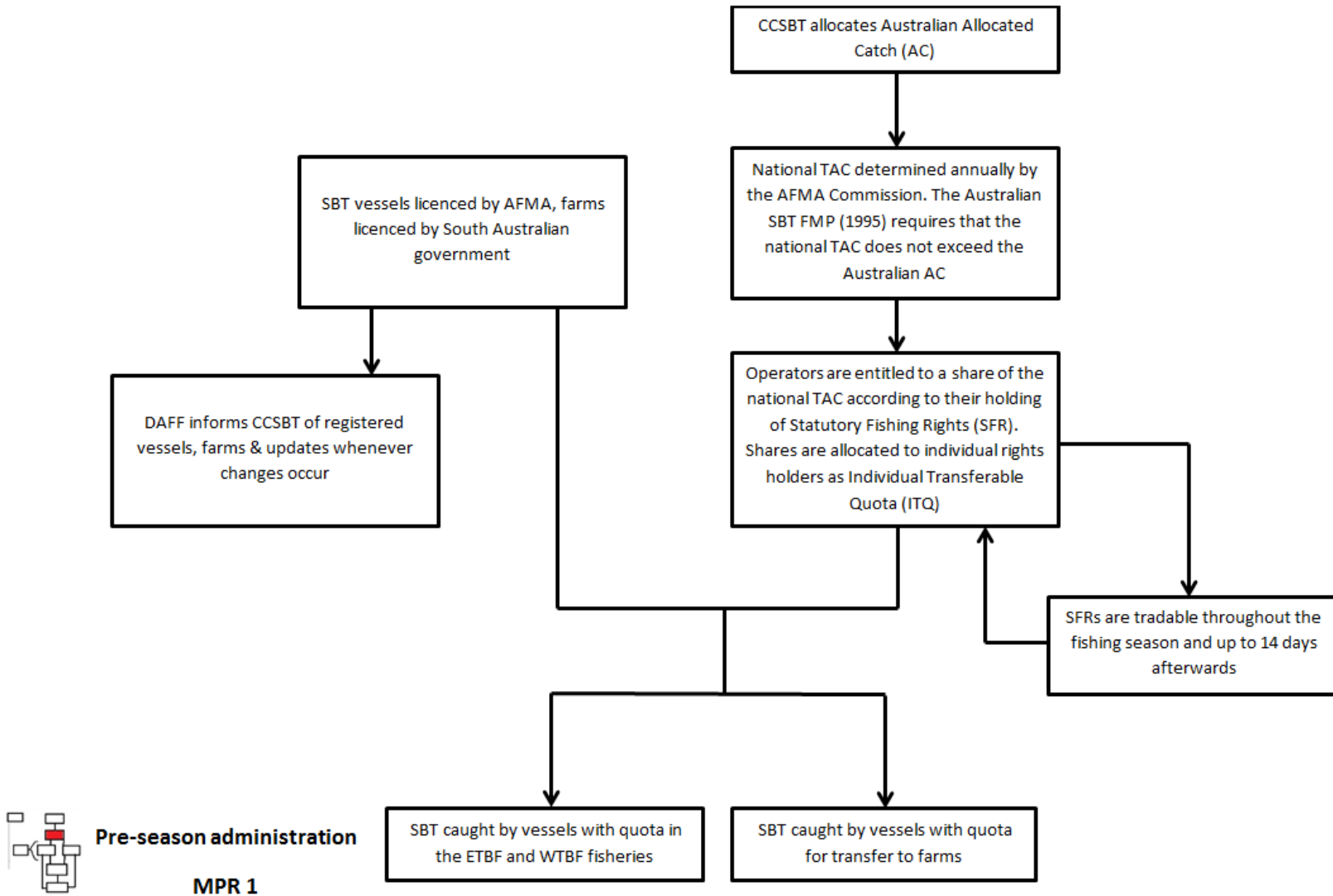
4.4 Phase 2 site visit outcomes

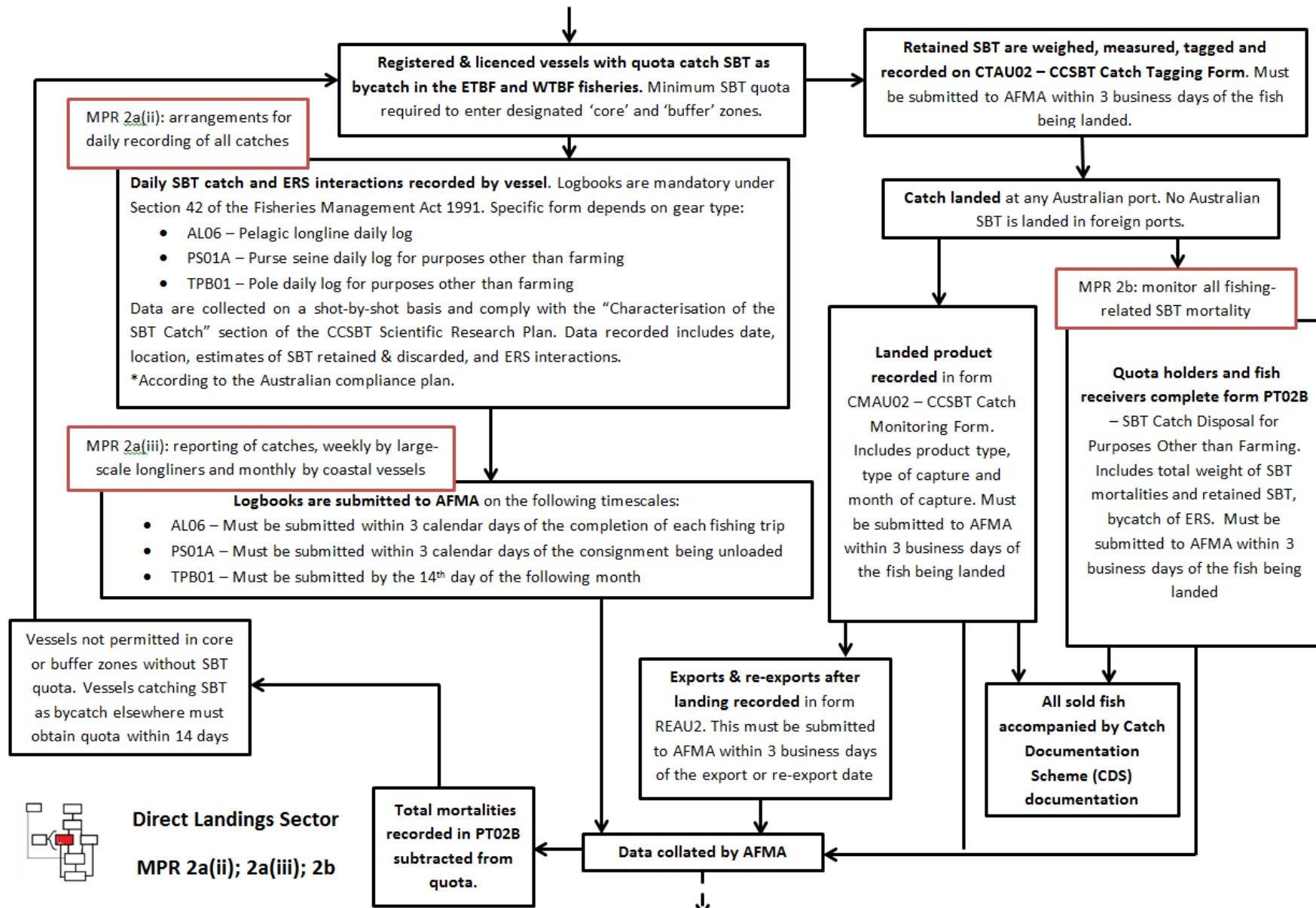
	Summary	Weaknesses	Threats (risks)	Recommendations
Fish sampling methodology	<ul style="list-style-type: none"> • 100 % coverage of fish sampling events • Independent contractor acting as the AFMA Authorised Representative (AAR) • Tender process • Consistent with documented process • AAR provides complete data set of the sample including those <10kg. • Fishing gear is standardised and provided by the AAR as recommended in the 2006 DSI Consulting report. 	<ul style="list-style-type: none"> • Depending on sea state there is potential for the scales to be affected by the motion of the vessel. Protec explained that motion compensated scales had been trialled however were found to be less accurate than Salter scales. 	<ul style="list-style-type: none"> • Potential bias in the process given farm staff conducts the fish selection. However, as described by DSI Consulting this is the most cost-effective methodology. The assessment team note that whilst the AAR does not conduct the fish selection it does oversee the operation. 	<ul style="list-style-type: none"> • To make the process 100% independent the catching process could potentially be conducted by AAR staff. However, it is recognised that this was previously mentioned by DSI Consulting but given costs was not implemented.
Farm transfer	<ul style="list-style-type: none"> • 100 % coverage of fish transfer events • Independent contractor acting as the AFMA Authorised Representative (AAR) • Tender process • Consistent with documented process • AAR provides backup equipment and uses two staff to cover for scenarios where equipment may need replacing. • Multiple copies of the footage recorded 	<ul style="list-style-type: none"> • Reduced visibility can potentially affect the accuracy of the count. Incidences of poor visibility that could affect the transfer count accuracy are mitigated by the AAR only conducting a transfer if the white screen can be observed on the opposite side of the transfer gate. 	<ul style="list-style-type: none"> • Negligible risk of unobserved transfers or fish being transferred prior to AAR arriving. Realistically this is a negligible risk given the logistical requirements to conduct a transfer. • During periods of high flows of fish there is a risk of miscounting. This is 	<ul style="list-style-type: none"> • Whilst the AAR mitigates against reduced visibility affecting the transfer count accuracy there is no guideline recorded in the transfer documentation. Recommendation to add in guideline to documentation to support AAR approach that

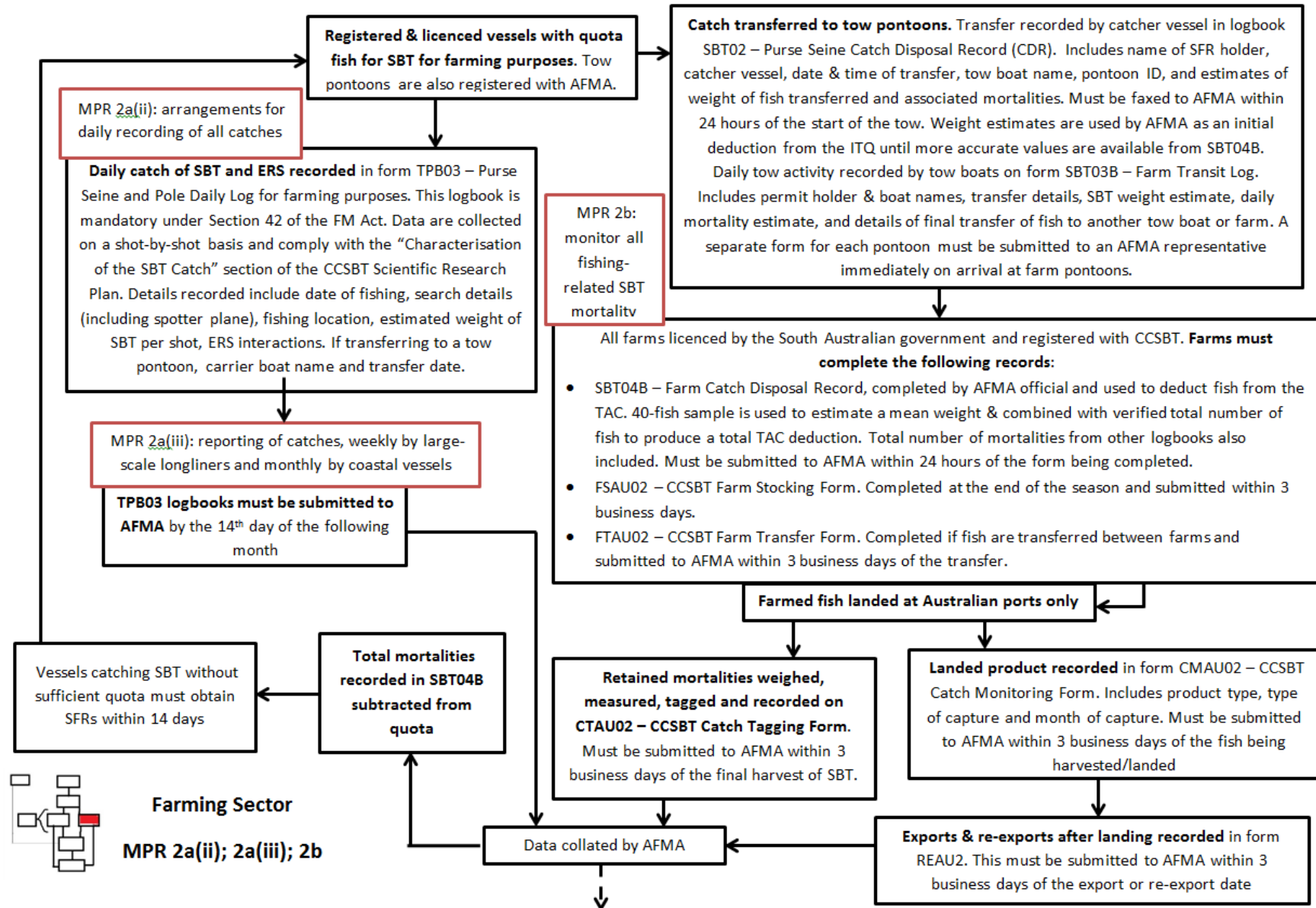
	Summary	Weaknesses	Threats (risks)	Recommendations
			mitigated by the AAR conducting official counts at slower speeds.	transfers shouldn't be conducted unless the white screen is visible on the opposite side of the transfer gate.
CDS validation	<ul style="list-style-type: none"> Experienced team with a thorough knowledge of all reporting requirements Well prescribed and documented standard operating procedures (SOPs) Robust data validation processes in place shown by the high compliance level associated with Australia's CDS reporting. Established data entry systems Documentation Tracking of updates on the database 	<ul style="list-style-type: none"> Data entry is required into multiple systems SBT catch figures are entered into an old database (Ingres) and then have to be uploaded to the current AFMA database (PISCES). Time consuming process Reconciliation is required between data sources i.e. spreadsheets and databases Quota reporting through the PISCES database is not considered timely enough. As such management use internal spreadsheets. 	<ul style="list-style-type: none"> Potential transcription errors as a result of multiple entry points. This is mitigated by the validation processes in place. 	<ul style="list-style-type: none"> There needs to be an integrated system that centralises the data entry process More timely reporting systems required for day to day management, linked into PISCES as opposed to internal spreadsheets

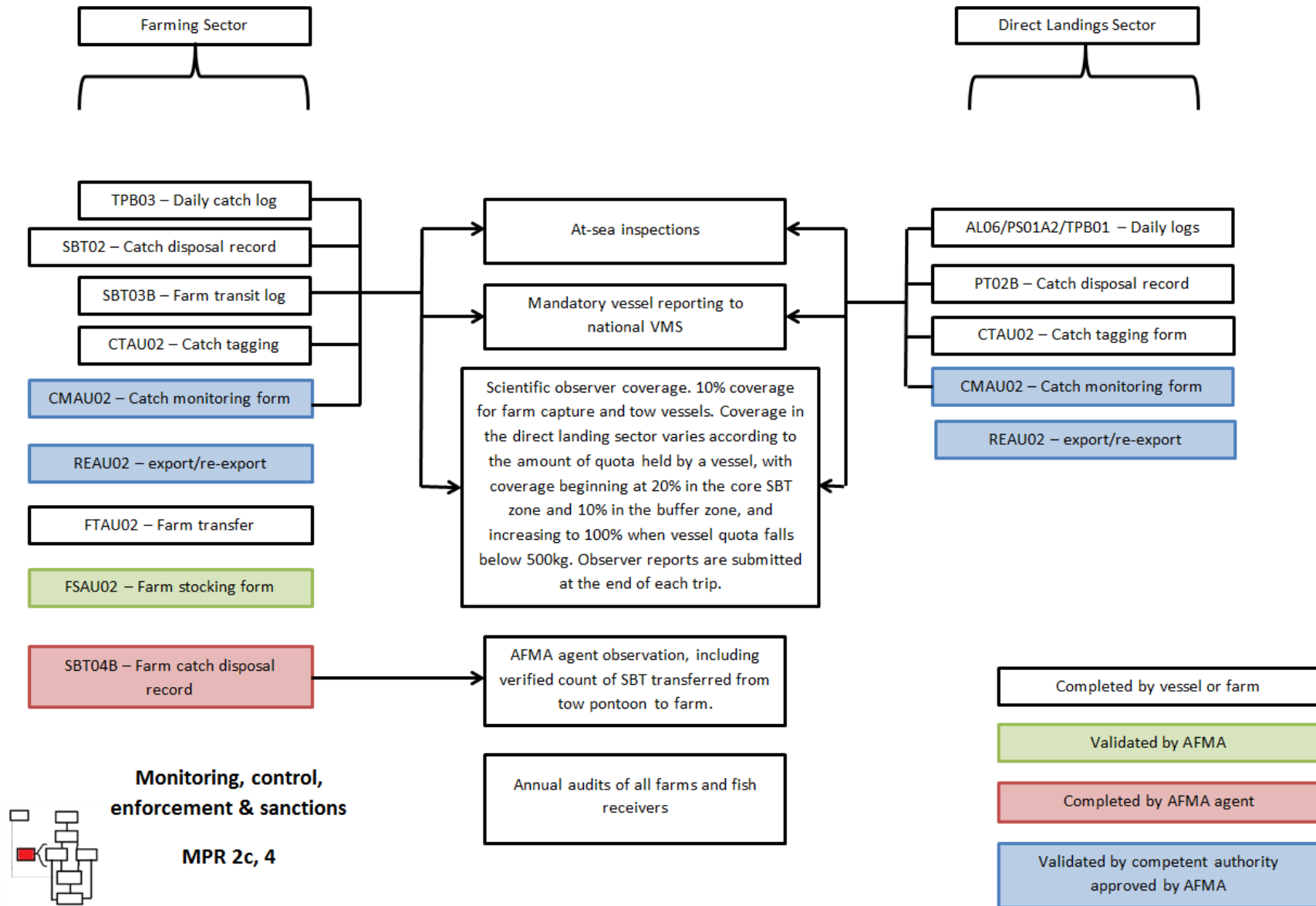
5 Member Process Flow Maps











6 Management System Effectiveness

Australia's SBT fishery management systems have been demonstrated to be effective in terms of the in terms of the CCSBT minimum performance requirements outlined in Section 3. Utilising information provided by the Member state during consultation as well as information provided by a review of the available documentation, a strengths, weaknesses, opportunities and threats (SWOT) analysis has been conducted. Table 3 shows the strengths, weaknesses and threats (risks) identified by this process, whilst the recommendations (opportunities) of the SWOT are displayed in Section 6.

Table 3a lists Australia's strengths as identified by the QAR. The key strengths identified by the QAR are;

- **Robust legal foundations for the management of the fishery.** This forms the basis of any effective management regime. Australian fisheries management is primarily based on the Fisheries Management Act 1991 and the Fisheries Administration Act 1991.
- **Strong fisheries management regulatory system.** AFMA have a well-established fisheries management system that operates in accordance with Australia's fisheries legislation. The allocation of quota through SFRs has clearly defined processes, as does the trading system set up to allow quota transfer.
- **Thorough, gear-specific documentation system.** AFMA enforce a range of mandatory documents, including daily recording of catch, records of mortality at all stages of the fishing process in both the direct landings and farming sectors, records of farm stocking, transfer and harvest, and the full suite of CCSBT CDS documentation and tagging.
- **Comparatively high observer coverage on the farm purse seining vessels and 100% coverage of farm stocking.** High observer coverage in the farming sector reduces the risk of non-compliance and increases the accuracy of catch and mortality estimates. In particular, the mandatory presence of an AFMA Authorised Agent whenever catch is transferred from a tow vessel into a farm ensures an official presence at the most critical stage in the quota monitoring process.
- **Internal compliance risk-assessment and auditing processes.** These processes aid the detection of non-compliance and documentary inaccuracies. Most of the risks identified by this report have been previously identified by internal AFMA processes.

Table 3b shows that although Australia's SBT fishery and associated management systems generally complied with CCSBT's MPRs, the QAR has identified some weaknesses which represent potential areas for improvement. The key weaknesses listed in Table 4b are;

- **Uncertainty over the estimated weight of fish transferred to farms.** This weakness is inherent to the farming process, but means that all removal figures in the farming sector are estimates. Efforts are already being made to reduce this weakness with the introduction of stereo-video monitoring – see risks, below.
- **Low observer coverage in some sectors.** Observer coverage varies considerably. When vessels have no observer, catch and discards are estimated by crew, increasing the potential for inaccuracies.
- **Non-commercial retained catch (i.e. charter and recreational catch) is not quantified.** This is discussed in more detail under 'risks', below.

The weaknesses identified by the QAR have been used to determine potential risks associated with the Australian SBT fishery. Several of these risks have been previously identified by AFMA's internal risk assessment mechanisms. The key risks identified by the QAR are;

- **Potential for under-reporting or misreporting mortalities.** This risk was identified in the AFMA National Compliance and Enforcement Program report 2012-13 and categorised as a 'high' risk. Fish which cannot be released 'live and vigorous' must be deducted from a vessel's quota, representing pressure on crews to under-report SBT mortalities and/or exaggerate the proportion of unwanted catch which is released alive.
- **Potential for inaccuracy and/or bias in estimates of SBT weight transferred to farms.** The estimate of total weight transferred is used in conjunction with total mortality estimates to subtract quota from the quota-holder and total TAC. For this reason it is a critical stage of the monitoring process. An independent review of the process currently used to estimate numbers was inconclusive. The introduction of stereo-video monitoring may potentially improve the accuracy of estimates and reduce the severity of this risk. The review team acknowledges that trials have been conducted on stereo-video monitoring and that development and introduction into the SBT fishery is ongoing. At the current time, the lack of certainty over the accuracy of the standard counting approach may mean this is a key risk.
- **Potential for vessels to catch fish for which they cannot cover with quota.** This risk was also identified in the AFMA compliance report, and categorised as 'low' risk. The 14-day grace period is designed to allow vessels to avoid unintentional overcatch by obtaining quota after the fish has been caught. In the direct landings sector the probability of overcatch is low due to the quota requirements for vessels entering the core and buffer zones. In the farming sector the 14-day grace period may encourage vessels to capture more fish than they have quota for with the intention of obtaining SFRs after the fact. In addition to the risk of vessels failing to obtain quota within the 14 days, the lack of any 'reserve' quota raises the possibility that there could be insufficient quota on the market to meet the requirement. In the farming sector this risk is mitigated against by the option, upon application to AFMA, to release fish alive. If an operator or operators were over quota they can release fish under AFMA supervision back to the wild. Any mortalities associated with the release are counted against quota. This risk is also potentially mitigated against by quota transfers between farming and wild sector SFRs as required given the different fishing seasons associated with the farming and wild fisheries sector.
- **Recreational fishery removals are currently not quantified.** Australia is currently unable to fulfil the requirement of CCSBT obligation 1.1 (i) MPR 2b to "monitor all fishing-related mortality of SBT" in relation to "non-commercial retained catch". This risk is being addressed through the development of a methodology to quantify the scale of the national recreational catch.

Table 8 Strengths, weaknesses, opportunities and threats (SWOT) analysis conducted for Australia's systems determining compliancy to CCSBT Minimum Performance requirements (MPR's).

a) Strengths associated with Australia's SBT fishery and associated management in relation to CCSBT's MPRs

Obligation	MPR	Strengths
1.1 (i)	1	<ul style="list-style-type: none"> • SBT Fishery Management Plan requires the national TAC to not exceed the CCSBT AC. • Australian national TAC has been set in line with CCSBT AC in recent years. • Australian reported ASBTC has not significantly exceeded the CCSBT AC in recent years, and has been repaid the following year. • Adaptive quota-setting process illustrated by adoption of two-year season to best manage the drop in AC.
	2a (i)	<ul style="list-style-type: none"> • Quota distributed by legally established Statutory Fishing Rights (SFRs), which also act as a permit to fish. • SFRs assigned to specific vessels to allow quota tracking. • Quota requirements for entry into "Core" and "Buffer" SBT zones reduce the probability of intentional fishing without quota in the direct landings sector.
	2a (ii)	<ul style="list-style-type: none"> • Gear-specific logbooks ensure collection of all relevant information. • Catch weight estimates are compared to weights at landing or farm transfer to ensure accuracy.
	2a (iii)	<ul style="list-style-type: none"> • AFMA mandates an appropriate time scale in which catch estimates and logbooks must be returned.
	2b	<ul style="list-style-type: none"> • Commercial fishing, tow and discard mortalities are recorded in the relevant daily logbook. • All mortalities in the direct landings sector must be landed.
	2c (i)	<ul style="list-style-type: none"> • SBT vessels are inspected at sea and in port. • Observer coverage of farm purse seining was 19.8% in 2010/11 and meets the CCSBT target of 10%. • Core and buffer SBT zones allow targeted observer coverage in the direct landings sector. • Quota requirements for entering core and buffer zones reduce probability of vessels without quota catching SBT.
	2c(ii)	<ul style="list-style-type: none"> • All weight samples and farm transfers are conducted under the supervision and direction of the AFMA Authorised Agent (AAR). The AAR is independent and provides data to AFMA. • Well established procedures in place for collecting with the phase 2 site visit identifying that these are followed by the AAR.
	3	<ul style="list-style-type: none"> • Mortality data are submitted to the CCSBT quarterly, which is more frequent than the annual submission required by the MPR.
	4	<ul style="list-style-type: none"> • Functioning VMS is a mandatory requirement. • Audit process examines all fish receivers and farms annually. • Internal risk-assessment process identifies key compliance risks and allows targeted inspections & patrols.
1.1 (iii)	1a	<ul style="list-style-type: none"> • None identified, as Australia has only recently adopted the carry-forward procedure and used it from 2013 to the 2014 fishing season.
	1b	<ul style="list-style-type: none"> • None identified, as Australia has only recently adopted the carry-

Obligation	MPR	Strengths
		forward procedure and used it from 2013 to the 2014 fishing season.
2.3	(i)	<ul style="list-style-type: none"> This MPR is not applicable to Australia
3.1 (i-v)	1a	<ul style="list-style-type: none"> Pre-season documentation and meetings held with participants of the fishery outlining their reporting obligations. Licensing outlines their CCSBT obligations and signature to this acknowledges participants are aware of these
	1b	<ul style="list-style-type: none"> Reporting requirements specified in Federal Legislation CDS reporting requirements outlined in pre-season meetings
	1c	<ul style="list-style-type: none"> Catch Tagging certification requirements are clearly outlined by AFMA with high levels of compliance indicating these are understood and adhered to.
	1d	<ul style="list-style-type: none"> Commercial fishing, tow and discard mortalities are recorded in the relevant daily logbook. All mortalities in the direct landings sector must be landed.
	1e	<ul style="list-style-type: none"> Established compliance systems incorporating mandatory annual two-stage audits of farms and fish receivers, mandatory VMS, and at-sea and portside inspections
	2	<ul style="list-style-type: none"> Recreational catches are not included under Australia's TAC
	3	<ul style="list-style-type: none"> Documentation provided by a contractor that has provided AFMA's logbooks for over 15 years
3.1 (vi)	1	<ul style="list-style-type: none"> This MPR is not applicable to Australia
	2	<ul style="list-style-type: none"> There have been no incidences of foreign vessel landings in recent years
3.1 (vii-ix)	1-3	<ul style="list-style-type: none"> This MPR is not applicable to Australia
3.1 (x-xii)	1(a) – 1(e)	<ul style="list-style-type: none"> Established authorised SBT tag provider (ASBTIA)
3.1 (xiii – xviii)	1 - 2	<ul style="list-style-type: none"> Tagging database maintained to reconcile tag numbers, including unused and damaged tags, as well as identify the use of unauthorised tags. Reconciliation of CTF information and ASBTIA issued tags conducted at the end of the season as part of audit process. Risk based compliance framework in place.
3.1 (xix-xxi)	1a – 1f & 2	<ul style="list-style-type: none"> Electronic authorised validator lists are maintained by AFMA and provided to CCSBT, with unique identifier numbers for each validator. Validators provided with information confirming the requirements and responsibilities of being a CCSBT authorised CDS validator.
3.1 (xxii – xxv)	1a -1d & 2a – 2b	<ul style="list-style-type: none"> Operating systems and processes are in place to monitor compliance with legal instruments in place to allow sanctions to be imposed upon transgressions. Established compliance systems incorporating mandatory annual two-stage audits of farms and fish receivers, mandatory VMS, and at-sea and portside inspections
3.1 (xxvi)	1	<ul style="list-style-type: none"> Australia exceeds CCSBT requirements and store records for a minimum of seven years.
3.1 (xxvii-xxviii)	1 - 2	<ul style="list-style-type: none"> Established processes for reporting CDS documents to CCSBT.
3.1 (xxix – xxxi)	1, 2a – 2f & 3	<ul style="list-style-type: none"> Risk based compliance monitoring in place Two phase audit process used to identify and address irregularities
3.3 (i-v)	1a	<ul style="list-style-type: none"> This obligation and its associated MPRs is not applicable to Australia

Obligation	MPR	Strengths
6.5	1	<ul style="list-style-type: none">Established reporting processes, with no incidences reported of Australia not providing the required information within the specified timeframes.
	2	<ul style="list-style-type: none">This MPR is not applicable to Australia

b) Weaknesses associated with Australia’s SBT fishery and associated management in relation to CCSBT’s MPRs

Obligation	MPR	Weaknesses
1.1 (i)	1	<ul style="list-style-type: none"> The Australian fishing season does not match the accounting period used by CCSBT; however this does not appear to cause any difficulties. The total ASBTC exceeded the CCSBT AC in the 2009-11 season by 19t and 34t in 2011/-12. Voluntary reductions of the corresponding amounts were taken for the following season.
	2a (i)	<ul style="list-style-type: none"> Free trade of SFRs means there is potential for additional capacity to enter the fishery. However, for economic reasons this is considered unlikely.
	2a (ii)	<ul style="list-style-type: none"> 90% of direct landing trips and 80% of farming trips have no observer, meaning discard and live release estimates are primarily made by crew.
	2a (iii)	<ul style="list-style-type: none"> None specific to this MPR – AFMA mandates an appropriate time scale in which catch estimates and logbooks must be returned.
	2b	<ul style="list-style-type: none"> Non-commercial retained catch is not effectively quantified.
	2c (i)	<ul style="list-style-type: none"> Observer coverage in the direct landings fishery varies and is around 7% (the target coverage also varies). Observer coverage of tow operations is around 5% (AFMA’s target coverage 10%).
	2c(ii)	<ul style="list-style-type: none"> Total weight of fish removed for farming purposes can only be estimated. Opinions on the accuracy of transfer weight estimates vary.
	3	<ul style="list-style-type: none"> None specific to this MPR; mortality is reported more frequently than necessary.
	4	<ul style="list-style-type: none"> None specific to this MPR, though see ‘risks’ below.
1.1 (iii)	1a	<ul style="list-style-type: none"> None specific to this MPR, though see ‘risks’ below.
	1b	<ul style="list-style-type: none"> Carry-forward procedure for unfished quota was used from the 2013 to the 2014 fishing season and an administrative error meant this wasn’t originally reported correctly
2.3	(i)	<ul style="list-style-type: none"> This MPR is not applicable to Australia
3.1 (i-v)	1a – 1e	<ul style="list-style-type: none"> None specific to this MPR – AFMA mandates an appropriate time scale in which catch estimates and logbooks must be returned.
	2	<ul style="list-style-type: none"> None specific to this MPR, with no specific exemptions identified to the CDS documentation.
	3	<ul style="list-style-type: none"> None specific to this MPR
3.1 (vi)	1	<ul style="list-style-type: none"> This MPR is not applicable to Australia
	2	<ul style="list-style-type: none"> None specific to this MPR, there have been no incidences of foreign vessel landings in recent years
3.1 (vii–ix)	1-3	<ul style="list-style-type: none"> This MPR is not applicable to Australia
3.1 (x-xii)	1(a) – 1(e)	<ul style="list-style-type: none"> None specific to this MPR
3.1 (xiii – xviii)	1 - 2	<ul style="list-style-type: none"> None specific to this MPR
3.1 (xix-xxi)	1a – 1f & 2	<ul style="list-style-type: none"> None specific to this MPR
3.1 (xxii – xxv)	1a -1d & 2a – 2b	<ul style="list-style-type: none"> None specific to this MPR with no incidences of Australian authorities not providing the required information within the specified timeframes.
3.1 (xxvi)	1	<ul style="list-style-type: none"> None specific to this MPR

Obligation	MPR	Weaknesses
3.1 (xxvii-xxviii)	1 - 2	<ul style="list-style-type: none"> None specific to this MPR
3.1 (xxix – xxxi)	1, 2a – 2f and 3	<ul style="list-style-type: none"> None specific to this MPR
3.3 (i-v)	1a	<ul style="list-style-type: none"> This obligation and its associated MPRs is not applicable to Australia
6.5	1	<ul style="list-style-type: none"> None specific to this MPR with no incidences of Australian authorities not providing the required information within the specified timeframes.
	2	<ul style="list-style-type: none"> This MPR is not applicable to Australia

c) Risks (threats to compliance) associated with Australia's SBT fishery and associated management in relation to CCSBT's MPRs

Obligation	MPR	Risks (Threats)
1.1 (i)	1	<ul style="list-style-type: none"> None specific to this MPR. Reported ASBTC has been below Australian CCSBT AC in recent years.
	2a (i)	<ul style="list-style-type: none"> Ability for vessels to buy quota up to 14 days after capture may increase the probability of intentionally fishing beyond currently held quota in the farming sector. Risk of failing to reconcile quota within 14 days has been rated by AFMA as 'low/moderate'.
	2a (ii)	<ul style="list-style-type: none"> Potential for under-reporting of mortalities by vessels without observer coverage. This risk has been rated by AFMA as 'high'. Potential for misreporting or non-completion of Catch Disposal Records. This risk has been rated by AFMA as 'high'.
	2a (iii)	<ul style="list-style-type: none"> None specific to this MPR – AFMA mandates an appropriate time scale in which catch estimates and logbooks must be returned.
	2b	<ul style="list-style-type: none"> No figure is available for total Australian recreational removals of SBT. The review team note that a methodology is being developed to assess the national recreational charter catch of SBT.
	2c (i)	<ul style="list-style-type: none"> None specific to this MPR.
	2c(ii)	<ul style="list-style-type: none"> Potential for inaccuracy and/or bias in estimates of weight of SBT transferred to farms. This risk has been recognised by AFMA.
	3	<ul style="list-style-type: none"> None specific to this MPR; mortality is reported more frequently than necessary.
	4	<ul style="list-style-type: none"> AFMA has identified failure to have an operating VMS system at all times as a low/moderate risk.
1.1 (iii)	1a	<ul style="list-style-type: none"> Potential for misreporting as identified by an administrative oversight outlined by Australia in Section 9 which shows that the carry-forward procedure for unfished quota has in fact been used from the 2013 to the 2014 fishing season.
	1b	<ul style="list-style-type: none"> Potential for misreporting as identified by an administrative oversight outlined by Australia in Section 9.
2.3	(i)	<ul style="list-style-type: none"> This MPR is not applicable to Australia
3.1 (i-v)	1a- 1e	<ul style="list-style-type: none"> None specific to this MPR
	2	<ul style="list-style-type: none"> None specific to this MPR
	3	<ul style="list-style-type: none"> None specific to this MPR
3.1 (vi)	1	<ul style="list-style-type: none"> This MPR is not applicable to Australia
	2	<ul style="list-style-type: none"> None specific to this MPR
3.1 (vii–ix)	1-3	<ul style="list-style-type: none"> This MPR is not applicable to Australia
3.1 (x-xii)	1(a) – 1(e)	<ul style="list-style-type: none"> None specific to this MPR
3.1 (xiii – xviii)	1 - 2	<ul style="list-style-type: none"> None specific to this MPR
3.1 (xix-xxi)	1a – 1f & 2	<ul style="list-style-type: none"> None specific to this MPR
3.1 (xxii – xxv)	1a – 1d & 2a – 2b	<ul style="list-style-type: none"> None specific to this MPR
3.1 (xxvi)	1	<ul style="list-style-type: none"> None specific to this MPR

Obligation	MPR	Risks (Threats)
3.1 (xxvii-xxviii)	1 - 2	<ul style="list-style-type: none"> None specific to this MPR
3.1 (xxix – xxxi)	1, 2a – 2f and 3	<ul style="list-style-type: none"> None specific to this MPR
3.3 (i-v)	1a	<ul style="list-style-type: none"> This obligation and its associated MPRs is not applicable to Australia
6.5	1	<ul style="list-style-type: none"> None specific to this MPR with no incidences of Australian authorities not providing the required information within the specified timeframes.
	2	<ul style="list-style-type: none"> This MPR is not applicable to Australia

7 Recommendations for Improvement

Based on the SWOT analysis and review of the effectiveness of management systems against the CCSBT minimum performance requirements in Section 3, the review team has provided recommendations for improvement of Australia's fishery management systems (Table 4). The key recommendations proposed by the QAR are;

- Publicise total un-fished SBT quota when it falls below a threshold level and/or hold quota in reserve for the end of the season
- Continue with development of a nationwide recreational catch monitoring program.
- Increase observer coverage, particularly in the direct landings sector and on tow vessels.
- Continue the development of stereo-video technology and monitor its effectiveness.

Table 4 – Recommendations (opportunities) identified by the strengths, weaknesses, opportunities and threats (SWOT) analysis conducted for Australia's systems determining compliancy to CCSBT MPRs

Obligation	MPR	Recommendations
1.1 (i)	1	<ul style="list-style-type: none"> • None specific to this MPR.
	2a (i)	<ul style="list-style-type: none"> • Publicise total un-fished SBT quota when it falls below a threshold level and/or hold quota in reserve for the end of the season.
	2a (ii)	<ul style="list-style-type: none"> • Increase observer coverage, particularly in the direct landings sector and on tow vessels. • Introduce training schemes for capture and tow vessel crew to ensure measurements are taken using the same methodology as observers.
	2a (iii)	<ul style="list-style-type: none"> • None specific to this MPR.
	2b	<ul style="list-style-type: none"> • Continue with the development of the nationwide recreational fishery monitoring program. • Report estimates of recreational fishery removals to CCSBT as soon as they become available.
	2c (i)	<ul style="list-style-type: none"> • Increase observer coverage, particularly in the direct landings sector and on tow vessels.
	2c(ii)	<ul style="list-style-type: none"> • Continue the development of stereo-video technology. Ensure the accuracy of the current systems are frequently checked, and continue researching potential improvements to the stocking-monitoring process.
	3	<ul style="list-style-type: none"> • None specific to this MPR.
	4	<ul style="list-style-type: none"> • None specific to this MPR.
1.1 (iii)	1a	<ul style="list-style-type: none"> • None specific to this MPR.
	1b	<ul style="list-style-type: none"> • A review of the administration process and potential adjustment of processes is recommended to ensure no administrative errors occur in the future.
2.3	(i)	<ul style="list-style-type: none"> • This MPR is not applicable to Australia
3.1 (i-v)	1a	<ul style="list-style-type: none"> • None specific to this MPR
	1b	<ul style="list-style-type: none"> • None specific to this MPR
	1c	<ul style="list-style-type: none"> • None specific to this MPR
	1d	<ul style="list-style-type: none"> • None specific to this MPR
	1e	<ul style="list-style-type: none"> • None specific to this MPR

Obligation	MPR	Recommendations
	2	<ul style="list-style-type: none"> None specific to this MPR
	3	<ul style="list-style-type: none"> None specific to this MPR
3.1 (vi)	1	<ul style="list-style-type: none"> This MPR is not applicable to Australia
	2	<ul style="list-style-type: none"> None specific to this MPR
3.1 (vii–ix)	1-3	<ul style="list-style-type: none"> This MPR is not applicable to Australia
3.1 (x-xii)	1(a) – 1 (e)	<ul style="list-style-type: none"> None specific to this MPR
3.1 (xiii – xviii)	1 - 2	<ul style="list-style-type: none"> None specific to this MPR
3.1 (xix-xxi)	1a – 1f & 2	<ul style="list-style-type: none"> None specific to this MPR
3.1 (xxii – xxv)	1a – 1b & 2a – 2b	<ul style="list-style-type: none"> Integration of CDS reporting into a centralised AFMA system. Currently PISCES doesn't incorporate this and additional spreadsheets are used for reporting.
3.1 (xxvi)	1	<ul style="list-style-type: none"> None specific to this MPR
3.1 (xxvii-xxviii)	1 - 2	<ul style="list-style-type: none"> None specific to this MPR
3.1 (xxix – xxxi)	1, 2a – 2f & 3	<ul style="list-style-type: none"> Whilst validator performance is reviewed as part of the wider audit process. It is recommended that specific performance monitoring could be introduced to formalise this process and provide a record of performance. This would allow directed actions to specific validators as required.
3.3 (i-v)	1a	<ul style="list-style-type: none"> This obligation and its associated MPRs is not applicable to Australia
6.5	1	<ul style="list-style-type: none"> None specific to this MPR
	2	<ul style="list-style-type: none"> This MPR is not applicable to Australia

8 Phase 2 Gap analysis

A Gap analysis was conducted by the review team to identify whether there were areas within CCSBT's MPRs where the information provided by Australia during phase 1 was inconsistent with the information sighted/provided during the phase 2 site visit. Table 9 summarises the key points associated with MPRs from phase 1 and compares this with observations during phase 2 to identify whether there are any gaps. If and where gaps were noted, these have been highlighted and associated recommendations made where applicable.

During the phase 1 audit Australia provided comprehensive information and a variety of documents that outlined the SBT fishery within Australia, including both the wild fisheries sector and the farm sector. Observations from phase 2 of the QAR supported the key points identified during phase 1.

Table 9 GAP analysis of information obtained during phase 1 and the information sighted/provided during the phase 2 site visit.

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents/ Systems sighted	Summary
1.1 (i)	1	<ul style="list-style-type: none"> Australian fishing season runs for 12 months from 1st December – 30th November, although between December 2009 and November 2011 a 24-month season was implemented. SBT management plan requires the TAC be set in line with the Australian CCSBT AC. Australia has used the carry-forward procedure for unfished quota from 2013 to the 2014 fishing season. Australia has advised the Commission and will report the carry forward in its annual report to the Extended Commission (Section 9). 	<ul style="list-style-type: none"> AFMA's databases were shown to the review team highlighted the systems and processes used to record and monitor SBT quota. The reporting system used for quota reports was shown, The xls. databases are used internally for monitoring quotas were seen. AFMA explained the rationale for these being that the PISCES reports were not timely enough. 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Additional information was provided in the phase 2 site visit providing a comprehensive demonstration of the systems used. Information observed during phase 2 was consistent with phase 1 information.
	2a (i)	<ul style="list-style-type: none"> AFMA publish TAC and resultant quota per SFR before the start of the season. AFMA monitor quota trades, which can occur at any time during or up to 14 days after the end of the season. AFMA monitor the amount of quota remaining for each SFR holder, and the vessel to which that quota is assigned. 	<ul style="list-style-type: none"> Review team were shown the database systems used to monitor quota. Review team were shown how the process works 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1.
	2a (ii)	<ul style="list-style-type: none"> All commercial catch recorded by crew in mandatory gear-specific logbooks Catch data recorded on a daily, shot- 	<ul style="list-style-type: none"> Review team was shown completed examples of reporting logbooks 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents/ Systems sighted	Summary
		by-shot basis.			information obtained during phase 1.
	2a (iii)	<ul style="list-style-type: none"> Logbooks TPB03 and TPB01 must be submitted to AFMA in Canberra by the 14th day of the following month. An estimate of each purse seine haul is faxed to AFMA within 24 hours of being transferred to a tow vessel. Logbook AL06 must be submitted within 3 calendar days of the end of the fishing trip. Logbook PS01A must be submitted within 3 calendar days of the consignment being unloaded. 	<ul style="list-style-type: none"> Review team was shown completed examples of reporting logbooks 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1.
	2b	<ul style="list-style-type: none"> Commercial retained catch and discard mortality is estimated in mandatory daily logbooks Commercial towing mortality is estimated and reported to AFMA in the daily farm transit log. 	<ul style="list-style-type: none"> Review team was shown completed examples of reporting logbooks 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1.
	2c	<ul style="list-style-type: none"> At-sea observer coverage is around 20% for farm purse seining, 5% for towing, and 6-10% in the direct landings sector Vessel inspections conducted at sea and in port AFMA representative must be present and oversee the process whenever SBT is transferred from a tow vessel to a farm 	<ul style="list-style-type: none"> AFMA's AAR (Protec Marine) were present during all operations of the site visit, as per documentation provided during phase 1 Observations of observer reports were not sighted during the site visit but information provided was consistent with phase 1. 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1.

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents/ Systems sighted	Summary
	3	<ul style="list-style-type: none"> Logbook contents and CDS documentation submitted to CCSBT quarterly 	<ul style="list-style-type: none"> Reporting templates and the data xls. sources were shown to the review team with the reporting process run through. 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1.
	4	<ul style="list-style-type: none"> Compliance is monitored using a mandatory annual two-stage audit of farms and fish receivers, mandatory VMS, and at-sea and portside inspections AFMA conducts a compliance risk assessment program to identify potential areas under which compliance may be at risk 	<ul style="list-style-type: none"> Review team met with John Anderson the Senior Manager, Compliance Operations (Canberra) who provided information on compliance frameworks and audits. VMS system and capabilities were demonstrated to the team. Audit documentation and example reports were provided to the team. 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1. The VMS and audit processes observed in phase 2 were comprehensive and provided additional support to the information previously obtained.
1.1 (iii)	1a – 1b	<ul style="list-style-type: none"> Australia has used the carry-forward procedure for unfished quota from 2013 to the 2014 fishing season. Australia has advised the Commission and will report the carry forward in its annual report to the Extended Commission (Section 9). 	This was not observed by the review team. As outlined in Section 9 this information was not available at the time of site visit. The information related to the carry-forward of unfished quota from 2013 – 2014 was provided following the submission of the draft report for Member comments.		
2.3	(i)	<ul style="list-style-type: none"> Not applicable to Australia 			
3.1 (i-v)	1a	<ul style="list-style-type: none"> Pre-season briefing documents are provided to both the wild and farm sectors 	<ul style="list-style-type: none"> An example of a pre-season briefing guide is provided in the Appendices to this report. 	<ul style="list-style-type: none"> Yes. 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents/ Systems sighted	Summary
		<ul style="list-style-type: none"> Pre-season briefing meetings are held with participants within the farm industry Licence notices outline national and international obligations 	<ul style="list-style-type: none"> Pre-season guides and licence notifications demonstrate the information provided to participants in the fishery. 		information obtained during phase 1.
	1b	<ul style="list-style-type: none"> CDS introduced in 2010 No domestic sale, export or import can be accepted without verified CCSBT CDS documentation. 	<ul style="list-style-type: none"> An example of the CDS documentation required by Australia to accompany SBT was shown to the review team. The review team was shown examples of the documentation maintained by companies during the on-site visit of harvesting operations. 	<ul style="list-style-type: none"> Yes. 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1.
	1c	<ul style="list-style-type: none"> AFMA provide document to all entities within the SBT fishery outlining their CDS requirements, including the requirement to certify the CTF form. AFMA provides this information in the pre-season briefing guides and during pre-season meetings. 	<ul style="list-style-type: none"> See MPR 3.1 (i-v) 1a 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1.
	1d	<ul style="list-style-type: none"> All entities within the SBT farm sector record catches, daily mortalities as per AFMA's national reporting requirements and in line with CCSBT's CDS. 	<ul style="list-style-type: none"> Review team was shown how the national and international reporting obligations were managed by AFMA. Processes and systems used were demonstrated to the review team. 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1.
	1e	<ul style="list-style-type: none"> AFMA conducts compliance in line with the <i>National Compliance and Enforcement Policy</i>. Phase 1 and 2 audits are conducted to verify the 	<ul style="list-style-type: none"> The review team observed the documentation used by AFMA to conduct compliance checks on certification procedures. These 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 provided additional information to that

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents/ Systems sighted	Summary
		certification procedures are being followed.	included sighting audit checklists, audit risk based frameworks and observing audit outcomes.		from phase 1. The additional information emphasised the rigor of the audit process conducted by Australia.
	2	<ul style="list-style-type: none"> During phase 1 there were no specific exemptions identified to the CDS documentation. 	<ul style="list-style-type: none"> During phase 2 there were no specific exemptions identified to the CDS documentation. 	<ul style="list-style-type: none"> No 	<ul style="list-style-type: none"> During both phases no specific exemptions related to the CDS documentation requirements were identified.
	3	<ul style="list-style-type: none"> CDS documentation printed by established AFMA provider. Documentation is pre-printed with unique numbers 	<ul style="list-style-type: none"> Review team was shown the AFMA printed books as stored by Protec and by AFMA at their Canberra offices. 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1.
3.1 (vi)	1	<ul style="list-style-type: none"> Not applicable to Australia 			
	2	<ul style="list-style-type: none"> Lists of authorised vessels and farms are maintained by AFMA. Landing of fish by foreign vessel is prohibited without prior approval. 	<ul style="list-style-type: none"> Review team was shown the authorised lists maintained by AFMA. Example of authorised foreign vessel approval was not sighted. This was due to the fact that no foreign vessels have recently been issued with this. 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1.
3.1 (vii-ix)	1-3	<ul style="list-style-type: none"> Not applicable to Australia 			
3.1 (x-xii)	1(a)	<ul style="list-style-type: none"> All tags have the country code, 	<ul style="list-style-type: none"> Documentation provided during the 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents/ Systems sighted	Summary
		<p>calendar year, unique number and CCSBT logo stamped onto them.</p> <ul style="list-style-type: none"> All operators in the SBT fishery are informed that ASBTIA provide the SBT tags 	<p>site-visit emphasised the information provided to participants regarding CCSBT tagging requirements.</p> <ul style="list-style-type: none"> Example tags were shown to the review team during the site visit. These were previous year tags but provided examples of those used. 		<p>phase 2 were consistent with the information obtained during phase 1.</p>
	1(b)	<ul style="list-style-type: none"> ASBTIA provide a record of issued tags to AFMA. AFMA reconcile the tags issued against CDS documentation. Since 2013 – 2014 AFMA have instructed all SBT fishery participants to provide all unused or damaged tags to AFMA at the end of the season to aid full reconciliation of tags. 	<ul style="list-style-type: none"> The tagging databases (Xls. spreadsheets) were shown to the review team, demonstrating the reconciliation and recording of tag numbers. The full reconciliation of the 2013/14 was not available given the date the audit was conducted 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1.
	1(c)	<ul style="list-style-type: none"> Since 2010 no SBT may be accepted for domestic sale, export or import without the verified CCSBT CDS documentation including valid CCSBT tags A tagging database is maintained by AFMA and audits of fish tagging have been completed since 2010/11 	<ul style="list-style-type: none"> The tagging database was shown to the review team. Cross-checking and validation of the tag numbers used within SBT were demonstrated to the review team. 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1.
	1(d)	<ul style="list-style-type: none"> AFMA pre-season briefing guides provide an outline of the CDS requirements for all fishery participants. 	<ul style="list-style-type: none"> Documentation sighted in the phase 2 site visit corresponded with information identified during phase 1 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1.
	1(e)		<ul style="list-style-type: none"> Whilst no fish present the harvesting 	<ul style="list-style-type: none"> Yes 	

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents/ Systems sighted	Summary
			<p>process was walked through with the review team.</p> <ul style="list-style-type: none"> The process and point of tagging was consistent with the documentation requirements from phase 1 		
3.1 (xiii – xviii)	1	<ul style="list-style-type: none"> A tagging database is maintained by AFMA and audits of fish tagging have been completed since 2010/11 AFMA have a risk management strategy which encompassed CDS documentation. 	<ul style="list-style-type: none"> Review team sighted the tagging database which was consistent with phase 1 outcomes. Risk management strategy in place and outlined by AFMA staff. Audit aspects related to that were shown to the review team. 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1
	2	<ul style="list-style-type: none"> Compliance operations conducted both at sea and in port. Random audits also conducted on shore based facilities as required. 	<ul style="list-style-type: none"> At-sea inspection reports were not sighted. Although, VMS operations and information was provided on the arrangements between AFMA and South Australia related to at-sea operations. Audit documentation sighted 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1
3.1 (xix-xxi)	1a – 1f & 2	<ul style="list-style-type: none"> Validators sign a validator slip acknowledging their responsibilities. Electronic authorised lists maintained by AFMA. Unique identifier numbers provided to individual validators 	<ul style="list-style-type: none"> Review team were shown validator slip. Letter provided to validators confirming responsibilities also sighted. Validators are checked as part of the audit process but no specific monitoring or reporting related to validator performance was identified. 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1
3.1 (xxii –	1a –	<ul style="list-style-type: none"> Operating systems and processes are in 	<ul style="list-style-type: none"> Review team were shown the systems 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents/ Systems sighted	Summary
xxv)	1d & 2a – 2b	place to monitor compliance with catching restrictions.	and processes in place as described in Phase 1.		phase 2 were consistent with the information obtained during phase 1.
3.1 (xxvi)	1	<ul style="list-style-type: none"> • Hardcopy forms are stored on AFMA premises, after which they are archived and kept for a minimum of seven years • Electronic systems are maintained and backed up in line with AFMA's data management regulations. 	<ul style="list-style-type: none"> • Review team were shown the storage facilities for hardcopy forms within AFMA's offices. • In addition to this there is off-site storage used by AFMA • During the audit the reviewers observed security protocols whereby members of the data management team locked away documentation before leaving. 	<ul style="list-style-type: none"> • Yes 	<ul style="list-style-type: none"> • Observations in phase 2 were consistent with the information obtained during phase 1.
3.1 (xxvii-xxviii)	1	<ul style="list-style-type: none"> • Australia provides CCSBT CDS documents to CCSBT within the required timeframes (quarterly). • Australia compiles and submits national documentation to CCSBT on a quarterly basis. • Catch tagging information provided at the end of the season. 	<ul style="list-style-type: none"> • Review team were shown the reporting facilities to provide reports to CCSBT. • No observations contradicted the information provided within Phase 1 of the QAR. 	<ul style="list-style-type: none"> • Yes 	<ul style="list-style-type: none"> • Observations in phase 2 were consistent with the information obtained during phase 1.
3.1 (xxix – xxxi)	1, 2a – 2f & 3	<ul style="list-style-type: none"> • No SBT may be accepted for domestic sale, export or import without the verified CCSBT CDS documentation • Operating systems and processes in place to maintain a list of authorised validators. 	<ul style="list-style-type: none"> • Review team were shown the systems and processes in place as described in Phase 1. 	<ul style="list-style-type: none"> • Yes 	<ul style="list-style-type: none"> • Observations in phase 2 were consistent with the information obtained during phase 1.

Obligation	MPR	Phase 1	Phase 2		
		Key points	Observations	Documents/ Systems sighted	Summary
		<ul style="list-style-type: none"> Risk based compliance monitoring in place including a two level audit process used to identify and address irregularities in CDS documentation. 			
3.3 (i-v)	1a	<ul style="list-style-type: none"> Not applicable to Australia 			
6.5	1	<ul style="list-style-type: none"> Australian authorities provide the required compliance committee information electronically to the Executive Secretary in accordance with the reporting requirements. 	<ul style="list-style-type: none"> Reporting processes and templates were shown to the review team. Examples of liaisons with CCSBT regarding reports were also demonstrated, showing the interaction between Australia and CCSBT on reports. 	<ul style="list-style-type: none"> Yes 	<ul style="list-style-type: none"> Observations in phase 2 were consistent with the information obtained during phase 1.

9 Post Final Report Member Comments

Australia has carried forward unfished quota from the 2013 to the 2014 fishing season, as permitted by the *Resolution on Limited Carry-forward of Unfished Annual Total Allowable Catch of Southern Bluefin Tuna within Three Year Block*. Owing to an administrative oversight, this notification had not been provided by the time this report was prepared. This administrative error has now been corrected and Commission members advised. Australia will report on the use of its carry forward provisions in its annual report to the Extended Commission, as required by the Resolution.

9.1 Additional Member Comment Attachment

Members may wish to provide additional comments to the outcome of the review below.

10 Appendices

10.1 Appendix 1: Consultation Process

Organisation	Person	Action	Date
SAI Global	Dave Garforth	Initial Contact	15/04/2013
AFMA/DA	Johnathon Davey, Matt Daniel	Consultation arrangements	24/05/2013 – 19/06/2013
SAI Global	Dave Garforth and Sam Peacock		
AFMA	Matt Daniel	Providing documentation prior to consultation	07/06/2013 – 18/06/2013
AFMA/DA	Matt Daniel (AFMA), Anne Shepherd (AFMA), Sandra Sharmer (AFMA), Johnathon Davey (DA), Kelly Buchanan (DA)	Consultation conference call	19/06/13, 12am BST
SAI Global	Dave Garforth, Sam Peacock, Oliver Wilson		
AFMA	Matt Daniel	Providing additional documentation	19/06/2013 – 17/07/2013
SAI Global	Sam Peacock	Additional information request	20/06/13
SAI Global	Sam Peacock	Additional information request	03/07/13
AFMA/DA	Johnathon Davey (DA)	Phase 2 site visit arrangements	December 2013 – February –2014
SAI Global	Dave Garforth, Oliver Wilson and David Martin		
AFMA/DA	Matt Daniel (AFMA), Anne Shepherd (AFMA), Johnathon Davey (DA)	Phase 2 site visit	03/02/2014 – 07/02/2014
SAI Global	Oliver Wilson and David Martin		
AFMA	Matt Daniel (AFMA), Anne Shepherd (AFMA), Johnathon Davey (DAFF),	Providing additional documentation	09/02/2014
SAI Global	Oliver Wilson	Additional information request	14/05/2014
AFMA	Matt Daniel	Providing additional documentation	16/05/2014

10.2 Appendix 2: Overview of Obligations and Associated CCSBT Minimum Performance Requirements ⁷²

(Appendix 2 is a direct reflection of the official CCSBT documentation and as such is accurate to the date it was published. It is acknowledged that the 2014 allocated catch figures do not account for South Africa's decision not to accede by 31st May 2014)

Obligation 1.1(i):

For 2012, 2013 and 2014, each Member shall be bound to the Allocated Catch for the respective year as specified below:

	Allocated Catch (t)		
	2012	2013	2014*
Japan	2519	2689	3366*
Australia	4528	4698	5147
New Zealand	800	830	909
Korea	911	945	1036
Taiwan	911	945	1036
Indonesia	685	707	750

* The allocations shown for 2014 and the proportional allocation shown for Japan are dependent on the TAC for 2014 (these figures assume a TAC of 12,449t) and a compliance review at CCSBT 20 (2013) as described in the Resolution on the Allocation of the Global Total Allowable Catch.

Minimum Performance Requirements for Obligation 1.1(i):

1. Rules in place to ensure that the total "Attributable SBT Catch" (see the note below concerning the Attributable SBT Catch) of each Member does not exceed the Member's Allocated Catch for the relevant period.

Note on "Attributable SBT Catch"

Until the CCSBT agrees on a single definition, each Member and Cooperating Non-Member must clearly and unambiguously state the definition of its Attributable SBT Catch and these definitions are repeated below. As a minimum, the attributable catch must include all commercial catch landings:

- **Australia: All commercial catch, except catch that is released in a live and vigorous state.**
- **Indonesia: The amount of commercial catch/landing of tagged SBT within its national allocation.**
- **Fishing Entity of Taiwan: Retained commercial catch.**
- **Japan: The amount of SBT put into fish hold of the vessel.**
- **Korea: Commercial landing of SBT.**

⁷² CCSBT (2013). Minimum performance requirements to meet CCSBT Obligations - Compliance Policy Guideline 1 (Revised at the Eighth Meeting of the Compliance Committee) Available here: http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/CPG1_Minimum_Standards.pdf

• **New Zealand:** *Within its national allocation New Zealand allows for recreational and customary catch, other sources of fishing mortality and sets a total allowable commercial catch limit.*

• **European Union:** *Catches landed by commercial vessels*

• **Philippines:** *The entire catch of SBT including any discards (alive or dead) counted is against its allocation.*

• **South Africa:** *Any SBT catch that is landed, independently verified by the Department, and counted against the individual right holding company in the tuna and swordfish longline sectors. This does not include SBT that has been released alive, discarded, depredated or confiscated.*

2. Operating systems and processes established to:

- a) Implement annual catching arrangements, including:
 - i. specification of allocations by company, quota holder or vessel,
 - ii. arrangements for daily recording of all catches,
 - iii. weekly reporting of catches by large scale tuna longliners and monthly reporting of catches by coastal fishing vessels.

- b) In accordance with the timeline in the table in the Compliance Policy Guideline document, monitor all **fishing-related mortality of SBT**.

Starting Year for Monitoring of SBT Mortality

MEMBER	Sources of SBT Mortality					
	Commercial Retained Catch (t)	Commercial Discard Mortality (numbers and/or estimated weight)	Commercial Towing Mortality (t)	Non-Commercial Retained Catch (t)	Other Discard Mortality (numbers and/or estimated weight)	Other Sources of Mortality (numbers and/or estimated weight)
Australia	now	now	now	now	now	now
Indonesia	now	now	N/A	now	now	now
Japan	now 2	now	N/A	N/A	now	now
Republic of Korea	now	now	N/A	N/A	now	now
New Zealand	now	now	N/A	now	now	now
Taiwan	now	now	N/A	N/A	now	now
European Union	now	now	N/A	N/A	now	now
Philippines	now	now	N/A	N/A	now	now
South Africa	now	now	N/A	now	now	now

Any of the sources of the mortality listed in the table above may or may not contribute to 'Attributable Catch'

- c) Ensure accuracy of the "Attributable SBT Catch", including:
 - i. For fishing Members, a physical inspection regime of SBT caught by the Member's fishing vessel

- ii. For farming Members, monitoring the accuracy of the stereo video monitoring and adjusting/ re-calibrating where necessary.

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

4. Operating systems and processes applied to:

- a. monitor compliance with annual catching arrangements; and
- b. impose sanctions or remedies where necessary.

Obligation 1.1(ii) applies only to Co-operating Non-Members

Obligation 1.1(iii):

Unless the Extended Commission reduces the TAC or a Member's allocation of the TAC, Members may carry forward up to 20% of their unfished quota to the next quota year within the same three year quota block, but quota that is carried forward may not in turn generate further under-fishing to be carried forward to the following year. Members that decide to adopt the carry-forward procedure for their fishery shall:

- a. Report on their use of the procedure in their annual reports to the Extended Commission, regardless of whether the procedure was in fact used by the Member during that quota year;
- b. If at the beginning of a new quota year, the Member decides to carry forward unfished quota from a previous year, it shall within 60 days of the new quota year, notify the Secretariat of this carry-forward and provide a revised annual available catch limit (i.e. Catch Allocation + carry-forward) for the new quota year

Minimum Performance Requirements for Obligation 1.1(iii):

1. For Members that decide to adopt the carry-forward procedure (regardless of whether carry-forward was used in the particular year):
 - a) Operating systems and processes must be in place to ensure that
 - i. an accurate, verified and robust figure for the final Attributable Catch is available before the notification to the Secretariat of the carry-forward,
 - ii. a report on the adoption and use of the carry-forward procedure, together with documentation on quantification and verification of the total catch is included in each annual report to the Extended Commission;
 - b) The Executive Secretary is formally notified of the catch for the concluded quota year together with the available catch limit (Catch Allocation + carry-forward) for the new quota year within 60 days of the start of the new quota year.

10.3 Appendix 3: Copies of fishery logbooks & other paperwork

Appendix	Form	Source
3.1	Permanent Transfer Application for Fishing Concessions (TC)	AFMA – <i>pers comm</i> Matt Daniel
3.2	Seasonal Lease Application for Fishing Concessions (LC)	AFMA – <i>pers comm</i> Matt Daniel
3.3	Attachment SBT (SBT SFR trading attachment)	AFMA – <i>pers comm</i> Matt Daniel
3.4	Boat Nomination (BN)	AFMA – <i>pers comm</i> Matt Daniel
3.5	Certificate of Quota Statutory Fishing Rights	AFMA – <i>pers comm</i> Matt Daniel
3.6	Lease Confirmation form	AFMA – <i>pers comm</i> Matt Daniel
3.7	TPB03	AFMA – <i>pers comm</i> Matt Daniel
3.8	AL06	AFMA – <i>pers comm</i> Matt Daniel
3.9	PS01A	AFMA – <i>pers comm</i> Matt Daniel
3.10	TPB01	AFMA – <i>pers comm</i> Matt Daniel
3.11	SBT02	AFMA – <i>pers comm</i> Matt Daniel
3.12	SBT03B	AFMA – <i>pers comm</i> Matt Daniel
3.13	SBT04B	AFMA – <i>pers comm</i> Matt Daniel
3.14	PT02B	AFMA – <i>pers comm</i> Matt Daniel
3.15	Template for farm Level 1 audit 2011/12 season	AFMA – <i>pers comm</i> Matt Daniel
3.16	Template for wild catch Level 1 audit 2011/12 season	AFMA – <i>pers comm</i> Matt Daniel
3.17	Guidelines for conducting Level 2 audit	AFMA – <i>pers comm</i> Matt Daniel
3.18	Example of Authorised Validator sheet for individual Fish Receiver Permit holders	AFMA – <i>pers comm</i> Matt Daniel
3.19	AFMA Procedures for Transfer Weighing – 100 Fish Sample	AFMA (2013) Pre-Season Briefing Guide, Farm Sector
3.20	Systematic Verification of Catch – Farm Sector	CCSBT-CC/1310/SBT Fisheries - Australia
3.21	Systematic Verification of Catch – Longline Sector	CCSBT-CC/1310/SBT Fisheries - Australia

3.1 – Permanent Transfer Application for Fishing Concessions (TC)

Australia Government
Australian Fisheries
Management Authority

Permanent Transfer Application for Fishing Concessions TC

This form should be completed to transfer Statutory Fishing Rights (SFRs) or other concessions in the following fisheries:

- Bass Strait Central Zone Scallop (SCA)
- Eastern Tuna and Billfish (ETBF)
- Heard Island and McDonald Islands (HIM)
- Macquarie Island Toothfish (MIT)
- Northern Prawn Fishery (NPF)
- Shark and Deepwater Species (SDW)
- Small Pelagic Fishery (SPF)
- Southern and Eastern Scallop and Shrimp (SESS)
- Southern Bluefin Tuna (SBT)
- Southern Spiny Log (SGL)
- Western Tuna and Billfish (WTBF)

Note: All vessels and gear relating to the concessions being transferred must be paid prior to transfer.

All logbooks and Catch Disposal Records need to be returned to AFMA before the transfer.

There is no fee for this transaction.

What you need to do

- 1) The current SFR/concession owner(s) and the proposed SFR/concession owner(s) must complete this form and make sure it is signed and dated by both parties. The checklist on page 2 must also be completed to show the documents being submitted with this form.
- 2) Complete the appropriate Attachment form for the relevant fisheries being transferred. Attachment forms are available from www.afma.gov.au or by contacting AFMA Direct 1300 723 621.
- 3) Post or fax this completed form along with the attachments to: Australian Fisheries Management Authority, Box 7321, Canberra Business Centre, ACT 2610, Fax: (02) 6225 5426.

Note: You must send your original Certificate of Ownership.

Who can sign this form?

Trading Name – All individual or corporate owners of a trading name must be specified on the application and all sign this form.

Companies – A company may sign in any manner (including under seal) authorized by s127 of the Corporations Act 2001.

Co-Holders – If the concession is held more than one name (jointly/tenancy or otherwise), all holders must sign this form. If there are more than two holders please attach and date a separate sheet.

Power of Attorney – If a party signs under a Power of Attorney the attorney must state "Signed for (name of principal) by (authorised attorney (name of attorney) pursuant to Power of Attorney Register number (number or date if not required to be registered) in that State who states that holder has no notice of the execution of the power". A copy of the registered power should accompany this form.

Trusts – The beneficial interests in any trust will not be recognized by AFMA (see s417 Fair Act). A Trustee may only sign and date this form as the legal owner in their own right.

Other Service Charter

In relation to services that AFMA provide to our industry clients, we will process routine applications for leases, transfers and other changes affecting fishing concessions within seven days of receipt, subject to you supplying us with everything we need to complete the transactions and to clearance being obtained from other State licensing authorities, where relevant.

Privacy Information

The Australian Fisheries Management Authority (AFMA) is authorized to collect information provided on this form under the Fisheries Management Act 1991. Information is collected pursuant to our data collection functions under the Fisheries Administration Act 1991 section 75. Consistent with AFMA's objectives and/or functions under powers, the information provided may be disclosed to:

- Australian, State and Territory governments and agencies involved in the enforcement of law.
- Australian and international fisheries research and management organizations, and
- foreign governments in support of domestic and international obligations in relation to fisheries management, research and conservation.

For more information about privacy please contact AFMA on 1300 723 621.

Note: If you need more space for any of your answers, please attach a separate sheet with the details.

PART A – Current SFR/concession owner's details

- 1 Name(s) of current SFR/concession owner(s)
Note: A business name is not necessarily a legal entity. A business name is either owned by a person, persons, or a company.
- 2 ACN (if applicable)
- 3 ABN (if applicable)
- 4 Name of boat (if applicable)
- 5 COT date of lease (leave blank if and date is end of current fishing season)
- 6 Which fishing season does this transaction apply to?

Business phone: _____
 Mobile: _____
 Fax: _____
 Street address: _____
 Postcode: _____

Contact person's name: _____
 Business phone: _____
 Mobile: _____
 Fax: _____
 Street address: _____
 Postcode: _____

Name of boat (if applicable): _____

COT date of lease (leave blank if and date is end of current fishing season): _____ / _____

Which fishing season does this transaction apply to? _____

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PART B – Proposed SFR/concession owner's details

- 1 Name(s) of proposed SFR/concession owner(s)
Note: A business name is not necessarily a legal entity. A business name is either owned by a person, persons, or a company.
- 2 ACN (if applicable)
- 3 ABN (if applicable)
- 10 Postal address
- 11 Street address (if same as postal address, write 'the above')
- 12 Contact person's name
- 13 Name of boat (if applicable)

Business phone: _____
 Mobile: _____
 Fax: _____
 Street address: _____
 Postcode: _____

Contact person's name: _____
 Business phone: _____
 Mobile: _____
 Fax: _____
 Street address: _____
 Postcode: _____

Name of boat (if applicable): _____

PART C – Declarations

IMPORTANT

- Please read "Who can sign this form" on page 1 before completing this Declaration.
- It is an offence under s156, 1(1) of the Criminal Code Act 1992 to make a false or misleading statement or omission.

Declaration by CURRENT SFR/concession owner(s)

I, the current SFR/concession owner detailed in Part A of this form:

- apply to permanently transfer the SFR/concessions detailed in the Attachments to this form, to the proposed SFR/concession owner detailed in Part B of this form, and
- declare that there are sufficient SFR/concessions to cover this transfer, and
- note the summary catch data, being catch by species by year, held by AFMA in relation to the fishing concession will be made available to the transferee, and
- declare that the information provided on this form and the Attachments is, to the best of my knowledge, true and correct.

Signature and date: _____ / _____
 Full name: _____
 Position held in company (if applicable): _____

Signature and date: _____ / _____
 Full name: _____
 Position held in company (if applicable): _____

Company seal (if applicable): _____

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Declaration by PROPOSED SFR/concession owner(s)

I, the proposed SFR/concession owner detailed in Part B of this form:

- apply for the permanent transfer of the SFR/concessions detailed in the Attachments to this form, from the current SFR/concession owner(s) detailed in Part A of this form, and
- declare that the information provided on this form and the Attachments is, to the best of my knowledge, true and correct.

Signature and date: _____ / _____
 Full name: _____
 Position held in company (if applicable): _____

Signature and date: _____ / _____
 Full name: _____
 Position held in company (if applicable): _____

Company seal (if applicable): _____

Checklist of attachments

The attachments to this application are:

- ETBF – Eastern Tuna and Billfish Attachment
- HIM – Heard Island and McDonald Islands Attachment
- MIT – Macquarie Island Toothfish Attachment
- NPF – Northern Prawn Fishery Attachment and original Certificates and Statements
- SBT – Southern Bluefin Tuna Attachment
- SCA – Bass Strait Central Zone Scallop Attachment
- SDW – Shark and Deepwater Species Attachment
- SESS – Southern and Eastern Scallop and Shrimp Attachment
- SPF – Small Pelagic Fishery Attachment
- SGL – Southern Spiny Log Attachment
- WTBF – Western Tuna and Billfish Attachment
- BN – Boat Notification form
- Original certified copy of the Authority or Power of Attorney (if applicable)
- Original Certificate of Ownership

Timekeeper


If this form was completed by a business with fewer than 20 employees, please provide an estimate of the time taken to complete this form. Include:

- the time actually spent reading the instructions, working on the questions and obtaining the information
- the time spent by all employees in collecting and providing this information.

_____ hours _____ minutes

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2 – Seasonal Lease Application for Fishing Concessions (LC)



Seasonal Lease Application for Fishing Concessions

LC

AFMA Direct 1300 723 621

LC (AFMA) Page 1 of 3

Privacy Information

The Australian Fisheries Management Authority (AFMA) is authorised to collect the information provided on this form under the Fisheries Management Act 1991. Information is collected pursuant to our data collection functions under the Fisheries Administration Act 1991 (section 7). Consistent with AFMA's operations and/or functions under the law, the information provided may be disclosed to:

- Australian, State and Territory governments and agencies involved in the enforcement of law;
- Australian and International fisheries research and management organisations; and
- foreign governments in support of demands and international obligations in relation to fisheries management, research and compliance.

For more information about privacy please contact AFMA on 1300 723 621.

What you need to do

- 1) The current SFR/concession owner(s)/lessor(s) and the proposed SFR/concession lessee(s) must complete this form and make sure it is signed and dated by both parties. The checklist on page 2 must also be completed to show the documents being submitted with this form.
- 2) Complete the appropriate Attachment form for the relevant fisheries being leased. Attachment forms are available from www.afma.gov.au or by contacting AFMA Direct 1300 723 621.
- 3) Post or fax this completed form along with the attachment(s) to:
Australian Fisheries Management Authority
Box 1261
Canberra Business Centre ACT 2610
Fax: (02) 6235 5426

Who can sign this form?

Trading Name – All individual or corporate owners of a trading name must be specified as the applicants and all sign this form.

Companies – A company may sign in any manner (including under seal) authorised by s127 of the Corporations Act 2001.

Co-traders – If the concession is in more than one name (partnership or otherwise), all holders must sign this form. If there are more than two holders please attach and date a separate sheet.

Powers of Attorney – If a party signs under a Power of Attorney the attorney must state (signed for (names of principal) by holder/holders attorney (names of attorney) pursuant to Power of Attorney Register number (number or date if not required to be registered in that State) who states that holder has no notice of the revocation of the power. A copy of the registered power should accompany this form.

Trusts – The beneficial interests in any trust will not be recognised by AFMA (see s47 FM Act). A trustee may only sign and date this form as the legal owner in their own right.

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Seasonal Lease Application for Fishing Concessions

LC

AFMA Direct 1300 723 621

LC (AFMA) Page 2 of 3

Declaration by PROPOSED SFR/concession lessee(s)

I, the proposed SFR/concession lessee detailed in Part B of this form:

- apply for the seasonal lease of the SFR/concessions detailed in the Attachments to this form, from the current SFR/concession owner(s)/lessor(s) detailed in Part A of this form, and
- declare that the information provided on this form and the Attachments is, to the best of my knowledge, true and correct.

Signature and date / /

Full name _____

Position held in company (if applicable) _____

Signature and date / /

Full name _____

Position held in company (if applicable) _____

Company seal (if applicable) _____

AFMA Direct 1300 723 621

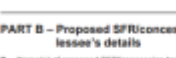
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Seasonal Lease Application for Fishing Concessions

LC

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LC (AFMA) Page 3 of 3

PART B – Proposed SFR/concession lessee's details

7 Name(s) of proposed SFR/concession lessee(s)
Note: A business name is not necessarily a legal entity. A business name is either owned by a person, persons, or a company.

8 ACN (if applicable) _____

9 ABN (if applicable) _____

10 Postal address

Postcode

11 Street address (if same as postal address, write 'N/A above')

Postcode

12 Contact person's name

Business phone _____

Mobile _____

Fax _____

Email address _____

13 Name of boat (if applicable) _____

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LC

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LC (AFMA) Page 3 of 3

PART C – Declarations

IMPORTANT

- Please read 'Who can sign this form' on page 1 before completing this Declaration.
- It is an offence under s133, 1(7) of the Criminal Code Act 1995 to make a false or misleading statement or omission.

Declaration by CURRENT SFR/concession owner(s)/lessor(s)

I, the current SFR/concession owner/lessor detailed in Part A of this form:

- apply to seasonally lease the SFR/concessions detailed in the Attachments to this form, to the proposed SFR/concession lessee(s) detailed in Part B of this form, and
- declare that there are sufficient SFR/concessions to cover this lease, and
- declare that the information provided on this form and the Attachments is, to the best of my knowledge, true and correct.

Signature and date / /

Full name _____

Position held in company (if applicable) _____

Signature and date / /

Full name _____

Position held in company (if applicable) _____

Company seal (if applicable) _____

AFMA Direct 1300 723 621

www.afma.gov.au


Protecting our fishing future

AFMA Direct 1300 723 621

www.afma.gov.au

Protecting our fishing future

3.3 - Attachment SBT (SBT SFR trading attachment)



Australian Government
Australian Fisheries
Management Authority

Attachment SBT

Southern Bluefin Tuna Fishery

SBT (Dec 05) Page 1 of 1

SBT

This form should be completed to transfer/lease Southern Bluefin Tuna Statutory Fishing Rights (SFRs).

What you need to do

- 1) The **current** SFR owner/lessor must complete this form and provide their initials, date and name in the Declaration section.
- 2) The **proposed** SFR owner/lessee must provide their initials, date and name in the Declaration section.
- 3) This form must be lodged with the Seasonal Lease/Permanent Transfer Application.

1 Which boat will the proposed owner/lessee be using with the SFRs being transferred/leased?

No boat

Current boat

New boat The proposed owner/lessee must complete form BN – Boat Nomination and lodge it with the Seasonal Lease/Permanent Transfer Application.

2 Number of SFRs or kg's* being transferred/leased

	SFRs	Kg's *
Southern Bluefin Tuna		

* Any kg to SFR conversion will be rounded to the nearest whole SFR.

3 Season

Declaration

I declare the information provided on this form is, to the best of my knowledge, true and correct.

▶ **Current owner/lessor's initials and date**

Current owner/lessor's name or company

▶ **Proposed owner/lessee's initials and date**

Proposed owner/lessee's name or company

AFMA Direct 1300 723 621

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3.4 - Boat Nomination (BN)

BN (Rev 05) Page 1 of 4



Australian Government
Australian Fisheries
Management Authority

Boat Nomination Statutory Fishing Rights and Fishing Permits

BN

This form should be completed to nominate Statutory Fishing Rights (SFR) or other concessions in Commonwealth fisheries. There is a \$300 fee for this nomination for permits. For all SFR and 'No Boat' nominations there is no charge.

What you need to do

- The current SFR/concession holder must complete, sign and date this form. The checklist on page 2 must also be completed to show the documents being submitted with this form. **Note:** If the proposed boat is currently nominated to permit/SFR/FA held by another person, you must obtain prior approval from AFMA to nominate that boat. Phone AFMA Direct 1300 723 621 for further information.
- Complete the appropriate BN Attachment form for the relevant fisheries being nominated. BN Attachment forms are available from www.afma.gov.au or by contacting AFMA Direct 1300 723 621.
- Fill or fax this completed form along with the attachment(s) to: Australian Fisheries Management Authority, Box 7051, Canberra Business Centre, ACT 2610. Fax: (02) 6225 8426. **Note:** You must post your original permit with this application.

Who can sign this form?

Companies - Where the company has a sole Director who is also the sole Company Secretary, this form must be signed and dated by that person. If the company (pursuant to section 258M of the Corporations Act 2001) does not have a Company Secretary, a sole Director can sign and date alone.

If the company has more than one Director, this form must be signed and dated by two Directors or by one Director and the Company Secretary.

Joint holders - If the concession is in more than one name (partnership or otherwise), all holders must sign and date this form. If there are more than two holders, please attach a separate sheet.

Power of Attorney or Authorities - To sign under a Power of Attorney or Authority you must produce an original certified copy of the Power of Attorney or Authority to this form.

Trusts - AFMA does not accept Trusts. Incorporated Trusts or Superannuation Funds however, the Trustees, as either an individual or company, can sign and date this form. AFMA will not accept a Trustee of a bankrupt estate.

Privacy information

The Australian Fisheries Management Authority (AFMA) is authorised to collect the information provided on this form and the Attachments under the Fisheries Management Act 1981. The information provided will be used for assessing your eligibility for a Commonwealth fishing entitlement. Consistent with AFMA's objectives and/or functions under the Fisheries Management Act 1981, the information provided may be disclosed to:

- Australian, State and Territory governments and agencies involved in the enforcement of law
- Australian and International fisheries research and management organisations, and
- foreign governments in support of domestic and international obligations in relation to fisheries management, research and surveillance.

For more information about privacy please contact AFMA on 1300 723 621.

AFMA Direct 1300 723 621 www.afma.gov.au Protecting our fishing future

PART A - Current concession holder(s) details

1 Name(s) of current concession holder(s): **Note:** A business name is not necessarily a legal entity. A business name is either owned by a person, or persons, of a company.

2 ABN number (if applicable):

3 Postal address:

4 Street address (if same as postal address, write 'As above'):

5 Contact person's name:

Business phone: _____
Mobile: _____
Fax: _____
Email address: _____

PART B - Fishing permit details

6 Do you have a fishing permit(s) to be nominated?
No Yes Permit number(s): _____

BN (Rev 05) Page 2 of 4

PART C - Current boat details

7 Which boat is currently nominated on the permit(s)?
No boat Go to question 9
OR Name of boat: _____

8 Is there a state/territory licence for this boat?
No Yes Which state/territory:
NSW WA TAS
QLD NT SA
VIC **Note:** You should contact the state/territory agency to find out your obligations in relation to the licence(s).

9 Are you using this form to nominate 'No Boat' or a different boat?
No Boat Go to the Declaration. You do not need to complete Part C.
A different boat

PART D - Proposed boat details

10 Name(s) of current owner(s): **Note:** A business name is not a legal entity. A business name is either owned by a person, or persons, of a company.

11 ABN number (if applicable):

12 Postal address:

13 Street address (if same as postal address, write 'As above'):

14 Contact person's name:

Business phone: _____
Mobile: _____
Fax: _____
Email address: _____

15 Name of boat: _____

16 Distinguishing symbol: _____

17 Boat type: Live Purse Seine Trawl
Hook Gillnet Trawl
Other Please specify: _____

18 Length - LOA: _____ metres

19 Tonnage - GR: _____

20 Home port: _____

21 Emergency contact details for the boat (e.g. satellite phone number): _____

22 Is there a state/territory licence for this boat?
No Yes Which state/territory:
NSW WA TAS
QLD NT SA
VIC **Note:** You should contact the state/territory agency to find out your obligations in relation to the licence(s).

23 Is the boat currently nominated to permit/SFR/FA held by another person?
No Yes You must obtain prior approval from AFMA to nominate this boat. Phone AFMA Direct 1300 723 621 for further information.

AFMA Direct 1300 723 621 www.afma.gov.au Protecting our fishing future

BN (Rev 05) Page 3 of 4

IMPORTANT

- Please complete the Attachments relevant to the SFR/concessions you are transferring before signing this Declaration.
- Please read 'Who can sign this form' on page 1 before completing this Declaration.
- It is an offence under s36, 1(1) of the Criminal Code Act 1985 to make a false or misleading statement or omission.

Declaration by CURRENT concession holder(s)

I, the current concession holder detailed in Part A of this form:

Nominate the Australian Boat described in Part D for the purposes of the Fishing Concession(s) specified in Part B of this form. OR

Herely surrender the permit(s) described in Part B of this form on the condition that a replacement permit specifying 'No Boat' is issued to me.

I declare that the information provided on this form and the Attachments is, to the best of my knowledge, true and correct.

Signature and date: _____ / /

Full name: _____

Position held in company (if applicable): _____

Company seal (if applicable): _____

Signature and date: _____ / /

Full name: _____

Position held in company (if applicable): _____

Checklist of attachments

The attachments to this nomination are:

- BN-ETSP - Eastern Tuna and Gillfish Attachment
- BN-H2 - High Seas Attachment
- BN-NP - Northern Prawn Fishery Attachment and original Certificates and Statements
- BN-SBT - Southern Bluefin Tuna Attachment
- BN-SCA - Bass Strait Central Zone Scallop Attachment
- BN-SDF - Shark and Deepwater Species Attachment
- BN-SES - Southern and Eastern Statefish and Shark Attachment
- BN-SQJ - Southern Squid Jig Attachment
- BN-WTF - Western Tuna and Billfish Attachment
- Authorised Representative form
- Current hull survey certificate (for SST fisheries only)
- Original permit(s)
- \$300 for permit transactions (if any)
- Reasons why the proposed boat is unable to carry an observer (for SST fisheries only, if applicable)

Timesaver

If this form was completed by a business with fewer than 20 employees, please provide an estimate of the time taken to complete this form.

Include:

- the time actually spent reading the instructions, working on the questions and obtaining the information
- the time spent by all employees in collating and providing this information.

_____ Hours _____ Minutes

AFMA Direct 1300 723 621 www.afma.gov.au Protecting our fishing future

Certificate of Quota Statutory Fishing Rights



Australian Government
Australian Fisheries Management Authority

CERTIFICATE NO.

CLIENT ID

CERTIFICATE OF QUOTA STATUTORY FISHING RIGHTS

Southern Bluefin Tuna Fishery

This is to certify that, under the *Fisheries Management Act 1991*

has been granted the following Quota Statutory Fishing Right(s)(SFRs) under the *Southern Bluefin Tuna Fishery Management Plan 1995*.

<u>Name</u>	<u>SFR(s)</u>
Southern Bluefin Tuna Quota SFR	

The holder of these Quota Statutory Fishing Rights (SFRs), or authorised agent, is subject to the terms, provisions and conditions of the:

- a) *Southern Bluefin Tuna Fishery Management Plan 1995;*
- b) *Fisheries Management Act 1991 and in particular the conditions specified in subsection 22(3); and*
- c) *Fisheries Management Regulations 1992.*

FOR AND ON BEHALF OF THE AUSTRALIAN
FISHERIES MANAGEMENT AUTHORITY (AFMA)

NAME


DATE

AFMA Direct 1300 723 621

www.afma.gov.au

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3.6 - Lease Confirmation form



Australian Government
Australian Fisheries Management Authority

SEASON _____
PRINT DATE _____

Lease Confirmation

Southern Bluefin Tuna Fishery

In reference to your notification of a lease of quota SFR(s).

The following details of the lease have now been entered into the Register:

Client ID: _____
Lessor: _____

Fax: _____

Client ID: _____
Lessee: _____

Fax: _____

TRANSACTIONS RECORDED

<u>Transaction Date</u>	<u>Type</u>	<u>SFR Amount</u>	<u>Ex Amount</u>
	Southern Bluefin Tuna Quota SFR	5880	5188.213

Should you have any enquiries regarding this notice, please contact Licensing and Quota Management on the AFMA Direct number below, or in writing at:

Licensing and Quota Management
Australian Fisheries Management Authority
PO Box 7051
Canberra Business Centre ACT 2610

AFMA Direct 1300 723 621www.afma.gov.auProtecting our fishing future
Page 1 of 1

3.7 - TPB03 logbook example

Australian Fisheries Management Authority, Commonwealth of Australia

Australian Purse Seine and Pole Daily Fishing Log - For Farmed Southern Bluefin Tuna Only TPB03

Log Book No: 0026		Page No: 02		Boat Name: <i>Sea Spray</i>				Dist. Symbol: <i>LFB 12345</i>		Master's Name: <i>C. Gavin</i>										
TICK APPROPRIATE NON-FISHING (NF) CODE BOX AT RIGHT: 1 Bad Weather <input type="checkbox"/> 2 In Port <input checked="" type="checkbox"/> 3 Broken Down <input type="checkbox"/> 7 Cage Towing <input type="checkbox"/>										Fishing Method Used? (tick appropriate box) Poling <input type="checkbox"/> Purse Seining <input checked="" type="checkbox"/>										
I did not work between <u>28.5.98</u> and <u>28.11.98</u> . 4 Steaming <input checked="" type="checkbox"/> 10 Reft <input type="checkbox"/>										Distinguishing Nos. of assisting vessels NB: State whether pole or seine boats <i>LFB023 (pole boat)</i>										
Date of Fishing (day/month)	NF Code?	Search Details		Fishing Details					Total Weight and Type of Bait		Estimated Catch Weights per Shot (kg)				Towing					
		Codes listed above	Hours Searched	Spotter Plane Used? (Y/N)	Sea Surface Temp. (C)	Start Time (24hr) (local time)	Latitude	Longitude	No. Poles Used?	Pole Boat Assisted Y/N	Seine Boat Assisted Y/N	Type	Kgs	SBT Weight	Other Species	Other Weight	Estimated % of school caught	Carrier Boat Name	Weight Transferred	Transfer Date
29/11	6		4	20	1300	32°40'	132°30'		4			8,000	-	-	90	Star	8,000	29/11	036	09
30/11	4																			
1/12		4	N	21	1200	34°05'	131°08'		4			15,000	-	-	95	Jane S.	15,000	1/12	024	36
2/12		5	4	19	1100	33°50'	131°20'		N			25,000	-	-	70	"	25,000	2/12	024	36
2/12		2	4	19	1600	33°54'	131°17'		4			12,000	-	-	80	"	12,000	2/12	024	36
EXAMPLE PAGE																				
Comments:																				
Wildlife Interactions: List any wildlife interacting with you during your fishing activities, including netted animals. If possible, list Species name, Interaction Date, No. of Animals and Life Status of any animals released after capture. Life Status Codes are listed on the writing template. Please record any extra details in the Comments section.											Concession Holder or Authorised Person: I certify that the information I have provided on this form is a complete and accurate record.									
Species: _____ Date/s: _____ Qty: _____ Life Status: _____											Dated: <u>3/12/98</u>									
											Name: <u>C. GAVIN</u>									
											Signature: <u>C. Gavin</u>									

WHITE COPY - send to AFMA BLUE COPY - retain for your records

Note: There are tagged fish/wildlife recapture forms at the rear of this book.

3.8 - AL06 logbook example page

Australian Fisheries Management Authority Box 7051 Canberra Mail Centre ACT 2610		Australian Pelagic Longline Daily Fishing Log – AL06				Original Copy – Send to AFMA											
Boat Name Cormorant		Dist. Symbol LFB963		Log No.	Page No.												
Port Departed SYDNEY	Date Departed 25 / 6 / 07	NON-FISHING PERIOD I did not work between 19 / 6 / 07 and 24 / 6 / 07															
Port Returned ULLADALLA	Date Returned 27 / 6 / 07	Non-Fishing Codes (PLEASE CIRCLE) 1 - Bad Weather 2 - In Port 3 - Broken Down 4 - Steaming 6 - Searching 5 - Other Fishery (specify) 10 - Reel															
SHOT INFORMATION		Shot 1	Date	26/6/07	Shot 2	Date	27/6/07	Shot 3	Date								
Target species		Yellowfin, Bigeye		Yellowfin, Bigeye													
Start set time (24h)		0300		0230													
Start set	Lat. (ddd mm)	33	35	36	31												
Position	Long. (ddd mm)	151	42	151	55												
End set time (24h)		0610		0515													
End set	Lat. (ddd mm)	35	19	36	25												
Position	Long. (ddd mm)	151	40	151	40												
Start Haul time (24h)		1500		1300													
Start Haul	Lat. (ddd mm)	35	20	36	20												
Position	Long. (ddd mm)	151	41	151	42												
End Haul time (24h)		2200		1900													
End Haul	Lat. (ddd mm)	33	36	36	30												
Position	Long. (ddd mm)	151	40	151	56												
Vessel shooting speed (kn)		7		7													
Mainline length/hooks		30 nm/km	1000 hooks	25 nm/km	700 hooks												
Line shooter used (CIRCLE)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>												
Seabird mitigation measures used (CIRCLE) (see appendix)		TORI CHUTE <input checked="" type="checkbox"/> THAW CAPS <input checked="" type="checkbox"/> PSBL DYED <input type="checkbox"/> NSET OTHER <input type="checkbox"/> LWEL NAPP <input type="checkbox"/>	TORI CHUTE <input checked="" type="checkbox"/> THAW CAPS <input checked="" type="checkbox"/> PSBL DYED <input type="checkbox"/> NSET OTHER <input type="checkbox"/> LWEL NAPP <input type="checkbox"/>	TORI CHUTE <input type="checkbox"/> THAW CAPS <input type="checkbox"/> PSBL DYED <input type="checkbox"/> NSET OTHER <input type="checkbox"/> LWEL NAPP <input type="checkbox"/>	TORI CHUTE <input type="checkbox"/> THAW CAPS <input type="checkbox"/> PSBL DYED <input type="checkbox"/> NSET OTHER <input type="checkbox"/> LWEL NAPP <input type="checkbox"/>												
Targeted depth (in metres)		30 min	100 max	30 min	100 max												
No. hooks between bubbles		6		6													
No. of lights/lights used		500		300													
Bait type(s)/ source(s)/life status/weight(s) used for shot		SQO (B S L D) 50 Kg	SQO (B S L D) 35 Kg														
		MAY (B S L D) 50 Kg	PIL (B S L D) 45 Kg														
CATCH DETAILS		No. Fish Kept	Est. Processed Wt Kept (kg)	Form Code	No. Fish Discarded	DISCARD/RETAINED CODE	No. Fish Kept	Est. Processed Wt Kept (kg)	Form Code	No. Fish Discarded	DISCARD/RETAINED CODE	No. Fish Kept	Est. Processed Wt Kept (kg)	Form Code	No. Fish Discarded	DISCARD/RETAINED CODE	
Yellowfin Tuna		11	350	GG	3	US	14	480	GG	1	DM						
Bigeye Tuna		4	150	GG			6	160	GG	4	TL						
Albacore Tuna		7	50	W			4	40	W								
Southern Bluefin Tuna																	
Broadbill Swordfish							2	90	TR								
Striped Marlin		1	35	TR													
Shortbilled Spearfish																	
Ray's Bream							3	10	GG								
Moonfish																	
Rudderfish																	
Oilfish/Escolar																	
Dolphinfish																	
Wahoo																	
Lancetfish					4	UM											
Short Finned Mako Shark		1	80	TR						1	US						
Bronze Whaler Shark																	
Dusky Whaler Shark																	
Blue Shark										4	UM						
Oceanic Whitetip Shark																	
Other Species		Thresher shark								1	UM						
		4	60	GG		SD											
		1	20	GG		SD											
		3	25	W													
No Blue Species		Species		Number Released		Number Released		Number Released		Number Released		Number Released		Number Released		Number Released	
				Alive	Dead	Alive	Dead	Alive	Dead	Alive	Dead	Alive	Dead	Alive	Dead	Alive	Dead
		Blue Marlin			1	1											
		Black Marlin															
Did you have an Observer on Board (circle) No / Yes		Observer Trip ID		Concession holder or authorised agent - I certify that the information provided on this form is a true and accurate record.		Printed Name:		Tim Gardener		Signature:		Date		7 Gardener		27 / 6 / 07	
Please provide an estimate of the time taken to complete this form: 10 mins		Did you have an interaction with a Listed Marine or Threatened Species? (circle) Yes / No		Further details of all Listed Marine and Threatened Species interactions must be recorded on the Listed Marine and Threatened Species Form at the back of the logbook.													
Comments:		5 fish damaged by sharks in first shot but fish still retained															

3.9 – PS01A logbook example page

Purse Seine Daily Fishing Log – PS01A

NOTE: IF POLING PLEASE USE THE TUNA MINOR LINE LOGBOOK TO RECORD YOUR CATCH

Original Copy – Send to AFMA

Australian Fisheries Management Authority PO Box 7051 Canberra BC ACT 2610		Purse Seine Daily Fishing Log – PS01A										Original Copy – Send to AFMA							
Boat Name WATERCRESS				Dist. Symbol LFB 60		Distinguishing Nos. of assisting Pole vessels LFB 8071				Log No. ###		Page No. ##							
I did not work in this fishery between 7/1/10 and 15/1/10				TICK APPROPRIATE NON-FISHING (NF) CODE BOX AT RIGHT															
				<input type="checkbox"/> 1 Bad Weather		<input checked="" type="checkbox"/> 2 In Port		<input type="checkbox"/> 3 Broken Down		<input type="checkbox"/> 4 Steaming		<input type="checkbox"/> 6 Searching		<input type="checkbox"/> 5 Other Fishery (specify)					
Fishing Date	NF Code	Search Details (see instructions)		Fishing Details Time Zone used for log entries: EST				CATCH DETAILS – Estimated Weights per Shot (kg) – tick box below fish name to indicate target species						BAIT/CHUM DETAILS					
Date	Codes listed above	Hours Searched	Spotter Plane Used (Y/N)	Sea Surface Temp. (C)	Start Time (24 hr local time)	Record Positions for Target Species and Bait Shots Latitude (ddd mm) Longitude (ddd mm)		Assisted by Pole Boat Y/N	<input checked="" type="checkbox"/> Skipjack Tuna	<input type="checkbox"/> Yellowfin Tuna	<input type="checkbox"/> Jack Mackerel	<input checked="" type="checkbox"/> Blue Mackerel	<input type="checkbox"/> Yellowtail Scad	<input type="checkbox"/> Southern Bluefin Tuna	<input type="checkbox"/> Other Spec. (list above)	Estimated % of school caught	Estimated Wt (kg) Non-retained catch	List species of bait caught each day	Bait caught (kg)
16/1/10	4																		
17/1/10	6	5	N																
18/1/10		2	N	21	1015	3 7 3 0	1 5 0 2 0	Y	9,000							70	-		
18/1/10		1	N	22	1410	3 7 4 2	1 5 0 0 5	N				21,000			600	95	-		
19/1/10		3	N	20	1120	3 8 1 5	1 5 2 1 2	Y	7,500							60	300		
/ /																			
/ /																			
/ /																			
/ /																			
Comments Approx. 300 kg Damaged Skipjack				Complete at End of Trip								I certify the information which I have provided on this form to be a complete and accurate record.							
				Trip Start Date		16.1.10						Concession Holder or Authorised Agent							
				Port of Departure		WALKER COVE						Printed Name							
				Trip End Date		21.1.10						L Waller							
				Port of Landing		WALKER COVE						Signature		Date					
				First Receiver/s of Fish		BASIS FRESH FISH						L Waller		21 / 1 / 10					
NB Did you have an interaction with any wildlife or other protected species? Please tick Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>				If yes, please enter details on a "Wildlife and Other Protected Species" Form at the back of this book.								Please provide an estimate of the time taken to complete this form 8 mins							
NOTE • If tagged fish / animals or banded birds are captured, please complete tag form at back of book and return form and tag to AFMA.																			

3.10 – TPB01 logbook example page

Australian Purse Seine and Pole Daily Fishing Log - TPB02
IMPORTANT NOTE: IF POLING AND DOING DAY TRIPS PLEASE USE THE OTS LOGBOOK TO RECORD YOUR CATCH

Australian Fisheries Management Authority
 Commonwealth of Australia

Log No: 0026		Page No: 02		Boat Name: <i>Sea Spray</i>			Dist. Symbol: <i>LFB 12345</i>		Master's Name: <i>C. Gavin</i>		
TICK APPROPRIATE NON-FISHING (NF) CODE BOX AT RIGHT: 1 Bad Weather <input checked="" type="checkbox"/> 2 In Port <input checked="" type="checkbox"/> 3 Broken Down <input type="checkbox"/> 7 Cage Towing <input type="checkbox"/>							Fishing Method Used? (tick appropriate box) Poling <input type="checkbox"/> Purse Seining <input checked="" type="checkbox"/>				
I did not work between <i>5.7.96</i> and <i>11.7.96</i>							4 Steaming <input type="checkbox"/> 10 Refill <input type="checkbox"/> 5 Other Fishery (specify) _____				
Distinguishing Nos. of assisting vessels NB: State whether pole or seine boats <i>LFB023, LFB4960 (pole boats)</i>											

Date of Fishing (day/month)	NF Code?	Search Details (see instructions)			Time Zone used for log entries		Fishing Details				Bait Details		Estimated Catch Weights per Shot (kg) - tick box below fish name to indicate your target species.							Estimated % of gross catch				
		Coils hoist above	Hours Started	Soak Time Used? (Y/N)	Sea Surface Temp (C)	Start Time (Min)	Local time	Latitude	Longitude	No. Poles Used?	Pole Boat Assigned Y/N	Seine Boat Assigned Y/N	List species of bait caught each day	Total Wt of bait caught & used? (kg)	Southern Bluefin Tuna	Skipjack Tuna	Albacore Tuna	Yellowfin Tuna	Jack Mackerel		Other Spec. (list above)	Other Spec. (list above)		
<i>12/7</i>	<i>-</i>	<i>1</i>	<i>4</i>	<i>22</i>	<i>1015</i>	<i>Eastern</i>	<i>37 30</i>	<i>150 20</i>	<i>-</i>	<i>4</i>	<i>-</i>	<i>Nil</i>	<i>-</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<i>80%</i>
<i>13/7</i>	<i>-</i>	<i>4</i>	<i>N</i>	<i>22</i>	<i>0630</i>	<i>Eastern</i>	<i>37 50</i>	<i>150 10</i>	<i>-</i>	<i>4</i>	<i>-</i>	<i>Nil</i>	<i>-</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<i>90%</i>
<i>14/7</i>	<i>-</i>	<i>1</i>	<i>4</i>	<i>21</i>	<i>0930</i>	<i>Eastern</i>	<i>37 20</i>	<i>150 20</i>	<i>-</i>	<i>N</i>	<i>-</i>	<i>Nil</i>	<i>-</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<i>50%</i>

Landing Details Port of Landing: <i>Eden</i> Date of Landing: <i>15/7/96</i> Owner of Cage - if cage towing: <i>-</i> Fish Sold To: <i>Heinz</i>		Verified Catch Weights for Trip: Skipjack: <i>48,230</i> kg Albacore: _____ kg Southern Bluefin: _____ kg Yellowfin: _____ kg Other species (specify): <i>Nil</i>		Verified Weights for State Species Bycatch: Dolphinfish: _____ kg Yellowtail Kingfish: _____ kg Other species (specify): <i>Nil</i> Other species (specify): _____ kg Other species (specify): _____ kg	
---	--	---	--	---	--

Wildlife Interactions: List any wildlife interacting with you during your fishing activities, including netted animals if possible. list Species name, Interaction Date, No. of Animals and Life Status of any animals released after capture. Life Status Codes are listed on the writing template. Please record any extra details in the Comments section. Species: <i>Nil</i> Details: _____ Qty: _____ Life Status: _____				Comments: <i>Pole boat LFB023 - shot 1</i> <i>Pole boat LFB4960 - shot 2</i>		Master's Signature: I certify that the information I have provided on this form is a complete and accurate record. Dated: <i>15/7/96</i> <div style="text-align: center; font-size: 2em; font-family: cursive;">C. Gavin</div>	
--	--	--	--	---	--	--	--

WHITE COPY - send to AFMA BLUE COPY - retain for your records Note: There are tagged fish/wildlife recapture forms at the rear of this log

3.11 – SBT02 – Farm Catch Disposal Record – Purse seine boat example page

SBT02 Southern Bluefin Tuna Fishery Farm Catch Disposal Record — Purse Seine Boat						Log No:	Page No:	
Boat Name: Tuna 1		Distinguishing Symbol: 0253		SFR Holder: JB & Co				
Name of Carrier Boat	Kelly J		Distinguishing Symbol	A454	Tow Cage Identification	T600		
Transfer Number	1	2	3	4	5	TOTALS		
Date of Transfer	21/2/07	22/2/07						
Time last transfer completed	1800	1000						
Estimated Number of Mortalities	0	10						10
Est Average Weight of Mortalities (kg)	0	180				180	A	
Est Weight of fish transferred (kgs)	10,000	8000				18,000	B	
Pages in daily catch and effort log book. Book No. 280 Page No. from 15 to 19						Total A & B	18,180	C
Farm Transit Log (SBT03A)		Log No: 101	Page No: 2					
I certify that I have caught all the fish transferred into the tow cage identified on this form and have completed the information required in accordance with the instructions and that this information is a complete and accurate record.								
Person acting for the SFR holder	Name R. Ingall		Signature <i>R. Ingall</i>			Date 22 / 2 / 07		
	Please provide an estimate of the time taken to complete this form 5 mins							

3.12 – SBT03B – Farm Transit Log example page

SBT03B Southern Bluefin Tuna Fishery Farm Transit Log		Log No:	Page No:
Section 1			
Carrier Boat Name	MARY LOU	Dist. Symbol	DE 123
Permit Holder	A B CUTTER	Carrier Boat Permit Number	400100
Tow Cage ID Number	T800		
Fish Received From	<input checked="" type="checkbox"/> Purse Seine Boat – Complete Sections 1, 2, 4 and 7, then Section 5 or 6		
Fish Received From	<input type="checkbox"/> Carrier Boat – Complete Sections 1, 3, 4 and 7, then Section 5 or 6		
Section 2			
Transfer Details			
Name of Purse Seine Boat	Dist. Symbol	Date & Time First Transfer Started	Date & Time Last Transfer Finished
BLUE OCEAN	333	20 / 12 / 09 9:30	22 / 12 / 09 11:30
Estimate of Weight (Tonnes)	SBT02 Book No.	SBT02 Page No.	
50	111	05	
Section 3			
Previous Carrier Boat Name		Dist. Symbol	
SBT03A Log No:	Page No:	A Record of Retained to Land Mortalities Recorded in Box *G3* of Previous SBT03B	G1
		A Record of Mortalities Recorded in Box *G* of Previous SBT03B	E
Section 4			
Record of Mortalities During This Tow			
Date/Time	Record a Date + Number of Mortalities for Each 24 hr Period.		
20 / 12 / 09 09:30			
Date	20/12	21/12	22/12
Number	5	1	3
Date			
Number			
Date			
Number			
Total Mortalities During This Tow	F	15	Progressive Total of Mortalities (E & F = G) G
Total Mortalities Retained to Land During This Tow	G2	4	Progressive Total of Mortalities Retained to Land (G1 & G2 = G3) G3
			15
			4
Section 5			
Tow Cage Transferred To Another Carrier Boat			
Carrier Boat Name	MISTY MOON	Dist. Symbol	FJ308
SBT03B Book No	333	SBT03B Page No	2
Date/Time Tow Cage Transferred	25 / 12 / 09 06:30		
Section 6			
Fish Transferred To Fish Receiver			
Date/Time Transfer Ended	/ / :	Name of Fish Receiver Permit Holder	Fish Receiver Permit Number
Section 7			
I declare that the information which I have provided on this form to be a complete and accurate record.			
Carrier Boat Permit Holder or their Agent			
Print Name	JASON MANNING	Signature	<i>J. Manning</i>
		Date	25 / 12 / 09

3.13 – SBT04B – Farm Catch Disposal Record example page

SBT04B
Southern Bluefin Tuna Fishery
Farm Catch Disposal Record

Log No:	Page No:

Part 1

Fish Receiver Permit Holder Name: **McNally Fresh Fish** Tow Cage ID Number: **T600**

Fish Receiver Permit Holder Number: **9999** Carrier Boat/s SBT03B Log and Page No/s: **Log No: 198, Page No: 15**

Progressive total of all mortalities during tow (G = SBT03B) **A 17**

Total number of mortalities recorded from date of receipt of tow cage **B 2**

Record the number of retained to land mortalities from the date of receipt of the tow cage. **B1 2**

Transfer from Tow Cage to Farm

Transfer Date	Farm Number Cage No.	Live Fish Count
29/01/10	C01	4,802
30/01/10	C02	1,098

Total Number of mortalities **F 35** (F = A + B + J)

Total Weight of mortalities **H 638.75** (H = F x E, E: Average Weight in Kg)

Total Weight of Fish in Kg **I 108313.75** (I = D + H)

Count Total **C 5,900**

Weight Total **D 107675** (D = C x E, E: Average Weight in Kg)

I have had the opportunity to witness the verified count conducted by AFMA's Agent and I agree with and verify the count taken. I declare that the information which I provide on the form to be a complete and accurate record.

Video Reference Number (1): **T600-1** FRP Holder: **E. Watson**

No. of Videos viewed (2): **4**

Video Reference Date: **2 / 2 / 10** FRP Signature: **E. Watson** Date: **2 / 2 / 10**

Part 2 I authorise AFMA to deduct the SBT kilos of quota recorded in box I above from my/our quota holdings:

SFR Holder: **A. Brazil** SFR Signature: **A. Brazil** Date: **2 / 2 / 10**

Part 3

Purse Seine Boat Name: **TUNA 1** Boat 1: **TUNA 1** Boat 2: **TUNA 1** Dist. Symbol: **0253**

SBT02 Log No: **12** Page No: **4** Log No: **12** Page No: **4** J **16** Number of mortalities during pursuing and transfer to tow cage

Progressive total of retained to land mortalities during tow (G3=SBT03B) **A1 3** J1 **1** Number of mortalities retained to land during pursuing and transfer to tow cage

Average Weight sample from Tow Cage

Sample Date: **28 / 1 / 10** Name of Person Sampling: **T. Smith** Signature of Person Sampling: **T. Smith**

Average Weight in Kg **E 18.25** No. of Fish taken from tow cage: **42** Farm Stocking Form No. **Boat 1: FSAU 10 00101** Boat 2:

I declare that the information which I provide on the form to be a complete and accurate record.

AFMA Agent's Name: **T. Poppy** AFMA Agent's Signature: **T. Poppy** Date: **3 / 2 / 10**

3.14 – PT02B – Commonwealth Catch Disposal Record example page

PT02B Form Book No. Page No.

Commonwealth Catch Disposal Record – PT02B

Part A - Concession holder or authorised agent to complete

Boat Name: **Debbie Jane** Distinguishing Symbol: **LFB123** Fishery: **SBT** (circle one) **WTBF** (circle one) **ETBF** **High Seas**

Concession Holder's Name: **Johnathon Janson** Are the fish to be transported to a carrier boat (circle) **Y** **N**
If yes, then record the carrier boat name and distinguishing symbol in the comments box below.

Method: **LONGLINE** Method used to determine accurate wt. (eg braille scales, no. of bins): **No. of bins** Name of Transporter: **Wally's Trucking**

Permit/SFR No.: **12345A** Total accurate weight of consignment: **14,700** Type of Vehicle: **FORD TRUCK**

Duration of Trip: From **17 / 9 / 10** To **23 / 9 / 10** Total no. of bins/boxes consigned: **25** Vehicle Reg. No.: **UFT-312**

Date & time of unloading: **23 / 9 / 10 18:00** Whole/Part of Catch (circle one): **W** **P** Circle no. of Vehicles including this one: **1** **2** **3** **4** **5**

Port of unloading: **ALBANY** Recording daily catch and effort log book and page numbers: Book No. **1399** From **2** To **8** Date & time consignment left from point of unloading: **23 / 9 / 10 19:00**

Receiver consignment sent to: **JOE'S FISH SUPPLIES** *Please provide an estimate of the time taken to complete this form: hrs mins

Part B - Concession holder or authorised representative to complete

SPECIES	Code	Kilos of Fish (accurate weight)	Form Code	Carcass No.
Yellowfin Tuna	YFT	710100	GG	1114
Bigeye Tuna	BET	310100	GG	11410
Albacore Tuna	ALT	210100	GG	11710
Southern Bluefin Tuna	SBT			
Northern Bluefin Tuna	NBF			
Broadbill Swordfish	BBL	5100	HG	110
Striped Marlin	STM			
Shortbilled Spearfish	SBS			
Ray's Bream	POM			
Moonfish	OPA			
Rudderfish	RUD			
Oilfish/Escolar	BOF			
Dolphinfish	DOL			
Wahoo	WAH			
Lancefish	LAN			
Shark Species				
Short Finned Mako Shark	SFM	2100	TR	4
Bronze Whaler Shark	BWH			
Dusky Whaler Shark	DSK			
Blue Shark	BLS			
Oceanic Whitetip Shark	OWS			
Other Species				

Instructions for Fishers

More detailed instructions are located on the front of the writing template.

When completing Parts A and B of this form:

- Recording daily catch and effort logbook book and page numbers:**
 Record the book and page numbers for this trip, eg if you completed pages 1, 2 and 3 of Logbook 1234, in the space above enter Book No. 1234, Page No.s from 1 to 3. If you use more than one logbook, enter the numbers in the separate boxes.
- Carcass No:** Enter an accurate count of carcass numbers for all fish.
- Lodging forms:**
 Fishers, after completing this form -
 - lodge the white copy with AFMA within 3 calendar days of unloading.
 - leave green copy in this book.
 - all fish whilst in transit must be accompanied by the blue and yellow copy.
- Form code - a form code MUST BE entered for each species.**
Form Codes:
Tuna-like species and Scalegfish:
 GG = gilled and gutted, W = whole, G = gutted, HG = headed and gutted, F = Filleted.
Shark only: TR = trunked.
SBT only: A = SBT GG so that the gill plates removed and tail is wholly removed or B = SBT GG so that the gill plates are not removed and the tail is not wholly removed.

Note: Northern Bluefin Tuna only - Please enter in comments details of the testing agency - enter the name of the National Association of Testing Authorities Australia (NATA) accredited laboratory to which the sample has been sent, and the date that the sample was dispatched or is due for dispatch.

Note: SBT only, this CDR does not negate the requirement to complete the Catch Documentation Scheme (CDS) documents for domestic sale or exported Southern Bluefin Tuna.

Warning to Fishers

An infringement notice may be issued or other prosecution action taken if the concession holder or authorised agent fails to complete and lodge this form in accordance with the instructions.

*In line with government policy all Commonwealth forms to be completed by small business must include a time box indicating the length of time the form took to complete.


Comments: **Happy Lucky LFB041**

I certify that I have completed the information required in accordance with the instructions and that this information is a complete and accurate record.

Printed name of authorised agent completing form: **D. DUFFY** Signature of authorised agent completing form: **D. Duffy** Date: **15 / 4 / 10**

Printed name of driver: **A. ELLIS** Signature of driver: **A. Ellis** Date: **15 / 4 / 10**

3.15 - Template for farm level 1 audit, 2011/12 season

 Australian Government Australian Fisheries Management Authority		ATTACHMENT A
(year) SOUTHERN BLUEFIN TUNA RECONCILIATION DOCUMENT		
Name of Fish Receiver		Permit No.
Business Address		
1. SBT received into cages during the (year) season:		No. of fish
2. SBT transfers to/from other companies after (contractors name) gate count :		
To/From	Date / /	No. of fish
To/From	Date / /	No. of fish
To/From	Date / /	No. of fish
3. Add SBT (Live/Frozen) held over from previous season:		No. of fish
<input style="width: 50px; height: 20px;" type="checkbox"/>		Page 3
4. Total No. of fish held		

5. Disposals for the season:


Month	Frozen Export No. of fish	Fresh Export No. of fish	Domestic No. of fish	Door Sales No. of fish	Farm Mortalities No. of fish	Other * No. of fish	Total Disposals No. of fish
Dec-11							
Jan-12							
Feb-12							
Mar-12							
Apr-12							
May-12							
Jun-12							
Jul-12							
Aug-12							
Sep-12							
Oct-12							
Nov-12							
TOTAL							

* You must explain the method of fish disposals recorded in Other :

Signed : Printed Name :
 Position/Title: Date : / /


Attach additional pages if further space is required, OR if there is a discrepancy between the 'total No. of fish held' and the 'total No. of disposals', please supply a detailed explanation of the discrepancy.


3.16 – Template for wild catch Level 1 audit 2011/12 season

 Australian Government Australian Fisheries Management Authority		ATTACHMENT A						
(year) SOUTHERN BLUEFIN TUNA RECONCILIATION DOCUMENT								
Name of Fish Receiver/Processor		FRP No.						
Business Address								
Are you completing this form as the first fish receiver or processor only? (please complete a separate sheet for fish you handled as the first fish receiver and a separate sheet for the fish you handled but w								
1. SBT received during the (year) season:		Total weight:	No. of fish					
2. Please list the boat name you received SBT from during the season, or the person who you received the fish from for processing only:								
3. SBT disposals for the season:								
	Fresh Export		Domestic Sales		Other*		Total Disposals	
Month	Weight of Fish	No. of fish	Weight of Fish	No. of fish	Weight of Fish	No. of fish	Weight of Fish	No. of fish
Dec-11								
Jan-12								
Feb-12								
Mar-12								
Apr-12								
May-12								
Jun-12								
Jul-12								
Aug-12								
Sep-12								
Oct-12								
Nov-12								
TOTAL								
* You must explain the method of fish disposals recorded in Other :								
Signed :								
Printed Name :								
Position/Title:								
Date :								
Attach additional pages if further space is required, OR if there is a discrepancy between the 'total No. of fish received' and the 'total No. of disposals', please supply a detailed explanation of the discrepancy.								

3.17 – Guidelines for conducting Level 2 audit


Guidelines for level 2 Audits

Purpose  Verifying the caught/harvested/sold SBT numbers have been successfully documented and that all relevant export/sold documentation is completed fully and accurately. All company documentation of fish numbers for exports/sales balances with other documentation of exports/sold fish. To identify any compliance issues. To ensure AFMA is satisfied that no more fish have been harvested for sale than originally counted into farms to help meet AFMA's objective of sustainable fishing.


Determine which Commonwealth fish receiver will be audited  Companies may be selected for audit by random sampling or by identified triggers such as Audit 1 and/or any incidents through out the season or/and on previously audited companies and results. Generally 10% of caught and transferred fish is the bench mark for audits each season;


Planning

- Decided what type of audit, such as desk audit in office or in field,
- Finalise objectives and scope of audit (if scope and objective of audit vary this will not effect the audit process, findings or report),
- Determine date to undertake audit,
- Obtain Audit 1 reports on selected companies and,
- Any other relevant data of incidents or previous audit data and,
- Any other documents required for audits, such as CDR and CDS documentation,
- Create spreadsheets for the documents obtain from companies to be entered,
- Create checklist of processes to be conducted,
- Obtain or instruct to obtain tapes of counted fish transfers from contractor.
- Obtain understanding of the fish receivers operations.

Audit Process  Also see Check list for more detailed process for Audit.



- Obtain the required documentation from the company/s (compliance process)
- Documents are viewed and entered into relevant spreadsheets by staff conducting the audits.
- All sets of data utilised for this audit purpose is then evaluated to verify fish numbers and other relevant information. And that all fish reported to have been transferred/harvested/morts/exported/sold can be accounted for within the company documents.
- Staff conducting audits request additional documentation/information as needed.
- Check off all processes required on audit checklist.
- Copy any relevant document needed for further evaluation (or if no documents are needed for further evaluation then only a copy of each type of document used in the audit is required for record purposes)
- If in field audit return any company documents to the companies and meet with the appropriate person for that company to discuss any issues found within the audit process.
- If in office audit return in secure mail any original copies of company documents along with a letter stating that the audit has been completed and the report is yet to be finalised and that as soon as the report is finalised the company will be notified of the result of the audit.
- Review tapes of fish transfers to farm cages for the companies involved in the audits. Required 2 staff and each person counts the fish transferred and record the fish numbers for each transfer. Their figures are then verified against fish count figures supplied to AFMA for same transfers conducted by our contractor and the company representatives. Two purposes for re counting of tapes, one as a part of the audit process and second for efficiency evaluation on AFMA's contractor.

Findings  Prepare a report on the findings of the audit documenting the outcomes such as any issues, opinions and any suggested further actions that might be required for Senior Compliance Management to consider.

Reports  After consideration of the findings by senior management the report should be finalised and a letter should be sent to the company/s alerting them to any issues found and requesting any further explanation or resolve to be met. Or notifying the company/s that no issues were detected thanking them for their time etc.

3.18 – Example of Authorised Validator sheet for individual Fish Receiver Permit holders

ATTACHMENT 1

Commission for the Conservation of
Southern Bluefin Tuna


みなみまぐろ保存委員会

Validation of the Southern Bluefin Tuna Catch Documentation Scheme (CDS) Documents


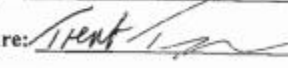

The following Commonwealth licensed fish receiver has been authorised by the Department of Agriculture, Fisheries and Forestry to validate CDS documentation.

Fish Receiver Permit holder's name

Impression of 'Australian Licensed Fish Receiver' accredited stamp



Personnel authorised to sign the SBT CDS documents

1. Name:	Matt Daniel	Title:	Manager SBT Fishery
Signature:		Date:	25/6/12
2. Name:	Trent Timmiss	Title:	Senior Manager Tuna + International Fisheries.
Signature:		Date:	25/6/12
3. Name:	James Findlay	Title:	AFMA CEO
Signature:		Date:	20/7/12
4. Name:		Title:	

Department of Agriculture, Fisheries and Forestry

Page 2 of 2

3.19 – AFMA Procedures for Transfer Weighing – 100 Fish Sample

ATTACHMENT C

AFMA Procedures for Transfer Weighing – 100 Fish Sample

December 2013

The AFMA Authorised Representative (AAR) (currently *Protec Marine Pty Ltd*) verifies the weight sample on behalf of AFMA and must be present at all transfers.

To ensure consistency of application of these rules, all weight samples must be supervised by the principal or one of the two second in charge officers of the AAR. If these officers are unavailable an alternative person may be agreed on between AFMA and the Australian Southern Bluefin Tuna Industry Association.

The weight sample will be conducted as follows:

1. The AAR will supervise the company's representative catching the fish;
2. The AAR has complete say over the taking of the weight sample, and all company representatives will follow their instructions at all times;
3. The AAR will make and supply the standard catching gear for the sample;
4. The standard catching gear will be: 300 mm leader, 25 mm gate barbless hook, and 8 millimetre diameter rope;
5. All divers must be out of the water 10 minutes prior to the start of weight sample, and must remain out of the water until the sample is completed;
6. The company is to supply at least two tonnes of thawed bait for the sampling. The bait used for the sample must be whole fish;
7. The company is to supply at least 4 people to assist the AAR in the sampling;
8. The company catches the fish under the direction of the AAR until they have weighed and measured at least 100 fish of 10 kg or higher to the AAR's satisfaction;
9. The AAR may trial different scales which have the capacity to measure to 0.1 of a kg and these scales will be calibrated before each sampling; and
10. Only whole bait can be used in the chum for the sampling. A full shovel of chum must be thrown prior to the release of each hook. The chum must be thrown at least two (2) meters in front of the catcher. The catcher must not throw the hook until instructed by the AAR. The catcher must throw the baited hook into the centre of the chum. Once the individual fish is recorded, the weight is final with no recourse by the AAR or the company.
11. To assist with minimising the time taken to complete the sample, 2 fish cradles may be used during the sample.
12. In the advent of the cessation of the weight sample due to weather, safety, operational or unforeseen circumstance, the company and AAR will agree when the sampling is to recommence. In such circumstances the fish already caught and weighed in the sample prior to stopping the sample will still be part of the sample of 100 fish of 10kg or higher.

Resolving interference in the 100 fish sampling procedures

If the AAR observes any interference with fish selection in the catching process the sampling is to be stopped and AFMA management is to be advised immediately.

If the sample is stopped and AFMA management advised, the company is to be issued with a first warning. At this stage:

1. the AAR will advise the company why the sampling has been stopped and record the reason on the sampling form;
2. the AAR may instruct the company to use different sampling equipment, or techniques to address the concerns in the sampling process;
3. sampling will not continue until the issue is resolved to the AAR's satisfaction;
4. the fish already caught and weighed in the sample prior to stopping the sample will still be part of the sample of 100 fish of 10 kg or higher;
5. once the issue is resolved sampling will continue in line with the agreed sampling procedures; and
6. should the AAR have concerns with the continued sample, they will again cease to supervise the sampling making any further sampling void. The AAR will return to port and AFMA management are again advised by phone at this point.

If the sample is stopped a second time AFMA will contact the company directly and issue a second warning. The AAR will then return to the tow cage at an agreed time and continue to supervise the sample in line with the agreed sampling procedures. The fish already caught and weighted in the sample prior to stopping the sample will still be part of the sample of 100 fish of 10 kg or higher.

Should the AAR have any further concerns with the continued sample, then they will terminate the sample. AFMA management is to be advised of the terminated sample. If the sample is terminated AFMA will:

1. Send a senior officer to Port Lincoln and assist the AAR to conduct a new 100 fish weight sample to replace the terminated weight sample
2. None of the weights collected in the terminated sample will count in the new sample;
3. No company representative will participate in the new sample but is entitled to be present for the new sample. The AAR will conduct all aspects of the new weight sample;
4. The AAR will conduct all future weight samples for the company involved for the remainder of the season: and
5. All costs associated with conducting the new sample and subsequent samples will be paid by the company involved.

Procedures for video count of fish transferred from the tow cage to the fish farm

Two *Protec Marine Pty Ltd* representatives **must** be present when fish are transferred from the tow cage to the fish farm and oversee the operation of the video.

The Holder of the Statutory Fishing Right under which the SBT in the tow cage were taken must ensure that sufficient equipment and personnel to facilitate the transfer are provided. The transfer should be conducted as follows:

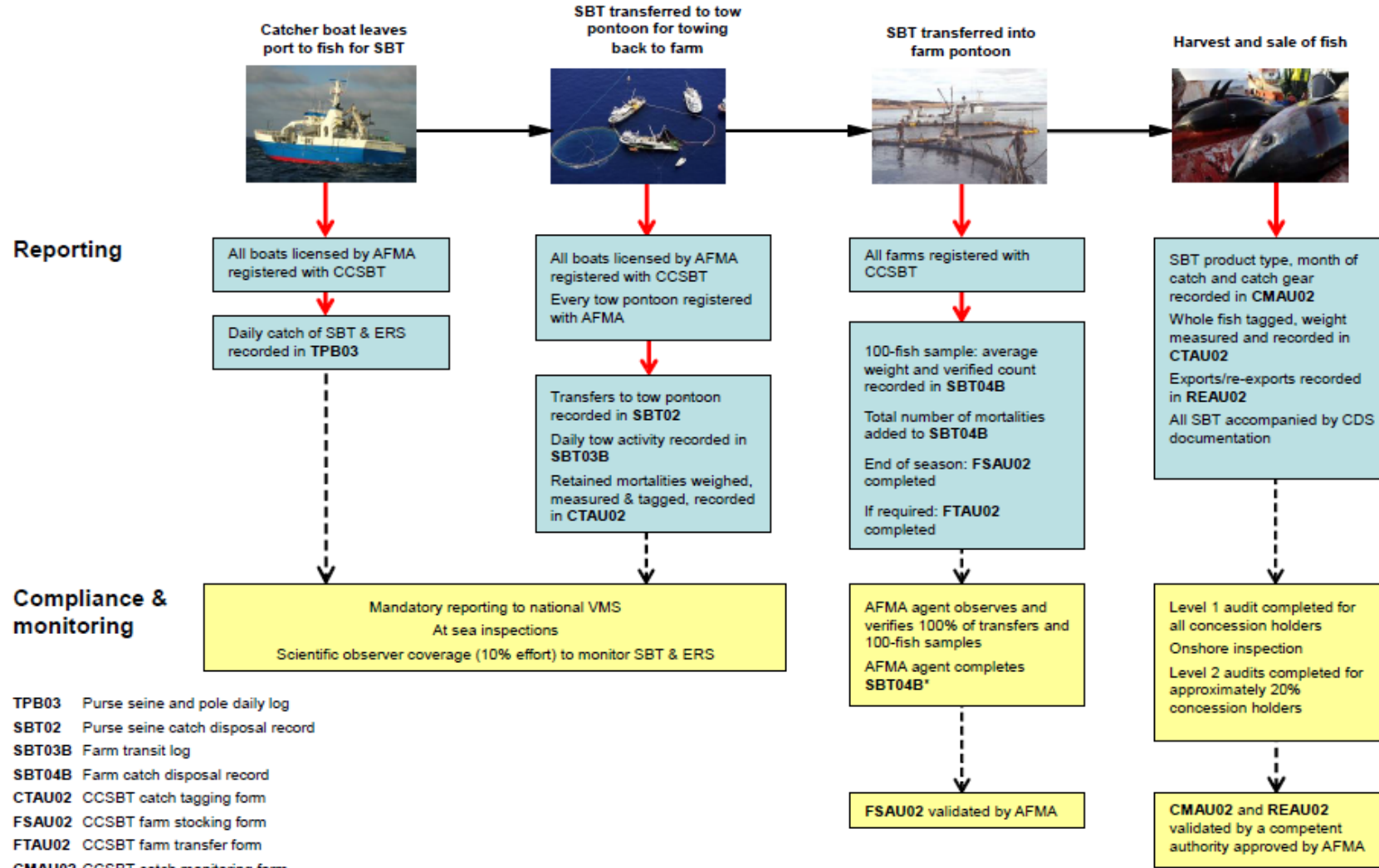
- the video should show a side view covering the opening between the tow cage and the farm in order that all SBT transferred will appear on the video recording;
- there must be a 'drop down' net above the transfer gate that completely covers the opening in the net;
- the drop down must extend at least a metre either side of the opening and at least one metre below;

- the bottom of the net must be heavily weighted to ensure it hangs as vertically as possible to prevent any fish moving through the transfer gate opening and to stop the net being blown away from the opening by current caused by the movement of fish in the cage;
- an attendant must stay for the duration of the transfer directly over the transfer gate to ensure the immediate release of the drop down net; and
- where the fish farm is to be positioned at a site where turbid water occurs, the fish count is to be done prior to the fish farm being positioned at that site.

The use of bait to move fish from cage to cage is **not permitted** except where authorised to do so by the AAR.

3.20 – Systematic Verification of Catch – Farm Sector

ATTACHMENT 1 – SYSTEMATIC VERIFICATION OF CATCH – FARM SECTOR

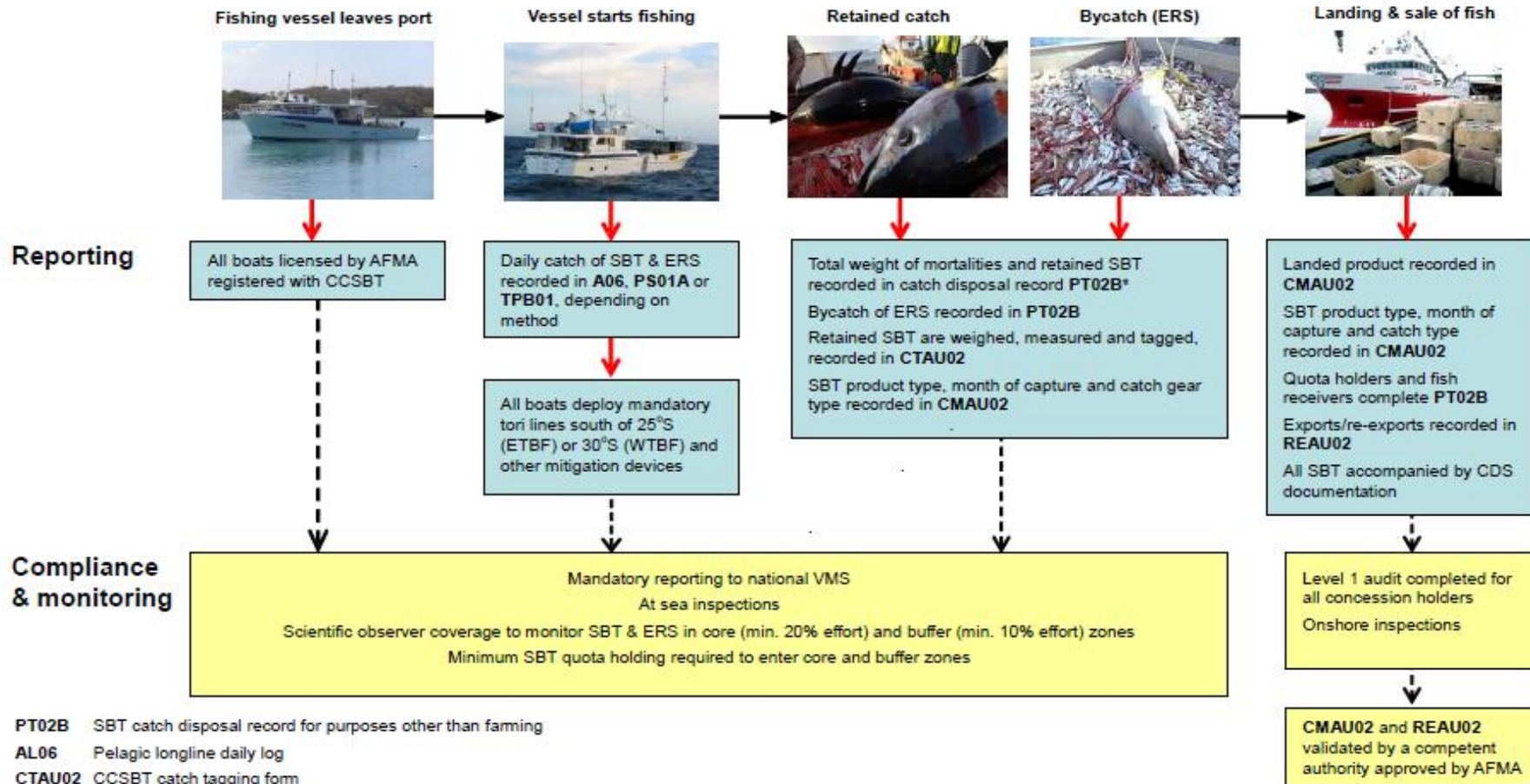


- TPB03** Purse seine and pole daily log
- SBT02** Purse seine catch disposal record
- SBT03B** Farm transit log
- SBT04B** Farm catch disposal record
- CTAU02** CCSBT catch tagging form
- FSAU02** CCSBT farm stocking form
- FTAU02** CCSBT farm transfer form
- CMAU02** CCSBT catch monitoring form
- REAU02** CCSBT form for re-export/export after landing domestic product

* Total kg of SBT landed (including mortalities) recorded in **SBT04B** deducted from quota

3.21 – Systematic Verification of Catch – Longline Sector

ATTACHMENT 2 – SYSTEMATIC VERIFICATION OF CATCH – LONGLINE SECTOR



- PT02B** SBT catch disposal record for purposes other than farming
- AL06** Pelagic longline daily log
- CTAU02** CCSBT catch tagging form
- CMAU02** CCSBT catch monitoring form
- REAU02** CCSBT form for re-export/export after landing of domestic product
- PS01A2** Purse seine daily log for purposes other than farming
- TPB01** Pole daily log for purposes other than farming

*Total kg of SBT landed (including mortalities) recorded in **PT02B** deducted from quota.