

Commission for the Conservation of
Southern Bluefin Tuna



みなまぐろ保存委員会

Report of the Ninth Meeting of the Compliance Committee

**9-11 October 2014
Auckland, New Zealand**

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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 New Zealand for its hospitality.
2. Members introduced their delegations to the meeting. The list of participants is shown at **Attachment 1**.

1.2. Adoption of agenda

3. A modified agenda was adopted to include a presentation from the Extended Scientific Committee. The modified agenda is provided at **Attachment 2**.
4. The meeting agreed to the Chair's proposal to consider agenda items 2.3 and 3 after all other substantive agenda items had been dealt with.
5. The list of documents for the meeting is shown at **Attachment 3**.

1.3. Meeting arrangements

6. The Executive Secretary circulated a letter from the Philippines that provided apologies from the Philippines for being unable to attend the meeting and notified that the Philippines is requesting renewal of its status as a Cooperating Non-Member.

Agenda Item 2. Compliance with CCSBT Conservation and Management Measures

2.1. Annual Reports from Members and Cooperating Non-members

7. Members and Cooperating Non-Members (CNMs) summarised their Annual Reports to the Compliance Committee and Extended Commission. Members' and CNMs' summaries provided highlights from their reports, including improvements to management systems, recent catches, observer coverage, and other issues of significance. Members that undertook Independent Quality Assurance Reviews (QARs) in 2014 (Australia, Indonesia, Taiwan) reported on those reviews.
8. Robust discussions, including questions of clarification were held in relation to the contents of Annual Reports and the QARs that were submitted to the meeting. Important aspects of reported matters and associated discussions are described below.

9. Australia reported that its QAR was a positive assessment, showing that its SBT fisheries management systems are effective in terms of the CCSBT minimum performance requirements, with well-established fisheries legislation, a strong fisheries management regulatory system and established fisheries reporting and sanctions.
10. Australia advised that it over caught its allocation for its 2013/14 season and that it will deduct its over catch from its next fishing season on a one to one basis in accordance with the CCSBT's Corrective Actions Policy. Australia also advised that it carried forward 118t of unfished allocation from its 2012/13 season to the 2013/14 season, but that due to an administrative error, the notification of the carry-forward was provided later than the time period specified in the related Resolution. There was substantial discussion on the validity of providing a late carry-forward notification. No consensus was reached during this discussion.
11. Australia reported that the Australian Research Council has a project underway to investigate automation of the stereo video measuring technique and that it has spent \$500,000 on this project. The interim report is due in 2015 and in the meantime, Australia has increased the sample size of its average weight sampling technique from 40 to 100 fish $\geq 10\text{kg}$. Further, Australia committed to provide the interim report to CCSBT. The automation of stereo video monitoring allows data to be provided in real time, assisting to make the implementation of stereo video cost effective and efficient.
12. Australia also advised that it has allocated \$500,000 to ABARES to develop and implement a methodology for Australia to assess the size of its recreational catch. Australia advised the meeting that it currently had no reliable data on its recreational catch that it could provide to the CCSBT.
13. Other Members commented on the importance of stereo video monitoring, raised concerns about repeated delays in its implementation, and urged Australia to introduce the system as a matter of urgency. They also commented on the importance of obtaining estimates of the recreational catch.
14. Korea advised that it has made a number of improvements to its management system, including increased penalties for IUU fishing, establishment of the Fisheries Monitoring Centre to monitor all Korean vessels and a reduced time frame for submission of log book data from monthly to weekly with a further change to daily reporting in 2015. It was however noted that during the 2013/14 season, 68% of Korea's SBT catch was transhipped in foreign ports and that there was no examinations of landed catches in foreign ports by Korea this year.
15. Indonesia reported that its SBT catch exceeded its national allocation and that its observer coverage was low. Indonesia also advised that it believed that the increase in its reported catch was largely due to improved reporting of its catch rather than actual increases in catch. Furthermore, for 2015, Indonesian fishing companies will be allocated with SBT quotas (via 3 fishing associations). Each Company has to determine the list of their vessels larger than 30GT authorised to fish for SBT. Information of each company including its SBT quota as well as the list of vessels will be uploaded into CDS system. Sanctions will be enforced on over-catches, and an on-line system (land-based) will be used for validation of CDS documents. Indonesia hopes that it will have no further over catches from 2015 as it will close its fishery once its allocation has been reached. Indonesia

also requested support from market states for effective implementation of this system.

16. Concern was expressed at Indonesia's increasing over catch and the outcomes of Indonesia's QAR that indicated significant weaknesses in Indonesia's current management arrangements. However, Indonesia was also complimented on improvements in the reporting of its SBT catch and on planned improvements to its management regime.
17. Taiwan reported that its QAR states that Taiwan's SBT fishery management systems meets the CCSBT Minimum Performance Requirements. There is a clearly established fisheries legislation and documentation system for allocation of SBT. The CCSBT CDS is implemented with a strong fisheries management regulatory system and established fisheries reporting and sanctions, which appears to be functioning according to the requirements.
18. Taiwan advised that it now commissions third parties in Japan to conduct examination of its SBT transhipped at sea and then directly exported to Japan. Examination reports are then used by Taiwan officials to validate CDS Catch Monitoring Forms.
19. New Zealand noted that its overall observer coverage level was 24% in terms of effort, but that the coverage of its domestic fleet was only 4%. While New Zealand planned the deployment of its observers to achieve the CCSBT's target 10% coverage, weather conditions were such that many observer days were spent in port rather than at sea. New Zealand advised that it continues to aim to achieve a 10% coverage of its domestic fleet.
20. Japan advised that from the beginning of the 2013/14 season, it has commenced DNA testing on domestic catch in accordance with the agreement at CCSBT 20 in addition to the test on imported SBT. It has also conducted more detailed cross-verification of RTMP and observer data and has not detected any substantial discrepancies.
21. South Africa reported that it has implemented MCS improvements, including a port of entry control centre, upgrading its VMS, and 100% monitoring of landings. Discarding all SBT when the SBT fishery is closed and prohibition of SBT landings by tuna fleet will be introduced. South Africa advised that its tuna longline fleet operates under a right holder quota management system while its swordfish longline fleet operates under an Olympic catch system. The swordfish longline fleet can only be moved to a quota management system once South Africa is provided with a more sizeable quota.
22. The European Union commented that in order to verify its lack of commercial landings of SBT, it had asked its Members States about this matter on numerous occasions. The EU welcomed any additional information on this at any time. The reductions in the EU's SBT catch appear to be due to training and awareness of captains as well as natural variability.
23. In the absence of the Philippines, the following questions and requests were asked and it was agreed that the Secretariat would forward these to the Philippines and circulate the response to all Members, CNMs and observers participating at the meeting:

- Why are large portions (in fact the majority) of the Philippines Annual Report left blank?
- Provide further details on the level of scientific observer coverage, controlling and monitoring of transshipments in port, CDS validation, and applicable legislation on controlling and monitoring exports of SBT.

2.2. Report from the Secretariat

24. Paper CCSBT-CC/1410/04 was introduced by the Compliance Manager. The paper summarises compliance with CCSBT Management Measures by Members and CNMs. The main areas to note were that:
 - For the four year period 2010 – 2013 inclusive, Indonesia’s reported SBT catch of 3,770.3t exceeded its total catch allocation (2,696t) for the same period by 1,074.3t;
 - In its National Report to the Ninth Meeting of the Compliance Committee (CC9), Indonesia noted that it currently has no system in place to effectively control the level of its SBT catch, but plans to introduce a set of new recording and management measures from 2015. This current lack of effective management measures is confirmed by the results of the Quality Assurance Review (QAR);
 - The European Union has not submitted any Catch Documentation Scheme (CDS) forms or annual catch by vessel information to the Secretariat since becoming a CNM to CCSBT; and
 - Australia has exceeded its allocation for the 2013/14 fishing season and has caught approximately 5,410t of SBT to date.
25. The Compliance Manager noted that since this paper was posted on the Secretariat’s website, several updates had been received including:
 - A revision to Indonesia’s National Report; and
 - Receipt of National Reports from the Philippines and South Africa.
 A revision of the paper will be produced to incorporate any relevant updates.
26. Indonesia advised that it needed five years to learn how to manage SBT based on a quota system, monitor catch and collect data, while avoiding social implications. Indonesia is committed to improving and has begun to implement changes that will take effect from 2015. More accurate information will be provided to the CCSBT in the future.
27. Several Members noted that it is encouraging that improved catch reporting is occurring in Indonesia, but emphasised that effective catch management measures are also essential.
28. The European Union noted that it takes CDS implementation very seriously and that it has implemented the CCSBT CDS since 2010. Under Regulation 1005/2008 from 1 January 2010, all reports of fishery products into the EU, including SBT, have to be accompanied by a catch certificate to which the CCSBT CDS is attached, or on its own. CCSBT CDS is specifically recognised as equivalent to the EU catch certificate.

29. The EU advised that it has not submitted authorised CDS validators to the Secretariat but it does not have any situations involving SBT that require a validator. The EU acknowledged that no copies of import CCSBT CDS forms have been submitted to the CCSBT yet, but that it has reminded its Members of their CCSBT obligations with regard to this documentation and will follow up on this issue.
30. The EU advised that it is conducting an audit of its SBT trade statistics. The audit is not yet finalised, but the initial finding is that a very large percentage trade of live and chilled SBT between Member states is a miscoding of species. The EU committed to present the final results of the audit at CC10.

2.3. Assessment of compliance with CCSBT management measures

31. In terms of compliance assessment, Members noted the following non-compliance issues, and that corrective actions consistent with the Corrective Actions Policy will be applied with respect to these items where appropriate:
 - Australia over caught its 2013/14 season allocation and will apply the Corrective Actions policy to pay this catch back on a 1:1 basis by deducting this season's over catch from its 2014/15 season allocation;
 - Indonesia over caught its 2013 allocation and does not currently have effective catch management measures in place. It is now in the process of implementing a set of improved measures in order to address its over catch problem; and
 - The EU clarified that it has implemented the CDS with the exception of submitting import CMFs to the Secretariat, and that it will remind its Members of the need to submit this documentation.
32. The performance of the three CCSBT CNMs (the EU, the Philippines and South Africa) was discussed in order to make a recommendation concerning renewal of their CNM status.
33. Disappointment was registered regarding the Philippines' non-attendance at CC9 and the information gaps in its National Report. However this disappointment was not considered sufficient reason to recommend against continuation of the Philippines' CNM status. The meeting agreed to recommend the continuation of the CNM status of all current CCSBT CNMs.
34. Japan presented a short summary of its paper CCSBT-CC/1410/BGD02 (previously CCSBT-OMMP/1406/09 (Rev.1)) on the result of its observation of the 100 fish sampling method in Port Lincoln in February 2014, and Australia presented a short report concerning its visit to Tsukiji market during July 2014.
35. Australia briefly outlined the contents of its paper on growth in farms. The paper referred to the substantial scientific literature on the faster growth in length and weight in the farms than in the wild. The paper also suggested that using normal aquaculture, scientific, and economic benchmarks such as feed conversion rates, the results of the Australian farm sampling system were consistent with no bias in the system.

Agenda Item 3. Implementation of the CCSBT Compliance Plan

3.1 Implementation of the three-year Action Plan (2012-2014)

3.1.1. Enhance monitoring through bilateral arrangements and international networks

36. The Secretariat advised that the CCSBT joined the International Monitoring Control and Surveillance Network (IMCS network) during November 2013 to become the second RFMO member of the network, which also has about 85 governments as members. A brief update of the activities of the network in 2014 was provided.
37. The Secretariat also advised that the CCSBT and IOTC Compliance Managers will be meeting during November 2014 to build the compliance relationships between the two RFMOs and to discuss cooperation on compliance related matters.

3.1.2. Identify and nominate non-Member States whose cooperation should be sought

38. Japan reported on its bilateral meeting with China in December 2013, which was held at the request of CC8. Japan discussed with China the potential catch and trade of SBT by China, expressed concerns about these, and sought China's cooperation with the CCSBT. China's response was that if there was any specific information available, China would be willing to conduct an investigation. It was suggested that Members monitor China's activities in relation to SBT, and cooperate and share information in relation to this.
39. New Zealand noted that it was difficult to derive information without cooperation from the Flag State. It hoped that China would be more active in providing information and commented that China's fishing area overlaps with areas where fishing for SBT is conducted. New Zealand further stated the importance of looking at new ways to implement methods to encourage cooperation of States that could be a market or are catching SBT.
40. The Executive Secretary confirmed that Fiji would be attending CCSBT 21 and that Fiji had expressed interest in becoming a Cooperating Non-Member, indicating that they catch a small amount of SBT as bycatch.
41. The meeting agreed that Singapore be invited to the next Compliance Committee meeting due to the trade of SBT that occurs through Singapore.
42. The meeting thanked the USA for its participation at the current meeting and its progress in cooperating with the CCSBT CDS. The USA replied that it was happy to participate and looks forwards to ways to share information and cooperate with the CCSBT.
43. The Humane Society International suggested that the Secretariat could make use of the experience of NGOs in the engagement of non-members, to help facilitate cooperation of those non-members with the CCSBT.

3.2 New three-year Action Plan (2015-2017)

44. The Secretariat presented paper CCSBT-CC/1410/05 which provided a revised draft three-year CCSBT Compliance Action Plan for the period 2015 – 2017 inclusive.
45. The Secretariat noted that as requested by CCWG3, it had either added new action points or amended existing action points to address relevant recommendations made by the 2014 CCSBT Performance Review Panel. Members agreed that these additions/ amendments should not be considered by CC9 because the Extended Commission had not yet had an opportunity to consider the Performance Review Panel's recommendations. Therefore, these items will be considered at a later date.
46. The meeting then discussed the remaining items and agreed a new three-year Compliance Action Plan (2015 – 2017). This is provided at **Attachment 4**.

Agenda Item 4. Review of CCSBT MCS Measures

47. The Secretariat introduced the paper CCSBT-CC/1410/06 which describes issues in the operation of CCSBT's five main MCS measures from the Secretariat's perspective, and recommends changes where appropriate.

4.1. Transshipment

48. The Secretariat presented the paper CCSBT-CC/1410/07 concerning a draft revised CCSBT Transshipment Resolution.
49. Members considered and agreed on a finalised draft Resolution which is provided at **Attachment 5**.
50. In addition, one Member noted that it would be desirable to enable at-sea transshipments of SBT to be conducted within the WCPFC Convention Area. It was therefore requested that the Secretariat approach WCPFC to ascertain the possibility of implementing a transshipment MOU between the CCSBT and the WCPFC (for transshipments involving SBT).

4.2. CDS and Authorised Vessel Resolutions

51. The Secretariat presented items from paper CCSBT-CC/1410/06 concerning:
 - Potential changes to the CDS Resolution; and
 - Records of authorised vessels and farms.
52. The following three CDS modifications were proposed by the Secretariat:
 - Re-formatting the 'Final Product Destination Section' of Catch Monitoring Forms (CMFs), and updating the instructions accordingly in order to both simplify collection of Landing of Domestic Product certifications, and to collect additional information from importers;

- Updating the instructions associated with Farm Stocking Forms (FSFs) to clarify that all FSFs listed on a single CMF should be for fish stocked in the same fishing season – to ensure that the farm discrepancy report runs correctly; and
 - Updating the Executive Secretary’s CDS reporting requirements so that the report produced by 1 June each year should become an annual rather than a 6-monthly report.
53. Members discussed and agreed to modifications of the CDS Resolution for each of these three items. The corresponding updated sections of the CDS Resolution are provided at **Attachment 6**.
54. It was noted that Taiwan will add its current modification of the CMF to the revised CCSBT CMF to ensure that its product can enter Japan. Japan, Taiwan and Korea will have further discussion on allowable discrepancies between weights measured at-sea and landing weights to aid in the smooth trade of SBT. Korea noted that the new CMF contains a column for landed weight so when an importing Member compares import documents, the landed weight on the CMF (not the at-sea weight) should be used in such comparisons.
55. Members’ views were sought on whether a solution could be found to enable the Secretariat to effectively run REEF discrepancy reports to detect any potential ‘over-utilisation’ of CMFs in re-export trade. This is not currently possible in cases where Members record more than one preceding form number on each REEF. Members recognised that there are practical difficulties implementing the requirement of one CMF number per REEF form, but agreed not to amend the resolution. Members recommended that a longer term solution be sought intersessionally if the opportunity arises (e.g. during a CDS review), and in the meantime the Secretariat will monitor how REEF forms are utilised and report on this to the next CC meeting.
56. The updated CCSBT Transshipment Resolution agreed at this meeting, contains a new provision for Members to provide the Lloyd’s/IMO number of authorised Carrier vessels to the Executive Secretary where this is available. For consistency, CCSBT’s “Illegal, Unregulated and Unreported Fishing (IUU) and Establishment of a CCSBT Record of Vessels over 24 meters Authorized to Fish for Southern Bluefin Tuna’ was also updated to require that Lloyds/ IMO number information is provided (where available). The updated Resolution is provided at **Attachment 7**.
57. The following addition to the authorised vessel resolution was suggested at the meeting:
- *“Effective from January 2016, Members and CNMs shall ensure that all fishing vessels (except wooden and fibreglass vessels) flying their flag that are authorised to catch SBT, and that are at least 100GT/GRT in size, have IMO numbers issued to them.”*
58. There was general support for this addition, but since it was raised at the meeting, Members had no opportunity to consult on the feasibility of this requirement. Consequently, this addition will be included in the Secretariat’s operation of CCSBT measures paper for consideration at the next annual meeting of the Compliance Committee.

59. The United States reported on its implementation of the CDS scheme and advised that it implements the CCSBT CDS through its general fisheries law as well as the statute implementing its ICCAT obligations. All shipments of southern bluefin into or out of the United States are required to be accompanied by the appropriate catch document, which is transmitted to NOAA Fisheries. Thus, such trade is appropriately and carefully tracked. The United States general fisheries law includes broad data confidentiality provisions which prohibit the United States from transmitting copies of CDS to the CCSBT Secretariat. However, the US is committed to collaborating with the CCSBT to ensure effectiveness of the program and are working to determine the level of detail that can be provided.
60. The Compliance Committee was encouraged to hear of the US implementation of the CDS and commented that it regarded return of the CDS forms to be quite important and encouraged the US to do whatever it could in this regard to facilitate the reconciliation process.

4.3. VMS

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

4.4. Draft IUU Vessel List

62. No information about vessels presumed to be carrying out SBT IUU fishing activities were provided to the Secretariat by Members and CNMs.
63. The Secretariat presented a recommendation from section IV of paper CCSBT-CC/1410/06 that noted that the current IUU Resolution may not be specific enough to include farms and proposed an amendment to the Resolution. The meeting agreed to the recommended changes to the Resolution that are shown at Attachment C of paper CCSBT-CC/1410/06.

4.5. Minimum Performance Requirements

64. The Secretariat presented paper CCSBT-CC/1410/08, which provided updated Minimum Performance Requirements (MPRs) relating to reporting requirements in sections 1.2, 6.4 and 6.5 of the MPRs.
65. The meeting agreed to all the recommended changes to the MPRs proposed in the Secretariat's paper.

4.6. Quota Carry-Forward

66. The Secretariat presented paper CCSBT-CC/1410/09 which provided a revision of the Resolution on Limited Carry-Forward of Unfished Annual Total Allowable Catch of SBT within Three Year Quota Blocks to allow carry-forward between quota blocks. The paper noted advice provided by the ESC that in its evaluations, there was negligible difference between the projections, with carry-forward of unfished allocations between quota blocks having no adverse impact on the outcomes.

67. The meeting agreed to the revised Resolution in the Secretariat's paper. This is provided at **Attachment 8**.
68. Further consideration was given to the late notification of carry-forward of unfished allocation by Australia and it was agreed that in situations like this, the situation can be resolved with good discussion and cooperation. It was agreed to accept the current situation and move forward in a cooperative manner.

4.7. Quality Assurance Reviews

69. The Secretariat presented the background and recommendations from paper CCSBT-CC/1410/13, which provided the final report of the overall 2014 QAR program.
70. The meeting endorsed the report and its recommendations and noted that it considered the QAR program to be a particularly valuable process.
71. Reflecting on the recommendations from CCSBT 20, the meeting agreed that Japan should undertake a phase 2 QAR in 2015 and that New Zealand and Korea would undertake their phase 2 QARs in 2016. It was further agreed that the current service provider should be retained to complete the current round of QARs to ensure consistency in the application of the methodology and to take advantage of the corporate knowledge that this provider had developed over the last two years.

4.8. Review and analysis of publicly available trade data

72. The Secretariat presented paper CCSBT-CC/1410/14 concerning an updated analysis of trade data from the Global Trade Atlas (GTA). This paper includes a comparison of import/export information recorded on the GTA database versus import/export information held on the CCSBT's own CDS database. Members endorsed all the recommendations in the paper, including that the Secretariat continue its subscription to the GTA database.
73. The EU noted some points of clarification including that:
 - The EU has been complying with the CDS since January 2010, except that to date it has not returned import copies of CDS forms to the Secretariat; and
 - There appears to be a SBT product miscoding issue, especially in cases where fresh/chilled and/or live product has been classified as SBT.
74. Japan presented paper CCSBT-CC/1410/19 which provides updated information on the monitoring of Southern Bluefin Tuna (SBT) trading in Japanese domestic markets. The analyses presented found no evidence of under-reporting of SBT catch. Japan suggested that Australia's opinion expressed in its paper (CCSBT-CC/1410/Info 02) was primarily based on some misunderstanding on the following background:
 - There is a certain amount of frozen farmed SBT in the market statistics that wholesalers procure from trading companies;
 - However, frozen farmed SBT are rarely seen in the market survey, because they are traded through "Aitai" (negotiated sale) in which trade of fish are calculated on documents, but not lined up actually in the market;

- The ratio between Imported SBT and Domestic SBT is to change every day, and one-day observation is not enough to understand the tendency of market; and
 - As a result of the market survey, the amount of imported frozen wild SBT in-market sales is reasonably consistent with the amount of imported SBT from Korea and Taiwan to Japan.
75. Japan also informed that the market monitoring can provide only indirect estimation of catch since it is based on a sampling survey and some assumptions including time lags between catch and sale, being influenced by many elements such as time of the year and market condition.
76. Australia suggested that the misunderstanding had arisen because Japan's papers on the issue since 2007 had emphasised that the data was auction sales. Further, Australia expressed its concern that the underlying assumptions in Japan's papers were substantially different from the independent review in 2005-06. Australia felt that there was also no indication of a structural change in the market since then. For example, the auction of SBT since 2005 had declined by more than the decrease in Japan's catch. Australia agreed with the ESC request for independent reviews of significant markets.

4.9. Presentation by the Extended Scientific Committee

77. The Chair of the Extended Scientific Committee (ESC) provided a presentation on unaccounted mortality scenarios considered by the ESC, the impact these have on the Management Procedure, and the impact on meeting the rebuilding target by 2035. It was stressed that this is a very serious issue, and the ESC requested that the Compliance Committee and Extended Commission urgently provide detailed information and data to enable the ESC to properly assess the impact of unaccounted mortalities. The ESC also encourages all Members to make their CDS and market data available to the ESC for analysis.
78. The meeting agreed that this was an important issue that needs to be considered with some urgency. There was substantial discussion in relation to the data requested by the ESC to assist in its assessments. With the exception of Australia, Members agreed to provide the CDS data specified in CCSBT Circular #2014/031¹ for use by the ESC on a confidential basis. The EU recalled the importance of best scientific advice for management of stocks by RFMOs.
79. Australia was not in a position to agree to provision of the requested CDS data as it considered market analysis to be critical and required a package in which the market data suggested for consideration by the ESC should also be provided.
80. Japan advised that some of the market data² mentioned by the ESC do not exist in an available form because information is not compiled by the Tokyo Metropolitan Government. However, Japan advised that it would continue to collect and provide market monitoring information.

¹ Flag State/Fishing Entity, Tag number, Type, Weight, Fork Length, Gear Code, Statistical Area and Month of Harvest since the commencement of the CDS.

² Monthly data on the number, weight and source country of frozen SBT auctioned and not auctioned at Tsukiji.

81. The Compliance Committee endorsed the recommendations of the ESC (as shown in **Attachment 9**), but did not reach agreement on supplying the above CDS information and market data that Japan advised is not available as stated in paragraph 80.

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

5.1. Port State Measures

82. Japan advised that it was still considering whether it should participate in FAO's Port State Measures Agreement (PSMA) and that as a consequence, it had to reserve its position on the PSM Resolution currently being considered by the Compliance Committee. However, Japan advised that it would submit intersessionally, a revised draft resolution on minimum standards for inspections in port which would provide an equivalent measure to ICCAT's Recommendation 12-07, for discussion at the next annual meeting of the Compliance Committee.
83. Some Members recalled the importance of port state measures in the fight against IUU fishing and raised concerns about the lack of progress on this matter. EU noted that the draft CCSBT PSM Resolution is already based on ICCAT's Recommendation 12-07. Several participants stressed the importance of moving forward on this issue and the meeting supported Japan's commitment to submit a revised Resolutions as a way to progress on this issue.

5.2. Common Definition of the Attributable Catch

84. New Zealand presented paper CCSBT-CC/1410/18 to assist deliberations on developing a common definition of the attributable SBT catch. The paper sought to identify potential compliance and implementation issues that may arise as part of this shift to a common definition.
85. There was considerable discussion of the difficulties in moving to a common definition of the attributable SBT catch that includes all sources of mortalities. It was agreed that a workplan is required that focuses on reducing the uncertainty associated with unaccounted mortality over time and that takes account of different implementation issues that exist for different Members and CNMs. It was further recognised that the implementation of a common definition will be easier in the current situation with an increasing stock than it would be if the stock were stable or declining.
86. Members agreed in principle to the following definition of the Attributable SBT Catch, with the proviso that Members would consult with Capitals, and aim to finalise the definition at CCSBT 21.

“A Member or CNM's attributable catch against its national allocation is the total Southern Bluefin Tuna mortality resulting from fishing activities within its jurisdiction or control, including inter alia, mortality resulting from:

- *commercial fishing operations whether primarily targeting SBT or not;*

- *releases and/or discards;*
- *recreational fishing;*
- *customary and/or traditional fishing; and*
- *artisanal fishing.”*

5.3. Consideration of Concerns Regarding Implementation of a Web-based eCDS

87. The Secretariat presented paper CCSBT-CC/1410/16 which provided a summary of concerns raised by Members on implementation of an eCDS, information on ICCAT’s experiences with the e-BCD project, and suggested recommendations for an eCDS. There were five recommendations arising from this paper:
- Consider amendments to the CDS Resolution before commencing development of an eCDS;
 - Remove certification from CDS forms;
 - Review the catch tagging form completion requirement;
 - Design the system to be as easy to use as possible; and
 - Evaluate ICCAT’s e-BCD system for use by the CCSBT.
88. Members supported the recommendations.
89. Australia commented that the requirement that catch tagging forms should be completed before a CMF is validated would be a difficulty, but that it is willing to work towards a solution under an eCDS and considered that a solution was feasible.
90. There was consensus to continue to evaluate ICCAT’s progress with its e-BCD and Members were generally pleased with the association with ICCAT. However, a cautious approach was recommended due to the delays experienced by ICCAT and the fact that its e-BCD has yet to be implemented.
91. There was strong agreement to review the existing CDS Resolution prior to developing an eCDS system and that this should be the next step towards an eCDS. This would enable CCSBT to be ready to proceed with an eCDS regardless of whether it decides to utilise ICCAT’s system or follow a different approach.
92. The Humane Society International recommended that the review also seek to ensure consistency of the CDS with the FAO’s Port State Measures Agreement.

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

93. The Secretariat presented paper CCSBT-CC/1410/17 which provided a summary of current R&D technological developments and tools available to assist certifiers and validators to identify SBT.
94. The meeting noted that good progress is being made in this area and is looking forward to further developments in this area through the ongoing work of Australia and New Zealand.

5.5. Ongoing identification and sharing of best practise for MCS systems

95. The Chair introduced this standing agenda item and provided Members with the opportunity to share relevant information and developments.
96. Australia advised that its stereo video research project is underway and the report is expected mid-2015, which it would be happy to provide to the CCSBT.
97. The Humane Society International urged Members to adopt the use of fishing vessel IMO numbers and ratifying the FAO PSM agreement as soon as possible, as the combination of these two measures are very effective in controlling IUU fishing in waters beyond country jurisdictions.

Agenda Item 6. Work program for 2015

98. The Compliance Committee developed the following workplan for 2015. Annual tasks of an ongoing nature are not shown unless they are new for 2015.

Activity	Approximate Period	Resource
Develop a workplan to address uncertainties in relation to unaccounted SBT mortalities.	In the margins of CCSBT 21	Members
Japan, Taiwan and Korea will have further discussion on allowable discrepancies between weights measured at-sea and landing weights to aid in the smooth trade of SBT.	Oct 2014	Japan, Taiwan and Korea
Forward Members' questions and requests on the Philippines' National Report to the Philippines, and circulate the response to all Members, CNMs and observers participating at CC9 meeting.	Oct 2014	Secretariat
Taiwan will add its current modification of the CMF to the revised CCSBT CMF to ensure that its product can enter Japan.	Oct-Dec 2014	Taiwan
The Secretariat retains the contract with the current service provider for QARs.	Nov-Dec 2014	Secretariat
The Secretariat is to approach the WCPFC to ascertain the possibility of implementing a transshipment MOU between the CCSBT and the WCPFC (for transshipments involving SBT).	Before CC10	Secretariat
Continue to evaluate ICCAT's progress with its e-BCD and conduct detailed technical evaluation of ICCAT's e-BCD.	Before CC10	Secretariat
Japan undertakes a phase 2 QAR in 2015.	Before CC10	Japan
Japan will submit a revised draft resolution on minimum standards for inspections in port which will provide equivalent measure to ICCAT's Recommendation 2012/07.	Before CC10	Japan
Include the suggested requirement for Members to ensure that vessels of 100GT and more have IMO numbers in the Secretariat's operation of CCSBT measures paper, for consideration at the next annual meeting of the Compliance Committee.	Before CC10	Secretariat
Commence review of the CCSBT CDS Resolution.	Before CC10	Members and Secretariat
Update MPRs for transshipments and for records of authorised farms and vessels.	Before CC10	Secretariat
Review existing resolutions to identify outdated measures and update accordingly.	Before CC10	Secretariat
Invite market States to assist Indonesia to implement effective management of its allocation.	Before CC10	Members

Activity	Approximate Period	Resource
Test and explore costs and benefits of electronic observation technologies.	2015-2016	Members
Develop and implement agreed minimum catch monitoring requirements for each fishing sector.	2015-2017	Members

Agenda Item 7. Other business

99. There was no other business.

Agenda Item 8. Recommendations to the Extended Commission

100. The Compliance Committee made the following recommendations to the Extended Commission.

- That the Cooperating Non-Member status of the European Union, South Africa and the Philippines be continued.
- Singapore be invited to participate at the next meeting of the Compliance Committee.
- Amendments to the Resolution on Establishing a Program for Transshipment by Large-Scale Fishing Vessels (**Attachment 5**) be approved.
- Minor modifications to the Resolution on the Implementation of a CCSBT Catch Documentation Scheme including modifications of Catch Monitoring Forms (**Attachment 6**) be approved.
- A modification 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”, to include the Lloyd’s/IMO number (**Attachment 7**) be approved.
- An amendment to the “Resolution on Establishing a List of Vessels Presumed to have Carried Out Illegal, Unreported and Unregulated Fishing Activities For Southern Bluefin Tuna” (Attachment C of paper CCSBT-CC/1410/06) be approved.
- An update of the Minimum Performance Requirement (MPRs) relating to reporting requirements in sections 1.2, 6.4 and 6.5 of the MPRs (paper CCSBT-CC/1410/08) be approved.
- A revision to the Resolution on Limited Carry-forward of Unfished Annual Total Allowable Catch of Southern Bluefin Tuna to allow carry-forward between 3-years quota blocks (**Attachment 8**) be approved.
- That the Secretariat should retain the current service provider for the Quality Assurance Review (QAR) program until the current round of QARs is complete. This is to ensure consistency in the application of methodology and to take advantage of the corporate knowledge that this provider had developed over the last two years.
- Endorse all the recommendations in the paper CCSBT-CC/1410/14 concerning an updated analysis of trade data from the Global Trade Atlas

(GTA), including that the Secretariat continue its subscription to the GTA database.

- That the CC and EC need to urgently consider the provision of detailed data and analyses to the ESC to enable the ESC to properly assess the impact of unaccounted mortalities.
- That the new Compliance Action Plan for 2015-2017 (**Attachment 4**) be adopted.
- That the Extended Commission consider the common definition of the Attributable SBT Catch developed by the Compliance Committee.
- That the workplan of the Compliance Committee be adopted.

Agenda Item 9. Conclusion

9.1. Adoption of meeting report

101. The report was adopted.

9.2. Close of meeting

102. The meeting closed at 9:55pm on 11 October 2014.

List of Attachments

Attachment

1. List of Participants
2. Agenda
3. List of Documents
4. Draft Three-Year Compliance Action Plan (2015 – 2017)
5. Draft Resolution on Establishing a Program for Transshipment by Large-Scale Fishing Vessels
6. Updated Sections of the CDS Resolution
7. 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 CCSBT 21 in 2014
8. Resolution on Limited Carry-forward of Unfished Annual Total Allowable Catch of Southern Bluefin Tuna
9. ESC19 recommendations to CC and EC on Unaccounted Mortality

List of Participants
Nineth Meeting of the Compliance Committee

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**Ninth Meeting of the Compliance Committee
9 – 11 October 2014
Auckland, New Zealand
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 Secretariat
 - 2.3. Assessment of compliance with CCSBT management measures
3. Implementation of the CCSBT Compliance Plan
 - 3.1. Implementation of the three-year Action Plan (2012-2014)
 - 3.1.1 Enhance monitoring through bilateral arrangements and international networks
 - 3.1.2 Identify and nominate non-Member States whose cooperation should be sought
 - 3.2. New three-year Action Plan (2015-2017)
4. Review of CCSBT MCS Measures
 - 4.1. Transshipment
 - 4.2. CDS and Authorised Vessel Resolutions
 - 4.3. VMS
 - 4.4. Draft IUU Vessel List
 - 4.5. Minimum Performance Requirements
 - 4.6. Quota Carry-Forward
 - 4.7. Quality Assurance Reviews
 - 4.8. Review and analysis of publicly available trade data
 - 4.9. Presentation from the Extended Scientific Committee

5. Discussion of new or enhanced MCS measures, including ongoing identification and sharing of best practise for MCS systems
 - 5.1. Port State Measures
 - 5.2. Common Definition of the Attributable Catch
 - 5.3. Consideration of Concerns Regarding Implementation of a Web-based eCDS
 - 5.4. R & D on new technologies & tools to aid observers, certifiers and validators to identify SBT (in particular once processed)
 - 5.5. Ongoing identification and sharing of best practise for MCS systems
6. Work Program for 2015
7. Other business
8. Recommendations to the Extended Commission
9. Conclusion
 - 9.1. Adoption of meeting report
 - 9.2. Close of meeting

List of Documents
The Ninth meeting of the Compliance Committee

(CCSBT-CC/1410/)

1. Provisional Agenda
2. List of Participants
3. List of Documents
4. (Secretariat) Compliance with CCSBT Management Measures
5. (Secretariat) Draft Updated Three-Year Compliance Action Plan (2015 – 2017)
6. (Secretariat) Operation of CCSBT MCS Measures
7. (Secretariat) Development of a Revised CCSBT Transshipment
8. (Secretariat) Draft Updated Minimum Performance
9. (Secretariat) Revision of the Resolution on Limited Carry-Forward of Unfished Annual Total Allowable Catch of SBT within Three Year Quota Blocks
10. (Secretariat) GTC's Report on the Quality Assurance Review – Australia
11. (Secretariat) GTC's Report on the Quality Assurance Review -
12. (Secretariat) GTC's Report on the Quality Assurance Review –
13. (Secretariat) GTC's Report on the overall Quality Assurance Review
14. (Secretariat) Southern Bluefin Tuna Trade Data: Annual
15. (Secretariat) Updated Draft Port State Measures Resolution
16. (Secretariat) eCDS for the CCSBT - Review of Members concerns and ICCAT's experiences with e-BCD
17. (Secretariat) Summary of current R&D technological developments and tools available to assist certifiers and validators to identify
18. (New Zealand) Developing a Common Definition of Attributable Catch – Compliance and Implementation Issues
19. (Japan) Monitoring of Southern Bluefin Tuna trading in the Japanese domestic markets: 2014 update

(CCSBT- CC/1410/BGD)

1. (Japan) Unaccounted catch mortality in Australian SBT farming fishery between 2001 and 2013 estimated from information of TIS and CDS (*Previously* **CCSBT-OMMP/1406/09 (Rev.1)**)

2. (Japan) Report of the International Observation on the 100-fish Sampling Process and the Transfer of SBT in Australian SBT Farming (*Previously CCSBT-ESC/1409/40*)

(CCSBT-CC/1410/SBT Fisheries -)

Australia	Annual Report to the Compliance Committee and the Extended Commission
Indonesia	Annual Report to the Compliance Committee and the Extended Commission CCSBT
Japan	Annual Report to the Compliance Committee and the Extended Commission
Korea	Annual Report to the Compliance Committee and the Extended Commission (Rev.1)
New Zealand	Southern Bluefin Tuna Fisheries - New Zealand Country Report
Taiwan	Annual Report to the Compliance Committee and the Extended Commission (Rev.1)
European Union	2013 Annual Report of the European Union to the Compliance Committee and the Extended Commission (Rev.1)
Philippines	Annual Report to the Compliance Committee and the Extended Commission
South Africa	Annual Report to the Compliance Committee and the Extended Commission

(CCSBT-CC/1410/Info)

1. (Australia) A Review of Tuna Growth Performance in Ranching and Farming Operations
2. (Australia) Data from Australian industry visit to Tsukiji market with JFA and OPRT – 4 July 2014

(CCSBT-CC/1410/Rep)

1. Report of the Nineteenth Meeting of the Scientific Committee (September 2014)
2. Report of the Fifth Operating Model and Management Procedure Technical Meeting (June 2014)
3. Report of the Third Meeting of the Compliance Committee Working Group (April 2014)
4. Report of the Twentieth Annual Meeting of the Commission (October 2013)
5. Report of the Eighth Meeting of the Compliance Committee (October 2013)
6. Report of the Eighteenth Meeting of the Scientific Committee (September 2013)

7. Report of the Tenth Meeting of the Ecologically Related Species Working Group (August 2013)
8. Report of the Second Meeting of the Compliance Committee Working Group (May 2013)
9. Report of the Nineteenth Annual Meeting of the Commission (October 2012)
10. Report of the Seventh Meeting of the Compliance Committee (September 2012)
11. Report of the Eighteenth Annual Meeting of the Commission (October 2011)
12. Report of the Sixth Meeting of the Compliance Committee (October 2011)
13. Report of the Special Meeting of the Commission (August 2011)

Draft Three-Year Compliance Action Plan (2015 – 2017)

This Plan sets out actions under each Compliance Goal and Strategy for the period 2015 – 2017.

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

- Effective implementation of the CDS, with special emphasis on physical validation and appropriate verification,
- Improvement to the transshipment monitoring program, including prior notification of SBT transshipments with observer deployment requests and training of all observers to enable detection of SBT transshipments even when SBT is not declared,
- SBT being landed as other (non SBT) species,
- Expansion of markets for SBT,
- Monitoring of catches from the farm sector,
- Non-reporting of bycatch and discards against national allocations,
- Better systems to provide information to Port States to assist Port States to provide improved monitoring of SBT activities.

Based on Members' feedback at CCWG in April 2014, the following additional compliance risks were identified:

- Information gaps in relation to recreational catch and bycatch particularly as the SBT stock rebuilds under the Management Procedure,
- Cost restraints being experienced by some Members that may limit their ability to fund appropriate compliance measures,
- Limitations of developing countries, and
- Members' National Policies.

The shaded cells in the table represent the year(s) in which the actions are planned to be undertaken.

Goal 8 – Monitoring, control, and surveillance

Integrated, targeted and cost-effective monitoring, control and surveillance measures are in place to ensure the Commission’s goals are met.

CCSBT Strategic Plan Strategy No.	Compliance Plan Strategy No.		Priority Actions	2015	2016	2017		
8.1 (i)	8.1 Implementing agreed MCS measures	8.1.1	Maintain and enhance:					
			a) the agreed list of conservation and management measures					
			b) the already developed Minimum Performance Requirements (MPRs), in particular the Routine Reporting Measures					
					c) the associated consolidated national report template in which Members report their performance against the obligations and agreed MPRs			
		8.1.2	Develop and adopt additional minimum performance requirements as required:					
			a) Transhipments					
			b) Authorisation Measures - 2.1 Record of Authorised Farms, 2.2 Record of Authorised Vessels, 2.3 Record of Authorised Carrier Vessels					
			c) MCS Measures - CCSBT IUU Vessel List					
			d) MCS Measures - Port State Measures					
			e) Science Measures - 4.1 Scientific Observer Program Standards					
f) Measures relating to ERS - 5.2 Recommendation on ERS								
			g) MCS Measures - 3.2 VMS					
		8.1.3	Performance reporting system in place (the Secretariat's Compliance with Measures and Operation of CCSBT Measures reports), including consideration of Members' performance reports					

Goal 8 – Monitoring, control, and surveillance (continued)

Integrated, targeted and cost-effective monitoring, control and surveillance measures are in place to ensure the Commission's goals are met.

CCSBT Strategic Plan Strategy No.	Compliance Plan Strategy No.		Priority Actions	2015	2016	2017
8.1 (ii)	8.2 Develop and implement MCS strategy	8.2.1	Identify areas of greatest compliance risk in order to facilitate a consistent and coordinated approach to compliance/MCS planning and prioritisation by Members and Compliance Committee			
		8.2.2	Review and rationalise measures and obligations to eliminate unnecessary compliance costs to the catching sector and administrative costs to Governments (should follow and/or compliment work described under item 8.2.1, 8.3.1 and 8.3.3)			
		8.2.3	Review all CCSBT Compliance Resolutions, decisions and recommendations and identify any that have become obsolete/outdated. Take appropriate actions to amend any issues identified, e.g. the Compliance Action Plan Resolution and some reporting obligations			

Goal 8 – Monitoring, control, and surveillance (continued)

Integrated, targeted and cost-effective monitoring, control and surveillance measures are in place to ensure the Commission’s goals are met.

CCSBT Strategic Plan Strategy No.	Compliance Plan Strategy No.		Priority Actions	2015	2016	2017
		8.3.1	<p>a) i) Explore the costs and benefits of/ test the utilisation of electronic observation technologies to supplement traditional human observer coverage programmes,</p> <p>ii) Depending on the results of the analyses in a) i), consider implementing electronic observation technologies</p> <p>b) Conduct a study to examine systems/ processes to better integrate and/or improve the efficiency of the collection and management of data/information submitted in accordance with CCSBT’s Catch Documentation Scheme (CDS), VMS, Observer and Transshipment Measures, particularly focusing on collecting the data/information once and as close to its original source as possible. Seek to harmonise these with other RFMOs’ systems and processes wherever possible</p>			
		8.3.2	<p>Develop and implement agreed minimum catch monitoring requirements for each fishing sector, for example commercial (EEZ longline, High Seas longline, purse seine, other) and non-commercial (artisanal, recreational, other)</p>			

8.1 (iii): Continued	8.3 Strengthen compliance (MCS systems and services): Continued	8.3.3	a) Review and amend the CCSBT CDS Resolution as appropriate to facilitate the development and implementation of an eCDS, taking into consideration the goals of trying to rationalise CDS systems with other RFMOs, and to improve the effectiveness of landing inspections, etc			
			b) Depending on the outcomes of the CCSBT CDS review, implement an eCDS.			
		8.3.4	a) Complete and implement CCSBT Port State Measures			
			b) Complete and implement the revised Transshipment Measure			
		8.3.5	Maintain and strengthen relationships with other Regional Fisheries Management Organisations (RFMOs) and international networks (such as the International Monitoring, Control and Surveillance Network) to enable Members to better monitor their fleet performance and any IUU fishing, and investigate non-compliance			
		8.3.6	Review existing MOUs with IOTC and ICCAT with reference to any changes in the Transshipment Resolution, and develop a transshipment MOU with WCPFC			

Goal 8 – Monitoring, control, and surveillance (continued)

Integrated, targeted and cost-effective monitoring, control and surveillance measures are in place to ensure the Commission's goals are met.

CCSBT Strategic Plan Strategy No.	Compliance Plan Strategy No.		Priority Actions	2015	2016	2017
8.1 (iv)	8.4 Monitoring expansion of SBT markets	8.4.1	Regular monitoring for emerging SBT markets, including reviews of SBT trade data and exploration of any available options, including information from NGOs, for tracking the trade of SBT between those States that are not Members or CNMs of the CCSBT and/or may not be included in the Secretariat's GTA subscription			
8.1 (v)	8.5 Sharing compliance data	8.5.1	Share catch and effort data, and any other available information/intelligence that will assist with the identification of non-Member fishing			
8.1 (vi)	8.6 Secretariat MCS Services	8.6.1	Analyse MCS data and report on trends (annually), as well as assessing the effectiveness of MCS measures based on the data submitted			
		8.6.2	Ensure all transshipment observers are trained in CCSBT obligations (in case SBT is found)			
		8.6.3	Trend analysis of publicly available market data			
	8.7 Research & development	8.7.1	Regular report-backs on R and D on new technologies & tools to aid observers, certifiers, and validators to identify SBT (in particular once processed) to be provided by Members			

Goal 9— Members’ obligations						
All Members comply with rules of CCSBT.						
CCSBT Strategic Plan Strategy No.	Compliance Plan Strategy No.		Priority Actions	2015	2016	2017
9.1 (i)	9.1 Auditing Members’ systems and processes	9.1.1	Develop and implement an integrated programme for conducting regular Quality Assessment Reviews (QARs) for each Member (for example, 2 QARs in total to be conducted each year), as well as conducting ad hoc targeted QARs based on risk assessment advice. At least 1 QAR is to be completed each year			
		9.1.2	Receive audit reports, consider findings, and follow-up with individual Members to check whether QAR recommendations have been addressed			
9.1 (ii)	9.2 Corrective action and remedies		No current work scheduled			

Goal 10: Supporting developing countries						
Developing country Members and Cooperating Non-Members are able to comply with the Commission’s management measures and other requirements.						
CCSBT Strategic Plan Strategy No.	Compliance Plan Strategy No.		Priority Actions	2015	2016	2017
10.1 (i)	10.1 Compliance assistance	10.1.1	i) Use the output from QARs to identify areas where targeted assistance to Indonesia could best be provided, then provide MCS assistance in the areas identified ii) Explore the use of market mechanisms to assist Indonesia.			
		10.1.2	Ongoing identification and sharing of best practice for MCS systems			

Goal 11: Participation in the CCSBT

Encourage the cooperation of port and market States with CCSBT's objectives and management arrangements.

CCSBT Strategic Plan Strategy No.	Compliance Plan Strategy No.		Priority Actions	2015	2016	2017
11.2	11.1 Inclusive cooperation	11.1.1	Identify (using trade and market analyses as well as any information supplied by Members) non-member port and market states whose cooperation should be sought			
		11.1.2	Nominate such States to the Commission			
		11.1.3	Research, develop and potentially implement systematic monitoring and surveillance regimes for IUU SBT fishing			

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

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

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

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

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

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

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

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

SECTION 1. GENERAL RULE

Use of terms

1. For the purpose of this Resolution:

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

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

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

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

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

Members and CNMs shall ensure that they:

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

5. Each Member and CNM shall submit, electronically where possible, to the CCSBT Executive Secretary the list of the Carrier Vessels that are authorised to receive transshipments from its LSTLVs without delay. Each Member shall promptly notify the Executive Secretary of any addition to, deletion from, and/or any modification to the list of Carrier Vessels at any time such changes occur without delay. This list shall include the following information:

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

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

7. Carrier vessels authorised by Members and CNMs to conduct at-sea or in-port transshipments shall be required to have an operational Vessel Monitoring System (VMS) that is operating in accordance with all applicable CCSBT Resolutions and decisions, including the *Resolution on establishing the CCSBT Vessel Monitoring System* (2008), and any successor Resolution, including any future revisions thereto.

8. LSTLVs which tranship at sea or in-port shall be required to install and operate a VMS in accordance with paragraph 3 of CCSBT's *Resolution on the development and implementation of a Vessel Monitoring System* (2006), and any successor Resolution, including any future revisions thereto.

SECTION 3. PROGRAM TO MONITOR TRANSHIPMENTS AT SEA INVOLVING SBT

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

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

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

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

Flag State / Fishing Entity Authorisation

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

Notification obligations

Fishing vessel:

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

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

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

Receiving Carrier Vessel:

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

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

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

Regional Observer Program

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

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

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

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

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

Notification obligations

Fishing vessel:

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

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

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

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

25. The Captain of the LSTLV concerned shall complete and transmit to its Flag State/ Fishing Entity the CCSBT transshipment declaration, along with its number in the CCSBT Record of Fishing Vessels, in accordance with the format set out in **Annex I** not later than 15 days after the transshipment¹.

Receiving vessel:

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

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

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

Port and Landing State Cooperation

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

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

SECTION 5. GENERAL PROVISIONS (all transhipments)

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

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

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

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

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

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

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

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

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

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

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

ANNEX I - CCSBT TRANSHIPMENT DECLARATION

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

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

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

LOCATION OF TRANSHIPMENT

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

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

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

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

ANNEX II - CCSBT REGIONAL OBSERVER PROGRAM

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

Designation of the observers

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

Obligations of the observer

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

6. The observer tasks shall be in particular to:

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

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

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

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

c) issue a daily report of the Carrier Vessel's transhipping activities;

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

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

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

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

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

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

Obligations of the Flag State / Fishing Entities of Carrier Vessels

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

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

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

Obligations of LSTLV during transshipment

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

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

Observer fees

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

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

Attachment 6

Updated Sections of the CDS Resolution

Resolution on the Implementation of a CCSBT Catch Documentation Scheme

Referring to the principles adopted to guide the development of a catch documentation scheme (CDS) at CCSBT12 in 2005 and the ‘Resolution on the implementation of a CDS to record all catch of Southern Bluefin Tuna regardless of whether the Southern Bluefin tuna were traded’, adopted at CCSBT 13 in 2006;

Noting the need for Members and Cooperating Non-Members to provide for the tracking and validation of legitimate product flow from catch to the point of first sale on domestic or export markets;

Bearing in mind the need to achieve harmonisation of Catch Documentation Schemes across Regional Fisheries Management Organisations;

Emphasising that a CDS must be applied consistently and comprehensively across all sectors of the global SBT fishery to accurately confirm the SBT catch by each Member and Cooperating Non-member;

In accordance with Article 8.3(b) of the Convention on the Conservation of Southern Bluefin Tuna, the Extended Commission for the Conservation of Southern Bluefin Tuna (CCSBT) adopts the following measure to monitor compliance with the Commission’s conservation measures:

1. General Provisions and Application

- 1.1 All Members and Cooperating Non-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.
- 1.2 For transshipments, landings of domestic product¹, exports, imports and re-exports under the jurisdiction of a Member or Cooperating Non-Member or Other State/Fishing Entity Cooperating in the CDS (OSEC²), all SBT shall be accompanied by a document described in section 3 of this resolution. There is no waiver of this requirement. However, the exportation/import of fish parts other than the meat³ (i.e. head, eyes, roe, guts, tails) may be allowed without the document.
- 1.3 Transfers of SBT into and between farms under the jurisdiction of a Member or Cooperating Non-Member shall be documented on the Farm Stocking Form and Farm Transfer Form as applicable.
- 1.4 Members or Cooperating Non-Members that prohibit the sale of fish caught by recreational fishers may exempt their recreational fisheries from the requirements of the CCSBT CDS.
- 1.5 The Commission shall request the cooperation of appropriate authorities of States other than Members and Cooperating Non-Members of the Extended

¹ The term ‘landing of domestic product’ means landing of SBT into the territory of a Member or Cooperating Non-Member caught by a vessel flagged to that Member or Cooperating Non-Member or on the register of fishing vessels of that Member or Cooperating Non-Member.

² The term ‘Other State/Fishing Entity Cooperating in the CDS’ will be abbreviated to ‘OSEC’ within this resolution and means a State/Fishing Entity that has expressed its commitment, in writing, to cooperate with this resolution.

³ Any meat separated from fish parts is considered to be meat in this context.

Commission that are involved in catching, landing, transferring and/or farming of SBT in the implementation of this resolution.

- 1.6 Members, Cooperating Non-Members and 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.
- 1.7 Members, Cooperating Non-Members and OSECs shall not permit whole SBT to be landed as domestic product, transhipped, exported, imported or re-exported without a tag, except that:
 - 1.7.1 in the case of farming operations, the SBT may be landed without a tag provided a tag is attached within 30 hours of kill;
 - 1.7.2 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;
 - 1.7.3 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.
- 1.8 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.
- 1.9 Members and Cooperating Non-Members shall report any exceptional circumstances referred to in 1.7.2, 1.7.3 or 1.8 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 1.8, the old (where known) and new tag number(s).
- 1.10 Members and Cooperating Non-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.

2. Registers Required

- 2.1 A record of farms is to be established and maintained by the Executive Secretary to identify authorised farms.
- 2.2 A record of vessels, maintained by the Executive Secretary, identifies all authorised vessels.
- 2.3 CCSBT CDS Documents that record information for vessels and/or farms not included on the above-mentioned authorised registers shall not be considered valid Documents for the purposes of this scheme.

3. Documents and Information Required

- 3.1 The CCSBT CDS Documents are :
 - 3.1.1 Farm Stocking Form – records information on the catch, towing and farming of SBT
 - 3.1.2 Farm Transfer Form – records information on the transfers of SBT between farms
 - 3.1.3 Catch Monitoring Form – records information on the catch, landing, transshipment, export, and import of all SBT regardless of whether farmed or not, including unexpected catch
 - 3.1.4 Catch Tagging Form – records information on individual fish tagged as part of the CDS
 - 3.1.5 Re-export or Export after Landing of Domestic Product Form – records information on SBT already tracked on the Catch Monitoring Form to the initial point of landing of domestic product or import that is, either in full or part, exported or re-exported.
- 3.2 The information to be contained in the CCSBT CDS documentation referred to in 3.1, along with associated instruction sheets, is in Appendix 1 A – D.
- 3.3 Once approved forms are adopted, only minimal modifications, such as the addition of translations, may be made⁴. No information field may be omitted from the standard form, except where the field is not applicable.
- 3.4 Any documentation modified, as described in 3.3⁵, shall be provided to the Executive Secretary for distribution to other Members, Cooperating Non-Members, as well as Non-Members known to be involved in the landing, transshipment, import, export, or re-export of SBT.
- 3.5 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.
- 3.6 CCSBT CDS documents must be uniquely numbered.

4. Tagging

- 4.1 Members and Cooperating Non-Members shall require that an SBT tag be attached to each whole SBT at the time of kill except:
 - 4.1.1 in the case of farming operations, the tag may be attached within 30 hours of kill;
 - 4.1.2 in exceptional circumstances, where a vessel on the CCSBT Record of Authorised Vessels does not have sufficient tags on board, the tag may be attached at landing;
 - 4.1.3 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 However the Catch Tagging Form may be amended to include additional information at the discretion of the Member or Cooperating Non-Member.

⁵ With the exception of additions to the Catch Tagging Form.

- 4.2 As outlined at 3.1.4, a Catch Tagging Form records relevant tagging information for individual SBT. The 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.
- 4.3 Completed Catch Tagging Forms shall be provided to the flag Members and Cooperating Non-Members which shall provide the information in the Catch Tagging Form to the Executive Secretary in an electronic format on a quarterly basis.
- 4.4 A tagging programme shall meet the minimum procedural and information standards set out in Appendix 2.
- 4.5 Members and Cooperating Non-Members shall prohibit the unauthorised use of SBT tags.

5. Validation

- 5.1 The CCSBT CDS documentation must be validated (or signed in the case of transshipments at sea) as applicable by:
 - 5.1.1 for landings of domestic product, an official of the flag Member or Cooperating Non-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 or Cooperating Non-Member; and
 - 5.1.2 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
 - 5.1.3 for all export of SBT, an official of the exporting Member or Cooperating Non-Member; and
 - 5.1.4 for all re-export of SBT, an official of the re-exporting Member, Cooperating Non-Member, or OSEC.
- 5.2 The authority to validate CDS documents may be delegated to an authorised person by an official of the relevant State/fishing entity. Members, Cooperating Non-Members and 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.
- 5.3 Members, Cooperating Non-Members and 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 delegated authority to validate CCSBT CDS documentation prior to those officials and persons exercising the authority). Members, Cooperating Non-Members and OSECs shall inform the Executive Secretary of any changes in a timely fashion.

- 5.4 The Executive Secretary will maintain and update the information specified in 5.3 and provide it to all Members, Cooperating Non-Members and OSECs and promptly circulate any changes.
- 5.5 Members, Cooperating Non-Members and OSECs shall not validate any CCSBT CDS documentation referred to in 3.1 that is not complete, has obviously incorrect information, or has not been validated as required by this resolution.
- 5.6 No Member or Cooperating Non-Member or 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.
- 5.7 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 further processing has occurred, as outlined at Appendix 2).
- 5.8 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.
- 5.9 Members and Cooperating Non-Members shall include in their annual review of SBT fisheries, details on the level of coverage and type of audit undertaken, in accordance with 5.8, and the level of compliance.

6. Exchange of Information and Confidentiality of Data

- 6.1 Members, Cooperating Non-Members and OSECs shall retain all original CCSBT CDS Documents (or scanned electronic copies of the original documents) received by them for a minimum of 3 years after the most recent signed date on the form. Members, Cooperating Non-Members and OSECs shall also retain a copy of any CCSBT CDS Documents issued by them for a minimum of 3 years after the most recent issuing state/entity signed date on the form. Copies of these CDS Documents (except the Catch Tagging Form⁶) shall be forwarded⁷ to the Executive Secretary on a quarterly basis.
- 6.2 The Executive Secretary shall compile the raw data from CDS documentation into an electronic database. The Executive Secretary shall ensure the confidentiality of the raw data in its database and release to any State/fishing entity only the raw data relating to the CCSBT CDS Documents it validated. If a State/fishing entity requests CCSBT CDS Documents relating to another State/fishing entity, the Executive Secretary may release those data only with the latter's agreement.

⁶ Requirements to provide information in the Catch Tagging Form are set out in 4.3.

⁷ Either as a copy of the original form or in electronic format containing all the information in the forms.

- 6.3 The Executive Secretary shall report to the Extended Commission on and circulate to all Members and Cooperating Non-Members the data collected by the CCSBT CDS each year by 1 June for the period of 1 January - 31 December of the preceding year and by 1 December for the period of 1 January - 30 June of the current year. The information to be contained in the reports is specified in **Appendix 3**. The Executive Secretary shall provide an electronic copy of the report only to a designated authority of each Member and Cooperating Non-Member.
- 6.4 The Executive Secretary will post on the public area of the CCSBT web site a subset of the report comprising:
- Flag State/fishing entity;
 - Harvest year;
 - Product destination (including landings of domestic product);
 - Gear code;
 - Net weight;
 - Estimated whole weight (calculated by applying a conversion factor to the net weight);
 - Copies of all modified CDS forms provided in accordance with paragraph 3.4.
- 6.5 On request by the Scientific Committee, Compliance Committee, or other subsidiary body of the Commission, the Executive Secretary shall, with the approval of the Commission, provide to that body data collected by the CCSBT CDS more frequently or at a greater level of detail than specified in 6.3.
- 6.6 The Executive Secretary shall analyse the data provided in 6.1 and notify the relevant Member(s) or Cooperating Non-Member(s) of any identified discrepancies.

7. Verification of CDS Documentation

- 7.1 Each Member and Cooperating Non-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.
- 7.2 Each Member and Cooperating Non-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 and Cooperating Non-Members shall cross-check the report provided by the Executive Secretary under 6.3 using information available to it.

- 7.3 Each Member, Cooperating Non-Member and OSEC shall, as soon as practicable, identify to the Executive Secretary and relevant Members, Cooperating Non-Members and OSECs, any consignments of SBT where there are:
- 7.3.1 doubts about the information contained in any associated CDS documentation; or
 - 7.3.2 incomplete, missing or unvalidated CCSBT CDS documentation.
- 7.4 Each Member and Cooperating Non-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 7.1 and 7.2, and notify the Executive Secretary of the outcome of any such action for inclusion in its report to the Commission.
- 7.5 The Compliance Committee will consider the summary information compiled by the Executive Secretary in 6.3 and 6.4, including any irregularities and anomalies identified and the outcome of any investigations notified under 7.3.
- 7.6 The Commission, may, on the recommendation of the Compliance Committee, consider any action as may be required in relation to the findings and outcomes of any verification investigation. Such action may be, but is not limited to, a review of this or other relevant compliance measures.
- 7.7 Members, Cooperating Non-members and OSECs shall cooperate to ensure that CDS documents are not forged and/or do not contain misinformation.

8. Access to and Security of Information

- 8.1 Subject to each Member's, Cooperating Non-Member's and OSEC's national law, the information produced from the CCSBT CDS shall be confidential and may only be used in support of CCSBT purposes or for any other purpose agreed by the Commission.
- 8.2 Where necessary, in support of catch verification procedures, Members, Cooperating Non-Members and 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.

9. Implementation and Review

- 9.1 This resolution will enter into force on 1 January 2010.⁸ From that date, it replaces the CCSBT Southern Bluefin Tuna Statistical Document Programme adopted by CCSBT on 1 June 2000. For SBT caught before 1 January 2010, the tagging requirements of the CDS may be exempted until 30 June 2010 and the CCSBT CDS Documents shall be completed in the most practicable manner.
- 9.2 The Compliance Committee will review this resolution no later than at its 2011 meeting to identify any implementation issues, strengths, and weaknesses, and to recommend options to improve this resolution and its supporting procedures at the Extended Commission meeting. This review will

⁸ Japan may use its current tagging system until the end of its 2009-10 fishing season (31 March 2010).

include any concerns associated with the breakage or loss of tags and the extent of the use of exemptions in 1.8 and 1.9 as reported by Members and Cooperating Non-Members to the Executive Secretary. The date for a subsequent review will also be agreed at this time.

- 9.3 The Executive Secretary will monitor available technology associated with electronic documentation and fish tags to assist the Compliance Committee in its reviews.



Catch Tagging Form Document Numbers

CATCH / HARVEST SECTION - Tick and complete only one part

For Wild Fishery Name of Catching Vessel _____ Registration Number _____ Flag State/Fishing Entity _____

Or

For Farmed SBT CCSBT Farm Serial Number _____ Name of Farm _____
 Document Number(s) of associated Farm Stocking (FS) Form(s) _____

Description of Fish

Product: F (Fresh) / FR (Frozen)	Type: RD/GGO/GGT/DRO/DRT/FL/OT*	Month of Catch/Harvest (mm/yy)	Gear Code	CCSBT Statistical Area	Net Weight (kg)	Total Number of whole Fish (including RD/GGO/GGT/DRO/DRT)

* For Other (OT): Describe the Type of Product _____ * For Other (OT): Specify Conversion Factor _____

Name of Processing Establishment (if applicable) _____ Address of Processing Establishment (if applicable) _____

Validation **by Authority (not required for exports transhipped at sea)**: I validate that the above information is complete, true and correct to the best of my knowledge and belief.

Name and Title _____ Signature _____ Date _____

OFFICIAL SEAL

INTERMEDIATE PRODUCT DESTINATION SECTION - (only for transhipments and/or exports) - tick and complete required part(s)

Transhipment Certification **by Master of Fishing Vessel**: I certify that the catch/harvest information is complete, true and correct to the best of my knowledge and belief.

Name _____ Date _____ Signature _____

Name of Receiving Vessel _____ Registration Number _____ Flag State/Fishing Entity _____

And / Or

Certification **by Master of Receiving Vessel**: I certify that the above information is complete, true and correct to the best of my knowledge and belief.

Name _____ Date _____ Signature _____

Signature **of Observer (only for transhipment at sea)**:

Name _____ Date _____ Signature _____

Export **Point of Export*** _____ **Destination** (State/Fishing Entity) _____
 City _____ State or Province _____ State/Fishing Entity _____

* For transhipments on the high seas, enter the CCSBT Statistical Area instead of State/Fishing Entity and leave other fields blank.

Certification **by Exporter**: I certify that the above information is complete, true and correct to the best of my knowledge and belief.

Name _____ Licence No. / Company Name _____ Date _____ Signature _____

Validation **by Authority**: I validate that the above information is complete, true and correct to the best of my knowledge and belief.

Name and Title _____ Signature _____ Date _____

OFFICIAL SEAL

FINAL PRODUCT DESTINATION SECTION - tick and complete only one destination

Landing of Domestic Product for Domestic sale. Certification of Domestic Sale: I certify that the above information is complete, true and correct to the best of my knowledge and belief.

Name	Address	Date	Signature	Type: RD/GGO/GGT/DRO/DRT/FL/OT	Weight (kg)

Import **Final Point of Import** _____
 City _____ State or Province _____ State/Fishing Entity _____

Certification **by Importer**: I certify that the above information is complete, true and correct to the best of my knowledge and belief.

Name	Address	Date	Signature	Type: RD/GGO/GGT/DRO/DRT/FL/OT	Weight (kg)



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This form is to be issued by the State/Fishing Entity that holds the national quota allocation against which these SBT have been taken.

This form (CMF) must accompany all transshipments, landings of domestic product, exports, imports and re-exports of SBT, and a copy of this form must be provided to the issuing State/Fishing Entity. The only exception is that exportation/import of fish parts other than the meat (i.e. head, eyes, roe, guts, tails) may be allowed without this document. Please note that:

- For farms, Farm Stocking Form(s) must have been produced by the State/Fishing Entity for all SBT on the CMF and the document number of those Farm Stocking Form(s) must be recorded on the CMF.
- Catch Tagging Form(s) must have been completed for all SBT on the CMF and copies must be provided to the issuing State/Fishing Entity. The document numbers of these Catch Tagging Form(s) must be recorded on the CMF.

If a language other than one of the CCSBT official languages (English and Japanese) is used in completing the form, please add the English or Japanese translation on the Document. The Catch Monitoring Form has 3 main sections: (1) Catch/Harvest; (2) Intermediate Product Destination; and (3) Final Product Destination. The Catch/Harvest and Final Product Destination sections must always be completed. However, the Intermediate Product Destination section only needs to be completed if the product is being exported and/or transhipped.

The top of the form contains 2 additional pieces of information that must always be completed. These are:

Document Number: Enter the unique document number that was allocated by the State/Fishing Entity of origin for this form.

Catch Tagging Form Document numbers: Enter the unique document number of each Catch Tagging Form that is associated with this form. If there is insufficient room to enter all document numbers, enter this information on a separate page and attach that page.

CATCH HARVEST SECTION - tick and complete only one part

Tick the box to specify whether the catch is for the Wild fishery or for Farmed SBT.

You must complete the part of the Catch Harvest section corresponding to the box that you ticked, and then complete the remainder of the section.

For Wild Fishery - This should only be completed for the wild fishery (not for farmed SBT)

Name of Catching Vessel: Enter the name of the catching vessel.

Registration Number: Enter the Registration Number of the catching vessel.

Flag State / Fishing Entity: Enter the Flag State or Fishing Entity of the catching vessel.

For Farmed SBT- This should only be completed for farmed SBT

CCSBT Farm Serial Number: Enter the serial number of the farm as recorded on the CCSBT list of authorised farms.

Name of Farm: Enter the Name of the Farm.

Document number(s) of the Associated Farm Stocking (FS) Form(s): Enter the unique document number of each Farm Stocking Form that is associated with this form. The Farm Stocking Form Number(s) associated with this form should all be for fish stocked in the same fishing season. If there is insufficient room to enter all document numbers, enter this information on a separate page and attach that page.

Description of Fish

All SBT described in this section must be sent to the Final Product Destination. Split shipments are not permitted, so if SBT are to go to two or more different destinations, a separate Catch Monitoring Form must be completed for the catch sent to each destination.

The shipment of SBT must be described, to the highest degree of accuracy using the following information.

NOTE: One row shall describe one product type

Product: Enter the type of product being shipped as either FRESH (F) or FROZEN (FR).

Type: Enter the type code from the table below that most closely matches the type of the SBT. For OT, describe the type of product, and specify a conversion factor.

CODE	NAME	DESCRIPTION
RD	Round	SBT Without any processing
GGO	Gilled and Gutted - Tail on	Processed with gills and gut removed. Operculae (gill plates/covers) and dorsal, pelvic and anal fins may or may not be removed
GGT	Gilled and Gutted - Tail off	Processed with gills, gut and tail removed. Operculae (gill plates/covers) and dorsal, pelvic and anal fins may or may not be removed
DRO	Dressed - Tail on	Processed with gills, gut, operculae (gill plates/covers) and head removed. Dorsal, pelvic and anal fins may or may not be removed
DRT	Dressed - Tail off	Processed with gills, gut, operculae (gill plates/covers), head and tail removed. Dorsal, pelvic and anal fins may or may not be removed
FL	Fillet	Processed further than DRT, with the trunk cut into fillets
OT	Other	None of the above

Month of Catch/Harvest (mm/yy): Enter the month and year of harvest of the southern bluefin tuna; in the case of farmed fish, this applies to the month of kill, not the month of initial harvest.

Gear code: Identify the gear type that was used to harvest the southern bluefin tuna using the list below; for OTHER TYPE, describe the type of gear. In the case of farmed fish, write "FARM".

GEAR CODE	GEAR TYPE
BB	Baitboat
GILL	Gillnet
HAND	Handline
HARP	Harpoon
LL	Longline
MWT	Mid-water Trawl
PS	Purse Seine
RR	Rod and Reel
SPHL	Sport Handline
SPOR	Sport Fisheries Unclassified
SURF	Surface Fisheries Unclassified
TL	Tended Line
TRAP	Trap
TROL	Troll
UNCL	Unspecified Method



INSTRUCTION SHEET

CATCH HARVEST SECTION - (continued)

CCSBT Statistical Area: Enter the area in which the southern bluefin tuna were harvested using the main CCSBT Statistical Areas (1 to 10 and 14 to 15) or the other CCSBT Statistical Areas (11 to 13) where there is no corresponding main area. In the case of farmed fish, it is not necessary to fill in this column. A map showing the statistical areas is provided on page 3 of these instructions.

Net Weight (kg): Enter the net product weight in kilograms. In the case of farmed SBT, this is the weight at the time of harvest from the farm (as opposed to when originally caught)

Total Number of whole Fish (including RD, GGO, GGT, DRO, DRT): Enter the number of fish that remain whole. A fish remains whole despite cleaning, gilling and gutting, freezing, removing fins, operculae (gill plates/covers) and tail and removing the head or parts of the head. A fish is no longer considered to be whole if it has undergone processes such as filleting or loining.

For Other (OT) Describe the type of product: If Product Type is Other (OT), then describe the product.

For Other (OT) Specify the Conversion Factor: If Product Type is Other (OT) then specify the Conversion Factor to be used to convert this weight to a whole weight equivalent.

Name of Processing Establishment (if applicable): Enter the name of the establishment that processed the southern bluefin tuna (if applicable).

Address of Processing Establishment (if applicable): Enter the address of the establishment that processed the southern bluefin tuna (if applicable).

Validation

Validation by Authority (not required for exports transhipped at sea): If this is not an export being transhipped at sea, enter the name and full title of the official¹ signing the document, together with the signature of the official, date (dd/mm/yyyy) and official seal. For SBT transhipped at sea and then landed domestically, validation should occur at the point of domestic landing (i.e. after transhipment).

INTERMEDIATE PRODUCT DESTINATION SECTION - only for transhipments and/or exports - tick and complete required part(s)

This section only needs to be completed if the product is being exported and/or transhipped.

Tick the box to specify whether the product is being transhipped or exported. If this is both a transhipment and an export then tick both boxes.

You must then complete the parts of the intermediate product destination section corresponding to the box(es) that you ticked.

Transhipment

Certification by Master of Fishing Vessel: In the case of all transhipments, the master of the fishing vessel shall complete this section, with his/her full name, signature and date (dd/mm/yyyy) to certify that the form correctly records the catch/harvest information.

The next part should be completed by the Master of the vessel receiving the southern bluefin tuna.

Name of Receiving Vessel: Enter the name of the Receiving vessel.

Registration Number: Enter the Registration Number of the Receiving vessel.

Flag State / Fishing Entity: Enter the Flag State or Fishing Entity of the Receiving vessel.

Certification by Master of Receiving Vessel: The master of the receiving vessel shall complete this section, with his/her full name, signature and date (dd/mm/yyyy) to certify that the form correctly records the fish that were transferred to the receiving vessel.

Signature of Observer (only for transhipments at sea): If a transhipment is covered by the CCSBT Resolution on Establishing a Program for Transhipment by Large-Scale Fishing Vessels (i.e. is transhipped at sea), then the observer must enter his/her full name, signature and date (dd/mm/yyyy). If there were any discrepancies between the observed transhipment and the information recorded on the Catch Monitoring Form, the observer's transhipment report should document those discrepancies.

Export

Point of Export

City: Enter the City of Export.

State or Province: Enter the State or Province of Export.

State/Fishing Entity: Enter the State/Fishing Entity of Export. For transhipments on the high seas, enter the CCSBT Statistical Area where the transhipment occurred and leave other fields blank.

Destination

State/Fishing Entity: Enter the State/Fishing Entity to which the southern bluefin tuna is being exported.

Certification by Exporter: The Exporter² must provide his/her name, signature, date (dd/mm/yyyy) and either the exporter license number or the exporter company name to certify the information provided in relation to the export shipment (i.e. that the form correctly records what is being exported). If the exporter does not have a licence number or exporter company name, then they should write their own name in this field.

Validation by Authority: Enter the name and full title of the official¹ signing the document, together with the signature of the official, date (dd/mm/yyyy) and official seal.

FINAL PRODUCT DESTINATION SECTION - tick and complete only one Destination

Tick the box to specify whether the final destination of the product is for landing of domestic product or for import.

You must then complete the part of the final product destination section corresponding to the box that you ticked.

Landing of Domestic Product for Domestic Sale

Certification of domestic sale: The initial person or company that receives southern bluefin tuna from a domestic vessel for the purpose of domestic sale must provide his/her/its name, address, date (dd/mm/yyyy) on which the southern bluefin tuna was landed/received, signature, type³, and weight (kg) of the complete domestic landing of SBT.

Import

Final Point of Import

City: Enter the City of Import.

State or Province: Enter the State or Province of Import.

State/Fishing Entity: Enter the State/Fishing Entity of Final Import.

Certification by Importer: The person or company that imports southern bluefin tuna must provide his/her/its name, address, date (dd/mm/yyyy) on which the southern bluefin tuna was imported, signature, type³, and weight (kg). For fresh and chilled product, the signature of the importer may be substituted by a person of a customs clearance company when the authority for signature is properly accredited to it by the importer.

¹ The official must be in the employment of, or delegated by, the competent authority of the Member, or Co-operating Non-Member that issued the Catch Monitoring Form. The Member or Co-operating Non-Member which utilizes a delegated entity shall submit a certified copy of such delegation to the Executive Secretary.

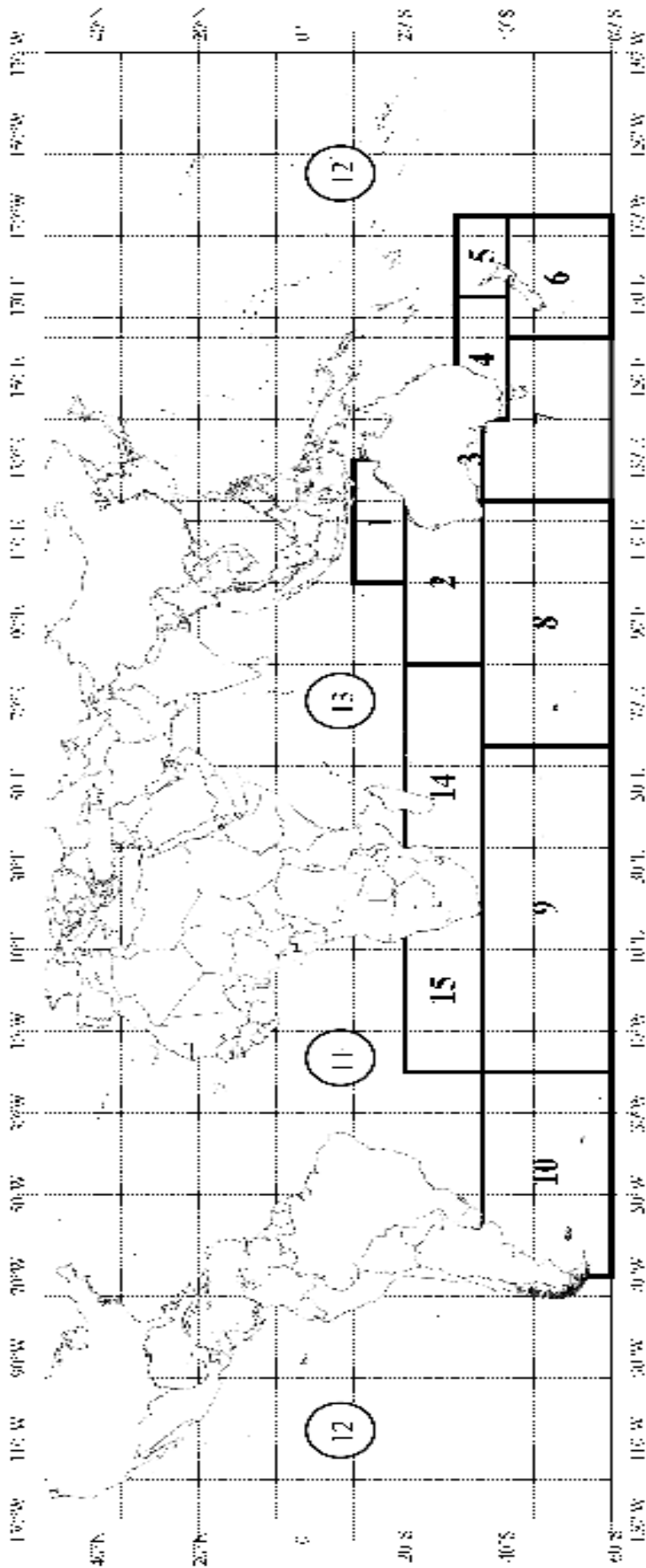
² The individual certifying as 'Exporter' must be an appropriate authority approved by the exporting company to make this declaration on the company's behalf, but it must not be the same individual as the authority validating the export.

³ A list of types is provided in the 'Description of Fish' section.



INSTRUCTION SHEET

Map of CCSBT Statistical Areas



Content of the Executive Secretary's Six Monthly/Annual Reports to the Extended Commission

The reports in this Appendix are only to be provided to a designated authority of each Member.

With this Appendix, the following abbreviations are used to refer to different form types:

- FSF – Farm Stocking Form
- FTF – Farm Transfer Form
- CMF – Catch Monitoring Form
- REEF – Re-Export/Export after Landing of Domestic Product Form
- CTF – Catch Tagging Form

During the first year of the CDS, there will not be sufficient information from the CDS for all reports to be produced. It is also accepted that there will be delays in producing reports during the first year of the CDS while the Secretariat is in the process of developing the CDS database and associated reporting mechanisms.

Production Reports

Two production reports are to be produced.

(1) Production summary and reported catch comparison report

This report uses data from the CMF together with mortalities from the FSF to estimate the quota year catch of each Member and Cooperating Member. This should only be conducted for completed quota years and where sufficient CDS data is available. Processed weights from the CDS should be converted to whole weights using conversion factors supplied by each Member if available and the “best” alternative conversion factor where the Member has not provided a conversion factor to use. All conversion factor values used in the report should be listed. The report should also provide the reported quota year catch from the Member/Cooperating Non-Member (if that is available) for comparative purposes.

- Flag State/Fishing Entity;
- Quota year¹;
- Total estimated whole weight of SBT by fishing gear from the CDS;
- Total whole weight of SBT by fishing gear as reported by the Member (if available); and

¹ Members have different quota years, so the actual quota year period of each Member should be used and these periods should be shown in the report to prevent confusion. This report should also contain a history of recent quota years (with any updated estimates from both CDS and Member's reports) for which there is sufficient CDS data.

- Comments².

(2) Detailed production summary report

This report is similar to the Annex 2 report from the TIS. It uses data from CMF and CTF to provide the following information:

- Flag Member/Cooperating Non-Member;
 - Captured, farm harvest, or farm catch/towing mortality
 - Product (F/FR);
 - Processed Type (RD/GGO/GGT/DRO/DRT//FL/OT etc.).
 - Month and year of harvest;
 - Gear code;
 - Statistical area;
 - Point of export (only if exported);
 - Month and year of export (only if exported);
 - State/Fishing Entity at final destination;
 - Month and year at arrival at final destination;
- and within the above groupings, the following quantities
- Number of SBT; and
 - Net weight of SBT.

REEF Reports

Two reports relating to the REEF form are to be produced.

(1) Detailed REEF summary report

This report is similar to the Annex 4 report from the TIS. This report uses data from both the CMF and REEF to provide the information below:

- Original catching State/Fishing Entity
 - Currently exporting State/Fishing Entity³;
 - Point of export;
 - Year and month of export⁴
 - Importing State/Fishing Entity;
 - Product exported (F/FR);
 - Type exported (RD/GGO/GGT/DRO/DRT//FL/OT); and
- within the above groupings, the
- Net weight and Number of SBT exported.

² Comments may be required to provide additional information for interpreting the figures, for example, to indicate that a Member's report includes catches (such as recreational catch) that is not covered by the CDS, or that the CDS data may not be fully up to date for the most recent year etc.

³ This is the exporting State/Fishing Entity on the REEF form in question, not from preceding REEF forms or the CMF.

⁴ As determined by the export certification date.

(2) REEF discrepancy report

This report should examine all REEF forms and associated CMFs, and produce a list of any CMF forms that have been “over utilised⁵” in subsequent exports and re-exports. The list should identify:

- The document number, flag, product type(s) and weight(s) in each over utilised CMF form;
- The document number, exporting flag, product type(s) and weight(s) of the associated REEF form(s); and
- Other information agreed by the Compliance Committee.

Tagging Reports:

One tagging report is to be produced.

(1) Tag summary report

This report uses data from both the CTF and CMF to provide the following information

- Flag State/Fishing Entity;
- Total number and net weight of SBT tagged; and
- Total number and net weight of SBT reported on associated CMF’s.

Transshipment Reports

Two transshipment reports are to be produced.

(1) Transshipment summary report

This report uses data from the CMF together with transshipment declarations and observer reports to provide the following summary information for transshipments of SBT.

- Flag of catching vessel;
- Month and year of transshipment;
- Flag of transshipment vessel;
- State/Fishing Entity at final destination;
and within the above groupings, the following quantities
 - Number of transshipments;
 - Number of SBT according to the CMF;
 - Net weight of SBT according to the CMF;
 - Net weight of SBT according to the transshipment declaration; and
 - Net weight of SBT according to the transshipment observer report.

⁵ An over-utilised CMF is where subsequent exports/re-exports of fish from the CMF have exceeded the original quantity of fish reported on the CMF.

(2) Transhipment discrepancy report

This report produces details of each transhipment in which the weight of SBT in the CMF differs from the weight of SBT in either the transhipment declaration, or the transhipment observer report.

- Flag, name and registration number of catching vessel;
- Date of transhipment;
- Flag, name and registration number of transhipment vessel;
- Net weight and Type of SBT according to the CMF;
- Net weight and Type of SBT according to the transhipment declaration; and
- Net weight and Type of SBT according to the transhipment observer report.

Farm Reports

Two farm reports are to be produced. These reports should be produced to cover a catching and farming period that covers the usual “season” for the relevant State/Fishing Entity.

(1) Farm summary report

This report uses data from the FSF and CMF to provide the following aggregate information for farmed SBT from each Flag State/Fishing Entity. This report is similar to the 6 monthly farms reports produced by Australia as part of the Trade Information Scheme.

- Flag and total number of catching vessels;
- Date range of capture;
- Statistical area(s) of capture;
- Total number and weight of mortalities during towing;
- Date range of transfers to farms;
- Total number and weight of SBT transferred into farms;
- Minimum, maximum and median of the average weights over all transfers;
- Date range of harvest from farms; and
- Total number and weight of SBT harvested from farms.

(2) Farm discrepancy report

This report produces details for each farm in which the number of SBT transferred into the farm (according to the FSF and adjusted according to the FTF) is greater than the number of SBT harvested from that farm according to the CMF.

- Flag, and name of the farm;
- Date range of transfers to this farm from initial tow cages;
- Total number and weight of SBT transferred into this farm from initial tow cages;
- Date range of transfers to/from this farm from/to other farms;
- Total number and weight of SBT transferred to/from this farm from/to other farms;
- Date range of harvest from this farm; and
- Total number and weight of SBT harvested from this farm.

Reconciliation Reports

CDS documentation will be sent to the Secretariat on a quarterly basis from multiple sources. The same document may be sent to the Secretariat at different times. For example, when SBT are exported or transhipped, and again when the same SBT are imported or landed as domestic product. The reconciliation reports should be designed to provide aggregate information concerning the number and types of documents that are expected, but that have yet to be received from each State/Fishing Entity. These reports should also identify if any discrepancies occur between the figures in the forms from the different sources. The Secretariat should design and produce these reports after the CDS has been in operation for 12 months.

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 CCSBT 21 in 2014

The Extended Commission for the Conservation of Southern Bluefin Tuna,

Noting that 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 (hereinafter referred to as “the original Resolution”) ” was adopted at its 10th annual meeting in 2003;

Further Noting that substantial amount of Southern Bluefin Tuna has been and are harvested by vessels less than 24 meters operating under flags of non-members to the CCSBT which are not covered by the original Resolution;

Considering the urgent need to take further comprehensive approach to deter IUU fishing activities; and

Recognizing technical difficulties for import states to establish effective inspection schemes on import of fresh tuna products.

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

The provision regarding vessel size limitation in the original Resolution which applies to those more than 24 meters is removed, and the original Resolution is amended as follows:

1. The Contracting Parties, Member of the Extended Commission and Cooperating Non-Members shall:
 - a. ensure that all vessels under their registry do not carry out IUU fishing activities for southern bluefin tuna;
 - b. take every possible action, consistent with relevant law, to prevent, deter and eliminate IUU fishing; and

c. review progress on the issue of IUU fishing for SBT and the implementation of its IUU measures including adopting further measures as required on a regular basis.

2. The Extended Commission shall establish and maintain an CCSBT Record of fishing vessels (hereinafter referred to as "fishing vessels" or "FVs") authorized to fish for SBT. For the purpose of this recommendation, FVs not entered into the Record are deemed not to be authorized to fish for, retain on board, tranship or land SBT.

3. Each Member of the Extended Commission (hereinafter referred to as "Member"), and Co-operating Non-member shall submit electronically, where possible, to the Executive Secretary, the list of FVs flying its flag that are authorized to fish for SBT. This list shall include the following information:

- Lloyds/ IMO Number (if available);
- Name of vessel(s), register number(s);
- Previous name(s) (if any);
- Previous flag(s) (if any);
- Previous details of deletion from other registries (if any);
- International radio call sign(s) (if any);
- Type of vessel(s), length and gross registered tonnage (GRT);
- Name and address of owner(s) and operator(s);
- Gear(s) used; and
- Time period authorized for fishing and /or transshipping.

The Members and Co-operating Non-members shall indicate, when initially submitting their list of vessels according to this paragraph, which vessels are newly added or meant to replace vessels currently on their list submitted to the Executive Secretary. The initial CCSBT record shall consist of all the lists submitted under this paragraph.

4. Each Member and Co-operating Non-member shall promptly notify, after the establishment of the initial CCSBT Record, the Executive Secretary of any addition to, any deletion from and/or any modification of the CCSBT Record at any time such changes occur.

5. The Executive Secretary shall maintain the CCSBT Record, and take any measure to ensure publicity of the Record and through electronic means, including placing it on the CCSBT website, in a manner consistent with confidentiality requirements noted by

the Members and Co-operating Non-members.

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

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

7. The Members and Co-operating Non-members shall review their own internal actions and measures taken pursuant to paragraph 5, including punitive and sanction actions and in a manner consistent with domestic law as regards disclosure, report the results of the review to the Extended Commission at its 2005 meeting and annually thereafter. In consideration of the results of such review, the Extended Commission shall, if appropriate, request the flag Members and Co-operating Non-members of FVs on the CCSBT Record to take further action to enhance compliance by those vessels to CCSBT conservation and management measures.

8. a) The Members and Co-operating Non-members shall take measures, under their applicable legislation, to prohibit the fishing for, the retaining on board, the transhipment and landing of SBT by the FVs which are not entered into the CCSBT Record.

- b) To ensure the effectiveness of the CCSBT conservation and management measures pertaining to CCSBT Catch Documentation Scheme:
 - i) flag Members and Co-operating Non-members shall validate CDS documents only for the FVs on the CCSBT Record,
 - ii) the Members and Co-operating Non-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,
 - iii) the Members and Co-operating Non-members shall co-operate to ensure that CDS documents are not forged or do not contain misinformation.

9. Each Member and Co-operating Non-member 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 transhipment of SBT.

- 10. a) If a vessel mentioned in paragraph 8 is flying the flag of a Member and Co-operating Non-member, the Executive Secretary shall request that Member and Co-operating Non-member to take measures necessary to prevent the vessel from fishing for SBT.
- b) If the flag of a vessel mentioned in paragraph 8 cannot be determined or is of a non-Member without cooperating status, the Executive Secretary shall compile such information for future consideration by the Extended Commission.

11. The Extended Commission and the Members and Co-operating Non-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.

12. Before the Extended Commission decides to implement measures specified in paragraph 8, the Extended Commission and the Members shall contact all the relevant countries to inform of this resolution and consult with them, and give them sufficient time to adopt themselves to this resolution. They shall continue to encourage non-Contracting Parties to become Members or Co-operating non-Members.

13. This resolution repeals the previous amendment to 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 Fifteenth Annual Meeting from 14-17 October 2008.

Resolution on Limited Carry-forward of Unfished Annual Total Allowable Catch of Southern Bluefin Tuna

The Extended Commission for the Conservation of Southern Bluefin Tuna,

Noting the “Resolution on the Adoption of a Management Procedure” was adopted at the eighteenth annual meeting in 2011;

Further noting that this resolution adopts a management procedure that will set the global total allowable catch (TAC) for southern bluefin tuna in three year blocks;

Considering the need to for Members to effectively manage their TACs within each quota year and to allow limited carry-forward of Member’s annual TAC;

Recognising that a provision to carry-forward undercatch can benefit the fishery by providing catch flexibility between quota years;

Informed that such a provision will not have a negative effect on the operation of the Management Procedure and the setting of global TACs;

Mindful that this carry-forward provision may present administrative complexities for some Members, and that it should therefore be up to each Member whether it wishes to implement the provision for its vessels;

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

Section 1: Establishment of a Carry-forward

Procedure

1. The Extended Commission hereby establishes a procedure for limited carry-forward of Members’ un-fished annual TAC¹ from one year to the next.
2. Members shall determine whether or not to adopt the carry-forward procedure for their fishery. However, if a Member adopts the carry-forward procedure in this resolution such carry-forward shall be conducted in accordance with the procedures defined in sections 2 – 5 below.

¹ Annual TAC means the agreed national allocation for each Member set by CCSBT.

Section 2: Carry-Forward Procedure

3. If a Member's annual TAC is under-caught, that Member may carry forward this unfished quota to the next quota year. However, the total quota carried forward from one year to the next shall not exceed 20% of that Member's TAC for the under-caught year.
4. Un-fished quota may only be carried forward from one quota year to the next. Quota that is carried forward from one quota year may not in turn generate further under-fishing to be carried forward to the following year².

Section 3: Notification and Reporting of Carry-Forward Procedure

5. If at the beginning of a new quota year a Member decides to, in accordance with this resolution, carry forward unfished quota from the previous quota year, it shall notify the CCSBT Secretariat of this carry-forward and provide a revised annual available catch limit³ for the new quota year. This notification shall be provided to the Secretariat within the first 60 days of the new quota year.
6. Members that adopt the carry-forward procedure shall 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.

Section 4: Circumstances When Carry-Forward Is Not Applicable

7. If, on the basis of advice from the Extended Scientific Committee that exceptional circumstances exist that necessitate additional management action, the Extended Commission agrees to reduce the global total allowable catch within a three year quota block, the carry-forward procedures provided in this resolution shall not be applied by any Member⁴.
8. If the Extended Commission agrees within a three year quota block to reduce the national allocation of one or more Member, that Member shall not apply the carry-forward procedures provided in this resolution.
9. If either the Management Procedure recommends, or the Extended Commission decides on a lower Global TAC, then the Carry-forward procedures provided for in this Resolution shall not be applied by any Member.⁴
10. If a Member exceeds its national allocation for the 2015 fishing season or later without paying back its excess catch for those seasons, the carry-forward procedures provided in this resolution shall not be applied by that Member until those catches have been paid back, unless otherwise agreed by the Extended Commission.

² That is, you cannot generate carryover on a previously carried over amount.

³ An annual available catch limit means the annual TAC plus any carry-forward of unfished catch from the previous year.

⁴ Members should note that this could result in a loss of carried over catch.

Section 5: General Provisions

11. The procedures in this Resolution shall take effect immediately upon adoption.

ESC19 recommendations to CC and EC on Unaccounted Mortality

ESC19 report text

1. The ESC is concerned about the implications and impacts of the unaccounted mortality scenarios and requests the Extended Commission and Compliance Committee urgently provide detailed information and data to properly assess impacts of unaccounted mortalities (para 95)
2. ESC advises that the EC take steps to ensure adherence to its TACs (para 108, 122)
3. ESC advises the EC to take steps to quantify all sources of unaccounted mortality
4. The ESC encourages all countries to make their CDS data and information on market monitoring available to facilitate and improve analyses (para 125)

Attachment 5

Process aspects

1. The ESC encourages all countries to make their CDS data available to facilitate and improve analyses.

Small and Large fish Catch by non members

2. The OMMP Working Group encouraged the ESC, Compliance Committee and Extended Commission to work towards filling the gaps in the information base.
3. The ESC requests that the Compliance Committee consider approaches to monitor and review markets in order to provide further information that may inform the ESC considerations.

New data sources and analysis

1. Other data and analyses exist that would assist in resolving this uncertainty. Given the scientific technical expertise of the ESC, further consideration of market monitoring is more appropriately considered by the Compliance Committee. The ESC requests the EC and CC consider reviews and analyses that will clarify key assumptions of market monitoring. This should include consideration of:
 - a. a review of the data from Japan's monthly monitoring at Tsukiji since 2008 to verify the assumptions regarding number, weight and source of fish;
 - b. monthly data on the number, weight and source country of frozen SBT auctioned and not auctioned at Tsukiji; and
 - c. undertaking independent market reviews at significant markets.

2. The ESC encourages all countries to make their CDS data and information on market monitoring available to facilitate and improve analyses.
3. The ESC requests the Compliance Committee provide the results of these to the ESC for consideration in future assessments of stock status, projects and reviews of the performance of the MP.