

Commission for the Conservation of
Southern Bluefin Tuna



みなみまぐろ保存委員会

Report of the Seventh Meeting of the Compliance Committee

**27-29 September 2012
Takamatsu City, Japan**

Seventh Meeting of the Compliance Committee

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Agenda Item 1. Opening of meeting

1.1. Welcome

1. The meeting was opened by the Chair of the Compliance Committee, Mr Stan Crothers, who welcomed participants and thanked Japan for its hospitality.
2. Members introduced their delegations to the meeting and provided brief opening remarks. The list of participants is shown at **Attachment 1**.
3. The Executive Secretary conveyed the regrets of the Philippines for its absence from the Compliance Committee due to overlap with the WCPFC meeting. It was noted that South Africa's fishery officials had been delayed and that they would not arrive during the meeting.

1.2. Adoption of agenda

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

1.3. Meeting arrangements

6. The Secretariat outlined administrative arrangements for the meeting.

Agenda Item 2. Compliance with CCSBT Conservation and Management Measures

2.1. Annual Reports from Members and Cooperating Non-members

7. Extensive discussion was held in relation to the contents of National Reports and Compliance Action Plans that were submitted to the meeting.
8. The meeting was encouraged by the stepwise improvement in Members' compliance regimes and in the reports submitted by Members each year.
9. Several issues and themes relating to a number of Members emerged during the discussion of reports and Compliance Action Plans. These included:
 - Members re-iterated the importance of obtaining estimates of SBT mortality from all sources. This includes mortalities from released or discarded SBT and recreational fishing mortalities. Discussions revealed that there have been improvements in both the collection and reporting of information concerning releases and discards, although more work is required to provide better

estimates of these mortality rates. It was also noted that Australia is working with its States to develop a national recreational survey in order to provide reliable estimates of its recreational catch aiming to finish as early as possible. Australia committed to providing updates to future CCSBT meetings.

- Difficulties in recruiting and/or deployment of scientific observers had been noted and some Members suggested that alternative options should be developed to assist Members in such circumstances.
- The importance of monitoring SBT catch in fisheries that can take SBT as a bycatch was raised on several occasions. At present, there appeared to be little work underway to obtain independent verification of SBT catches from SBT bycatch fisheries (particularly from non cooperating non-members). This is likely to become a more important issue once the SBT stock starts to recover.

10. Other notable issues included:

- Australia advised that its planned implementation of stereo video monitoring of the SBT catch taken for farms in 2012 has been delayed due to the higher than expected costs revealed in its tender process, which exceeded the government's budget limit for 2012/13 and the necessity to secure sufficient funding to conduct the monitoring. Australia reconfirmed its commitment to implementing stereo video monitoring as quickly as budget constraints are resolved. As an interim measure, Australia will increase its 40 fish sampling regime to 100 fish. Members re-iterated the importance of stereo video monitoring, and expressed frustration at the delay. Members also understood the importance of the accuracy of stereo video monitoring. In this context, Japan advised that it can provide bilateral assistance to Australia on this issue.
- Indonesia explained difficulties it had with its artisanal fleet, particularly with: (1) authorising vessels due to the size of the fleet and bycatch nature of the SBT catch; and (2) ensuring that CDS documents were only validated for authorised vessels. Indonesia further commented that its difficulties would be reduced if importing countries could ensure that they did not accept imports originating from non-authorised vessels as per CCSBT's requirements. Korea requested Indonesia to provide data on SBT catches from its longline artisanal fleet at the next meeting of the Compliance Committee and Indonesia positively responded to this request.
- The meeting was encouraged to hear advice that the European Union is working to implement the CCSBT's CDS.

2.2. Report from the Secretariat

11. Members expressed thanks to the newly appointed Compliance Manager for the impressive work in preparing the Member and CNM compliance report.
12. Paper CCSBT-CC/1209/04 was introduced by the Secretariat. It summarises compliance with CCSBT Management Measures by Members and Cooperating Non-Members (CNMs).

13. Areas of concern highlighted in the report included:
- The large percentage (41.6%) of Indonesian Catch Monitoring Forms (CMFs) for exports that included vessels which were not on the CCSBT record of authorised vessels at the time of harvest in 2011,
 - for the first quarter of 2012 there were some relatively low percentages of CMFs for which the corresponding tagging forms had been submitted,
 - the EU had not submitted any CDS documents to date, and
 - some reported catches or CDS catch estimates exceeded national allocations.
14. The European Union reiterated that it was now working on implementing the CDS. It also indicated it was likely to revise its catch estimate for 2010 from 10.8t of SBT down to 3.3t of SBT, which would mean that it had not exceeded its allocation in that year.
15. Indonesia worked with the Secretariat to reconcile discrepancies between CDS estimates and Indonesia's reported catch for 2010 that was identified at CC6. As a consequence of this reconciliation, Indonesia provided updated total catch estimates for 2010 and 2011. These were higher than previously provided by Indonesia, but lower than its two year catch allocation for 2010 and 2011. Indonesia advised that its reconciliation identified that current CDS catch estimates for Indonesia in 2010 and 2011 combined are an overestimate, and that the corrected estimates from the CDS should be below the two year catch allocation for Indonesia. The Secretariat advised that once Indonesia provides information on the documents, the Secretariat will evaluate and revise the CDS estimates accordingly, and then report the outcomes to the Extended Commission intersessionally.
16. It was noted that South African fishery officials were not present to comment on its reported overcatch.
17. Australia advised that its slight overcatch for the 2009 - 2011 fishing season had been deducted from its 2012 allocation in accordance with the Corrective Actions Policy.

2.3. Assessment of compliance with CCSBT management measures

18. Overall, Members commented that the Secretariat's Paper CCSBT-CC/1209/04 was a valuable summary of compliance and should continue to be presented at future meetings.
19. A number of Members commented that the discussions in the previous agenda item highlighted the importance of the CDS as a compliance measure.
20. In the absence of fishery officials from South Africa, it was agreed that South Africa's reports would be deferred for consideration by the meeting of the Extended Commission so that South Africa could have the opportunity to answer questions on its annual reports and overcatch in that forum.

21. In reviewing the assessment of compliance, a variety of items were discussed and the main points raised were:
- General frustration about the delay in implementing the stereo video technology,
 - The need for estimates of discards to be supported by details of how survival is calculated, including what is estimated by observers,
 - A need to progress independent external audits and/or reviews,
 - That the SBT bycatch fisheries including artisanal fisheries and Non Members' fisheries represented an area of risk that should be examined more closely in future, and
 - Where overcatch by a Member or CNM had been established, the Corrective Actions Policy should be applied.

Agenda Item 3. Implementation of the CCSBT Compliance Plan

3.1 Action planned for 2012

3.1.1. Minimum performance requirements

22. The Executive Secretary introduced paper CCSBT-CC/1209/05, which provided a draft revision of the minimum performance requirements with respect to compliance with national allocations and transshipments.
23. The meeting agreed to a modified version of the minimum performance requirements, which is provided at **Attachment 4**. As part of these requirements, Members and Cooperating Non-Members are to provide the definition of their attributable SBT catch to the Secretariat for inclusion in the minimum performance requirements.

3.1.2 Revised and consolidated reporting template

24. The Executive Secretary introduced paper CCSBT-CC/1209/06 on a revised reporting template for the annual report to the Compliance Committee and Extended Commission. The reporting template combined the existing reporting requirements into a single template.
25. Australia suggested that best estimates of all sources of mortality (including recreational catch and discards) be included as an Additional Reporting Requirement in Section III of the combined annual report.
26. The meeting agreed to a new consolidated template for annual reports and this is provided at **Attachment 5**.

3.1.3 Evaluate ways to effectively implement Port State obligations

27. It was agreed that the Executive Secretary would prepare a draft set of CCSBT Port State Measures for consideration by the next annual meeting of the Compliance Committee. The draft measures will draw on the contents of the FAO Port State Measures Agreement and other tuna RFMO Conservation and Management Measures as appropriate. The draft will be circulated for comment in advance of the Compliance Committee in 2013.

3.1.4 Complete audit trial

28. The Chair introduced the revised trial audit policy that had been developed and circulated intersessionally and provided in paper CCSBT-CC/1209/07.
29. Extensive discussion was held in relation to the policy. The importance and value of independent Quality Assurance Reviews (QARs) was highlighted by some Members along with need to progress quickly.
30. A small working group met to develop principles for a QAR policy and to recommend how to proceed in relation to a trial QAR. The meeting agreed to the general principles of a QAR agreed by the small working group which are included at **Attachment 6** and tasked the Secretariat to develop a Terms of Reference in association with the Chair of the Compliance Committee and prepare for the implementation of a trial QAR.
31. Taiwan reserved its position on participating in the QAR pending the outcomes of the trial.

3.1.5 Provide a program of MCS assistance to Indonesia

32. Australia advised the meeting of the history of strong cooperation on fisheries matters with Indonesia and its range of assistance to Indonesia. Australia further offered to use its cooperative forums with Indonesia as a possible avenue for providing assistance to Indonesia and noted that the Working Group on Marine Affairs and Fisheries is due to meet with Indonesia in Perth in a few weeks and it would be desirable to include SBT management on the agenda.
33. The meeting noted that there were some key areas in which assistance to Indonesia would be beneficial. These included: how to improve data collection; authorisation of vessels in its artisanal fleet; implementation of the CDS and avoidance of double counting; and ways to meet CCSBT's scientific observer coverage target through planning and optimisation of observer deployment. It was further noted that there are significant issues that will not be resolved quickly, but that the Extended Commission would be happy if it could see continuous stepwise improvements across a range of areas.

3.1.6 Review SBT trade data

34. The Compliance Manager presented papers CCSBT-CC/1209/08 and CCSBT-CC/1209/BGD03 concerning an exploratory analysis of trade data from the Global Trade Atlas, including a comparison with information from the CCSBT's CDS.
35. The meeting agreed with the Extended Scientific Committee's observations concerning the data and analysis. The information was considered to be valuable and the analysis should be updated on a regular basis.
36. Members recommended that the subscription to the Global Trade Atlas data be continued and expanded to include any SBT fillet codes that are available. Members and CNMs were encouraged to establish their own reporting codes for trade of SBT fillets.
37. The Secretariat was asked to cross check the global trade data with the CDS on an annual basis. Members would be asked to investigate any discrepancies revealed in this checking process where trade from Members to Non-Cooperating Non-members was not matched by corresponding CDS information.

38. It was agreed that the Executive Secretary would write to market entities identified in the analysis (in particular, the USA, Hong Kong, China and Singapore) and invite them to participate as observers at the next meeting of the Compliance Committee.

3.2 Action planned for 2013

Minimum performance requirements (CDS)

39. The meeting discussed options for development of the CDS minimum performance requirements and agreed that, due to the complex nature of the task, the minimum performance requirements should be discussed intersessionally at a small working group meeting. The consultant's original specifications would be used as a starting point.
40. It was further proposed to hold the working group meeting back-to-back with the upcoming ERSWG meeting.

Explore costs and benefits of a common IUU vessel list with other RFMOs

41. The meeting requested the Executive Secretary to prepare a draft IUU vessel list measure for the CCSBT which is compatible with that of other RFMOs IUU vessel lists. The Executive Secretary was also asked to indicate the costs and benefits of the draft measure when circulating the draft intersessionally for comments.

Trend analysis of publicly available market data

42. The Executive Secretary reported that this item had already been covered under agenda item 3.1.6. and that this analysis was now planned to be updated as a regular activity.

R & D on new technologies & tools to aid observers, certifiers and validators to identify SBT (in particular once processed)

43. Japan noted that other RFMOs are investigating methods for traceability of fish products and that this could be a new technology that should be reviewed in the future.
44. Members agreed to keep research and development on new technologies on the agenda for discussion of any updates in 2013.

Agenda Item 4. Review of CCSBT MCS Measures

45. Paper CCSBT-CC/1209/10 was introduced by the Secretariat. The paper described issues in the operation of CCSBT's MCS measures from the Secretariat's perspective and recommended changes where appropriate.

4.1. CDS

46. All recommended changes to the CDS resolution in Attachment A of Paper CCSBT-CC/1209/10 were agreed by Members. These changes should be applied from the 2012/13 fishing season.

47. The meeting supported the proposal in CCSBT-CC/1209/10 to explore the costs and benefits of a web-based e-CDS system. It was further recommended that an initial progress report from the Secretariat could be made as part of the intersessional working group meeting proposed to discuss CDS minimum performance requirements.

4.2. Transshipment

48. The difficulties of adequately monitoring at-sea and in-port transshipments were discussed. Some Members supported the Secretariat's request that SBT be transhipped separately from other tuna-like species where possible. Other Members reiterated the impracticalities of this approach.
49. Japan and Korea suggested that one way to improve verification of SBT transshipments could be to conduct physical inspections in port.
50. Japan, Taiwan and potentially Korea undertook to explore intersessionally how they can work together to improve the integrity of transshipment at-sea verification. They agreed to report the outcome of these discussions to CC8.

4.3. VMS

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

4.4. Record of authorised farms and vessels

52. The Secretariat outlined two items of concern:
- Vessels which had never been authorised and had caught SBT, and
 - Vessels whose records of authorisations had not been received by the Secretariat before the currently notified authorisation had expired.
53. The Secretariat requested that Members provide notification of authorisation renewals prior to the expiry of current authorisations so that CCSBT authorised vessel lists can be kept up-to-date on the website.

Agenda Item 5. Discussion of new or enhanced MCS measures, including ongoing identification and sharing of best practice for MCS systems

5.1 New and/or enhanced MCS measures for the CCSBT

54. Australia introduced its revised proposal on a CCSBT scientific observer program (CCSBT-CC/1209/BGD01)
55. Members discussed the possibility of establishing a CCSBT regional observer program (ROP) with the objective of providing verification of catch and effort

data used in the Management Procedure, and to improve the collection of information on ecologically related species.

56. There was no consensus on a ROP, but it was agreed that the Executive Secretary would consult with Members on their objectives and requirements in relation to a ROP, analyse the requirements and report back to the Compliance Committee in 2013 with options on how to move forward.
57. Japan presented ideas for strengthening CCSBT's compliance regime, with a view to developing a resolution to put before Members at the next meeting. There were extensive discussions on the nine items presented, and with varying levels of support. It was agreed that Members would further consider the ideas prior to the next meeting of the Compliance Committee or other related CCSBT meetings.
58. It was noted that while reports from the Secretariat indicate whether ERS rules have been applied, there are no accompanying details on how these are implemented, which is a gap in the current process. It was suggested that to address this, Members' compliance with ERS activities could be included in subsequent Members' reports and this could lead to the development of new MCS measures for the CCSBT.
59. There was a request that aggregate farm reports previously distributed to Members under the TIS be re-introduced. Australia advised that it was happy to provide those reports.
60. Australia introduced its background paper CC/1209/BGD02 on the provision of fisheries-dependent data. There was some support for the concept of making detailed logbook data available for the scientific process. However, data confidentiality requirements remained a major obstacle for providing this information by some Members. Other Members encouraged them to work to overcome this obstacle as it was a major impediment to the science process. Some Members pointed out that detailed data regarding farming should also be available for the scientific process.
61. HSI noted that the Compliance Committee had not considered the compliance implications of the ERSWG's recommendation to the Extended Commission, and that implementation of more effective mitigation measures based on best practice is urgently required. HSI also recommended that the ERSWG should adopt a rolling agenda item for referral of ERS matters that should be considered by the Compliance Committee.
62. Australia requested that the Compliance Committee recommend to the Extended Commission that the CCSBT's ERS recommendation be considered to be converted to a binding resolution.

5.2 Ongoing identification and sharing of best practice for MCS systems

63. It was noted that a web-based electronic-CDS would not only provide benefits in terms of reducing errors at the point of data entry, but that it could also be viewed as a compliance tool to help prevent fraudulent activity.

Agenda Item 6. Future work program

64. The Compliance Committee developed the following workplan for 2013.

Activity	Approximate Period	Resource
Indonesia provide information about revised CDS documents to the Secretariat for the Secretariat to evaluate these amendments, revise the CDS estimates of Indonesia's catch accordingly, and report the outcomes to the Extended Commission.	Oct-Nov 2012	Indonesia and Secretariat
Provide the definition of current attributable SBT catch to the Secretariat for inclusion in the Minimum Performance Requirements.	Oct 2012	All Members and CNMs
Write to market entities identified in the analysis of trade data (in particular, the USA, Hong Kong, China and Singapore) and invite them to participate as observers at the next meeting of the Compliance Committee.	Dec 2012	Executive Secretary
A small 3 day intersessional working group meeting (only 2-3 participants per Member) to develop minimum performance requirements for the CDS.	Apr-May 2013	2-3 participants per Member, CC Chair, 3 Secretariat staff, full interpretation
Explore the costs and benefits of a web-based e-CDS system. (a progress report should be provide to the above working group)	As time permits in advance of the next annual CC meeting and in time to allow intersessional comments where possible.	Secretariat
Prepare a draft set of CCSBT Port State Measures.		
Prepare a draft IUU vessel list measure for the CCSBT which is compatible with that of other RFMOs' IUU vessel lists and indicate the costs and benefits for the CCSBT of the draft measure.		
Consult with Members on their objectives and requirements in relation to a ROP, analyse the requirements and provide options on how to move forward.		
Explore options for working together to improve the integrity of the verification of SBT transhipped at-sea.	Before next CC meeting.	Japan, Taiwan and possibly Korea
Explore and report on options for strengthening MCS systems of Members and CNMs		All Members
Report on assistance provided in relation to improving the quality of Indonesia's MCS systems for SBT	Next CC Meeting	Australia, Indonesia
Report on outcomes of any joint technical discussions in relation to stereo video technology		Australia, Japan
Develop the Terms of Reference for a trial Quality Assurance Review and conduct the first trial.	2013 to 2014	CC Chair, Executive Secretary, Members

Agenda Item 7. Other business

65. Japan presented CC/1209/BGD05 on analyses of age composition, growth and catch of farmed southern bluefin tuna between 2007-2010, and noted its intent to raise the results of the paper with the Extended Commission. Australia noted its concerns with the sampling methodology, the outcomes of the 2012 ESC and that it therefore considered the results to be invalid.

Agenda Item 8. Recommendations to the Extended Commission

66. The Compliance Committee made the following recommendations to the Extended Commission.
- That the revised Compliance Policy on Minimum Performance Requirements provided at Attachment 4, which includes revised requirements for compliance with national allocations and transshipment, be adopted. The Commission should note that there is a need to develop a common definition for the SBT “catch” to be counted against national allocations and that in the interim, the revised policy requires Members to define their Attributable SBT Catch for inclusion in the policy and to comply with this.
 - The consolidated template provided at **Attachment 5** be used in future for annual reports to both the Compliance Committee and the Extended Commission.
 - As part of the CCSBT’s monitoring of emerging markets for SBT, the Secretariat should continue its subscription to global trade data, expand the subscription to include SBT fillet codes and update its analysis of trade data on an annual basis together with cross checks against CDS data. Members should investigate any discrepancies revealed in the cross checking process where trade from Members to Non-Cooperating Non-members does not have matching CDS information.
 - Members should develop codes for use in reporting trade of SBT fillets as soon as practicable.
 - A small working group meeting should be held in 2013 in order to develop minimum performance requirements for the CDS. The meeting could be held in conjunction with the ERSWG meeting for cost efficiencies.
 - A suite of operational improvements to the CDS Resolution, as detailed in Attachment A of paper CCSBT-CC/1209/10, be adopted.
 - That the attached principles for a Quality Assurance Review (QAR) be adopted and that the Extended Commission provide funding for the first trial QAR in 2013.
 - That the Compliance Committee’s recommended work plan be agreed.

Agenda Item 9. Conclusion

9.1. Timing and length of the next meeting

67. The meeting agreed that the next Compliance Committee meeting would be held prior to CCSBT 20 in accordance with past practice.

9.2. Adoption of meeting report

68. The report was adopted.

9.3. Close of meeting

69. The meeting closed at 6:00pm on 29 September 2012.

List of Attachments

Attachment

1. List of Participants
2. Agenda
3. List of Documents
4. The Revised Minimum performance requirements to meet CCSBT Obligations Compliance Policy Guideline 1
5. Template for the Annual Report to the Compliance Committee and the Extended Commission
6. General principles of a Quality Assurance Review (QAR)

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Seventh Meeting of the Compliance Committee

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INTERPRETERS

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Kumi	KOIKE	Ms						
Yoko	YAMAKAGE	Ms						

CCSBT SECRETARIAT

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**Seventh Meeting of the Compliance Committee
27-29 September 2012
Takamatsu City, Japan
Agenda**

1. Opening of meeting
 - 1.1. Welcome
 - 1.2. Adoption of Agenda
 - 1.3. Meeting Arrangements
2. Compliance with CCSBT Conservation and Management Measures
 - 2.1. Annual Reports from Members and Cooperating Non-members
 - 2.2. Report from the Secretariat
 - 2.3. Assessment of compliance with CCSBT management measures
3. Implementation of the CCSBT Compliance Plan
 - 3.1. Action planned for 2012
 - 3.1.1. Minimum performance requirements
 - 3.1.1.1. Compliance with national allocations
 - 3.1.1.2. Transhipments
 - 3.1.2. Revised and consolidated reporting template
 - 3.1.3. Evaluate ways to effectively implement Port State obligations
 - 3.1.4. Complete audit trial (subject to funding)
 - 3.1.5. Provide a program of MCS assistance to Indonesia
 - 3.1.6. Review SBT trade data
 - 3.2. Action planned for 2013
 - Minimum performance requirements (CDS)
 - Explore costs and benefits of a common IUU vessel list with other RFMOs
 - Trend analysis of publicly available market data
 - R & D on new technologies & tools to aid observers, certifiers and validators to identify SBT (in particular once processed)
4. Review of CCSBT MCS Measures
 - 4.1. CDS
 - 4.2. Transhipment
 - 4.3. VMS
 - 4.4. Record of authorised farms and vessels

5. Discussion of new or enhanced MCS measures, including ongoing identification and sharing of best practice for MCS systems
 - 5.1. New and/or enhanced MCS measures for the CCSBT
 - 5.2. Ongoing identification and sharing of best practice for MCS systems
6. Future work program
7. Other business
8. Recommendations to the Extended Commission
9. Conclusion
 - 9.1. Timing of the next meeting
 - 9.2. Adoption of meeting report
 - 9.3. Close of meeting

List of Documents
The Seventh meeting of the Compliance Committee

(CCSBT-CC/1209/)

1. Provisional Agenda
2. List of Participants
3. Draft List of Documents
4. (Secretariat) Compliance with CCSBT Management Measures
5. (Secretariat) Updated Minimum Performance Requirements (Compliance Policy 1)
6. (Secretariat) Revised and Consolidated Reporting Template
7. (Secretariat) Revised Audit Policy
8. (Secretariat) Exploratory Analysis of SBT Trade Data
9. (Secretariat) IUU Vessel List Resolution of Tuna RFMOs
10. (Secretariat) Operation of CCSBT MCS Measures

(CCSBT-CC/1209/SBT Fisheries -)

Australia	Australia's Annual review of the Southern Bluefin Tuna Fishery
Indonesia	Annual Review of Indonesia SBT Fisheries for 2011 for the Compliance Meetings and Annual Commission
Japan	Review of Japanese SBT Fisheries in the 2011 Fishing Season
Korea	Annual Review of SBT Fisheries for the Annual Meeting of the Extended Commission
New Zealand	Annual Review of National SBT Fisheries
Taiwan	Review of Taiwan's SBT Fishery of 2011/2012
European Union	Annual Review of National SBT Fisheries
Philippines	National Report of the Philippines as a Cooperating Non-Member of the Commission for the Conservation of Southern Bluefin Tuna (CCSBT) for 2012
South Africa	Annual Review of the South African SBT Fishery for the 19th Annual Meeting of the Commission

(CCSBT-CC/1209/Compliance Action Plan-)

Australia	Australia's 2012 Compliance action plan for the Commission for the Conservation of Southern Bluefin Tuna
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Indonesia	Indonesia Compliance Action Plan
Japan	Japan Compliance Action Plan 2012
Korea	Korea's Compliance Action Plan (2012)
New Zealand	New Zealand Compliance Action Plan 2012
Taiwan	Taiwan Compliance Action Plan 2012
European Union	European Union 2012 Compliance Action Plan
Philippines	Philippines Compliance Action Plan 2012
South Africa	South Africa's CCSBT Compliance Action Plan

(CCSBT-CC/1209/BGD)

1. (Australia) Revised proposal for verifying catch and effort data through a CCSBT Scientific Observer Program (*Previously CCSBT-ERS/1203/16*)
2. (Australia) Australia's Proposed Draft Resolution on the Provision of Fisheries-Dependent Data to Support the Scientific Assessment of Southern Bluefin Tuna and Ecologically Related Species (*Previously CCSBT-SMEC/1108/BGD04, CCSBT-SFMWG/1103/10*)
3. (Secretariat) Southern bluefin tuna trade data: Exploratory Analyses (*Previously CCSBT - ESC/1208/10 (Rev.1)*)
4. (Japan) Monitoring of Southern Bluefin Tuna trading in the Japanese domestic markets: 2012 update (*Previously CCSBT-ESC/1208/31(Rev.1)*)
5. (Japan) Analyses on age composition, growth and catch amount of southern bluefin tuna used for farming in 2007-2010 (*Previously CCSBT-ESC/1208/30*)

(CCSBT-CC/1209/Rep)

1. Report of the Seventeenth Meeting of the Scientific Committee (August 2012)
2. Report of the Ninth Meeting of the Ecologically Related Species Working Group (March 2012)
3. Report of the Eighteenth Annual Meeting of the Commission (October 2011)
4. Report of the Sixth Meeting of the Compliance Committee (October 2011)
5. Report of the Special Meeting of the Commission (August 2011)
6. Report of the Sixteenth Meeting of the Scientific Committee (July 2011)
7. Report of the Seventeenth Annual Meeting of the Commission (October 2010)
8. Report of the Sixth Meeting of the Compliance Committee (October 2010)
9. Report of the Fifteenth Meeting of the Scientific Committee (September 2010)
10. Report of the Second Meeting of the Strategy and Fisheries Management Working Group (April 2010)

Revised
Minimum performance requirements to meet CCSBT Obligations
Compliance Policy Guideline 1

1. Introduction

This policy sets out minimum performance requirements for Members and Cooperating Non Members (CNMs) of the Commission to meet their obligations in relation to CCSBT Conservation and Management measures. All obligations are assumed to apply to both Members and CNMs. Unless otherwise stated, all references to “Members” include CNMs and all references to the “Commission” include the Extended Commission. Obligations of the Commission and CCSBT Secretariat are not listed in this Policy.

The Conservation and Management measures and obligations in this Policy have been provided by the CCSBT Secretariat, and have been taken from the original resolutions, decisions and recommendations of the CCSBT. The full title (where applicable) and an internet link to the full text for each measure are provided at the start of the relevant section of this document. The description and order of some obligations has been changed to enable the obligations to be more easily understood in isolation to the original resolution, decision or recommendation.

This policy is a non-binding document. The original resolution, decision or recommendation should be consulted for an authoritative specification of the obligations. The original recommendation, resolution or decision prevails over this policy where there are any inconsistencies with this policy.

Some measures contain provisions for sharing of information or data. These sharing arrangements often have associated confidentiality provisions, either as part of the associated decision/resolution, and/or as part of the Rules and Procedures for the Protection, Access to, and Dissemination of Data Compiled by the CCSBT. The confidentiality arrangements are not included in this document.

2. Purpose

The purpose of this policy is to improve implementation of CCSBT obligations. It enables all Members to have a common understanding of existing obligations and the core elements expected of quality implementation of these obligations. It also provides for transparency in terms of each Member’s implementation procedures. The policy requires Members to:

- a) develop, document and implement rules, operating systems, and processes to meet their CCSBT obligations; and
- b) report on the effectiveness of the rules, operating systems, and processes.

The degree of detail in the minimum performance requirements for particular obligations reflects compliance risks associated with implementation of obligations, and the consequential need for a more consistent and rigorous approach by all Members. Performance requirements could be further elaborated in future should further compliance risks—associated with implementation of obligations—emerge.

3. Policy Statement

1. Members are expected to meet, or exceed, the minimum performance and reporting requirements set out in Appendix 1 of this Compliance Policy as soon as possible, after this policy is adopted by the Commission. The Compliance Committee may agree to a specific later implementation date for particular Members, based on individual circumstances.
2. All rules, operating systems, and processes must be implemented.
3. All operating systems and processes for measures relating to Catch Management, Authorisation, and MCS (groups 1-3 in Appendix 1) must be documented. Members are also encouraged to document their operating systems and processes for measures relating to Science and Ecologically Related Species (groups 4 and 5 in Appendix 1).
4. All documentation must:
 - specify how compliance with rules will be monitored
 - specify sanctions for any non-compliance detected
 - assign responsibility to a competent authority or authorities for implementing all aspects of the operating systems and processes
 - include criteria and procedures to assess the effectiveness of the rules, systems and processes in achieving compliance with the obligations.
5. Annual performance reports must:
 - set out how minimum performance requirements are met and monitored
 - evaluate the effectiveness of the rules, operating systems, and procedures in meeting obligations and performance requirements
 - disclose any compliance risks or deficiencies in the rules, operating systems, or procedures.

Individual Members may propose variations to the minimum performance requirements for particular obligations. Variations must demonstrate that they are at least as rigorous as the minimum performance requirements in Appendix 1. Proposed variations must be submitted to the Commission for approval. Approved variations will be appended to this document and form part of this Compliance Policy.

Some CCSBT obligations contain minimum standards. These, and any updates, are incorporated by reference in this Policy. In particular this includes:

- Appendix 2 (Minimum Procedural and Information Standards for CCSBT Member and Cooperating Non-Member Tagging Programmes), Resolution on the Implementation of a CCSBT Catch Documentation Scheme [CDS Resolution](#)
- Resolution on Establishing a Program for Transshipment by Large-Scale Fishing Vessels, Section 3 (At-Sea Transshipment), Annex 1 (CCSBT Transshipment Declaration), and Annex 2 (CCSBT Regional Observer Program) [Transshipment Resolution](#)
- CCSBT Scientific Observer Program Standards [Scientific Observer Program Standards](#)

Definition of terms

The following terms are used in this policy:

- *Attributable SBT Catch* – that part of a Member’s SBT fishing mortality that is counted against the Member’s allocation of the SBT Total Allowable Catch.
- *Operating systems and processes* – methods to deliver the services needed to meet the obligations and rules. Services include authorisation, validation, observers, enforcement, and research.
- *Rules* – legally binding or enforceable directions, obligations, or conditions. Rules include laws, regulations, and conditions on permits, licenses or authorisations.
- *Sanctions* – penalties or other corrective actions imposed in response to detected non-compliance or illegal activities.

In the context of the Catch Documentation Scheme (CDS), the following meanings are adopted in this policy:

- *Certification* means the first check and confirmation that details in a CDS form have been fully and accurately recorded. Certification is generally carried out by individuals who represent, or are responsible for, the relevant business operation (e.g. fishing, farming, importing or exporting) whose documentation is being certified.
- *Validation* means the second check to confirm that details in a CDS form have been fully and accurately recorded. Validation procedures include:
 - (1) checking documentation, and
 - (2) inspecting SBT product or catch and relevant documentation in a random sample from the Member’s:
 - a. farms
 - b. vessels that are landing in, or re-exporting from, the Member’s ports
 - c. vessels that are landing in foreign ports, or
 - (3) monitoring transshipments by the Member’s vessels foreign ports.

Any inspections required must be completed prior to validating CDS forms. Validation is carried out by government officials or other individuals who have been duly delegated the authority to validate CDS documents.

- *Verification* means sampling, monitoring and investigation procedures to confirm or audit that SBT anywhere in the production chain, or entering the market, is compliant with CDS documentation requirements. Verification is carried out by a competent authority of the Member. Verification includes:
 - (1) examining and analysing samples of CDS documentation and SBT product, and investigating any discrepancies or irregularities detected, and
 - (2) monitoring markets to detect and investigate any supply of SBT whose CDS documentation is incomplete or missing.

4. Policy implementation

This policy will be implemented over three years. During this period, the Compliance Committee will work through the CCSBT obligations and agree to the performance requirements. Appendix 1 will be updated as performance requirements are agreed.

When recommending any new obligations to the Commission, the Compliance Committee will include the performance requirements associated with the obligations. Once agreed by the Commission, any new obligations and performance requirements will be added to Appendix 1.

5. Roles and responsibilities under this Policy

<i>Who</i>	<i>Responsibility to:</i>
Commission	<ul style="list-style-type: none">• Approve policy• Approve performance requirements
Compliance Committee	<ul style="list-style-type: none">• Recommend performance requirements (updates to Appendix 1)• Monitor Member compliance through review of annual reports• Review and recommend changes to this policy
Members	<ul style="list-style-type: none">• Develop and implement rules, operating systems and processes• Report on progress and effectiveness
Secretariat	<ul style="list-style-type: none">• Develop reporting template• Place this policy and annual reports on website

6. Policy review

This Policy is to be reviewed every three years from the date of approval of the Policy. Performance requirements are to be reviewed every three years from the date on which they were agreed.

A Member may request a review of one or more of the minimum performance requirements at any time. The request, setting out the reason for the review, must be submitted to the annual meeting of the Compliance Committee. The request must be sent to the Executive Secretary for circulation to Members at least 4 weeks before the Compliance Committee annual meeting.

7. Approval

This policy was approved by the Commission:

Chair, Commission

Date

Review date: _____ (unless reviewed earlier)

Appendix 1. Minimum performance requirements

This appendix sets out minimum performance requirements for Members to meet their obligations relating to each Conservation and Management Measure. The Conservation and Management measures are grouped as follows:

- 1 Catch Management Measures
- 2 Authorisation Measures
- 3 MCS Measures
- 4 Science Measures
- 5 Measures Related to Ecologically Related Species
- 6 Routine Reporting Measures

1. Catch Management Measures

This section sets out minimum performance requirements for obligations relating to:

- Compliance with National Allocations (1.1)
- Compliance Action Plan (1.2)

1.1 Compliance with National Allocations (Decisions)

Title: There is no official title for this measure, so “Compliance with National Allocations” will be used.

Links: http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_Allocation.pdf
http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_Limited_Carry_forward.pdf

Note: Obligations relating to this measure are subject to regular decisions of the Extended Commission and will require frequent updating. The current obligations relate to the TAC and national allocations agreed for 2012, 2013 and 2014.

1.1 Compliance with National Allocations

Obligations	Minimum performance requirements																																																																																																																	
<p>i. For 2012, 2013 and 2014, each Member shall be bound to the Allocated Catch for the respective year as specified below.</p> <table><tr><th></th><th colspan="3">Allocated Catch (t)</th></tr><tr><th></th><th>2012</th><th>2013</th><th>2014*</th></tr><tr><td>Japan</td><td>2519</td><td>2689</td><td>3366*</td></tr><tr><td>Australia</td><td>4528</td><td>4698</td><td>5147</td></tr><tr><td>New Zealand</td><td>800</td><td>830</td><td>909</td></tr><tr><td>Korea</td><td>911</td><td>945</td><td>1036</td></tr><tr><td>Taiwan</td><td>911</td><td>945</td><td>1036</td></tr><tr><td>Indonesia</td><td>685</td><td>707</td><td>750</td></tr></table> <p>* 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 12449t) and a compliance review at CCSBT 20 (2013) as described in the Resolution on the Allocation of the Global Total Allowable Catch.</p>		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	<p>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.</p> <p>2. Operating systems and processes established to:</p> <p>a. implement annual catching arrangements, including:</p> <p>i. specification of allocations by company, quota holder or vessel,</p> <p>ii. arrangements for daily recording of all catches,</p> <p>iii. weekly reporting of catches by large scale tuna longliners and monthly reporting of catches by coastal fishing vessels.</p> <p>b. In accordance with the timeline in the table below, monitor all fishing-related mortality of SBT .</p> <p>Starting Year for Monitoring of SBT Mortality</p> <table><tr><th rowspan="2">MEMBER</th><th colspan="6">Sources of SBT Mortality</th></tr><tr><th>Commercial Retained Catch (t)</th><th>Commercial Discard Mortality (numbers and/or estimated weight)</th><th>Commercial Towing Mortality (t)</th><th>Non-Commercial Retained Catch (t)</th><th>Other Discard Mortality (numbers and/or estimated weight)</th><th>Other Sources of Mortality (numbers and/or estimated weight)</th></tr><tr><td>Australia</td><td>now</td><td>now</td><td>now</td><td>now</td><td>now</td><td>now</td></tr><tr><td>Indonesia</td><td>now</td><td>now</td><td>N/A</td><td>now</td><td>now</td><td>now</td></tr><tr><td>Japan</td><td>now</td><td>now</td><td>N/A</td><td>N/A</td><td>now</td><td>now</td></tr><tr><td>Republic of Korea</td><td>now</td><td>now</td><td>N/A</td><td>N/A</td><td>now</td><td>now</td></tr><tr><td>New Zealand</td><td>now</td><td>now</td><td>N/A</td><td>now</td><td>now</td><td>now</td></tr><tr><td>Taiwan</td><td>now</td><td>now</td><td>N/A</td><td>N/A</td><td>now</td><td>now</td></tr><tr><td>European Union</td><td>now</td><td>now</td><td>N/A</td><td>N/A</td><td>now</td><td>now</td></tr><tr><td>Philippines</td><td>now</td><td>now</td><td>N/A</td><td>N/A</td><td>now</td><td>now</td></tr><tr><td>South Africa</td><td>now</td><td>now</td><td>N/A</td><td>now</td><td>now</td><td>now</td></tr></table> <p>Any of the sources of the mortality listed in the table above may or may not contribute to 'Attributable Catch'</p> <p>c. Ensure accuracy of the “Attributable SBT Catch”, including:</p>						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	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
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Australia	now	now	now	now	now	now																																																																																																												
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Japan	now	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																																																																																																												

1.1 Compliance with National Allocations	
Obligations	Minimum performance requirements
	<ul style="list-style-type: none"> 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. <p>3. All fishing-related SBT mortality is reported annually to the Extended Scientific Committee, for incorporation into stock assessment analysis, and to the Commission.</p> <p>4. Operating systems and processes applied to:</p> <ul style="list-style-type: none"> a. monitor compliance with annual catching arrangements; and b. impose sanctions or remedies where necessary. <p><u>Note on the Attributable SBT Catch</u> 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:</p> <ul style="list-style-type: none"> • 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. • 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: • 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.

1.1 Compliance with National Allocations				
Obligations			Minimum performance requirements	
ii. Catch allocations for CNMs for each of 2012, 2013 and 2014, are as follows:			1. As above, except that references to Allocated Catch refer to the Allocated Catch for CNMs.	
	Allocated catch (t)			
	2012	2013	2014	
Philippines	45	45	45	
South Africa	40	80*	150*	
EC	10	10	10	
* The increased allocation for South Africa in 2013 and 2014 is subject to its accession to the Convention for the Conservation of Southern Bluefin Tuna, as described in the Resolution on the Allocation of the Global Total Allowable Catch.				
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:			1. For Members that decide to adopt the carry-forward procedure (regardless of whether carry-forward was used in the particular year):	
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;			a. Operating systems and processes must be in place to ensure that	
b. If at the beginning of a new quota year, the Member decides to carry forward unfished			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.	

1.1 Compliance with National Allocations	
Obligations	Minimum performance requirements
<p>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</p>	

1.2 Compliance Action Plans

Title: Resolution on action plans to ensure compliance with Conservation and Management Measures

Link: http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_ComplianceActionPlans.pdf

Notes: Date specific aspects of this resolution that are in the past are not listed in the obligations.

1.2 Compliance Action Plans	
Obligations	Minimum performance requirements
<p>i. Flag Members of pelagic longline vessels shall specify in their action plans improvement in at least 3 areas:</p> <ul style="list-style-type: none">• Port state inspection of transhipment of SBT<ul style="list-style-type: none">➤ Members should designate foreign ports of transhipment of SBT for their vessels, prohibit such transhipment at other foreign ports and communicate with those designated port states to share relevant information required for effective inspection• Verification of catch data through scientific observers on fishing vessels of coverage of 10% in terms of effort.• Actual inspection of catches by authorities of flag Members and CNMs.• All the above measures should be implemented in a manner that will not interfere with legitimate commercial transaction of SBT.	<p>1. Compliance Action Plans must:</p> <ol style="list-style-type: none">a. specify foreign ports where their vessels may tranship or land SBT;b. prohibit transhipment or landing at other foreign ports;c. specify inspection requirements at:<ol style="list-style-type: none">i. domestic portsii. designated foreign ports;d. detail how catch is to be inspected and what information will be communicated to Port States of designated foreign ports to enable effective inspection (see Validation performance requirements, section 3.1(D)xx-xxii);e. Aid verification of catches by ensuring a scientific observer coverage of 10% of effort.
<p>ii. Members farming SBT shall implement in the 2011 fishing season commercial trials of stereo video systems for monitoring 10% of the SBT transferred to their cages and, if the systems prove successful, adopt them in the following season as the systems for ongoing monitoring.</p>	<ol style="list-style-type: none">1. SVM adopted for monitoring of SBT transferred to cages once the technology has been proved financially viable.2. The results of such monitoring should be reported to the relevant CCSBT meetings, including the Scientific Committee and the Compliance Committee.

2. Authorisation Measures

This section sets out minimum performance requirements for obligations relating to:

- Record of Authorised Farms (2.1)
- Record of Authorised Vessels (2.2)
- Record of Authorised Carrier Vessels (2.3)

2.1 Record of Authorised Farms (Resolution)

Title: Resolution on the Establishment of a Record of Authorised Farms

Link: http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_AuthorisedFarms.pdf

Note: For the purposes of this resolution, SBT farms not entered into the record are deemed not to be authorised to operate for farming of SBT.

2.1 Record of Authorised Farms	
Obligations	Minimum performance requirements
i. Members shall submit to the Executive Secretary the list of SBT farms under the Member's jurisdiction that are authorised to operate for farming of SBT.	1. Operating systems and processes to: a. authorise each farm to operate for farming of SBT; b. provide all required information on authorised farms to the Executive Secretary; c. submit any updates to the Executive Secretary promptly; and d. submit the authorisation information, and any updates, electronically using the Data Provision Form for CCSBT Record of Farms Authorised to Fish for SBT.
ii. Members shall notify the Executive Secretary of any addition to, any deletion from and/or any modification of the record of authorised farms at any time such changes occur.	
iii. Members shall ensure that their authorised farms comply with relevant CCSBT measures	
iv. Members shall not permit landings of domestic product, exports, imports, and/or re-exports of SBT into and from farms which are not registered on the CCSBT record of authorised farms.	

2.1 Record of Authorised Farms	
Obligations	Minimum performance requirements
v. To ensure effectiveness of the CDS: <ul style="list-style-type: none"> Members shall validate CDS documents only for farming facilities on the CCSBT record of authorised farms; Members that farm SBT shall require sales of farmed SBT to the first point of domestic sale to be accompanied by CDS documents validated only for the farming facilities on the CCSBT record of authorised farms; Members shall require imports of farmed SBT to be accompanied by CDS documents validated only for the farming facilities on the CCSBT record of authorised farms. 	See section 3.1 D (CDS Validation)

2.2 Record of Authorised Vessels

Title: Resolution on amendment of the Resolution on “Illegal, Unregulated and Unreported Fishing (IUU) and Establishment of a CCSBT Record of Vessels over 24 meters Authorized to Fish for Southern Bluefin Tuna” adopted at the CCSBT15 in 2008

Link: http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Ammended_resolution_on_authorised_24m_vessel_list.pdf

Notes: For the purpose of this resolution, fishing vessels (FVs) not entered into the Record are deemed not to be authorised to fish for, retain on board, tranship or land SBT.

2.2 Record of Authorised Vessels	
Obligations	Minimum performance requirements
i. Members shall: <ul style="list-style-type: none"> ensure that all vessels under their registry do not carry out IUU fishing activities for SBT; take every possible action, consistent with relevant law, to prevent, deter and eliminate IUU fishing; review progress on the issue of IUU fishing for SBT and the implementation of its IUU measures including adopting further 	1. Review any evidence obtained of IUU fishing, and assess the effectiveness of Member measures to detect and deter IUU fishing.

2.2 Record of Authorised Vessels	
Obligations	Minimum performance requirements
measures as required on a regular basis.	
ii. Members shall submit to the Executive Secretary, the list of fishing vessels (FV) flying the Member's flag that are authorised to fish for SBT.	1. Operating systems and processes to: <ol style="list-style-type: none"> authorise specific fishing vessels flying the Member's flag to fish for SBT; submit any updates to the Executive Secretary promptly, at any time changes occur; and ensure all authorisation information and any updates are submitted to the Executive Secretary electronically and using the CCSBT Data Provision Form for Authorised Fishing Vessels.
iii. Members shall promptly notify the Executive Secretary of any addition to, any deletion from and/or any modification of the CCSBT record at any time such changes occur.	
iv. Flag Members of the vessels on the record shall: <ul style="list-style-type: none"> authorise their FVs to fish for SBT only if they are able to fulfil in respect of these vessels the requirements and responsibilities under the CCSBT Convention and its conservation and management measures; take necessary measures to ensure that their FVs comply with all the relevant CCSBT conservation and management measures; take necessary measures to ensure that their FVs on the CCSBT Record keep on board valid certificates of vessel registration and valid authorization to fish and/or tranship; affirm that if those vessels have record of IUU fishing activities, the owners have provided sufficient evidence demonstrating that they will not conduct such activities any more; ensure, to the extent possible under domestic law, that the owners and operators of their FVs on the CCSBT Record are not engaged in or associated with fishing activities for SBT conducted by FVs not entered into the CCSBT Record; and 	1. Ensure authorised FVs comply with relevant CCSBT measures, including requiring: <ol style="list-style-type: none"> owners of FVs or fishing concessions to be citizens or legal entities within the Member's jurisdiction and subject to enforcement actions and the application of sanctions. 2. Operating systems and processes to: <ol style="list-style-type: none"> provide information to Executive Secretary on any fishing vessel not on the Record of Authorised Vessels that is suspected of fishing for and/or transhipping of SBT.

2.2 Record of Authorised Vessels	
Obligations	Minimum performance requirements
<ul style="list-style-type: none"> take necessary measures to ensure, to the extent possible under domestic law, that the owners of the FVs on the CCSBT Record are citizens or legal entities within the flag Members and Co-operating Non-members so that any control or punitive actions can be effectively taken against them. 	
v. Members shall prohibit the fishing for, the retaining on board, the transshipment and landing of SBT by the FVs which are not entered into the CCSBT Record.	
vi. To ensure effectiveness of the CDS <ul style="list-style-type: none"> Flag Members shall validate CDS documents only for FVs on the CCSBT record; Members shall require that SBT caught by FVs, when transhipped, landed as domestic product, exported, imported or re-exported within their jurisdictions, shall be accompanied by CDS documents validated for the vessels on the CCSBT Record; and Members shall co-operate to ensure that CDS documents are not forged or do not contain misinformation. 	
vii. Members shall notify the Executive Secretary of any factual information showing that there are reasonable grounds for suspecting FVs not on the CCSBT record to be engaged in fishing for and/or transshipment of SBT.	

2.2 Record of Authorised Vessels	
Obligations	Minimum performance requirements
viii. The Commission and the Members concerned shall communicate with each other, and make the best effort with FAO and other relevant regional fishery management bodies to develop and implement appropriate measures, where feasible, including the establishment of records of a similar nature in a timely manner so as to avoid adverse effects upon other tuna resources in other oceans. Such adverse effects might consist of excessive fishing pressure resulting from a shift of the IUU FVs from fishing for SBT to other fisheries	

2.3 Record of Authorised Carrier Vessels (part of Transhipment Resolution)

Title: Record of vessels authorised to receive transshipments-at-sea in areas beyond national jurisdiction (*from section 2 of the “Resolution on Establishing a Program for Transhipment by Large-Scale Fishing Vessels”*)

Link: http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_Transhipment.pdf

Notes: The obligations for the remainder of the Transhipment Resolution are in section 3.3 (Transhipment Monitoring Program). For the purposes of this Resolution, carrier vessels not entered on the record are deemed not to be authorised to receive SBT in at-sea transhipment operations.

2.3 Record of Authorised Carrier Vessels	
Obligations	Minimum performance requirements

<p>i. Members shall submit to the CCSBT Secretary, the list of carrier vessels that are authorised to receive at-sea transhipments from its LSTLVs.</p>	<p>1. Operating systems and processes to:</p> <ul style="list-style-type: none"> a. authorise specific carrier vessels to receive at-sea transhipments from its authorised Fishing Vessels (LSTLVs); b. ensure authorised carrier vessels will meet their obligations to (see Transhipment Monitoring performance requirements 3.3): <ul style="list-style-type: none"> i. provide access and accommodation to observers, ii. cooperate with observers in relation to carrying out their duties, and iii. not interfere with, or seek to influence, observers in any way; c. provide required information on authorised carrier vessels to the Executive Secretary within 1 month of the vessel being authorised, and before such vessels are actually used in transhipments; d. submit any updates to the Executive Secretary promptly, and no later than 1 month from the change occurring, and before such vessels are actually used in transhipments; and e. ensure all authorisations, and any updates, are submitted electronically to the Executive Secretary using the Data Provision Form for CCSBT Record of Authorised Carrier Vessels.
<p>ii. Each Member shall promptly notify the Executive Secretary, after the establishment of the initial CCSBT Record of Carrier Vessels, of any addition to, any deletion from and/or any modification of the CCSBT Record of Carrier Vessels, at any time such changes occur.</p>	
<p>iii. Carrier vessels authorized for at-sea transhipment shall be required to install and operate a Vessel Monitoring System (VMS).</p>	<p>1.</p> <p>Operating systems and processes to ensure that carrier vessels are only to be authorised to carry out at-sea transhipments if:</p> <ul style="list-style-type: none"> a) The carrier vessel already has an operational VMS installed,

	<p>or the carrier vessel undertakes to install an operational VMS before any authorisation and transshipments of SBT take place, and</p> <p>b) The VMS transmits at frequency sufficient to show transshipping operations, and c) The VMS will function effectively in the expected operating conditions.</p>
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3. MCS Measures

This section sets out minimum performance requirements for obligations relating to:

- Catch Documentation System (3.1)
- Vessel Monitoring System (3.2)
- Transshipment (at sea) Monitoring Program (3.3)

3.1 Catch Documentation System (Resolution)

Title: Resolution on the Implementation of a CCSBT Catch Documentation Scheme

Link: http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_CDS.pdf

Notes: In the text below, the term “Member” includes CNMs as it does for the rest of this document, and the term “Member/OSEC” includes Members, CNMs and Other States/Fishing Entities Cooperating in the CDS.

To keep “like” tasks together the CDS obligations are grouped below as follows:

- A. General provisions and application
- B. Modification to standard CDS Documents
- C. Tagging
- D. Validation
- E. Retention and submission of documents to the Secretariat
- F. Verification of CDS documentation

3.1 Catch Documentation System	
A. Obligations (general)	Minimum performance requirements
<p>i. All Members shall implement the CCSBT CDS for southern bluefin tuna (SBT) to document the movement of all SBT as outlined in this resolution. The CCSBT CDS incorporates CCSBT CDS documentation and tagging of SBT.</p>	<p>1. Operating systems and processes established to ensure:</p> <ol style="list-style-type: none"> CDS documents are uniquely numbered, and completed fully and in accordance with the document's instructions; CDS documents accompany SBT as relevant, including: <ol style="list-style-type: none"> a Catch Monitoring Form for all transshipments, landings of domestic product, exports, imports and re-exports a Re-export/Export After Landing of Domestic Product for all exports of SBT landed as domestic product and for all re-exports a Farm Transfer Form for all transfers of SBT between authorised farms within the Member's jurisdiction; all entities involved in towing and farming SBT have procedures to: <ol style="list-style-type: none"> determine, for the catch from each catching vessel: <ol style="list-style-type: none"> the mortality of SBT during towing the quantity (number and weight) of SBT transferred to each farm use these records to complete the Farm Stocking Form at the end of each fishing season.
<p>ii. For transshipments, landings of domestic product, exports, imports and re-exports under the jurisdiction of a Member/OSEC, all SBT shall be accompanied by a Catch Monitoring Form, and where required¹ at least one Re-export/Export after landing of domestic product Form as well. There is no waiver of this requirement. However:</p> <ul style="list-style-type: none"> the exportation/import of fish parts other than the meat (i.e. head, eyes, roe, guts, tails) may be allowed without the document Members that prohibit the sale of fish caught by recreational fishers may exempt their recreational fisheries from the requirements of the CCSBT CDS 	
<p>iii. Transfers of SBT into and between farms under the jurisdiction of a Member shall be documented on the Farm Stocking Form and Farm Transfer Form as applicable.</p>	
<p>iv. CCSBT CDS documents must be uniquely numbered.</p>	
<p>v. Members/OSECs shall not permit the landing as domestic product, transshipment, import, export and/or re-export of SBT caught by vessels not authorised to catch SBT and (if SBT farming is conducted under their jurisdiction) the transfer of SBT to or between, and harvest of SBT from, farms not authorised to farm SBT.</p>	<p>1. Operating systems and processes implemented to ensure that:</p> <ol style="list-style-type: none"> at all times only carrier vessels currently entered into the CCSBT Record of Carrier Vessels are authorised to receive at-sea transshipments from the Member's LSTLVs; and no transshipment of SBT takes place until the carrier vessel and any updated details are entered into the Record.

¹ For all re-exports of SBT, and any exports of SBT that were landed as domestic product.

3.1 Catch Documentation System	
B. Obligations (modification to CDS documents)	Minimum performance requirements
vi. Only minimal modifications, such as the addition of translations, may be made to the approved forms ² . No information field may be omitted from the standard form, except where the field is not applicable.	
vii. Any documentation modified, as described above ³ , shall be provided to the Executive Secretary for distribution to other Members/OSECs.	
viii. Significant amendments to the forms and form content may be made only with the agreement of the Commission at its annual meeting based on recommendations from the CCSBT Compliance Committee.	

3.1 Catch Documentation System	
C. Obligations (Tagging)	Minimum performance requirements
ix. Members shall require that an SBT tag be attached to each whole SBT at the time of kill except in the three circumstances described at paragraph 3.1 C “xiii” below.	1. Operating systems and processes to implement CCSBT Catch Tagging Program requirements, including: <ul style="list-style-type: none"> a. ensuring all SBT tags meet the minimum specifications in paragraph 3 of Appendix 2 of the CDS Resolution; b. recording the distribution of SBT tags to: <ul style="list-style-type: none"> i. entities authorised to fish for, or farm, SBT; c. requiring a valid tag to be attached to each SBT brought on

² However the Catch Tagging Form may be amended to include additional information at the discretion of the Member .

³ With the exception of additions to the Catch Tagging Form.

3.1 Catch Documentation System	
C. Obligations (Tagging)	Minimum performance requirements
x. A Catch Tagging Form shall be filled in as soon as practicable after the time of kill. Length and weight measurements shall be conducted before the SBT is frozen. Where measurements cannot be accurately done on board the vessel, they may be made at the time of landing or transshipment, provided the measurements and the associated Catch Tagging Form are filled in before any further transfer of the SBT.	board a fishing vessel and killed (including SBT caught as incidental bycatch) or landed and killed from a farm (unless the special circumstances in 3.1C(xiii) apply); d. requiring tags to be attached to each fish as soon as practicable after the time of kill; and e. requiring details for each fish to be recorded on the Catch Tagging Form as soon as practicable, with weight and length measurements carried out before SBT is frozen.
xi. A tagging programme shall meet the minimum procedural and information standards set out in Appendix 2 of the CDS resolution ⁴ .	1. Operating systems and processes to: a. report any cases of whole SBT being landed without tags (due to exceptional circumstances in “xiii” and “xiv”) and minimise their occurrence in future.
xii. Members shall prohibit unauthorised use of SBT tags.	
xiii. Members/OSECs shall not permit whole SBT to be landed as domestic product, transhipped, exported, imported or re-exported without a tag, except that: a. in the case of farming operations, the SBT may be landed without a tag provided a tag is attached within 30 hours of kill; b. in exceptional circumstances, where a vessel on the CCSBT Record of Authorised Vessels does not have sufficient tags on board the vessel, the tag may be attached at landing; c. in exceptional circumstances, where a vessel catches SBT as unexpected bycatch and has no or insufficient tags on board, the tag may be attached at landing.	

⁴ This includes minimum standards for the tag and requirements for tag related information.

3.1 Catch Documentation System	
C. Obligations (Tagging)	Minimum performance requirements
xiv. In exceptional circumstances, where a tag becomes accidentally detached and cannot be reattached, a replacement tag shall be attached as soon as possible and no later than the time of landing, transshipment or export.	
xv. Members shall report any exceptional circumstances referred to in “xiii(b)”, “xiii(c)” or “xiv” of this measure to the Executive Secretary within 7 days of the landing. The report shall provide details of the exceptional circumstances, the number of SBT tagged and for “xiv” of this measure, the old (where known) and new tag number(s).	
xvi. Members shall require that tags be retained on whole SBT to at least the first point of sale for landings of domestic product, and shall encourage the retention of tags on whole fish thereafter.	

3.1 Catch Documentation System	
D. Obligations (Validation)	Minimum performance requirements
xvii. The authority to validate CDS documents may be delegated to an authorised person by an official of the relevant State/fishing entity. Members/OSECs who utilise delegated person/s shall submit a certified copy of such delegation/s to the Executive Secretary. The individual who certifies a CCSBT CDS Document shall not be the same person who validates the Document.	1. Operating systems and processes to: <ol style="list-style-type: none"> authorise validators; demonstrate that all persons with authority to validate CDS documents: <ol style="list-style-type: none"> are government officials or other individuals who have been duly delegated authority to validate have not certified the relevant CDS form; inform the Executive Secretary of: <ol style="list-style-type: none"> the details for all validators (including the information specified in obligation 3.1D xviii) and maintain this information up to date.
xviii. Members/ OSECs shall provide to the Executive Secretary information on validation (including type of validation, name of the organization which validates the documents, title and name and signature of officials who validate the documents, sample impression of stamp or seal, and a list of all persons holding	

3.1 Catch Documentation System	
D. Obligations (Validation)	Minimum performance requirements
<p>delegated authority to validate CCSBT CDS documentation prior to those officials and persons exercising the authority). Members/OSECs shall inform the Executive Secretary of any changes in a timely fashion.</p>	
<p>xix. The CCSBT CDS documentation must be validated (or signed in the case of transshipments at sea) as applicable by:</p> <ul style="list-style-type: none"> a. for landings of domestic product, an official of the flag Member of the catching vessel or, when the fishing vessel is operating under a charter arrangement, by a competent authority or institution of the chartering Member; and b. for all SBT transshipments subject to CCSBT Resolution on Establishing a Program for Transshipment by Large-Scale Fishing Vessels, the observer required by that resolution; and c. for all export of SBT, an official of the exporting Member; and d. for all re-export of SBT, an official of the re-exporting Member/OSEC. 	
<p>xx. Members/OSECs shall not validate any CCSBT CDS document that is not complete, has obviously incorrect information, or has not been validated as required by this resolution.</p>	<ul style="list-style-type: none"> 1. Ensure: <ul style="list-style-type: none"> a. validation only occurs: <ul style="list-style-type: none"> i. for tagged SBT (except where tag is no longer required due to processing) b. validated documentation accompanies: <ul style="list-style-type: none"> i. all SBT consignments (except transshipments at sea) and c. validation does not occur where: <ul style="list-style-type: none"> i. validation procedures not followed or ii. any deficiency or discrepancy is found. 2. Operating systems and processes established to validate relevant CDS documents, including: <ul style="list-style-type: none"> a. requirements to check accuracy of information, including, at a
<p>xxi. Full or partial consignments of untagged whole SBT must not be validated or accepted for transshipment, landing of domestic product, export (including export after landing of domestic product), import or re-export (except where the tag is no longer required to be attached to the SBT because it has undergone processing such as filleting or loining and the SBT is no longer whole).</p>	

3.1 Catch Documentation System	
D. Obligations (Validation)	Minimum performance requirements
	minimum:
xxii. Members shall undertake an appropriate level of audit, including inspections of vessels, landings, and where possible markets, to the extent necessary to validate the information contained in the CDS documentation.	i. ensuring CDS documentation is complete, valid and has no obviously incorrect information
xxiii. No Member/OSEC shall accept any SBT for transshipment, landing of domestic product, export, import, or re-export where any or all required documents do not accompany the relevant consignment of SBT, where fields of information required on the form are not completed, or where the form has not been validated as required by this resolution.	ii. taking into account any results from relevant inspections carried out by the validator or under the verification programme;
	b. reporting requirements, including:
	i. identification of any inconsistencies or inaccuracies found in the CDS documentation
	ii. notification to the Member's authorities.

3.1 Catch Documentation System	
E. Obligations (Retention and submission of documents)	Minimum performance requirements
xxiv. Members/OSECs shall retain all original CCSBT CDS Documents received by them. Members/OSECs shall also retain a copy of any CCSBT CDS Documents issued by them	
xxv. Copies of these CDS Documents shall be forwarded to the Executive Secretary on a quarterly basis.	1. Copies of all completed CDS documents issued by catching Members or received by importing or receiving Members, sent to Executive Secretary in accordance with the following timeframes:
xxvi. Completed Catch Tagging Forms shall be provided to the flag Members which shall provide the information in the Catch Tagging Form to the Executive Secretary in an electronic format. All other forms shall be forwarded to the Executive Secretary either as a copy of the original form or in electronic format containing all the information in the forms.	a. documents issued or received in Jan-Mar - due 30 June b. documents issued or received in Apr-Jun - due 30 September c. documents issued or received in Jul-Sep - due 31 December d. documents issued or received Oct-Dec - due 31 March.
	2. Catch Tagging Form information provided to the Executive Secretary using the electronic Data Provision Form developed by the Secretariat and in accordance with the Data Provision Form's

3.1 Catch Documentation System	
E. Obligations (Retention and submission of documents)	Minimum performance requirements
	instructions.

3.1 Catch Documentation System	
F. Obligations (Verification of CDS documentation)	Minimum performance requirements
xxvii. Each Member shall ensure that its competent authorities, or other authorised individual or institution, take steps to identify each consignment of SBT landed as domestic product in, imported into or exported or re-exported from its territory and examine the validated CCSBT CDS Documents for each consignment of SBT. These competent authorities, or authorised individuals or institutions, may also examine the content of the consignment to verify the information contained in the CCSBT CDS Document and in related documents and, where necessary, shall carry out verifications with the operators concerned.	1. Operating systems and processes established for verification, including: <ul style="list-style-type: none"> a. inspecting CDS documentation; b. reviewing and analysing information from CDS documents , including: <ul style="list-style-type: none"> i. cross-checking completeness and consistency of data from CDS Forms received ii. cross-checking data from six-monthly report from Executive Secretary iii. analysing any discrepancies; c. investigating any irregularities suspected or detected; d. taking action to resolve any irregularities; e. notifying the Executive Secretary and relevant Members/ OSECs, of any consignments of SBT whose CDS documentation is considered doubtful, or incomplete or unvalidated; f. notifying the Executive Secretary of the final outcome of the investigation.
xxviii. Each Member shall review information and investigate and resolve any irregularities identified in relation to their information in the CDS reports, including any discrepancies identified during the comparison of data from the Executive Secretary. Among other matters, Members shall cross-check the six monthly reports provided by the Executive Secretary using information available to it.	

3.1 Catch Documentation System	
F. Obligations (Verification of CDS documentation)	Minimum performance requirements
<p>xxix. Each Member/OSEC shall, as soon as practicable, identify to the Executive Secretary and relevant Members/OSECs, any consignments of SBT where there are:</p> <ul style="list-style-type: none"> • doubts about the information contained in any associated CDS documentation; or • incomplete, missing or unvalidated CCSBT CDS documentation. 	
<p>xxx. Each Member shall co-operate and take all necessary steps with relevant authorities, and within domestic law, to review, investigate and resolve any concerns identified in “xxvii” and “xxviii” of this measure, and notify the Executive Secretary of the outcome of any such action for inclusion in its report to the Commission</p>	
<p>xxxi. Members/OSECs shall cooperate to ensure that CDS documents are not forged and/or do not contain misinformation.</p>	
<p>xxxii. Where necessary, in support of catch verification procedures, Members/OSECs agree to exchange the necessary supporting information and, where relevant, evidence as may be necessary to verify the integrity of the flow of CDS information and to reconcile any discrepancies.</p>	

3.2 Vessel Monitoring System (Resolution)

Titles: Resolution on the development and implementation of a Vessel Monitoring System

Resolution on establishing the CCSBT Vessel Monitoring System

Links: http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_VMS_Development_Implement.pdf

http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_VMS.pdf

Notes:

3.2 Vessel Monitoring System	
Obligations	Minimum performance requirements
<p>i. Members shall develop and implement their satellite-linked Vessel Monitoring Systems for fishing vessels catching SBT and flagged to Members.</p> <p>ii. The Vessel Monitoring Systems shall include the following elements:</p> <p>a. Flag states/fishing entities shall monitor and manage their vessels equipped with vessel monitoring devices</p> <p>b. The following data shall be continuously and automatically reported, at a frequency that allows the fishing activity of a vessel to be identified, while the vessel is fishing: the vessel identification; its geographical position; and the date and time</p> <p>c. Vessel monitoring devices shall be tamper-resistant and located in a sealed unit with official seals that indicate whether the unit has been accessed or tampered with.</p> <p>d. In the event of a technical failure of the device, the master or owner of a vessel shall be required to report to the flag state/fishing entity, at a frequency that allows the fishing activity of a vessel to be identified, the vessel's identification, its geographical position, and the date and time.</p>	<p>1. Operating systems and processes in place to:</p> <p>a. ensure all VMSs are tamper-resistant and meet the requirements in 3.2 ii(c);</p> <p>b. to ensure the VMS automatically transmits the following data:</p> <p>i. vessel identification</p> <p>ii. geographic position</p> <p>iii. date and time;</p> <p>c. require, in the event of a technical failure of the VMS, the Master to report the required information; and</p> <p>d. monitor vessels' VMS reports.</p>

3.2 Vessel Monitoring System	
Obligations	Minimum performance requirements
iii. Members shall implement a mandatory Vessel Monitoring System for fishing of SBT inside the Exclusive Economic Zone by 1 January 2008 for vessels above a specified size.	
iv. Members shall ensure their domestic regulations and rules enable them to act in accordance with the Vessel Monitoring System to be developed under paragraph “i” above.	
v. In addition to the above, Members shall adopt and implement satellite-linked Vessel Monitoring Systems (VMS) for vessels fishing for SBT in accordance with the requirements of the RFMO ⁵ (IOTC, WCPFC, CCAMLR, ICCAT) whose convention area is being fished at the time, or in accordance with IOTC’s requirements when fishing in any other high seas area.	
vi. In response to requests from Members in accordance with paragraph 3b of the 2008 CCSBT VMS resolution in relation to incidents concerning specific vessels, Members that receive the request shall: <ul style="list-style-type: none"> a. investigate the incidents and provide details⁶ of the investigation to the Member which requested VMS data; or b. provide VMS data⁸ on the vessel(s) to the requesting Member, which will inform the results of its investigation to the Member which is the flag state/fishing entity of the vessel(s) 	

⁵ The Resolutions/Measures of the other RFMOs that apply are specified in paragraph 1 and 2 of the CCSBT Resolution.

⁶ Confidentiality provisions that apply to this information are specified in the Resolution.

3.3 Transhipment (at sea) Monitoring Program (Resolution)

Title: Resolution on Establishing a Program for Transhipment by Large-Scale Fishing Vessels

Link: http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_Transhipment.pdf

Notes:

- To enable interoperability between the CCSBT, IOTC and ICCAT transhipment monitoring programs, for the purpose of this measure, the IOTC/ICCAT Secretariat, observers, transhipment declarations and registration numbers may be treated as being the CCSBT equivalents provided that the presence of SBT is reported at each stage (from the initial observer deployment request through to the transhipment declaration).
- Section 2 of this Resolution relates to the establishment and maintenance of a record of authorised carrier vessels that are authorised to receive SBT at sea from tuna longline fishing vessels with freezing capacity (LSTLVs). Its obligations are set out in section 2.3 of this Appendix so that it is together with the other CCSBT Authorisation measures.

3.3 Transhipment (at sea) Monitoring Program	
Obligations	Minimum performance requirements
i. Transhipments by LSTLVs in waters under the jurisdiction of the Members are subject to prior authorization from the Coastal State / Fishing Entity concerned.	<i>Unless otherwise specified, the Flag state of the authorised fishing vessel (LSTLV) is responsible for meeting the minimum performance requirements set out in section 3.3.</i>
ii. Members shall take the necessary measures to ensure that LSTLVs flying their flag comply with the following conditions: a. LSTLVs are not authorised to tranship at sea, unless they have obtained prior authorization from their Flag State / Fishing Entity. To receive prior authorization, the master and/or owner of the LSTLV must notify the following information to its Flag State / Fishing Entity authorities at least 24 hours in advance of an intended transhipment: <ul style="list-style-type: none">• Name & CCSBT Registration Number of the transhipping LSTLV & receiving carrier vessel;• Tonnage by product to be transhipped;• Date & location of transhipment; and• Geographic location of the SBT catches	<ol style="list-style-type: none">1. Operating systems and processes to ensure:<ol style="list-style-type: none">a. authorisation document, including details of transhipment provided by master or owner of LSTLV, is available on LSTLV prior to transhipment;b. 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, section 2.3).2. Rules in place to ensure:<ol style="list-style-type: none">a. all SBT transhipments receive prior authorisation;b. fishing vessel and carrier vessel are on the CCSBT registers;

3.3 Transshipment (at sea) Monitoring Program	
Obligations	Minimum performance requirements
<p>b. The LSTLV concerned shall complete and transmit to its flag State / Fishing Entity, not later than 15 days after the transshipment, the CCSBT transshipment declaration⁷, along with its CCSBT Registration Number.</p>	<p>c. named CCSBT observer is on board carrier vessel; d. no SBT transshipment occurs without an observer on board; e. 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.</p> <p>3. Operating systems and processes to:</p> <p>a. issue transshipment authorisations; b. verify the date and location of transshipments; c. request placement of observers on board carrier vessels; d. notify any cases of 'force majeure' (where transshipment occurs without an observer on the carrier vessel) to Executive Secretary as soon as practical; e. ensure observers can board the fishing vessel (provided it is safe to do so) before transshipment takes place, and have access to personnel and areas necessary to monitor compliance with paragraph 5(a) of Annex 2 of the Transshipment Resolution; f. enable observers to report any concerns about inaccurate documentation or obstruction, intimidation, or influence in relation to carrying out their duties; g. monitor compliance with the control measures; and h. impose sanctions or corrective action programmes for any non-compliance detect.</p>
<p>iii. The master of the receiving carrier vessel shall:</p> <p>a. complete and transmit the CCSBT transshipment declaration to the CCSBT Secretariat and the flag Member of the LSTLV, along with its CCSBT Registration Number, within 24 hours of the completion of the transshipment.</p> <p>b. 48 hours before landing, transmit a CCSBT transshipment declaration, along with its CCSBT Registration Number, to the competent authorities of the State / Fishing Entity where the landing takes place.</p>	
<p>iv. Each Member shall ensure that all carrier vessels transshipping at sea have on board a CCSBT observer in accordance with the CCSBT Regional Observer Program⁸.</p>	
<p>v. Vessels shall be prohibited from commencing or continuing at-sea transshipping at sea without a CCSBT regional observer on board, except in cases of 'force majeure' duly notified to the Executive Secretary.</p>	

⁷ As specified in Annex 1 of this resolution.

⁸ The CCSBT Regional Observer Program is described at Annex 2 of this resolution. The description includes obligations of the Flag State/Fishing Entity of both Carrier vessels and LSTLVs to the observers which are not described here. In order to place a CCSBT observer on board a carrier vessel, the Member must submit an observer deployment request to the Secretariat, stating that SBT will be transhipped, before the transshipment.

3.3 Transshipment (at sea) Monitoring Program	
Obligations	Minimum performance requirements
<p>vi. To ensure the effectiveness of the CCSBT conservation and management measures pertaining to the Catch Documentation System (CDS):</p> <ol style="list-style-type: none"> In validating the necessary CCSBT CDS documentation, as required by the CDS, Flag Members of LSTLVs shall ensure that transshipments are consistent with the reported catch amount by each LSTLV. The Flag Member of LSTLVs shall validate the necessary CCSBT CDS documentation for the transshipped fish, as required by the CDS, after confirming that the transshipment was conducted in accordance with this Resolution. This confirmation shall be based on the information obtained through the CCSBT Regional Observer Program. Members shall require that SBT caught by LSTLVs, when imported into the territory of a Contracting Party, be accompanied by necessary CCSBT CDS documentation validated for the vessels on the CCSBT Authorised Vessel List and a copy of the CCSBT transshipment declaration. 	<ol style="list-style-type: none"> Operating systems and processes in place to: <ol style="list-style-type: none"> Identify and resolve any discrepancies in the fish counts or CDS documents.
<p>vii. All SBT landed or imported into the Members either unprocessed or after having been processed on board and which are transhipped, shall be accompanied by the CCSBT transshipment declaration until the first sale has taken place.</p>	<ol style="list-style-type: none"> Rules, systems and procedures to ensure: <ol style="list-style-type: none"> all transhipped product is accompanied by signed Transshipment Declaration until the first point of sale;
<p>viii. The costs of implementing this program shall be financed by the flag Members of LSTLVs wishing to engage in transshipment operations</p>	

4. Science Measures

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

4.1 Scientific Observer Program Standards (Decision/Recommendation)

Title: CCSBT Scientific Observer Program Standards

Link: http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/observer_program_standards.pdf

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

- Provide a framework for the alignment of members' scientific observer programs with the objectives of the SRP;
- Standardize scientific observer programs across fleets and fisheries among members; and
- Specify minimum standards for the development of a scientific observer program for members without a program.

4.1 Scientific Observer Program Standards	
Obligations	Minimum performance requirements
i. All Members are expected to adapt their respective programs taking into account the standards but recognizing that members may have additional requirements they wish to maintain in their respective programs.	1. All Flag Members' programmes meet the minimum standards for the CCSBT Scientific Observer Program .
ii. Responsibility for the operation of the CCSBT Scientific Observer Program on the high seas and in domestic EEZ fisheries lies with the Member whose flag is flown on the vessel.	
iii. The CCSBT Scientific Observer Program covers the fishing activity of CCSBT Members wherever southern bluefin tuna are targeted or are a significant bycatch.	1. Operating systems and processes established for the Scientific Observer Program that: a. ensure the program applies: i. wherever SBT is targeted or are a significant bycatch; b. set out procedures to meet the target observer coverage of 10% for catch and effort monitoring in each fishery, including: i. requiring observer coverage to be representative of Member's range of SBT fisheries; c. implement observer recruitment and training schemes to
iv. The Program has a target observer coverage of 10% for catch and effort monitoring for each fishery. Observer coverage should be representative of different vessel-types in distinct areas and times. In order to approach 10% coverage in some strata (e.g., specific vessel-types in certain areas and times) it may be necessary to have higher than 10% coverage in other strata.	

4.1 Scientific Observer Program Standards	
Obligations	Minimum performance requirements
v. Each Member should assign observers to its vessels and cruises based on a carefully considered and appropriately designed sampling scheme that has a high likelihood of ensuring reasonably representative coverage. The program should ensure that, within the main fishing areas and seasons and to the extent possible, all representative vessels, areas, and time periods have an approximately equal probability of being sampled.	<p>meet section 8 of the CCSBT Scientific Observer Program Standards relating to: Qualification of observers, Independence/Integrity, Scientific Observer Training, and Recruitment of observers;</p> <p>d. set out how observers are assigned to vessels;</p> <p>e. analyse, at least once a year, the effectiveness of the actual assignment of observers in achieving 10% coverage across a representative range of the Member's SBT fisheries.</p>
vi. Each Member should evaluate and analyse the sampling scheme used for the assignment of observers against the principles outlined above. Each Member should document the scheme used for the observer assignments actually implemented and make this information and data collected available to the Commission in its national report (as described in the reporting requirements) to enable review within the Commission of whether or not the standards are being met.	
vii. The placement of observers should also encompass arrangements to ensure the independence and scientific integrity of the data.	
viii. Observer plans and training programs should include specific provision for the role and responsibilities of observers for tag recapture reporting.	
ix. Each Member is responsible for the recruitment and training of observers for placement on their flagged vessels. Training schemes should be constructed to impart the skills necessary to adequately collect the scientific data and should take account of the principles specified in section 8 of the CCSBT Scientific Observer Program Standards relating to: Qualification of observers, Independence/Integrity, Scientific Observer Training, and Recruitment of observers.	

4.1 Scientific Observer Program Standards	
Obligations	Minimum performance requirements
<p>x. Any vessel selected for an observation should be capable of meeting the minimum requirements for accommodation, sanitary facilities, meals, equipments and communication systems equivalent to those of the crew (junior officer when possible) so that the observer's duties are not compromised. A selected vessel should be advised of its responsibility for the observer while they are on board.</p>	<p>1. Operating systems and processes established to:</p> <ul style="list-style-type: none"> a. advise a selected fishing vessel of its responsibilities while the observer is on board.
<p>xi. The scientific data to be collected should include the following categories of information. A detailed description of the information to be collected for each of these categories is provided in Attachment 1 of the CCSBT Scientific Observer Program Standards. Annex 1 of that attachment provides hierarchies for prioritising the collection of data.</p> <ul style="list-style-type: none"> A. Details of the observed vessel, including its size, capacity and equipment. B. Summary of the observed trip, which will include information such as the observer name, dates of embarkation and disembarkation. C. Comprehensive catch, effort and environmental information for each set that occurred while the observer was on-board the vessel, regardless of whether the set/haul was actually observed. This includes the target species, location fished and quantity of gear used. D. Observed catch information for each period of observation, including the time at start and end of observation, the number of hooks observed, the observed catch in number and weight for SBT and all other species caught to the extent possible. 	<p>1. Operating systems and processes established to:</p> <ul style="list-style-type: none"> a. ensure required data is collected and, where necessary, hierarchies to prioritise data collection are applied.

4.1 Scientific Observer Program Standards	
Obligations	Minimum performance requirements
<p>E. Biological measurements taken of individual SBT, as much as possible, including its condition, length, weight, sex and details of samples (otoliths, scales, gonads, etc.) that were taken from the SBT for later analysis.</p> <p>F. SBT tag recovery information, including, both tag numbers (actual tags also to be provided), date, location, length, weight, sex, details of samples taken (e.g. otoliths), and whether or not the tags were spotted during a period of fishing that was being observed.</p>	

5. Measures Relating to Ecologically Related Species

This section sets out minimum performance requirements for obligations relating to:

- Seabird Mitigation Measures in Longline Fisheries (5.1)
- Recommendation on Ecologically Related Species (5.2)

5.1 Seabird Mitigation Measures in Longline Fisheries (Decision & Recommendations)

Title: There is no official title for this measure as this is not a “single measure”, but instead is a collection consisting of a decision at CCSBT 4, a request at CCSBT 5 and a series of recommendations at CCSBT 3.

Links: Details of the requirement to use Tori poles are at Agenda Item 10.2 and Attachment U of the CCSBT 4 (part 1) report.

http://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_04/report_of_ccsbt4_part1.pdf

Details relating to the guidelines for design and deployment of tori lines are at Agenda Item 10.2 and Attachments 29 & 30 of the CCSBT 5 (part 1) report: http://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_05/report_of_ccsbt5_part1.pdf

Details of the other obligations below (obligations iii and iv) are at Agenda Item 5 and Attachment E of the CCSBT 3 (part 2) report.

http://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_03/report_of_ccsbt3_part2.pdf

Notes: Paragraphs “ii” to “iv” below are not binding on Members, but Members are nevertheless expected to comply.

5.1 Seabird Mitigation Measures in Longline Fisheries	
Obligations	Minimum performance requirements
i. Mandatory use of Tori poles is required by all Members in all longline SBT fisheries below 30° south.	1. Operating systems and processes to: a. ensure tori poles are used in all longline SBT fisheries below 30° south; b. encourage design and deployment of tori poles to be consistent with the guidelines in Attachment 30 of the CCSBT 5 (part 1) report.
ii. Members are requested to use the guidelines for the design and deployment of tori poles for tuna longline fisheries as specified in Attachment 30 ⁹ of the CCSBT 5 (part 1) report.	

⁹ These guidelines are now over 10 years old and may be in need of review.

5.1 Seabird Mitigation Measures in Longline Fisheries

Obligations	Minimum performance requirements
<p>iii. Members should:</p> <ul style="list-style-type: none">○ Continue existing information collection on the nature and extent of ERS captures in southern bluefin tuna fishing operations.○ Collect data concerning the incidental catch of seabirds and information concerning the state and trend of the seabird population subjected to incidental catch in cooperation with appropriate international organisations, other States and entities concerned.○ Promote the use of appropriately designed and deployed tori lines in SBT longline fishing operations.○ Take the following measures, as appropriate, in longline fisheries while taking southern bluefin tuna:<ul style="list-style-type: none">▪ avoid the dumping of offal as far as possible while longlines are being set or hauled; and▪ use thawed baits.○ Make every effort to ensure that birds captured alive during longlining are released alive and that wherever possible hooks are removed without jeopardising the life of the bird concerned.	<p>1. Encourage adoption of methods to mitigate incidental catch of seabirds, including:</p> <ul style="list-style-type: none">a. collecting information on incidental catch of seabird ; andb. developing, trialling and implementing improved measures to reduce incidental seabird catch and mortality.
<p>iv. Members shall:</p> <ul style="list-style-type: none">○ Exchange information concerning new or refined techniques to reduce incidental catch of seabirds and cooperate in developing and assessing the effectiveness of such techniques, including those with the objective of preventing the approach of seabirds to fishing vessels or restraining the feeding activities of seabirds. In introducing a technique, a Member will consider its effectiveness in reducing the incidental catch of ERS, and the	

5.1 Seabird Mitigation Measures in Longline Fisheries	
Obligations	Minimum performance requirements
<p>costs and benefits, including possible impacts on harvesting of tuna</p> <ul style="list-style-type: none"> ○ Continue to assess the effectiveness of the measures described in the points above. ○ Promote, among the fishers concerned, understanding about the incidental capture of seabirds and measures which can be implemented to reduce seabird capture in longline operations. 	

5.2 Recommendation on Ecologically Related Species (Recommendation)

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

Link: http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Recommendation_ERS.pdf

Notes: This recommendation is not binding on Members, but Members are expected to comply with this recommendation.

5.2 Recommendation on Ecologically Related Species	
Obligations	Minimum performance requirements
<p>i. Members will, to the extent possible, implement the International Plan of Action for Reducing Incidental Catches of Seabirds in Longline Fisheries (IPOA-Seabirds), the International Plan of Action for the Conservation and Management of Sharks (IPOA-Sharks), and the FAO Guidelines to reduce sea turtle mortality in fishing operations (FAO-Sea turtles), if they have not already done so.</p>	<p><i>Although ERS obligations (5.2) are not legally binding, Members are expected to comply with them. Hence it is useful to have minimum performance requirements, as set out below.</i></p> <ol style="list-style-type: none"> 1. Operating systems and processes established to: <ol style="list-style-type: none"> a. comply with measures to protect ecologically related species (including seabirds, sea turtles and sharks) set by the IOTC, the WCPFC or the ICCAT when fishing in their Convention areas; b. comply with data requirements adopted by the IOTC, WCPFC or ICCAT for incidental catch while fishing in their Convention areas; and c. report data to: <ol style="list-style-type: none"> i. Extended Commission and Ecologically Related Species Working Group and ii. IOTC, WCPFC or ICCAT where SBT fishing occurs in their Convention areas.
<p>ii. Members will comply with all current binding and recommendatory measures aimed at the protection of ecologically related species, including seabirds, sea turtles and sharks, from fishing, which are adopted from time to time:</p> <ul style="list-style-type: none"> ○ by the Indian Ocean Tuna Commission, when fishing in its Convention area, ○ by the Western and Central Pacific Fisheries Commission, when fishing in its Convention area, and ○ by the International Commission for the Conservation of Atlantic Tunas, when fishing in its Convention area ○ irrespective of whether the Member concerned is a member of the relevant Commission or otherwise cooperates with it. 	
<p>iii. Members will collect and report data on ecologically related species to the Extended Commission and/or its subsidiary bodies as appropriate, including the Ecologically Related Species Working Group. Further, the undertaking described in paragraph “ii.” will include a commitment to comply with measures adopted by the</p>	

5.2 Recommendation on Ecologically Related Species	
Obligations	Minimum performance requirements
Indian Ocean Tuna Commission, the Western and Central Pacific Fisheries Commission and the Commission for the Conservation of Atlantic Tunas on the collection and reporting of data in relation to ecologically related species.	

6. Routine Reporting Measures

This section sets out minimum performance requirements for obligations relating to:

- Monthly Catch Reporting (6.1)
- Reporting of initial allocations and final catch by vessel/company (6.2)
- Scientific Data Exchange (6.3)
- National Report to the Extended Commission (6.4)
- Annual Reporting to the Compliance Committee (6.5)
- National Report to the Extended Scientific Committee (6.6)
- Annual Report to the Ecologically Related Species Working Group (6.7)

6.1 Monthly Catch Reporting (Decision)

Title: Monthly Catch Reporting to the CCSBT.

Link: Details of this decision are at Agenda Item 12.4 of the CCSBT 12 report.

http://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_12/report_of_ccsbt12.pdf

Notes: The primary purpose of monthly catch reporting is to improve the management and the compliance regimes for the fishery.

6.1 Monthly Catch Reporting	
Obligations	Minimum performance requirements
i. Each month, each Member will report the total SBT catch for the month and the total cumulative SBT catch for the year to date to the Secretariat. The report is to be provided no later than the last day of the month following fishing.	<ol style="list-style-type: none">1. Report submitted electronically to Executive Secretary no later than the last day of the month following fishing.2. Monthly and cumulative catch reported as whole weight in kilograms.

6.2 Reporting of initial allocations and final catch by vessel/company (Decision)

Title: This measure does not have a formal title, but it is commonly referred to as “Reporting of initial allocations and final catch by vessel/company”.

Link: Details of this decision are at paragraphs 39 and 40 of the CCSBT 13 report.

http://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_13/report_of_CCSBT13.pdf

Notes: Reporting of initial allocations and final catch by vessel/company was established in order to improve transparency of and confidence in CCSBT management measures.

6.2 Reporting of initial allocations and final catch by vessel/company	
Obligations	Minimum performance requirements
i. Members shall provide to the CCSBT Secretariat in a timely manner ¹⁰ information relating to: a) the yearly SBT quota and catch allocation arrangements for this fishery either by company, quota holder or vessel ¹¹ ; and b) the final SBT catch against quota by company, quota holder or vessel at the completion of a vessel’s fishing period or fishing year.	
ii. In the case where Members manage through an “Olympic” system members shall only be required to report details in (b).	

¹⁰ Intersessional discussion following this decision determined that information on the initial quota allocation is due within two months of the start of the fishing season and that the final catch information is due within 6 months of the end of the fishing season.

¹¹ Vessel details provided shall include vessel name and call sign.

6.3 Scientific Data Exchange (Annual Decision)

Title: Scientific Data Exchange

Link: This set of obligations is updated at each year's meeting of the Extended Scientific Committee (ESC). Requirements for the 2011 Scientific Data Exchange are at Attachment 14 of the SC 15 report: http://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_17/report_of_SC15.pdf

Notes: The Scientific Data Exchange requirements are detailed and specify what each Member is required to provide and the due date for each item of data. The requirements vary by Member and may change slightly from year to year.

6.3 Scientific Data Exchange	
Obligations	Minimum performance requirements
i. All Members are required to provide the data specified in the most recent annual data exchange requirements by the ESC and by the due date specified in those requirements.	1. Submit data electronically to the Executive Secretary.

6.4 National Report to the Extended Commission (Decision)

Title: Annual Review of Fisheries for the Annual Commission Meeting

Notes: This review must also be submitted to the Compliance Committee, which meets prior to the Extended Commission.

6.4 National Report to the Extended Commission	
Obligations	Minimum performance requirements
i. Prior to the annual meeting of the Extended Commission, each Member shall submit the annual review of fisheries in accordance with the agreed format for the annual review (Attachment A). ¹²	1. Submit report electronically to Executive Secretary at least 4 weeks before annual meeting of Compliance Committee (<i>which precedes the annual EC meeting</i>), with responses provided for every section of the [<i>revised and agreed</i>] template.

¹² Attachments A and B are expected to be reviewed and replaced once this policy is finalised. The Annual Review and Compliance Action Plan would be replaced with a single report. The new report format should be an enhancement of the existing compliance action plan template. The Secretariat will revise the reporting template in accordance with the final decisions on this policy.

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

Title: This is a compilation of reporting requirements to the Compliance Committee (CC), so it does not have an official title.

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

- i. Procedural Rule 10 of the Terms of Reference of the Compliance Committee: -
http://www.ccsbt.org/userfiles/file/docs_english/basic_documents/terms_of_reference_for_subsidary_bodies.pdf
- ii. Paragraph 7(f) of the CC5 report:-
http://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_17/report_of_CC5.pdf
- iii. Paragraph 3 (a) of the Resolution on establishing the CCSBT vessel monitoring system:-
http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_VMS.pdf
- iv. Paragraph 18 of the Resolution on establishing a program for transshipment by large-scale fishing vessels:-
http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_Transhipment.pdf
- v. Paragraph 4 of the Recommendation to mitigate the impact on ecologically related species of fishing for southern bluefin tuna
http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Recommendation_ERS.pdf

6.5 Annual Reporting to the Compliance Committee	
Obligations	Minimum performance requirements
i. Each Member shall submit the above Annual Review of Fisheries in accordance with the agreed format for the annual review (Attachment A) ¹³ four weeks prior to the convening of the Compliance Committee meeting.	1. The report is submitted electronically to Executive Secretary at least 4 weeks before the annual meeting of Compliance Committee.
ii. Each Member should continue to improve the detail in its Compliance Action Plan, and the plan should be kept up to date and submitted to future annual meetings of the Compliance Committee. The agreed template for the plan is provided at Attachment B. ¹³	
iii. Members shall provide VMS summary reports in advance of the Compliance Committee meeting. The agreed format of the report	1. Submit report electronically to Executive Secretary at least 4 weeks before the annual Compliance Committee meeting.

¹³ Attachments A and B are expected to be reviewed and replaced once this policy is finalised

6.5 Annual Reporting to the Compliance Committee	
Obligations	Minimum performance requirements
is at Section III (1) of Attachment B. ¹⁴	
iv. Members shall report the following to the Executive Secretary 6 weeks prior to the Annual Meeting of the Commission: <ul style="list-style-type: none"> ○ The quantities of SBT transhipped during the previous year. ○ The list of the LSTLVs registered in the CCSBT Authorised Vessel List which have transhipped during the previous year. ○ A comprehensive report assessing the content and conclusions of the reports of the observers assigned to carrier vessels which have received transhipment from their LSTLVs. 	1. Submit information electronically to Executive Secretary at least 6 weeks before the annual Compliance Committee meeting.
v. Members will report annually to the Compliance Committee on the action they have taken pursuant to paragraphs 1, 2 and 3 of the Recommendation to mitigate the impact on ecologically related species of fishing for SBT. These three paragraphs are shown at Section III (3) of Attachment B.	1. Submit report electronically to Executive Secretary at least 4 weeks before the annual Compliance Committee meeting.

6.6 National Report to the Extended Scientific Committee (Decision)

Title: Annual Review of National SBT Fisheries for the Scientific Committee

6.6 National Report to the Extended Scientific Committee	
Obligations	Minimum performance requirements
i. Each Member shall submit the annual review of SBT fisheries in accordance with the agreed format for the annual review (Attachment C).	1. Submit annual report electronically 4 weeks before the Extended Scientific Committee annual meeting, with responses provided for every section of the agreed template.

6.7 Annual Report to the Ecologically Related Species Working Group (Decision)

Title: Requirement for Member's Annual Report to the ERSWG

6.7 Annual Report to the Ecologically Related Species Working Group	
Obligations	Minimum performance requirements
i. Each Member shall submit its annual report to the ERSWG four weeks before the ERSWG meeting in accordance with the agreed format for the annual report (Attachment D).	<ol style="list-style-type: none">1. Submit annual report 4 weeks before the ERSWG annual meeting, with responses provided for every section of the agreed template.2. Submit report electronically.

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

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

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

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I. Summary of MCS Improvements

(1) Improvements achieved in the current fishing season

Provide details of MCS improvements achieved for the current fishing season.

(2) Future planned improvements

Describe any MCS improvements that are being planned for future fishing seasons and the expected implementation date for such improvements.

II. SBT Fishing and MCS Arrangements

(1) Fishing for Southern Bluefin Tuna

(a) Specify the number of vessels that caught SBT in each sector (e.g. authorised commercial longline, authorised commercial purse seine, authorised commercial charter fleet, authorised domestic fleet) during the previous 3 fishing seasons.

Fishing Season (e.g. 2011/12)	Sector 1 (please name)	Sector 2 (please name)	Sector 3 (please name)
	Number of vessels	Number of vessels	Number of vessels

(b) Specify the historic national SBT allocation, together with any carry-forward of unfished allocation and the total SBT catch counted against the national allocation (Attributable Catch) during the 3 previous fishing seasons. All figures should be provided in tonnes. Some CCSBT Members use slightly different definitions for the catch that is counted against the allocation, so in the space below the table, clearly define the catch that has been counted against the national allocation:-

[illegible]

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

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

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

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

² In particular, whether the information is submitted electronically from the vessel.

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

<p><i>Additional reporting methods (such as real time monitoring programs)</i></p>	<p><i>If multiple reporting methods exists (e.g. daily, weekly and/or month SBT catch reporting, reporting of tags and SBT measurements, reporting of ERS interactions etc), create a separate row of in this table for each method. Then, for each method, specify:</i></p> <p><i>i. Whether this was mandatory. If not, specify the % of SBT fishing that was covered:-</i></p> <p><i>ii. The information that was recorded (including whether it relates to SBT or ERS):-</i></p> <p><i>iii. Who the reports were submitted to and by whom (e.g. Vessel Master, the Fishing Company etc)¹:-</i></p> <p><i>iv. What was the timeframe and method² for submission:-</i></p> <p><i>v. The type of checking and verification that was routinely conducted for this information:-</i></p> <p><i>vi. Reference to applicable legislation and penalties:-</i></p> <p><i>vii. Other relevant information³:-</i></p>																																																	
<p><i>Scientific Observers</i></p>	<p><i>Specify:</i></p> <p><i>i. The percentage of the SBT catch and effort observed and the total number of days that observers were actually deployed for in the three previous seasons for each sector (e.g. longline, purse seine, commercial charter fleet, domestic fleet). The unit of effort should be hooks, sets and tows for longline, purse seine and towing respectively:-</i></p> <table border="1" data-bbox="395 920 1388 1133"> <thead> <tr> <th rowspan="2">Fishing Season (e.g. 2011/12)</th><th colspan="3">Sector 1</th><th colspan="3">Sector 2</th><th colspan="3">Sector 3</th></tr> <tr> <th>% effort obs.</th><th>% catch obs.</th><th>Obs. days deployed</th><th>% effort obs.</th><th>% catch obs.</th><th>Obs. days deployed</th><th>% effort obs.</th><th>% catch obs.</th><th>Obs. days deployed</th></tr> </thead> <tbody> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> </tbody> </table> <p><i>ii. The system used for comparisons between observer data and other catch monitoring data in order to verify the catch data:-</i></p> <p><i>iii. Excluding the coverage, specify whether the observer program complied with the CCSBT Scientific Observer Program Standards. If not, describe the non-compliance. Also indicate whether there was any exchange of observers between countries:-</i></p> <p><i>iv. What information on ERS was recorded by observers:-</i></p> <p><i>v. Who were the observer reports submitted to:-</i></p> <p><i>vi. Timeframe for submission of observer reports:-</i></p> <p><i>vii. Other relevant information (including plans for further improvement – in particular to reach coverage of 10% of the effort):-</i></p>	Fishing Season (e.g. 2011/12)	Sector 1			Sector 2			Sector 3			% effort obs.	% catch obs.	Obs. days deployed	% effort obs.	% catch obs.	Obs. days deployed	% effort obs.	% catch obs.	Obs. days deployed																														
Fishing Season (e.g. 2011/12)	Sector 1			Sector 2			Sector 3																																											
	% effort obs.	% catch obs.	Obs. days deployed	% effort obs.	% catch obs.	Obs. days deployed	% effort obs.	% catch obs.	Obs. days deployed																																									
<p><i>VMS</i></p> <p><i>The items of “ii” are required in association with the Resolution on establishing the CCSBT Vessel Monitoring System</i></p>	<p><i>Specify:</i></p> <p><i>i. Whether a mandatory VMS for SBT vessels that complies with CCSBT’s VMS resolution was in operation. If not, provide details of non-compliance and plans for further improvement:-</i></p> <p><i>ii. For the most recently completed fishing season, specify:</i></p> <ul style="list-style-type: none"> <i>The number of its flag vessels on the CCSBT Authorised Vessel List that were required to report to a National VMS system:-</i> <i>The number of its flag vessels on the CCSBT Authorised Vessel List that actually reported to a National VMS system:-</i> 																																																	

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

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

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

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

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

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

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

(d) Other relevant information³

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

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

- i. The quantities of SBT transhipped during the previous fishing season:-*

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

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

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

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

- i. *Rules for and names of designated foreign ports of transhipment for SBT and for prohibition of transhipment at other foreign ports:-*
- ii. *Port State inspections required for transhipments of SBT (include % coverage):-*
- iii. *Information sharing with designated port states:-*
- iv. *Monitoring systems for recording the quantity of SBT transhipped:-*
- v. *Process for validating⁴ and collecting the relevant CCSBT CDS documents (Catch Monitoring Form, Catch Tagging Form):-*
- vi. *Reference to applicable legislation and penalties:-*
- vii. *Other relevant information³:-*

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

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

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

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

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

- i. *Rules for designated ports of landing of SBT:-*
- ii. *Inspections required for landings of SBT (including % coverage):-*
- iii. *Monitoring systems for recording the quantity of SBT landed:-*

- iv. Process for validating⁴ and collecting the relevant CCSBT CDS documents (Catch Monitoring Form, and depending on circumstances, Catch Tagging Form):-
- v. Reference to applicable legislation and penalties:-
- vi. Other relevant information³:-

(5) SBT Exports

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

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

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

- i. Inspections required for export of SBT (including % coverage):-
- ii. Monitoring systems for recording the quantity of SBT exported:-
- iii. Process for validating⁴ and collecting the relevant CCSBT CDS documents (Catch Monitoring Form and depending on circumstances, Catch Tagging Form or Re-export/Export after landing of domestic product Form):-
- iv. Reference to applicable legislation and penalties:-
- v. Other relevant information³:-

(6) SBT Imports

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

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

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

- i. Rules for designated ports for import of SBT:-

- ii. *Inspections required for import of SBT (including % coverage):-*
- iii. *Process for checking and collecting CCSBT CDS documents (Catch Monitoring Form and depending on circumstances, Re-export/Export after landing of domestic product Form):-*
- iv. *Reference to applicable legislation and penalties:-*
- v. *Other relevant information³:-*

(7) SBT Markets

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

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

(c) Other relevant information³

(8) Other

Description of any other MCS systems of relevance.

III. Additional Reporting Requirements

(1) Coverage and Type of CDS Audit undertaken

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

(2) Ecologically Related Species

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

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

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

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

⁷ Including seabirds, sea turtles and sharks.

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

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

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

(c) Mitigation – describe the current mitigation requirements:

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

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

Fishing Season (e.g. 2011/12)	Retained and Non-Retained SBT					
	Sector 1 (please name)		Sector 2 (please name)		Sector 3 (please name)	
	Retained SBT	Non-Retained SBT	Retained SBT	Non-Retained SBT	Retained SBT	Non-Retained SBT

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

[illegible]

General Principles of a Quality Assurance Review (QAR)

There is a consensus that an independent QAR system should be developed to demonstrate the credibility and international reputation of the CCSBT as responsible RFMO.

The QAR should be funded out of general contributions by the members.

The QAR program should apply to members and cooperating non-members.

Members should make available the necessary information to enable the reviewer to undertake the QAR.

Terms of reference should be developed for the engagement of reviewers including how to ensure confidentiality and the period of their engagement.

Members and CNMs should be provided with the opportunity to review and comment on the draft QAR report before it is finalized.

The QAR should focus on the most important CMMs, for example CDS and VMS.

Reviewers must be appropriately qualified, be internationally accredited and have relevant expertise.

The appointed review company should undertake all QARs.

The QAR report, including any recommendations and member responses, should be presented to the Compliance Committee for consideration.