

Commission for the Conservation of
Southern Bluefin Tuna



みなみまぐろ保存委員会

Report of the Fourteenth Meeting of the Compliance Committee

**10 - 12 October 2019
Cape Town, South Africa**

Fourteenth Meeting of the Compliance Committee

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Agenda Item 1. Opening of meeting

1.1. Welcome

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

1.2. Adoption of agenda

3. The agenda was adopted, noting that some agenda items would be discussed in a different order to that shown in the agenda. The agenda is provided at **Attachment 2**.
4. The list of documents for the meeting is shown at **Attachment 3**.

1.3. Meeting arrangements

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

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

2.1. Report from the Secretariat

SBT Related Measures

6. The Secretariat presented paper CCSBT-CC/1910/04 which summarised compliance with CCSBT Management Measures by Members. The main points to note from this paper were:
 - South Africa continues to submit Catch Documentation Scheme (CDS) forms late and some contain many errors; in addition, there are sometimes large discrepancies between data submitted from different sources;
 - Indonesia has not been tagging all SBT at the time kill nor advising the Secretariat of these exceptional circumstances;
 - South Africa and Taiwan are submitting port inspection reports but not within the required timeframes of the Minimum Standards for Inspection in Port Resolution; and
 - Korea, and to a lesser extent, Australia and South Africa, are persistently not submitting copies of all expected import copies of CDS documents to the Secretariat.

7. In response to these issues:
- South Africa advised that regarding its CDS submissions and processing difficulties it had experienced both information technology and human capacity challenges and that the need for an electronic CDS was becoming clearer. South Africa also advised that the electronic CDS system it developed in 2018 was not addressing discrepancies and so was being redeveloped. With regard to its port inspection reports, South Africa noted it had conducted many (more than 99) port inspections of foreign vessels (including 100% inspection of all SBT landings), and that it had already advised the Secretariat it would follow up on any outstanding reports following the meeting.
 - Indonesia explained that due to the nature of its SBT fishery (a bycatch fishery) and the large number of vessels involved, some of which may spend long periods at sea, it is difficult to ensure that all relevant vessels have sufficient SBT tags on board. Indonesia will work hard to resolve these issues in future.
 - Taiwan noted it did not submit its port inspection report within the 14-day period due to misunderstanding the Resolution.
 - Korea summarised what it is doing to improve coordination between the Ministry of Oceans and Fisheries and the Ministry of Food and Drug Safety to try to improve its submission of import copies of CDS documents.
8. New Zealand emphasised the importance of the CDS Resolution as one of CCSBT's primary measures and noted that one of the goals of the Compliance Plan is to assist developing Members to comply with their CCSBT obligations. New Zealand further noted that the Corrective Actions policy provides guidelines that administrative failings should in the first instance be addressed through an agreed programme to correct administrative deficiencies within a specified timeframe and that there could be an opportunity to develop a remediation plan to assist South Africa when considering items to include within the next Compliance Action Plan (CAP).
9. Both New Zealand and Australia offered to assist South Africa to resolve its CDS issues.

ERS Related Measures

10. The Secretariat presented paper CCSBT-CC/1910/05 which is the first annual report on Members' implementation of Ecologically Related Species (ERS) and performance with respect to. This report was prepared in accordance with paragraph 7 of the Resolution to Align CCSBT's ERS measures with those of other tuna RFMOs and paragraph 71 of CCSBT 25 report. The main issues to note from this paper were:
- Indonesia scientific observer coverage was low (less than 0.5% of hooks were observed in 2018) and Japan's coverage, after excluding data from 18 trips where there were concerns about data reliability, was only 5% and 6% in 2017 and 2018 respectively;

- Only four Members (Korea, New Zealand, Taiwan and South Africa) achieved full representativeness¹ of scientific observer coverage in 2018;
 - Japan and New Zealand had some observed sets that used only a single mitigation measure in Statistical Areas where two mitigation measures are required by the other tuna RFMOs. Japan and New Zealand also had higher observed rates of seabird mortalities than the other Members for the years presented (2016 to 2018).
 - Most Members complied well with the ERS Data Exchange requirements and with their annual reporting requirements to the Ecologically Related Species Working Group (ERSWG) and Annual CC and Extended Commission (EC) meetings. There were some exceptions that are noted in the paper.
11. Members supported producing the paper in the same manner next year as it provided useful information.
 12. Some Members also noted continued high levels of bycatch by some Members, particularly seabirds, and the correlation of the use mitigation measures.
 13. Some Members pointed to potential reputational risk to the CCSBT resulting from continuing high levels of ERS interactions.
 14. In response to issues raised in the Secretariat's papers:
 - Japan commented that it is now taking corrective action to reduce seabird bycatch and that it will report to the next meeting of the CC on the measures it has taken to achieve this.
 - Indonesia noted that its observer coverage was around 4.32% in terms of proportion of observed to active vessels and further noted that it was difficult to achieve the target observer coverage due to its large number of vessels. Indonesia is considering alternatives such as electronic monitoring as a supplementary option to improve its coverage in the future.
 - South Africa confirmed that it complies with all ERS measures of ICCAT² and IOTC³.
 - Indonesia confirmed that complies with IOTC and WCPFC⁴ ERS measures.
 - BirdLife International (BirdLife) advised that it believes that the single most important thing that can halt the conservation crisis facing albatrosses as a result of bycatch, is increasing compliance and implementation of the existing bycatch regulations in fisheries, which is why it's important and appreciated that seabirds are on the agenda at this CC meeting. BirdLife also appreciated Japan's transparency with reporting its current compliance situation and commented on the discrepancy in the use of night-setting between Taiwan's report and findings from AIS analysis presented at last year's CC meeting. BirdLife further remarked that it hoped that discussion this week will lead to clear actions on a new Compliance Action Plan as well as for the project proposal being developed under Agenda item 10.

¹ Full representativeness means that the level of scientific observer coverage in each fleet/area combination achieved the 10% target.

² International Commission for the Conservation of Atlantic Tunas.

³ Indian Ocean Tuna Commission.

⁴ Western and Central Pacific Fisheries Commission.

2.2. Annual Reports from Members

15. Members summarised their Annual Reports to the CC and provided highlights from their reports, including improvements to management systems, recent catches, observer coverage, attributable catch, electronic monitoring, bycatch of ERS, and other issues of significance.
16. Discussions, including questions of clarification, were held in relation to the contents of Annual Reports submitted prior to the meeting. Important aspects of reported matters and associated discussions are described below.
17. In relation to SBT mortalities from recreational fisheries:
 - Australia advised that its recreational fishery survey commenced in 2018 and will be finalised this year. It will report on this at next year's meeting and for the moment believes that 250t is still an appropriate allowance for this sector; and
 - New Zealand has conducted research on its recreational fishery catches and has reported the methodology to the Extended Scientific Committee (ESC). Of the 12.3t reported catch, 11.2t was from fishing clubs, 0.6t was from amateur charter vessels reporting, and 0.5t from recreational catch taken from commercial vessels. There was an additional 2.7 tonnes of estimated unreported catch. One Member believed this may be an underestimate since in its experience club and charter vessels account for a small proportion of the overall catch.
18. In relation to electronic monitoring (EM):
 - It was noted that the CCSBT had made no agreement to allow human observers to be replaced by EM in relation to observer coverage requirements, and that there is a need to setup standards and methodologies for EM, taking note of developments in other RFMOs such as the WCPFC;
 - It was further noted that while EM has its advantages, there are also uncertainties and consequences in transitioning that need to be considered; and
 - Australia clarified that it uses EM for its longline fleet. The EM coverage is 100% and conducts random audits of 10% of recorded footage, conducted by humans on land. Australia believes that EM is a useful tool that may help to reduce seabird bycatch mortalities and should be considered by other Members.
19. In relation to mortalities from discards:
 - Australia advised that its vessels cannot discard unless the fish is alive and vigorous. If discards of damaged fish are detected, then the fish are deducted from the fisher's quota. It is assumed that all discarded SBT will survive. This applies to both the longline and farm sectors;
 - Taiwan stated that based on information from observers on its vessels in the Tasman Sea, who are not authorised to retain SBT, discards were scarce and it had included those in its national allocation for discard mortalities;
 - It was noted that 100% survival rate from discards seems to be unlikely and that some mortalities were expected even when discards appear to be live and vigorous and therefore an allowance for this mortality should be made; and

- Japan stated that while its discard mortalities were higher than the 20t set aside for it, it believed that fishers make efforts to ensure that their catch is under their quota and that any discard mortalities above 20t will be absorbed by unused quota, so total mortalities will not exceed Japan's TAC.

20. In relation to bycatch:

- New Zealand did not have an explanation for the increase in shark catches but it seems to be genuinely higher. Its vessels apply the WCPFC mitigation measures, regarding use of shark lines and wire traces. Shark catches are primarily returned to sea since they have low commercial value;
 - BirdLife noted the low seabird bycatch rates reported by Taiwan and asked whether Taiwan has a plan to further strengthen its observer program for accurate reporting.
 - Taiwan believed its reported seabird bycatch from observer data to be accurate since the data are examined by its scientists; and
 - Birdlife International commended South Africa on its level of observer coverage, use of mitigation measures, and incorporation of new technologies such as hook shielding devices.
21. South Africa stated that it would share information on its developments relating to the genetic identification of SBT when it was available.
22. Indonesia clarified that 52.83% of its landed catch was for the domestic market, while the rest was exported, mostly to Japan. All fish must be landed due to any transshipment was prohibited.
23. Japan clarified that while it had achieved the minimum required observer coverage of 10%, some of the data were suspicious and were not used for scientific purposes. Japan also noted that a corrective action has been taken to prevent reporting of unreliable observer data in the future.
24. Members noted and appreciated the comprehensive reporting on observer reports of irregularities during transshipments at sea by some Members.
25. The meeting noted that some Members national reports were submitted late which didn't leave much time to review the contents.

2.3. Assessment of compliance with CCSBT management measures

2.3.1. Compliance of Members

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

2.3.2. Application of the Corrective Actions Policy

27. The meeting discussed whether there were some administrative failings that should be addressed through an agreed program to correct deficiencies with a specified timeframe and with assistance from other Members. It was agreed that these failings would be better considered within the context of an updated compliance action plan.

Agenda Item 3. Report from the Ecologically Related Species Working Group (ERSWG)

28. The Secretariat presented paper CCSBT-EC/1910/08 in relation to the Report from the Thirteenth Meeting of the ERSWG. Recommendations to the EC were presented briefly. These included a revised ERS Data Exchange template to provide higher resolution data and improved information on the usage of mitigation measures, an overall objective and five objectives for a CCSBT Multi-year Seabird strategy, and a revised “Resolution to Align CCSBT’s Ecologically Related Species measures with those of other tuna RFMOs”.
29. The Secretariat also summarised the advice which the ERSWG had provided to the EC including:
 - The risk assessment for 2016 data found that for nine of the 25 albatross and petrel species the estimated annual incidental bycatch in surface longline fisheries exceeded the population productivity;
 - Data from 2017 indicated lower total reported seabird mortality, but this was most likely to have resulted from inadequate and unrepresentative sampling, and not from improved mitigation;
 - The potential for electronic monitoring (EM) to improve the reporting of the number of ERS interactions was noted;
 - The ERSWG did not seek to amend its previous advice that the level of interaction between seabirds and SBT fisheries is still a significant level of concern;
 - The ERSWG agreed that high-risk areas analysis should be incorporated into the southern hemisphere risk assessment analysis;
 - ERSWG noted that the Agreement on the Conservation of Albatross and Petrels (ACAP) has confirmed the best practice approach to mitigate seabird bycatch to be the combined use of weighted branch lines, bird scaring lines and night setting. In addition, ACAP has since 2016 also endorsed the inclusion of a hook-shielding device as a standalone measure to replace the three combined recommended measures;
 - The ERSWG will intersessionally develop a draft list of strategic actions under each of the specific objectives of the Multi-year Seabird Strategy; and
 - The ERSWG confirmed its previously agreed advice for all shark species caught in SBT fisheries, that there were currently no specific concerns about shark bycatch that warranted additional mitigation requirements.
30. The ERSWG did not recommend including the amendment to the CC/EC reporting template proposed by the Humane Society International and BirdLife at CC 13 to improve the information provided in relation to bycatch mitigation measures. This was because: the amendment did not include all mitigation measures (in particular hook pods and the use of three measures); one of the two proposed tables could be generated by the Secretariat using data already provided in the ERS Data Exchange Process; and not all Members collected the necessary hook by hook data to populate the other proposed table.
31. The ERSWG report indicated that there was in-principle support for the joint BirdLife/CCSBT Secretariat proposal “to enhance the implementation of ERS

measures through outreach/education and to verify compliance with measures” that was requested by CC 13. However, it was noted that further refinement of the proposal and discussion with Members was required. This proposal will be discussed further at Agenda item 10.

32. The meeting recommended that the following text be added to footnote 10 of Attachment A of the ERSWG’s revision to its Data Exchange requirements: “*The ERSWG recognised that there was no agreement that EM replace the requirement for 10% observer coverage, and that the proposed inclusion of the option to report on EM results was not intended to imply any such agreement but only to clarify the source of any data that were reported*”. The recommended updated ERSWG Data Exchange requirements including this text is provided at **Attachment 4**.

Agenda Item 4. Report from the Technical Compliance Working Group (TCWG)

33. The CC Chair provided a verbal report to the CC on discussions at the first TCWG meeting held on 9 October 2019. The Chair provided details of the Agenda which contained two substantive items, the Catch Documentation Scheme (CDS) including the cost of moving to an eCDS and Other Business - which included two papers prepared by New Zealand.
34. The primary purpose of the TCWG meeting was to consider outstanding issues with the revised CDS. The Chair explained that the unresolved issues relate to validation of forms (two issues, limitation of delegation of validation authority and how to validate landed weights of exports that are landed directly into a foreign territory); Farm Stocking Certificates/Catch Harvest and Export Certificates; and Catch Tagging Certificates and Farm Transfer Certificates. The TCWG Chair reported that the meeting was unable to resolve any of these outstanding issues.
35. The meeting also considered a paper prepared by the Secretariat which sought to clarify three areas in the current CDS Resolution (2014). Some Members highlighted that the suggested changes could result in unintended outcomes. These changes are being discussed further.
36. The meeting then considered the two papers prepared by New Zealand: Initiatives to improve information sharing between Members on suspected IUU fishing activities; and a Proposal to amend the annual report templates for the ESC and the CC/EC. Both these papers were endorsed with minor changes and will be further considered later in the CC meeting.
37. Following the report from the Chair, the meeting discussed how best to progress the CDS. There was general agreement that an impasse had been reached and acknowledgement that no progress had been made on the outstanding issues since the 2016 Compliance Committee Working Group (CCWG) meeting. Korea mentioned that it would submit a specific text to the Committee to address its difficulties with one of the outstanding issues, i.e. how to validate landed weights of exports that are landed directly into a foreign territory, and to make progress in the discussions of revised CDS, as it previously mentioned in the TCWG. There were diverging views among Members on this proposed way forward. There was

however agreement that it would be desirable to implement an eCDS given the efficiencies it could provide, particularly to developing country Members. Two main options were discussed for developing a trial eCDS. These were:

- 1) An eCDS based on the draft revised CDS Resolution, in which case agreement would need to be achieved on the above unresolved issues relating to validation etc. before the eCDS could become operational;
 - 2) An eCDS based on the current 2014 CDS Resolution and on current operating practices;
38. The draft revised Resolution has benefits over the current CDS resolution, including improving the efficiency of the existing CDS, removing deficiencies, and introducing changes to facilitate the smoother implementation of an electronic CDS. It would also be the less costly option for development of an eCDS for (approximately \$120,000 plus GST instead of \$150,000 plus GST). However, there is no guarantee that it would be possible to obtain agreement on the outstanding issues, particularly given the lack of progress to date.
39. Using the current 2014 CDS Resolution for the development of an eCDS would require agreement to continue using current practices for that eCDS. If this agreement can be obtained, it would be possible to develop and implement an eCDS based on this Resolution. However, based on ICCAT's experience, costs will increase substantially if the CCSBT decides to revise the CDS Resolution at a later date.
40. Japan commented that using the current CDS Resolution as the basis for an eCDS could imply endorsement of current CDS practises.
41. Some Members specified that a requirement of an eCDS would be that it can be integrated efficiently with their existing national systems to enable the exchange of data between systems. It was noted that this requirement would have a cost implication.
42. The CC agreed that given the nature and significance of these matters they should be referred to the EC for consideration.

Agenda Item 5. Operation of CCSBT Measures: Issues & Updates

43. The Secretariat presented paper CCSBT-CC/1910/06 (Rev.1), which reported on issues relating to the CDS, transshipment monitoring programme, authorised vessels and farms, and minimum standards for inspections in port.
44. The paper provided information on a number of items including:
- An update on collaborative work between the Secretariat and the USA to assist the USA to locate missing CDS import documentation for the 2017 and 2018 calendar years – approximately 30% of missing forms were located;
 - An annual summary of transshipment data;
 - An update on compliance with CCSBT's IMO number requirement;
 - An update on the status of the joint tuna RFMO Consolidated Lit of Authorised Vessels (CLAV); and

- A summary of information submitted in relation to the Resolution for a CCSBT Scheme for Minimum Standards for Inspection in Port.
45. Australia noted that in relation to the transshipment monitoring program, it had committed to provide a cost update on genetic testing. Work is ongoing on this but CSIRO is close to finalising it, and Australia will provide an update to Members when the information becomes available.
 46. The Secretariat presented paper CCSBT-CC/1910/07 concerning The IMO Ship Identification Number Scheme and Proposed Revisions to CCSBT's Authorised Vessel Resolution.
 47. The Secretariat proposed that CCSBT's Authorised Vessel Resolution be updated to take into account that in December 2017 the IMO extended its Ship Identification Number Scheme to include:
 - Fishing vessels of steel and non-steel hull construction, and
 - All motorised inboard fishing vessels of less than 100 gross tonnage down to a size limit of 12m in length overall, that are authorised to operate outside waters under national jurisdiction of the flag State.
 48. Indonesia stated that since the last meeting it had successfully obtained, or is in the process of obtaining, IMO numbers for all eligible SBT vessels and is now able to accept the proposed revisions. Of its 154 active vessels, 96 have IMO numbers, 19 are being registered, and 39 vessels are not eligible for an IMO number.
 49. The meeting agreed the revised Authorised Vessel Resolution with a minor amendment. The new provisions in paragraph 3 of the Resolution require that the following additional categories of fishing vessels in the CCSBT Authorised Vessels List have IMO numbers issued to them:
 - effective from 1 January 2021, wooden and fiberglass fishing vessels flying their flag that are authorised to catch SBT, that are at least 100 gross tonnage in size, and
 - effective from 1 January 2022, all motorised inboard fishing vessels of less than 100 gross tonnage down to a size limit of 12 metres in length overall (LOA) authorised to operate outside waters under the national jurisdiction of the flag State.
 50. The agreed revised Authorised Vessel Resolution is provided at **Attachment 5**.

Agenda Item 6. Implementation of the CCSBT Compliance Plan

6.1. Catch Documentation Scheme (CDS)

51. The Secretariat noted that its paper CCSBT-TCWG/1910/06 included three proposals (Proposals 1 to 3) to revise the existing CDS Resolution (2014) and that TCWG 1 had not finalised a recommendation regarding these proposals.
52. The Secretariat explained that it had decided to withdraw Proposals 2 and 3, and now sought agreement for Proposal 1 only - an amendment to the definition of "landing of domestic product".

53. The meeting agreed the proposed revised definition of, “landing of domestic product” (footnote 1 of **Attachment 6**), which will become effective from 1 April 2020.

6.2. Vessel Monitoring System (VMS) Resolution

54. The Secretariat presented paper CCSBT-CC/1910/08 which provided an update on information gaps in the CCSBT’s Current VMS arrangements. This paper:
- Summarised the VMS information gaps identified by the Secretariat in 2018 in paper CCSBT-CC/1810/09;
 - Provided an update on the IOTC’s consideration of options to strengthen its VMS; and
 - Considered future work that could potentially be undertaken to enhance the CCSBT’s VMS arrangements.
55. Members noted that the CCSBT has overlapping areas with other RFMOs and that there is a need to have consistency with the VMS measures of those RFMOs. It was also noted that IOTC’s VMS is undergoing significant change and it has formed a working group to consider its future VMS.
56. The meeting agreed that it would be better to wait for the outcomes of IOTC’s work on its VMS before considering changes to CCSBT’s VMS Resolution.
57. Birdlife pointed out that VMS data has the potential to be a useful information source for monitoring night setting, but requires an increase in the polling frequency to hourly intervals.

6.3. IUU Vessel List Resolution: Cross-Listing Provision

58. The Secretariat presented paper CCSBT-CC/1910/09 which proposes revisions to the CCSBT’s IUU Vessel List Resolution to facilitate routine cross-listing of vessels that have been IUU-listed by the four other tuna Regional Fisheries Management Organisations (IATTC⁵, ICCAT, IOTC and WCPFC) and CCAMLR⁶.
59. The Secretariat proposed that CCSBT should only consider cross-listing based on the following principles:
- The cross-listing process should run intersessionally outside of the already established annual Draft and Provisional Listing process;
 - CCSBT should only consider cross-listing vessels where the specified organisation is the original listing organisation;
 - CCSBT should cross-list vessels without itself considering the associated evidence and should instead rely on the integrity of the processes of the original listing organisation. However, Members would be given a 30-day objection period for the inclusion of any cross-listed vessels;

⁵ The Inter-American Tropical Tuna Commission.

⁶ Commission for the Conservation of Antarctic Marine Living Resources.

- CCSBT should only make cross-listing additions to its IUU Vessel List at two set times per year (February and August); and
 - Cross-listed vessels should be deleted from CCSBT's IUU Vessel List as soon as they are removed from the original listing organisation's IUU Vessel List.
60. Members generally supported the proposal but made a number of amendment requests including:
- That SEAFO⁷, SIOFA⁸ and SPRFMO⁹ be added to the list of organisations that CCSBT should cross-list with;
 - That automatic IUU listing should occur immediately after a 30-day objection period (if no objections are received) and that the Secretariat should circulate the relevant information about any updates to CCSBT's IUU Vessel List as soon as updates occur;
 - That more details should be specified in the proposal about the, "relevant information" that will be circulated;
 - That the proposed text concerning, "an appropriate notification", in paragraph 31 be adjusted to match the text in IOTC's Resolution 18/03 (paragraph 37); and
 - That an amendment is made to proposed paragraph 31 to reflect some legal concerns expressed by Australia.
61. After making a number of revisions to address Members' concerns, the meeting agreed the revised CCSBT IUU Vessel List Resolution which is provided at **Attachment 7**.

6.4. Potential Formalised Compliance Assessment Process

62. Australia presented paper CCSBT-CC/1910/16 on consideration on a compliance assessment process for the CCSBT. The paper compared the current CCSBT compliance process with more formalised assessment processes used in other RFMOs, such as SIOFA, WCPFC and IOTC and posed a number of questions for Members about how aspects of these process could be adopted by the CCSBT. The paper noted that more formalised schemes offered improvements in Member compliance and accountability. However, it also noted possible weaknesses in other assessment processes, such as potentially complex and burdensome reporting requirements, a lack of independent verification of reported outcomes and a lack of prioritisation of critical compliance issues. The paper explored possible future roles for the Secretariat in reporting and the need to clearly document how improvements or follow up actions would be monitored. The paper also explored how the QAR process might be used as a specific compliance assessment tool, with an emphasis on compliance with specific CCSBT obligations, rather than as a broader tool looking at national compliance.
63. The meeting thanked Australia for its effort to develop this paper.

⁷ South East Atlantic Fisheries Organisation.

⁸ Southern Indian Ocean Fisheries Agreement.

⁹ South Pacific Regional Fisheries Management Organisation.

64. There was a general view that CCSBT had good compliance assessment procedures, but that these were not formally specified procedures and that there is an opportunity for improving the existing procedures. It was noted that necessity of a new mechanism needs careful consideration in terms of cost and benefit as well as duplication of work. It was also noted that the CC does not have a structured way of allowing Members to easily work through issues identified in reports from the Secretariat and Members when it starts assessing compliance of Members.
65. The meeting agreed that Australia will lead an intersessional correspondence group that will work towards developing a compliance assessment process for the CCSBT and report the outcome to CC 15. Nominations for participants of the group will be sought from Members intersessionally.

6.5. *Standing Agenda Items*

66. The Chair advised that this agenda item is to discuss following standing agenda items when new information becomes available:
- Significant changes in emerging markets/ market activity;
 - Updates on SBT IUU activity;
(this year including any ad hoc analyses requested of Trygg Mat Tracking);
 - Non-Member port and market States whose cooperation should be sought;
 - Updates on developments and use of Electronic Monitoring Systems (EMS) in SBT fisheries;
 - SBT identification technologies; and
 - Ongoing identification and sharing of best practices for MCS systems.
67. The Secretariat presented paper CCSBT-CC/1910/10 on potential Non-Member Fishing Activity and trade/ emerging Markets. In this paper, the Secretariat advised that:
- China's investigation of the *Ping Tai Rong* fleet's activities in 2018 found no bluefin tuna during the investigation and no evidence that *Ping Tai Rong Leng* 2 conducted illegal transshipment at sea of Southern Bluefin Tuna;
 - During 2019 the Secretariat entered into an arrangement with Trygg Mat Tracking (TMT) which included setting aside a small operating fund. This arrangement is to facilitate TMT conducting ad-hoc analyses of Automatic Identification System (AIS) data and vessel company relationships upon request at short notice should the Secretariat receive any information of suspicious fishing activity occurring in SBT fishing grounds. To date the Secretariat has not received any relevant reports and therefore no ad-hoc analyses were conducted, and the operating fund has not yet been utilised; and
 - The Secretariat communicated with several Non-Cooperating Non-Members (NCNMs) during 2019 concerning trade and CDS queries, including Canada, Lebanon, Jordan, Mauritius and Namibia.
68. The meeting agreed to recommend to the EC that the following countries be invited to next year's CC meeting: the United States, Singapore, China, Mauritius, and Namibia. The meeting also recommended that the EC determine whether it can provide intersessional decisions on the invitation of Non-member

states to attend meetings. This could be particularly useful in cases where such states are identified as catching SBT during the year.

69. As requested by the EC in 2018, the Secretariat advised it had investigated sources of trade data other than the Global Trade Atlas (GTA), and concluded that the United Nations (UN) COMTRADE database is an alternative and cost-effective¹⁰ option from which to source data for preparing trade summaries from 2019 onwards. It was further noted that COMTRADE sources the EU's trade data from EuroStat.
70. The Secretariat presented a brief summary of SBT trade information from the UN COMTRADE database for 2016 to 2018 noting that:
 - Indonesian and South African export figures are under-represented on the COMTRADE database in comparison to CDS export figures for these two Members;
 - The USA is recorded as exporting large amounts of fresh/chilled SBT which seems unlikely and is probably due to miscoding issues;
 - The EU is recorded as having traded significant quantities of SBT which appears to indicate that species miscoding is continuing to be an issue for EU Member States; and
 - There were some medium to large SBT trade figures unexpectedly recorded for Algeria, Iran, Oman, Sri Lanka, Cote d'Ivoire, Ghana, Malaysia, Thailand and the United Arab Emirates.
71. One Member queried why Australia's 2018 SBT export figure recorded on COMTRADE (14,138.9t) is much higher than exports recorded in the CDS for 2018 (9,371.8t). Australia responded that this discrepancy was likely due to miscoding and that it would investigate and report back.
72. It was requested that other Members with anomalies and/or discrepancies mentioned in section 4.4 of the paper should also report back on these and that this be noted as an action item in the report. Other Members mentioned in the paper include:
 - Indonesia and South Africa in relation to their export figures being much lower on the COMTRADE database than indicated by the CDS; and
 - The EU in relation to the SBT trade reported by some EU Members.

Agenda Item 7. AIS data study to assess risks of IUU fishing for SBT

73. The Chair advised that Trygg Mat Tracking (TMT) received funding from the Common Oceans ABNJ Tuna Project to undertake AIS data analyses in conjunction with other relevant information to help identify the risk of potential IUU fishing activity involving SBT.
74. Trygg Mat Tracking presented paper CCSBT-CC/1910/14 – a pilot southern bluefin tuna IUU risk assessment. The study used 2017 AIS data, overlaid with vessel identity and ownership information, CCSBT and other RFMO catch data

¹⁰ No subscription/payments are required to access UN COMTRADE data.

in order to try and identify vessel operations that could be considered high risk for SBT IUU. Trends were identified in vessel nationality, ownership and port usage amongst tuna longliners that were active in the main SBT fishing grounds without authorisation to CCSBT but with authorisation to other relevant RFMOs, except for one vessel. Trends identified largely mirrored those in the wider tuna longline fishery and this, combined with the significant overlap between fishing grounds for SBT and other tuna species, means that care must be taken in extrapolating SBT IUU risk from the findings of this analysis. However, the findings do provide useful insights into the geographic areas, ports and fleets that could be the focus of further investigation, using vessel level catch data, vessel inspection and other information sources to better understand the likely distribution of SBT IUU risk.

75. The meeting noted that the paper contained useful information and there were several important findings in the conclusions. The limitations of AIS data were noted and that VMS data are preferable, but AIS data may be useful when VMS data are not available.
76. Members agreed that it would be useful to have a review mechanism for papers from external parties, so that Members can make comments prior to them being submitted.
77. Pew presented papers CCSBT-CC/1910/Info01 and CCSBT-CC/1910/Info02 which reported on a comparative analysis of carrier vessel activity and transshipment using AIS data and publicly available information occurring within the CCSBT Statistical Areas during calendar year 2017.
78. The report was developed in an effort to assist Members with a deeper understanding of how CCSBT's transshipment program is implemented at sea, and as well as potential behavior that the EC may wish to further explore. While observer reports from both ICCAT and IOTC indicated 90 transshipments involving SBT occurred between carrier vessels and LSTLVs in 2017, the analysis from Global Fishing Watch and Pew concluded that approximately 200 additional at sea encounters occurred which may include unreported transshipments of SBT. The report also found that there were at least 59 non-CCSBT authorised carrier vessels (but were authorised to other relevant RFMOs) active within CCSBT Statistical Areas in 2017. The report also found that the lack of publicly available information regarding transshipments of SBT somewhat limits the overall usefulness of authorised vessel lists.
79. Pew recommended that, recognising the high value of SBT and the increasing trend of high seas transshipments of this recovering stock, the CC should recommend an update to the current Resolution to increase monitoring and allow authorities to better track and audit data on transhipped catch, thus reducing potential opportunities for IUU activity.
80. The meeting noted that the information in the paper was useful, but thought it was necessary to separate the vessels that were authorised by an RFMO and followed the appropriate regulations and focus on the vessels that were not registered to relevant RFMOs, had no VMS or AIS, or no transshipment observer onboard. It was also noted that there were legitimate reasons for fishing vessels to interact with carrier vessels that did not involve transshipment, such as for the transfer of bait or supplies.

81. Some Members pointed out that including all vessels in such an analysis was useful as a monitoring tool to ensure that the current framework was sufficient for authorised vessels. Some Members considered that the paper's recommendations relating to regulators should be considered and may help to improve the processes of relevant Members.
82. The meeting noted that it would be important to consider the cost benefits, harmonise with other RFMOs, and not increase the burden on RFMO authorised vessels in conducting this type of analysis using AIS data.

Agenda Item 8. CCSBT Plans, Policies & Arrangements: Review, Revision & Progress Reports

8.1. Compliance Action Plan (CAP): Review of Risks and Preliminary Consideration of a CAP for 2021 Onwards

83. The Secretariat presented paper CCSBT-CC/1910/11 concerning a review of compliance risks and preliminary consideration of a Compliance Action Plan (CAP) from 2021 onwards. The paper includes a proposal to transition from a three-year CAP to a five-year CAP from 2021.
84. With respect to the current list of ten compliance risks:
 - No new risks nor amendments to existing risks were proposed by the meeting; and
 - One Member expressed concern about the limited follow-up actions taken by the CCSBT and its Members to mitigate or better quantify the identified risks (as summarised in Table 1 of the paper).
85. Concerning the proposal to transition from a three-year to a five-year CAP:
 - The importance of the Compliance Action Plan was highlighted; and
 - The meeting recommended that the CAP becomes a five-year plan from 2021 onwards with the caveat that it is reviewed rigorously on an annual basis as part of a standing agenda item and is as such considered to be 'a living document';
 - The meeting agreed the associated revisions to the Compliance Action Plan in **Attachment 8**.
86. Members and observers discussed and proposed a number of areas that could be included as project action item areas within the next CAP. These included:
 - IUU detection using AIS and other data focusing on vessels that are not authorised to relevant RFMOs, not transmitting on VMS, not complying with transshipment requirements and/or not subject to any known management and reporting processes;
 - Follow-up items to farm and market recommendations;
 - Tuna identification technologies;
 - Improved estimation of catches by Non-Members and ways to minimise Non-Member catch; and

- Enhancing education on and implementation of Ecologically Related Species seabird measures.
87. The meeting agreed that the Secretariat will lead an intersessional email group that will work towards developing a draft Compliance Action Plan for consideration by CC 15. Nominations for participants will be sought from Members intersessionally.

8.2. Quality Assurance Reviews (QARs)

88. The Chair advised that the EU is the only Member for which a QAR has not yet been undertaken, and that the EU has advised (CCSBT Circular #2019/006) that for various reasons it should not undertake a QAR. The Chair also advised that the CC should consider this as well as the future need for and direction of QARs, including the possibility of conducting targeted QARs, e.g. of specific CCSBT Members, systems or measures.
89. The meeting noted that a full QAR of the EU would likely be more expensive than for other Members and was not justified, but considered conducting a QAR in a different form, such as a desktop review.
90. Members discussed options for the second round of QARs and whether they should be focussed on one particular element or the needs of each Member. It was noted that a performance review of the CCSBT is scheduled for 2021 and it may be better to wait until that is completed before commencing the next round of QARs.
91. The meeting agreed to carry on discussions on the QARs intersessionally as part of the email working group on a compliance assessment process for the CCSBT.

8.3. Template for Annual Report to the CC and EC

92. New Zealand presented a modified annual reporting template for the ESC to TCWG 1. The CC agreed to refer the template to the ESC for its consideration. The recommended template for consideration by the EC is provided at **Attachment 9**.
93. At the request of the TCWG, New Zealand made minor revisions to the modified annual reporting template for the CC/EC that it presented to TCWG 1. The revised template was agreed by the CC and is provided at **Attachment 10**.

8.4. Update on CCSBT's Compliance Relationships with other Organisations

94. The Secretariat presented paper CCSBT-CC/1910/12 which provides an update on CCSBT's compliance relationships with other bodies and organisations, specifically the International Monitoring, Control and Surveillance Network (IMCSN), the Tuna Compliance Network (TCN), ICCAT, IOTC, WCPFC, the Forum Fisheries Agency (FFA) and the Pacific Community (SPC), as well as the UK Government's Marine Management Organisation (MMO), PEW Charitable Trusts and Global Fishing Watch.

95. The meeting agreed to recommend to the EC that the Letter of Understanding (LoU) between the CCSBT and IOTC for Monitoring Transshipment at Sea by Large-Scale Tuna Longline Fishing Vessels be endorsed and signed by the CCSBT chair. The LoU is in **Attachment 11**.

Agenda Item 9. On-line Data Submission/ Data Access Project

96. The Secretariat presented paper CCSBT-CC/1910/13, which provided a progress report on the development of on-line data submission/data access facilities for the CCSBT. The work is progressing according to plan and it is expected that the components for monthly catch reports and authorised validators will be deployed and made accessible to Members for testing before the end of 2019. The work for 2020 will focus on authorised vessels, an automatic reminder system and a move to cloud hosting.
97. The paper was noted by the meeting.

Agenda Item 10. Proposal to enhance the implementation of seabird measures

98. BirdLife presented an update to paper CCSBT-CC/1910/14 on a project proposal for enhancing education on and implementation of Ecologically Related Species seabird measures within CCSBT fisheries. The proposal has been further developed, in consultation with Members, since an outline of the proposal was presented to the May 2019 meeting of the ERSWG. The project involves education and outreach to industry, capacity building to enhance monitoring, innovation of automated systems to allow managers to automatically monitor vessel-level implementation of bycatch mitigation measures, and an update of the global seabird bycatch estimate.
99. The meeting endorsed the project proposal for enhancing education on and implementation of ERS seabird measures and recommended that the EC agree to the proposal. The proposal is provided at **Attachment 12**.
100. It was agreed that the intersessional seabird correspondence group would continue during 2020 to further develop the proposal into specific funding proposals.

Agenda Item 11. Work Program for 2020

101. The CC developed the following workplan for 2020. Annual tasks of an ongoing nature are not shown unless they are new for 2020.

Activity	Approximate Period	Resource
Implement the 2020 action items of the Compliance Action Plan.	Before CC15	Members / Secretariat
Follow up with observer via IOTC, regarding the circumstances which led to suspected SBT on Chinese vessel.	March 2020	Secretariat

Activity	Approximate Period	Resource
Continue work with the WCPFC to operationalise the transshipment MoC with the WCPFC.	As soon as practical	Secretariat
Check ICCAT data for catches of SBT and include information in report to CC15.	Before CC15	Secretariat
Investigate the data discrepancies reported on page 4 of CC/1910/10.	Before CC15	Australia, Indonesia, South Africa, EU
Provide support to South Africa as required to help resolve CDS issues.	As required	Australia and New Zealand
Share information on developments relating to the genetic identification of SBT when it is available.	As soon as practical	South Africa, Australia
Ensure all Annual Reports are submitted on time.	4 weeks before CC15	Members
Intersessional correspondence group to be convened by Australia to consider the further development of appropriate compliance assessment tools and processes, including the use of QARs.	Before CC15	Australia/other Members/Secretariat
Trygg Matt Tracking to provide Rev 1 paper to the Secretariat no later than 25 October 2019.	25 October 2019	Trygg Matt Tracking
Establish and convene an intersessional correspondence group to develop the new CAP and work on suggested actions and timing, including consideration of progress with regard to mitigation and better quantification of current compliance risks.	Before CC15	Secretariat, Members
In the next annual report to the CC, transshipping Members to report on any irregularities reported by transshipment observers and on action taken to address such irregularities.	Before CC15	Japan, Korea, Taiwan
Undertake on-line data submission and access work scheduled for 2020.	Before CC15	Secretariat
Continue the intersessional seabird correspondence group to support development of project proposals for funding.	Before CC 15	Members, Secretariat, BirdLife
Subject to a decision from the EC to progress an eCDS, including funding, the Secretariat to commence eCDS development.	Before CC 15	Secretariat, Consultant
Include "Review of progress with Workplan items" in the Draft Provision Agenda for CC 15.	100 days before CC 15	Secretariat, CC Chair

Agenda Item 12. Other business

102. The meeting agreed to a revision of the CCSBT's Compliance Policy Guideline 4 (MCS Information collection and sharing) to provide a process and format for sharing of information in cases where a Member has reasonable grounds to suspect a vessel is conducting IUU fishing or fishing activity relating to SBT. The revised policy is provided at **Attachment 13**.
103. The meeting noted that the Policy contains a clause for review of the Policy. In accordance with that clause, the CC considers it important to review the operation of the new process for sharing of information once events that trigger the sharing of information have occurred. This is important to ensure that the process works efficiently and that we learn from our experience.

Agenda Item 13. Recommendations to the Extended Commission

104. The CC made the following recommendations to the EC:
- (a) The proposed 2020 Workplan for the CC be approved.
 - (b) That the EC considers the lack of progress on the revised CDS resolution and decides if it wishes to move to an eCDS.
 - (c) That the EC agree to the Compliance Action Plan becoming a five-year plan (with annual review) rather than the current three-year plan and a new Compliance Action Plan for 2021-2025 being developed.
 - (d) That the EC agree to the minor changes to the Compliance Plan to reflect the change in plan length from three to five years.
 - (e) That the revised:
 - i. IUU Vessel List Resolution including a new cross-listing provision be adopted;
 - ii. Compliance Policy Guideline for MCS information collection and sharing be adopted;
 - iii. Definition for landing of domestic product in the CDS Resolution be adopted;
 - iv. Authorised Vessel Resolution be adopted; and
 - v. Annual Report templates to the CC/EC and ESC be adopted.
 - (f) That the EC endorse the Letter of Understanding with the IOTC and this be signed by the Chair.
 - (g) That the USA, Singapore, China, Mauritius and Namibia be invited to attend future Compliance Committee meetings, and that the EC consider amending the Rules of Procedure to permit intersessional decisions to be made regarding invitations.
 - (h) That the EC agree to the project proposal for enhancing education, on and implementation of, ERS seabird measures.

Items to Note

The CC suggests that the EC notes the following:

- (i) That no issues of non-compliance by Members were identified that required the application of the Corrective Actions Policy.
- (j) The CC continues to support the \$20,000 contingency fund to access Trygg Mat Tracking services if and when needed.
- (k) That the CC deferred consideration of enhancements to CCSBT's VMS Resolution pending work being undertaken on strengthening IOTC's VMS Resolution.
- (l) The papers submitted to the CC by Trygg Mat Tracking and the Pew Charitable Trusts/Global Fishing Watch.
- (m) The CC agreed that it would be useful to have a review mechanism for papers from external parties, so that Members can make comments prior to them being submitted.
- (n) That the online data submission/data access project is on time and on budget.
- (o) That three electronic intersessional groups have been established to progress further consideration of:
 - i. compliance assessment tools and processes;
 - ii. the development of the new Compliance Action Plan including consideration of progress with regard to mitigation and better quantification of current compliance risks; and
 - iii. enhance education on and implementation of ERS seabird measures within CCSBT fisheries.

Agenda Item 14. Conclusion

14.1. Adoption of meeting report

105. The report was adopted.

14.2. Close of meeting

106. The meeting closed at 12:30 pm on 12 October 2019.

List of Attachments

Attachment

1. List of Participants
2. Agenda
3. List of Documents
4. ERSWG Data Exchange
5. Resolution on a CCSBT Record of Vessels Authorised to Fish for Southern Bluefin Tuna
6. Amended first page of the Resolution on the Implementation of a CCSBT Catch Documentation Scheme
7. Resolution on Establishing a List of Vessels Presumed to have Carried Out Illegal, Unreported and Unregulated Fishing Activities for Southern Bluefin Tuna (SBT)
8. CCSBT Compliance Plan
9. Annual Review of National SBT Fisheries for the Extended Scientific Committee
10. Template for the Annual Report to the Compliance Committee and the Extended Commission
11. Letter of Understanding between the CCSBT and IOTC for Monitoring Transshipment at Sea by Large-Scale Tuna Longline Fishing Vessels
12. Project proposal for enhancing education on and implementation of Ecologically Related Species seabird measures within CCSBT fisheries
13. MCS information collection and sharing Compliance Policy Guideline 4

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The Fourteenth Meeting of the Compliance Committee

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Agenda
Fourteenth Meeting of the Compliance Committee
10 – 12 October 2019
Capetown, South Africa

- 1. Opening of Meeting**
 - 1.1 Welcome
 - 1.2 Adoption of Agenda
 - 1.3 Meeting Arrangements
- 2. Overview of Compliance with CCSBT Conservation and Management Measures**
 - 2.1 Report from the Secretariat
 - 2.2 Annual Reports from Members
 - 2.3 Assessment of compliance with CCSBT Management Measures
 - 2.3.1 Compliance of Members
 - 2.3.2 Application of the Corrective Actions Policy
- 3. Report from the Ecologically Related Species Working Group (ERSWG)**
- 4. Report from the Technical Compliance Working Group (TCWG)**
- 5. Operation of CCSBT Measures: Issues & Updates**
- 6. Implementation of the CCSBT Compliance Plan**
 - 6.1 Catch Documentation Scheme (CDS)
 - 6.2 Vessel Monitoring System (VMS) Resolution
 - 6.3 IUU Vessel List Resolution: Cross-Listing Provision
 - 6.4 Potential Formalised Compliance Assessment Process
 - 6.5 Standing Agenda Items
- 7. AIS data study to assess risks of IUU fishing for SBT**
- 8. CCSBT Plans, Policies & Arrangements: Review, Revision & Progress Reports**
 - 8.1 Compliance Action Plan (CAP): Review of Risks and Preliminary Consideration of a CAP for 2021 Onwards
 - 8.2 Quality Assurance Reviews (QARs)
 - 8.3 Template for Annual Report to the CC and EC
 - 8.4 Update on CCSBT's Compliance Relationships with other Organisations
- 9. On-line Data Submission/ Data Access Project**
- 10. Proposal to enhance the implementation of seabird measures**
- 11. Work Program for 2020**
- 12. Other business**

13. Recommendations to the Extended Commission

14. Conclusion

- 14.1. Adoption of Meeting Report
- 14.2. Close of Meeting.

List of Documents
Fourteenth Meeting of the Compliance Committee

(CCSBT-CC/1910/)

1. Provisional Agenda
2. List of Participants
3. List of Documents
4. (Secretariat) Compliance with CCSBT Management Measures (Rev.1)
(CC agenda item 2.1)
5. (Secretariat) Annual Report on Members' implementation of ERS measures and performance with respect to ERS (Rev.2) (CC agenda item 2.1)
6. (Secretariat) Operation of CCSBT Measures (Rev.1) (CC agenda item 5)
7. (Secretariat) The IMO Ship Identification Number Scheme and Proposed Revisions to CCSBT's Authorised Vessel Resolution (CC agenda item 5)
8. (Secretariat) Information Gaps in the CCSBT's Current VMS Arrangements - Update (CC agenda item 6.2)
9. (Secretariat) Review of the Cross-Listing Provision in CCSBT's IUU Vessel List Resolution (CC agenda item 6.3)
10. (Secretariat) Potential Non-Member Fishing Activity & Trade/ Emerging Markets (CC agenda item 6.5)
11. (Secretariat) A Review of Compliance Risks and Preliminary Consideration of a Compliance Action Plan from 2021 Onwards (CC agenda item 8.1)
12. (Secretariat) Update on CCSBT's Compliance Relationships with Other Bodies and Organisations (CC agenda item 8.4)
13. (Secretariat) Progress Update on the CCSBT's On-line Data Submission/Data Access Facilities for Members (CC agenda item 9)
14. (Trygg Mat Tracking) Southern Bluefin Tuna IUU Risk Assessment (Rev.1)
(CC agenda item 7)
15. (BirdLife International) Project proposal for enhancing education on and implementation of Ecologically Related Species seabird measures within CCSBT fisheries (CC agenda item 10)
16. (Australia) Considerations on a Compliance Assessment Process for the Commission (CC agenda item 6.4)

17. (Taiwan) In Respond to CCSBT-CC/1910/14(a) & 14(b) Submitted by TMT on Southern Bluefin Tuna IUU Risk Assessment: A Pilot Study Conducted for CCSBT (CC agenda item 7)
18. (Taiwan) In Respond to CCSBT-CC/1910/Info01 Submitted by PEW on Analysis of AIS Indicates Possible At-Sea Transfers of Southern Bluefin Tuna went Unreported in 2017 (CC agenda item 7)

(CCSBT- CC/1910/BGD)

1. (Secretariat) Information Gaps in the CCSBT's Current VMS Arrangements (*Previously* CCSBT-CC/1810/09) (CC Agenda item 6.2)

(CCSBT-CC/1910/SBT Fisheries -)

Australia	Annual Report to the Compliance Committee and the Extended Commission
European Union	Annual Report to the Compliance Committee and the Extended Commission
Indonesia	Annual Report to the Compliance Committee and the Extended Commission
Japan	Annual Report to the Compliance Committee and the Extended Commission (Rev.1)
Korea	Annual Report to the Compliance Committee and the Extended Commission (Rev.1)
New Zealand	Annual Report to the Compliance Committee and the Extended Commission (Rev.1)
South Africa	Annual Report to the Compliance Committee and the Extended Commission (Rev.1)
Taiwan	Annual Report to the Compliance Committee and the Extended Commission (Rev.2)

(CCSBT- CC/1910/Info)

1. (Pew Charitable Trusts) Analysis of AIS Indicates Possible At-Sea Transfers of Southern Bluefin Tuna went Unreported in 2017 (CC Agenda item 5 and 7)
2. (Pew Charitable Trusts) A Comparative Analysis of Reported Carrier Vessel Activity and Transshipments in the Commission for the Conservation of Southern Bluefin Tuna (CCSBT) Statistical Areas in 2017 using AIS Data (CC Agenda item 5 and 7)

(CCSBT-CC/1910/Rep)

1. Report of the Twenty-Fourth Meeting of the Scientific Committee (September 2019)
 2. Report of The Thirteenth Meeting of the Ecologically Related Species Working Group (May 2019)
 3. Report of the Twenty-Fifth Annual Meeting of the Commission (October 2018)
 4. Report of the Thirteenth Meeting of the Compliance Committee (October 2018)
 5. Report of the Twenty-Third Meeting of the Scientific Committee (September 2018)
 6. Report of the Fifth Meeting of the Strategy and Fisheries Management Working Group (March 2018)
 7. Report of the Twenty-Fourth Annual Meeting of the Commission (October 2017)
 8. Report of the Twelfth Meeting of the Compliance Committee (October 2017)
 9. Report of the Eleventh Meeting of the Compliance Committee (October 2016)
 10. Report of the Fourth Meeting of the Compliance Committee Working Group (April 2016)
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(Documents to be discussed from the Technical Compliance Working Group)¹

(CCSBT-TCWG/1910/)

4. (Secretariat) Proposed Revised CCSBT Catch Documentation Scheme (CDS) Resolution
(CC agenda item 6.1)
5. (Secretariat) Indicative Costs for an eCDS using the TUFMAN 2 Platform
(CC agenda item 6.1)
6. (Secretariat) Proposed Revision of the CCSBT Catch Documentation Scheme Resolution (2014)
(CC agenda item 6.1)
8. (New Zealand) Proposed changes to the template for the annual review report to the Compliance Committee and the Extended Commission
(CC agenda item 8.3)

¹ Documents from the TCWG meeting which Members might wish to discuss at the Compliance Committee (CC) meeting. These documents will not be renumbered.

(Documents to be discussed that have been submitted to CCSBT 26)²

(CCSBT-EC/1910/)

8. Report from the Thirteenth Meeting of the Ecologically Related Species Working Group (CC agenda item 3)

² Documents submitted to the Extended Commission meeting that Members might wish to discuss at the Compliance Committee (CC) meeting. These documents will not be renumbered.

ERSWG Data Exchange

(Adopted at the Nineteenth Annual Meeting of the Commission, 1-4 October 2012, revised at the Eleventh Meeting of the ERSWG, 3-6 March 2015, updated as agreed at the Twelfth Meeting of the ERSWG, 21-24 March 2017, revised to match the revised data confidentiality risk classifications agreed at CCSBT 24, revised at the Thirteenth Meeting of the ERSWG, 28-31 May 2019, and further revised at CCSBT 26)

Introduction

The ERSWG Data Exchange is divided into three sections:

1. Data to be provided;
2. Frequency & timeframe for data provision; and
3. Confidentiality.

The Data Exchange described here is intended for the sharing of information for “general” ERSWG purposes. It is expected that the ERSWG will conduct assessments from time to time that will require more detailed information and CCSBT Members have expressed their willingness, in principle, to share more detailed information on a case by case basis with those who have been tasked with leading such assessments.

1. Data to be provided

ERSWG 9 made three important recommendations to the Extended Commission that form the basis of this data exchange proposal. These are that:

- For the purpose of the ERS Data Exchange, the SBT fishery is defined as all fishing effort by authorised vessels¹ for shots/sets where SBT was either targeted or caught². Data for the full SBT fishery as defined here is to be provided as part of this data exchange. Data should not be provided for fishing that does not match this definition.
- Data are to be provided by year, quarter, and 5x5 degree square..
- The specific data items to be provided are:
 - Country/Fishing Entity (*suggest using 2 digit country code, e.g. “JP”*)
 - Calendar year
 - Quarter
 - Species (*or group*³)
 - Fishery (*defined by a combination of gear and fleet – see Attachment A*)
 - Human observer / Electronic monitoring
 - Stratum (*5x5 degree squares*⁴)
 - Total effort⁵
 - Total observed effort⁵
 - Fate of observed captures (*number*), separated into 3 categories:
 - Retained (dead)
 - Discarded (dead)
 - Released (live)
 - Other⁶
 - Proportion of observed effort with specific mitigation measures

For the actual exchange of data, the above data items will be provided in two separate tables as outlined in **Attachment A**. This style of data provision would prevent double counting and possible confusion in relation to the effort information.

¹ Authorised vessels are vessels on the CCSBT authorised list of vessels during the relevant calendar year.

² For clarification, it is intended that the only information that would be included in the exchange is information from those shots that targeted **or** caught SBT. Hence, if a bycatch vessel only caught 1 SBT for the year, it would only be data from that one SBT shot that would be included in the exchanged information.

³ Information should be provided by species (including the scientific name) wherever practical. For species where species specific reporting is not practical (e.g. due to insufficient data, or the high level of work involved), then the level of taxonomic reporting should be at least to the level specified in Table 3. The ideal way to provide species information would be to use the 3 alpha FAO Species Code. If this is not possible, provide a code for the species and provide a separate lookup table that gives the species code, scientific and common names, family name etc.

⁴ Provide top left coordinates of 5x5 degree square. Use integer format with a minus sign for south latitudes and west longitudes, e.g. -120, -35.

⁵ For longline provide number of hooks, for purse seine provide number of sets.

⁶ All other captures not included in the columns for Retained (dead), Discarded (dead), and Released (live), e.g. released with undetermined life status.

To be consistent with standard practise of the Extended Scientific Committee (ESC):

- Data will be provided for the most recently completed calendar year (e.g. the 2018 data exchange would provide data for the 2017 calendar year); and
- The data exchange will include any updates for the previous calendar year (i.e. the 2018 data exchange would also include revised data for 2016).

For the very first exchange of data:

- Data for 2010 and 2011 will be provided by 30 April 2013 for all species⁷; and
- Data for 2012 will be provided by 31 July 2013.

For an initial period after the first data exchange (possibly 3 years, but still to be determined), Members will work towards improving the quality of their data and they will be able to revise any submitted data with improved information during this period. After this initial period of data improvement, changes to past data should be accompanied by an explanation of the changes.

2. Frequency & timeframe for data provision

Consistent with standard practise of the Extended Scientific Committee (ESC), it is proposed that:

- The ERS data exchange occurs on an annual basis, regardless of whether there is an ERSWG meeting in that year⁸.
- The required ERS data is submitted to the Secretariat by 31 July.

3. Confidentiality

The data will be treated in accordance with the “[Rules and Procedures for the Protection, Access to, and Dissemination of Data Compiled by the CCSBT](#)” and will be rated as “low risk”. This means that the data will not be publicly available but are available to Members and CNMs without specific approval and may be placed on the CCSBT Data CD and on the private area of the CCSBT web site. Under certain defined conditions these data may also be shared with other RFMOs

It is envisaged that the Secretariat would load exchanged ERS data to a special section of the private area of the web site titled “ERSWG Data Exchange” that Members and CNMs can access.

⁷ It may be useful to have a longer time-series of data, but there will almost certainly be problems in the first data submission so it makes sense to keep the initial time-series short while these problems are “ironed-out”. Discussion on whether or not a longer time-series is necessary could take place at an ERSWG meeting after the initial data submission.

⁸ For data required as part of the CCSBT Management Procedure, the ESC decided that these data should be provided every year despite these data only being required every third year. This was to ensure that the skills and knowledge required to provide the necessary data were retained and so that there would be very few problems in provision of that data when required. This has proved to be a successful strategy for the ESC that makes equally good sense for an ERS Data Exchange.

Proposed Format for Providing Data for the ERSWG Data Exchange

The information should be provided in electronic form in two separate tables (e.g. 2 MS-Excel spreadsheets) as described below. The common columns in the two tables are highlighted in yellow.

Table 1: Total fishing and observed effort per country, year, fishery and strata.

Country / Fishing Entity ⁹	Calendar Year	Quarter	Fishery		Human Observer / EM ¹⁰	Area ¹¹		Total & Observed Effort		Proportion of observed effort with specific mitigation measures								
			Gear Code ¹²	Fleet Code ¹³		Longitude	Latitude	Total Effort ⁵	Total Observed Effort ⁵	TP + NS ¹⁴	TP + WB ¹⁴	NS + WB ¹⁴	TP + WB + NS ¹⁴	TP ¹⁴	NS ¹⁴	WB ¹⁴	NIL ¹⁴	Others (add additional columns if required)

Table 2: Observed and estimated captures/mortalities for each species, by country, year, fishery and strata.

Country / Fishing Entity ⁹	Calendar Year	Quarter	Fishery		Human Observer / EM ¹⁰	Area ¹¹		Species Code (or group code) ³	Species Scientific Name or Species Group Name	Observed Captures			
			Gear Code ¹²	Fleet Code ¹³		Longitude	Latitude			Fate (numbers)			
										Retained (dead)	Discarded (dead)	Released (live)	Other ¹⁵

⁹ Use the two digit country code (e.g. AU, EU, ID, JP, KR, NZ, TW and ZA).

¹⁰ Use codes OBS = human observer, EM = Electronic monitoring. The ERSWG recognised that there was no agreement that EM replace the requirement for 10% observer coverage, and that the proposed inclusion of the option to report on EM results was not intended to imply any such agreement but only to clarify the source of any data that were reported

¹¹ Provide top left coordinates of 5x5 degree square. Use and integer format with a minus sign for south latitudes and west longitudes, e.g. -120, -35.

¹² Use the gear codes described in the CCSBT CDS Resolution (e.g. “LL” for longline, “PS” for purse seine, “TROL” for troll, etc.).

¹³ In most cases, this is just the two digit country code, followed by “D” for domestic for the domestic fleet (e.g. AUD, IDD, JPD, KRD, NZD, TWD, ZAD and PHD). In some cases, the final letter is different, such as for the New Zealand Charter Fleet, which has the code “NZC”. Contact the Secretariat if in doubt.

¹⁴ TP = tori poles, NS = night setting, WB = weighted branchline, NIL = no mitigation measures used.

¹⁵ All other captures not included in the columns for Retained (dead), Discarded (dead), and Released (live), e.g. released with undetermined life status.

Table 3: Minimum taxonomic level at which information should be reported in Table 2 (providing that such taxonomic detail is available)¹⁶. Information should be provided to species level where this is practical. Reporting of any of the following species and/or groups within table 2 should include an appropriate stratification of the data.

Species/Species Group	Comments
Sharks	
Blue Shark	
Shortfin Mako Shark	
Porbeagle	
Other sharks	
Turtles	For sea turtles, the number of species is small (approximately 7), so it is feasible to report data by stratum for each species.
Species specific	<i>Data should be provided separately for each species</i>
Seabirds	For seabirds, there are a large number of species and it is often difficult to separately identify species by pictures only. Reporting of seabird data by species would contain identification errors.
Large albatrosses	<i>Including: Wandering, Tristan, New Zealand, Antipodean, Southern Royal, and Northern Royal</i>
Dark coloured albatrosses	<i>Including: Sooty and Light-mantled</i>
Other albatrosses	<i>Including: Black-browed, Campbell, Grey-headed, Atlantic yellow-nosed, Indian yellow-nosed, Buller's, Shy, Salvin's, Chatham and White-capped</i>
Giant petrels	<i>Including: White-chinned petrel, Grey petrel, Flesh-footed shearwater etc.</i>
Other seabirds	<i>Including: Skua etc.</i>

¹⁶ The minimum taxonomic level will be subject to improvement (become more species specific) in future. Furthermore the ERSWG might recommend specific species to be reported based on risk assessments or based on advice it may seek from organisations with the necessary expertise.

**Resolution on a CCSBT Record of Vessels Authorised to Fish for
Southern Bluefin Tuna**

(revised at the Twenty-Sixth Annual Meeting: 17 October 2019)

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 Authorised 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

Taking Account that the Extended Commission adopted a “Resolution on Establishing a List of Vessels Presumed to have Carried Out Illegal, Unreported and Unregulated Fishing Activities for Southern Bluefin Tuna (SBT) in 2013;

Recognising 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:

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") authorised to fish for SBT. For the purpose of this recommendation, FVs not entered into the Record are deemed not to be authorised to fish for, retain on board, tranship or land SBT regardless of their size.

3. Members and Cooperating Non-members shall ensure that the following categories of fishing vessels in the CCSBT Record of Authorised Vessels have IMO numbers issued to them:

- all fishing vessels (except wooden and fibreglass vessels) flying their flag that are authorised to catch SBT, and that are at least 100 gross tonnage in size, and
- effective from 1 January 2021, wooden and fiberglass fishing vessels flying their flag that are authorised to catch SBT, and that are at least 100 gross tonnage in size, and
- effective from 1 January 2022, all motorised inboard fishing vessels of less than 100 gross tonnage down to a size limit of 12 metres in length overall (LOA) authorised to operate outside waters under the national jurisdiction of the flag State.

4. 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 authorised 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 overall and gross registered tonnage (GRT);
- Name and address of owner(s);
- Name and address of operator(s);
- Gear(s) used; and
- Time period authorised 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.

5. 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.

6. 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.

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

- a) authorise 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 authorisation to fish and/or transship;
- 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.

8. The Members and Co-operating Non-members shall review their own internal actions and measures taken pursuant to paragraph 7, including punitive and sanction actions and in a manner consistent with domestic law as regards disclosure, report the results of the review to each meeting of the Compliance Committee. In consideration of the results of such review, the Compliance Committee 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.

9. 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 transshipment 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.

10. 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 transshipment of SBT.

11. If a vessel mentioned in paragraph 9 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.

12. 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.

13. Before the Extended Commission decides to implement measures specified in paragraph 9, 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.

14. This Resolution revises the Resolution on “Illegal, Unregulated and Unreported Fishing (IUU) and Establishment of a CCSBT Record of Vessels over 24 meters Authorised to Fish for Southern Bluefin Tuna” revised at the Twenty-first Annual Meeting on 16 October 2014.

**Amended first page of the
Resolution on the Implementation of a CCSBT Catch Documentation Scheme**
*(revised at the Twenty-Sixth Annual meeting: 17 October 2019;
effective from 1 April 2020)*

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 The term ‘landing of domestic product’ means a landing of SBT by a CCSBT-authorized fishing/carrier vessel into the territory of a Member or Cooperating Non-Member whose National Allocation the SBT was attributed against and which issued the CDS documents the SBT are recorded on.

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.

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

(revised at the 26th Annual Meeting, 17 October 2019)

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

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

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

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

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

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

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

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

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

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

Definition of SBT IUU Fishing Activities and CCSBT IUU Vessel Lists

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

Information on alleged SBT IUU Fishing Activities

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

Draft CCSBT IUU Vessel List

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

8. The Executive Secretary shall request the flag State or entity to notify the owner of the vessel(s) of its/their inclusion in the Draft IUU Vessel List and of the consequences that may result from its/their inclusion being confirmed in the CCSBT IUU Vessel List adopted by the Extended Commission.
9. Upon receipt of the Draft IUU Vessel List, Members and CNMs shall closely monitor the vessels included in the Draft IUU Vessel List in order to determine their activities and possible changes of name, flag and/or registered owner.
10. Members, CNMs and NCNMs with vessels included on the Draft IUU and/or current CCSBT IUU Lists will transmit any comments to the Executive Secretary at least 6 weeks before the annual CC meeting, including suitably documented information as described in paragraph 20, showing that the listed vessels have not fished for SBT in a way that undermines CCSBT conservation and management measures.
11. On the basis of the information received pursuant to paragraphs 7 and 10, the Executive Secretary shall circulate the Draft IUU Vessel list and the current CCSBT IUU Vessel List, together with all suitably documented information provided pursuant to paragraph 10 as a CC meeting document to all Members and CNMs 4 weeks in advance of the annual CC meeting.
12. All Members, CNMs, and any NCNMs concerned may at any time submit to the Executive Secretary any additional information, which might be relevant for the establishment of the CCSBT IUU Vessel list. The Executive Secretary shall circulate the information, at the latest before the annual CC meeting, together with all the evidence provided.

Provisional CCSBT IUU Vessel List

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

- b) Recommend to the Extended Commission which, if any, vessels should be removed from the current CCSBT IUU Vessel List, following consideration of the current List and of the information and evidence circulated under paragraphs 10 and 12.

CCSBT IUU Vessel List

16. At its annual meeting the Extended Commission shall review the Provisional IUU Vessel List, taking into account any new suitably documented information related to vessels on the Provisional IUU Vessel List, and any recommendations to amend the current CCSBT IUU Vessel List made pursuant to paragraph 15 above. The Extended Commission will then adopt a new CCSBT IUU Vessel List.
17. Upon adopting the new CCSBT IUU Vessel List, Members, CNMs and NCNMs with vessels on the CCSBT IUU Vessel List are requested to:
 - a) Notify the owner of the vessel of its inclusion on the CCSBT IUU Vessel List and the consequences that result from being included on the CCSBT IUU Vessel List, as referred to in paragraph 18, and
 - b) Take all the necessary measures to eliminate these IUU fishing activities, including, if necessary, the withdrawal of the registration or the fishing licenses of these vessels, and to inform the Extended Commission of the measures taken in this respect.
18. Members and CNMs shall take all necessary non-discriminatory measures subject to, and in accordance with their applicable laws and regulations, international law and each Member's/ CNM's international obligations to:
 - a) Remove or withdraw any SBT fishing authorisations for the vessel or impose alternative sanctions consistent with domestic laws and regulations of the flag State;
 - b) Ensure that the fishing vessels, flying their flag do not assist in any way, engage in fishing processing operations or participate in any transshipment or joint fishing operations with vessels included on the CCSBT IUU Vessel List;
 - c) Ensure that vessels on the CCSBT IUU Vessel List are not authorised to land, tranship, re-fuel, re-supply, or engage in other commercial transactions in their ports, except in case of *force majeure*;
 - d) Ensure that foreign flagged vessels included on the CCSBT IUU Vessel List do not enter into their ports, except in case of *force majeure*, unless vessels are allowed entry into port for the exclusive purpose of inspection and/or effective enforcement action;
 - e) Ensure that a vessel included in the CCSBT IUU Vessel List is not chartered based on its license;

- f) Ensure that foreign-flagged vessels included in the CCSBT IUU Vessel List are not granted their flag, except if the vessel has changed owner and the new owner has provided sufficient evidence demonstrating the previous owner or operator has no further legal, beneficial or financial interest in, or control of, the vessel, or having taken into account all relevant facts, the flag Member or CNM determines that granting the vessel its flag will not result in IUU fishing;
 - g) Ensure that SBT from vessels included in the CCSBT IUU Vessel List are not landed, farmed, transhipped and/or traded internationally and and/or domestically; and
 - h) Collect and exchange with other Members and CNMs any appropriate information with the aim of searching for, controlling and preventing false CDS documents and/or false import/export certificates of SBT from vessels included in the CCSBT IUU Vessel List.
19. The Executive Secretary will take any necessary measure to ensure publicity of the CCSBT IUU Vessel List adopted by CCSBT, in a manner consistent with any applicable confidentiality requirements, and through electronic means, by placing it on the CCSBT web site. Furthermore, the Executive Secretary will transmit the CCSBT IUU Vessel List to appropriate regional fisheries organisations for the purposes of enhanced co-operation between CCSBT and these organisations in order to prevent, deter and eliminate IUU fishing.

Deletion from the CCSBT IUU Vessel List

20. A Member, CNM or NCNM whose vessel appears on the CCSBT IUU Vessel List may request the removal of the vessel from the list through the Compliance Committee or at any time during the inter-sessional period by submitting to the Executive Secretary suitably documented information demonstrating that:
- a) It has adopted measures so that this vessel complies with all CCSBT conservation and management measures; and
 - b) It is and will continue to assume effectively its responsibilities with respect to this vessel in particular as regards the monitoring and control of the SBT fishing activities executed by this vessel; and
 - c) One or more of the following:
 - i) It has taken effective action in response to the SBT IUU fishing activities that resulted in the vessel's inclusion in the CCSBT IUU Vessel List, including prosecution or the imposition of sanctions of adequate severity;
 - ii) The vessel has changed ownership and that the new owner can establish that the previous owner no longer has any legal, financial or real interests in the vessel or exercises control over it, and that the new owner has not participated in SBT IUU fishing activities;
 - iii) The case regarding the vessel that conducted SBT IUU fishing activities has been settled to the satisfaction of the Member(s)/ CNM(s) that originally submitted the vessel for listing and the flag State or entity involved.

21. On the basis of the information received in accordance with paragraph 20, the CCSBT Executive Secretary will transmit electronically the removal request, with all the supporting information to each Member within 15 days following the notification of the removal request.
22. Each Member of the Extended Commission will examine the request to remove the vessel and notify the Executive Secretary in writing of their conclusion regarding either the removal from, or the maintenance of the vessel on the CCSBT IUU Vessel List within 21 days following the notification by the Executive Secretary referred to in paragraph 21.
Decisions on any inter-sessional requests to remove the vessel shall be made in accordance with Rule 6(5) of the Rules of Procedure, such that no response is considered to be support for the request.
23. The Executive Secretary shall communicate the result of the decision to all Members and CNMs and to any NCNM which requested the removal of its vessel from the CCSBT IUU Vessel List.
24. If Members agree to the removal of the vessel from the CCSBT IUU Vessel List, the Executive Secretary will take the necessary measures to remove the vessel concerned from the CCSBT IUU Vessels List, as published on the CCSBT web site. Moreover, the Executive Secretary will forward the decision of removal of the vessel to appropriate regional fisheries organisations.
25. If a Member does not agree with the request for the removal of the vessel from the CCSBT IUU Vessel List, the vessel will be referred to the Compliance Committee for further consideration and the Executive Secretary will inform the Members, CNMs as well as any NCNMs that made the removal request.

Procedure for Cross-Listing IUU Vessels from Other Specified Organisations

26. The CCSBT Executive Secretary shall maintain appropriate contacts, inter alia, with the Secretariats of the following organisations in order to obtain their latest IUU vessel lists and any other relevant information regarding the list in a timely manner upon adoption or amendment, including information on whether the organisation is the original listing organisation: the Inter-American Tropical Tuna Commission (IATTC), the International Commission for the Conservation of Atlantic Tunas (ICCAT), the Indian Ocean Tuna Commission (IOTC), the Western and Central Pacific Fisheries Commission (WCPFC), the Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR), the South East Atlantic Fisheries Organisation (SEAFO), the Southern Indian Ocean Fisheries Agreement (SIOFA) and the South Pacific Regional Fisheries Management Organisation (SPRFMO).
27. IUU vessels listed by the organisations set out in paragraph 26 may be added to or deleted from the CCSBT IUU Vessel List, provided that the procedures specified in paragraphs 28 to 32 are followed.

28. Upon receipt of the information outlined in paragraph 26, where a vessel has been added to an organisation's IUU Vessel List and the organisation concerned is the original listing organisation, the CCSBT Executive Secretary shall promptly circulate the relevant information¹ to all Members for the purpose of amending the CCSBT IUU Vessel List.
29. Vessels that have been included in the IUU vessel list of an organisation set out in paragraph 26, where that organisation is the original listing organisation, shall be included in the CCSBT IUU Vessel List, unless any Member objects to the inclusion in writing within 30 days of the date of transmittal by the Executive Secretary. The objecting Member shall explain the reason for the objection.
30. In the event of an objection to the inclusion pursuant to paragraph 29, the case shall be brought to the following session of the Compliance Committee for its examination. The Compliance Committee shall provide a recommendation to the Extended Commission on the inclusion of the relevant vessel/s in the IUU Vessel List.
31. Vessels included in the CCSBT IUU Vessel List under the cross-listing procedures specified in paragraphs 28 to 30 which are subsequently removed from the IUU vessel list of an original listing organisation set out in paragraph 26, shall be removed from the CCSBT IUU Vessel List. The effective date of removal of such vessels from the CCSBT's IUU Vessel List will be the date of the CCSBT Secretariat's Circular to Members advising of this removal.
32. Upon the addition or deletion of vessels from the CCSBT IUU Vessel List pursuant to paragraphs 29 to 31, the CCSBT Executive Secretary shall promptly circulate the amended CCSBT IUU Vessel List to all Members.

Trade Measures/ Sanctions

33. Without prejudice to the rights of flag States or entities and coastal States or entities to take proper action consistent with international law, including applicable WTO obligations, Members and CNMs shall not take any unilateral trade measures or other sanctions against vessels provisionally included in the Draft and Provisional IUU Vessel Lists, pursuant to paragraphs 7 and 15, or which have been already removed from the CCSBT Draft, Provisional or Current IUU Vessel Lists, pursuant to paragraphs 14 or 16 or 20 to 24 or 31, on the grounds that such vessels are involved in SBT IUU fishing activities.

¹ "Relevant information" means all the vessel information that was provided to the CCSBT in the original cross-listing organisation's IUU Vessel List, for example the vessel name, flag, IMO number, call sign, owner, operator and summary of IUU activities if available

ANNEX I: CCSBT IUU Vessel List Definitions

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

Draft CCSBT IUU Vessel List

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

Provisional CCSBT IUU Vessel List

This list is derived from the Draft IUU Vessel List.

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

Current CCSBT IUU Vessel List

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

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

The current CCSBT IUU Vessel List can be modified inter-sessionally according to paragraphs 26 to 32 by cross-listing additions and/or removals made by other specified organisations (refer to paragraph 26), or through requests from Members/CNMs/NCNMs according to paragraphs 20 to 25.

ANNEX II: CCSBT Reporting Form for SBT Illegal Activity

1. Details of Vessel

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

² Positional information may include latitudes/ longitudes, geographic location name(s) and/or CCSBT statistical area number (s), etc

2. Details of CCSBT Resolution Elements Contravened

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

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

3. Associated Documents

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

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

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

- i) Name of the vessel and previous name/s, if any;
- ii) Flag of the vessel and previous flag/s, if any;
- iii) Owner of the vessel and previous owner/s, including beneficial owners, if any, and owner's place of registration (if any);
- iv) Operator of the vessel and previous operator/s, if any;
- v) Call sign of the vessel and previous call sign/s, if any;
- vi) Lloyds/IMO and UVI number, if available;
- vii) Photograph(s) of the vessel, where available;
- viii) Date vessel was first included on the CCSBT IUU Vessel List;
- ix) Summary of the activities which justify inclusion of the vessel on the List, together with references to all relevant supporting documents and evidences;
(for cross-listed vessels, this would be limited to recording, "Cross-listed from [organisation]" where [organisation] is the name of the organisation³ that originally listed the vessel)
- x) Date and location of any relevant sightings of the vessel, if any;
- xi) Summary of any other related activities performed by the vessel contrary to CCSBT conservation and management measures, if any.

³ Refer to paragraph 26 for the list of organisations CCSBT may cross-list with.

CCSBT Compliance Plan

(Revised at the Twenty-Sixth Annual Meeting: 17 October 2019)

Purpose

The Compliance Plan supports the CCSBT Strategic Plan, approved in October 2015. Specifically, it supports the vision for Category C:

“Members are actively participating in management of SBT through the Commission and implementing its decisions”.

The purpose of the Compliance Plan is to provide a framework for the Commission and Members to improve compliance, and over time, achieve full compliance with their CCSBT conservation and management measures.

The Compliance Plan includes a Five-Year Action Plan to address priority compliance risks. The action plan will be reviewed and confirmed or updated at least every five years. The action plan is therefore a ‘rolling’ document and over time its emphasis will change.

Throughout this document references to Members include Cooperating Non-Members of the Extended Commission (CNMs), and all references to the Commission include the Extended Commission (EC).

Structure

This plan is in five parts:

1. Goals and Strategies
2. Compliance Principles
3. Roles and Responsibilities
4. Plan implementation and review
5. Five -Year Action Plan (Appendix 1).

Part 1: Goals and Strategies

Goals

The CCSBT Strategic Plan identifies four goals concerning participation and implementation by Members (Category C):

- ***Monitoring, control, and surveillance (Goal 8)***
Integrated, targeted and cost-effective monitoring, control and surveillance measures are in place to ensure the Commission's goals are met.
- ***Members' obligations (Goal 9)***
All Members comply with rules of CCSBT.
- ***Supporting developing countries (Goal 10)***
Developing country Members are able to comply with the Commission's management measures and other requirements.
- ***Participation in the CCSBT (Goal 11)***
Ensure that all States and Regional Economic Integration Organisations (REIOs) and entities catching SBT are incorporated in the Commission and engaged in the cooperative management of SBT. Encourage the cooperation of port and market States with CCSBT's objectives and management arrangements

Strategies

Strategies are the suggested approach to achieve the goals and are numbered according to their corresponding goal.

The strategies below are based on the strategies set out in the CCSBT Strategic Plan (pages 15-16). In some cases the titles have been modified, and the descriptions elaborated. Strategy 8.4 has been expanded to explicitly cover monitoring of IUU fishing by non-members.

8.1 Implementation by Members of agreed MCS measures

The Compliance Committee will monitor Members' implementation of CCSBT conservation and management measures. This will include maintaining a comprehensive list of conservation and management measures, and Members regularly reporting against their obligations under these measures. Members' reports will be analysed by the Compliance Committee, and Members will be questioned and provided with feedback on their reports. Independent audits will also be conducted (refer to strategy 9.1).

The Compliance Committee will continue to develop¹ and regularly review existing compliance policies so that these clearly specify Members' obligations and associated performance requirements, e.g. the document, "Minimum Performance Requirements to Meet CCSBT Obligations". Compliance policies will be adopted following agreement by the Commission.

¹ Compliance policy guidelines have been developed for minimum performance requirements (CPG1), corrective actions (CPG3), and information collection and sharing (CPG4).

8.2 Implement Compliance Plan

New measures may be needed to address emerging compliance risks or replace ineffective or inefficient measures. The Compliance Committee will adopt a risk-management approach when developing measures and obligations to recommend to the Commission. This includes:

- a) assessing the necessity of additional MCS measures and/or improvement of agreed MCS measures to meet Commission objectives; and
- b) identifying any gaps between MCS measures in place and any improvements or additional measures required and a process to implement these.

Recommendations for changes or additions to conservation and management measures will also include performance requirements.

8.3 Strengthen Members' compliance

Continue to strengthen efforts by Members to ensure sufficient compliance at each stage of SBT fisheries, from catch grounds to markets, including transshipment, farming and trade.

The Compliance Committee will continue to develop policies and guidelines to assist Members to plan and implement effective MCS systems and the cost-efficient delivery of compliance services. These policies and guidelines will be based on Members' obligations and be focussed on how best to avoid, remedy or mitigate the risks of not meeting obligations.

As part of this strategy, the Port State Inspection Resolution should be reviewed, taking into account the FAO Port State Measures Agreement and each Member's domestic laws and regulations.

8.4 Monitoring expansion of SBT markets

The Commission and Members will actively monitor any possible SBT catch/ mortalities by Non-Cooperating Non-members (NCNMs) and/or the expansion of their SBT markets. This will include monitoring by MCS activities and regular review of SBT trade data.

Non-members and port States that are facilitating any fishing for SBT that is inconsistent with CCSBT obligations will be encouraged to cooperate with CCSBT measures. Action will be taken against IUU SBT fishing including the use of trade and market measures consistent with international law.

8.5 Exchange of compliance data

The Compliance Committee will continue to review policies and rules to facilitate exchange and sharing of MCS information among Members, and with port, market and coastal States as appropriate. This will include reviewing any necessary data confidentiality rules.

The Compliance Committee will promote the sharing of information amongst Members; other interested parties such as port States, market States, coastal States, other Regional Fisheries Management Organisations (RFMOs) and NGOs and the public. This will include actively removing barriers to information sharing, developing systems to lower the costs of information sharing, and adopting policies that maximise open access to Commission information.

8.6 Secretariat MCS services

The Secretariat will provide the Compliance Committee with compliance policy and process advice and assist with the specification and purchasing of shared compliance services.

This will include:

- a) conducting analyses of MCS data submitted, and reporting, on an annual basis, trends in MCS data;
- b) assessing the effectiveness of existing MCS measures based on data submitted to the Secretariat;
- c) managing and monitoring the CCSBT's compliance initiatives; and
- d) administration of compliance systems and programmes (for instance the Catch Documentation Scheme and reporting).

Subject to funding decisions, the Secretariat may provide the Commission with MCS services in circumstances where these can be provided cost-effectively and without conflicting with its core roles of Commission support, facilitation and information management. Such services may be provided through dedicated staff or contracted services.

8.7 Research & development

The Compliance Committee will recommend the commissioning of research on new technologies and methods aimed at facilitating implementation of MCS systems. Promising technologies will be trialled to assess their practicality and cost-effectiveness. Allocation of costs for such trials should be based on compliance risks and benefits. Depending on the technology and its application, trials may be funded by individual Members or collectively.

9.1 Auditing Members MCS systems and processes

Members' implementation, enforcement, and compliance with conservation and management measures and international obligations as they relate to CCSBT will be routinely audited.

The Compliance Committee will require Members to have their SBT MCS systems independently audited. These audits will focus on the systems and processes that each Member has implemented to meet its CCSBT obligations as defined by Compliance Policy Guideline 1, the Minimum Performance Requirements (MPRs). Audit reports will be made available to all Members. The purpose of these audits is to give the Member assurance on the adequacy of their MCS systems, identify areas of improvement, and assure the Commission that the Member is meeting its obligations.

9.2 Corrective action and remedies

The Compliance Committee will apply the CCSBT's Corrective Actions Policy to breaches in the rules of the CCSBT and establish incentives to promote compliance with CCSBT obligations.

The Compliance Committee will recommend an investigation where it has reasonable cause to believe that a Member is not complying with core conservation and management measures and obligations, in particular Catch Management Measures and MCS Measures. The results of an investigation will be considered by the Commission.

10.1 Assist developing country Members, and where appropriate Non-members, to comply with Commission requirements

The Compliance Committee will recommend that the Commission provide technical and financial assistance for Members to develop and implement MCS systems to meet their CCSBT obligations. Assistance may include:

- education, training and extension services
- technical consultancies
- sharing of services
- financial assistance.

The Compliance Committee will work with developing country Members to:

- a) identify areas where assistance would be beneficial to ensure they meet CCSBT obligations;
- b) identify ways in which assistance may be provided (e.g. up-skilling, secondments, workshops etc); and
- c) develop and implement a programme to assist developing countries with Commission requirements.

11.1 Inclusive cooperation

To promote broader implementation of CCSBT management measures, the Compliance Committee will:

- a) identify any NCNM SBT catches/ mortalities, and recommend that the cooperation of the relevant entities be sought;
- b) investigate and recommend ways of providing for the participation and/or cooperation of a wider range of actors such as Carrier Vessel Flag States that do not fish for SBT; and
- c) identify non-member States that have, or are likely to become, important port, market or coastal States for SBT. These States will be nominated to the Commission for it to consider whether to seek their cooperation with CCSBT management measures.

Part 2: Compliance Principles

In implementing this plan, decisions will be guided by the following principles:

Encouraging compliance: Members should be encouraged to comply with their CCSBT obligations through implementation of effective compliance systems.

Deterrence: Effective deterrence should be used to detect and apply sanctions against IUU fishing.

Accountability: Members should be held publicly accountable for meeting their CCSBT obligations.

Openness and transparency:

- a) Compliance information should be available to all Members.
- b) Discussions should be inclusive of all Members.
- c) All compliance reporting documents should be publicly available as soon as practicable (subject to Rule 10 of CCSBT Rules of Procedure).

Cooperation and collective action: Members should cooperate, including through collective action, to facilitate effective monitoring and improve levels of compliance.

Incentives: Positive incentives should be used to encourage Members to monitor and improve their compliance systems.

Efficiency: Compliance obligations should be able to be met cost-effectively, and not impose unreasonable costs on Members.

Risk management: A risk management approach should be used to determine changes or additions to conservation and management measures, and the systems and processes to support those measures.

Part 3: Roles and Responsibilities

Members

- Actively participate in the Commission's decision-making processes relating to policy, planning, and establishing conservation and management measures.
- Meet obligations and ensure compliance with the measures agreed to by the Commission.
- Maintain effective fisheries MCS systems and ensure that nationally-flagged vessels and authorised farms comply with the Member's rules.²
- Report to the Compliance Committee on the implementation of measures and obligations and any areas where improvement is needed to achieve effective compliance with measures and obligations.
- Report any material non-compliance detected and remedial action taken.
- Implement any corrective actions or remedies agreed by the Commission.

Commission

- Approve Compliance Plan and Five-Year Action Plan.
- Determine any corrective actions and remedies.
- Consider recommendations from the Compliance Committee and make final determinations.

Compliance Committee

- Recommend policy frameworks, guidelines, and technical assistance, to facilitate effective and consistent implementation of CCSBT measures by Members.
- Monitor the performance of Members' implementation of CCSBT measures.
- Carry out an annual compliance risk assessment.
- Review the Five-Year Action Plan (Appendix 1), based on identification of compliance risks, and recommend any updates.
- Recommend additions or changes to CCSBT obligations to address compliance risks.
- Review audit reports and recommend compliance audits.
- Recommend investigations of alleged serious non-compliance and, if necessary, recommend corrective actions or remedies.

Secretariat

- Facilitate constructive working relationships between Members.
- Facilitate inclusive, participative and transparent decision-making processes.
- Manage and distribute information that supports the role and responsibilities of Members and the Commission.
- Facilitate provision of educational, extension and technical services to support effective implementation of Commission measures.
- Prepare summary and discrepancy reports for the Compliance Committee.

² "Rules" include laws, regulations, and conditions on permits, licenses or authorisations.

- Provide advice to the Compliance Committee on compliance/ MCS policy, plans, guidelines and services.

Part 4: Plan Implementation and review

Implementation responsibilities

The Compliance Committee will be responsible for managing implementation of this plan under the direction and oversight of the Commission. This will include:

- annual review of compliance risks, and
- 5-yearly review and update of the Five-Year Action Plan.

The Compliance Committee will make recommendations on updates to the Action Plan, new obligations, policies, or other actions for consideration and determination by the Commission.

The Secretariat will provide technical and administrative support, and compliance policy advice, to both the Compliance Committee and the Commission.

Review

The Commission will review the Compliance Plan whenever the CCSBT Strategic Plan is reviewed. The Five-Year Action Plan (Appendix 1) will be reviewed by the Compliance Committee at least every five years.

Annual Review of National SBT Fisheries for the Extended Scientific Committee

(Revised at the Twenty-Sixth Annual Meeting: 17 October 2019)

1. Introduction
 - Background
 - Summary of historical developments in the fishery
 - Overview of the most recent fishing season
2. Catch and Effort
 - Trends by gear type (surface and longline)
 - Trends by area and season
 - (Table should include: catch & effort for above strata as well as totals for the entire history of the fishery)*
3. Nominal CPUE
 - Where appropriate:
 - Trends by gear type (surface and longline)
 - Trends by area and season
 - (Table should include: nominal CPUE for above strata as well as totals for the entire history of the fishery)*
4. Size composition
 - Trends by gear type (surface and longline)
 - Trends by area and season
 - (Figures should include: average size frequency distributions by gear type for each 10 year period, as well as individually for each of the last 5 years)*
5. Fleet size and distribution
 - Trends by season
 - Trends by area
 - (Maps should include: historical catch and effort by gear type for the entire history of the fishery, as well as individually for each of the last 5 years)*
6. Research and monitoring to improve estimates of components of attributable catch:
 - i. Releases and/or discards
 - Describe the various sources of information and data used in calculating the estimates
 - Describe the method applied for estimating the catch
 - Provide the resulting estimated catch
 - ii. Recreational fishing
 - Describe the various sources of information and data used in calculating the estimates
 - Describe the method applied for estimating the catch
 - Provide the resulting estimated catch
 - iii. Customary and/or traditional
 - Describe the various sources of information and data used in calculating the estimates
 - Describe the method applied for estimating the catch
 - Provide the resulting estimated catch

iv. Artisanal

- Describe the various sources of information and data used in calculating the estimates
- Describe the method applied for estimating the catch
- Provide the resulting estimated catch

7. Development and implementation of scientific observer programs¹

- Provide a report containing the information specified in Annex 1 on the sampling scheme and arrangements for collecting data from the Member's/CNM's observer program.

8. Other relevant information

Notes:

- *Data on catches should be presented by both calendar year and fishing year.*
- *Weight data should be reported as whole weight, conversion factors used should be specified.*
- *Nominal CPUE, particularly for longline fisheries, should be expressed in standard units (eg, number of SBT per 1000 hooks).*
- *State where estimates are scaled from sample data.*
- *Where appropriate measures can be calculated.*

¹ Section 11 and Attachment 2 of the CCSBT Scientific Observer Program Standards.

FORMAT OF NATIONAL REPORT SECTIONS ON DEVELOPMENT AND IMPLEMENTATION OF SCIENTIFIC OBSERVER PROGRAMS

(from the CCSBT Scientific Observer Program Standards)

REPORT COMPONENTS

The observer program implementation report should form a component of the annual National Reports submitted by members to the Scientific Committee. This report should provide a brief overview of observer programs for SBT fisheries, and is not intended to replace submitted papers containing proper analyses of collected observer data. This observer program report should include the following sections:

A. Observer Training

An overview of observer training conducted, including:

- Overview of training program provided to scientific observers.
- Number of observers trained.
- Summary of qualifications / training and years of experience of the observers deployed in SBT fisheries during the past year.
- A copy of the latest version of relevant manuals in their original language for reference

B. Scientific Observer Program Design and Coverage

Details of the design of the observer program, including:

- Which fleets, fleet components or fishery components were covered by the program.
- How vessels were selected to carry observers within the above fleets or components.
- How was observer coverage stratified: By fleets, fisheries components, vessel types, vessel sizes, vessel ages, fishing areas and seasons.

Details of observer coverage of the above fleets, including:

- Components, areas, seasons and proportion of total SBT catch, specifying units used to determine coverage.
- Total number of observer employment days, and number of actual days deployed on observation work.

C. Observer Data Collected

List of observer data collected against the agreed range of data set out in Attachment 1. In broad structure this would include:-

- Effort data: Amount of effort observed (vessel days, sets, hooks, etc), by area and season and % observed out of total by area and seasons
- Catch data: Amount of catch observed of SBT and other species (if collected), by area and season, and % observed out of total estimated SBT catch by area and seasons
- Length frequency data: Number of fish measured per species, by area and season.
- Biological data: Type and quantity of other biological data or samples (otoliths, sex, maturity, Gonosomatic index, etc) collected per species.
- The size of sub-samples relative to unobserved quantities.

D. Tag Return Monitoring

Number of tags returns observed, by fish size class and area.

E. Problems Experienced

- Summary of problems encountered by observers and observer managers that could affect the CCSBT Observer Program Standards and/or each member's national observer program developed in the light of the Standards.

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

(Revised at the Twenty-Sixth Annual Meeting: 17 October 2019)

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

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

Contents	Page
1 Summary of Monitoring, Control and Surveillance (MCS) Improvements	2
1.1 Improvements achieved in the current fishing season	2
1.2 Future planned improvements	2
2 SBT Fishing and MCS	2
2.1 Fishing for Southern Bluefin Tuna	2
2.2 Monitoring catch of SBT	4
2.3 SBT Towing and transfer to and between farms (farms only)	5
2.4 SBT transshipment (in port and at sea)	5
2.5 Port Inspections of Foreign Fishing Vessels/Carrier Vessels (FVs/CVs) with SBT/SBT Products on Board	6
2.6 Monitoring of trade of SBT	6
2.7 Coverage and Type of CDS Audit undertaken	6
3 Changes to sections in Annex 1	6
Annex 1. Standing items: details of MCS arrangements used to monitor SBT catch in the fishery	7
1 Monitoring catch of SBT	7
1.1 SBT Towing and transfer to and between farms (farms only)	9
1.2 SBT Transshipment (in port and at sea)	9
1.3 Port Inspections of Foreign FVs/CVs with SBT/SBT Products on Board	10
1.4 Landings of Domestic Product (from both fishing vessels and farms)	10
1.5 Monitoring of trade of SBT	10
1.6 Other	11
2 Additional Reporting Requirements Ecologically Related Species	11
Appendix 1. CCSBT Authorised Vessel Resolution	13

1 Summary of Monitoring, Control and Surveillance (MCS) Improvements

1.1 Improvements achieved in the current fishing season

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

1.2 Future planned improvements

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

2 SBT Fishing and MCS

2.1 Fishing for Southern Bluefin Tuna

2.1.1 Catch and allocation

Specify the Effective Catch Limit, carry-forward of quota, total available catch, and attributable catch for the previous three fishing seasons in Table 1. All figures should be provided in tonnes.

Table 1. Effective catch limit, carry-forward, total available catch, and attributable catch.

A	B	C	D	E
Fishing Season	Effective Catch Limit ¹	Quota Carried Forward to this Fishing Season	Total Available Catch ² (B+C)	Attributable catch ³

2.1.2 Allowances and SBT mortality for each sector

Specify the allowances and SBT mortality for each sector during the previous three fishing seasons in Table 2. If information on SBT mortality is not available for a particular sector, use the best estimates of catch. All figures to be provided in tonnes.

Table 2. Allowances and SBT mortality for each sector.

Sector	Commercial fishing operations whether primarily targeting SBT or not			
	Sector 1: (please name)		Sector 2: (please name)	
Fishing season	National allowance	Mortalities (tonnes)	National allowance	Mortalities (tonnes)

¹ Effective catch limit is the Member's allocation plus any adjustments for agreed short term changes to the National Allocation. For example, see column 3 of Table 1 at paragraph 87 of the Report of CCSBT 24.

² Total available catch means a Member's Effective Catch Limit allocation for that quota year plus any amount of unfished allocation carried forward to that quota year.

³ '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.'

Sector cont.	Releases and/or discards		Recreational fishing		Customary and/or traditional fishing		Artisanal fishing	
	Sector 3:		Sector 4:		Sector 5:		Sector 6	
Fishing season	National allowance	Mortalities (tonnes)	National allowance	Mortalities (tonnes)	National allowance	Mortalities (tonnes)	National allowance	Mortalities (tonnes)

2.1.3 SBT Catch (retained and non-retained)

For the previous three fishing seasons, specify the weight and number of SBT for each sector (e.g. commercial longline, commercial purse seine, commercial charter fleet, commercial domestic fleet, recreational fishing, customary and/or traditional fishing and artisanal fishing) in Table 3. Provide the best estimate if reported data is not available. Figures should be provided for both retained SBT and non-retained SBT. For all non-farming sectors, “Retained SBT” includes SBT retained on vessel and “Non-Retained SBT” includes those returned to the water. For farming, “Retained SBT” includes SBT stocked to farming cages and “Non-Retained SBT” includes towing mortalities. If possible, provide both the weight in tonnes and the number of individuals in square brackets (e.g. [250]) for each sector. Table cells should not be left empty. If the value is zero, enter “0”.

Table 3. SBT catch (retained and non-retained)

Fishing Season	Retained and discarded SBT							
	Commercial sectors							
	Sector 1 (please name)		Sector 2 (please name)		Sector 3 Recreational sector		Sector 4: Customary/artisanal sector	
	Retained SBT	Non-Retained SBT	Retained SBT	Non-Retained SBT	Retained SBT	Non-Retained SBT	Retained SBT	Non-Retained SBT

2.1.4 The number of vessels in each sector

Specify the number of vessels that caught SBT in each sector during the previous three fishing seasons in Table 4.

In cases where vessel numbers are not able to be provided, specify the best estimate. .

Table 4. Vessels by Sector

Fishing season	Number of vessels			
	Commercial sectors		Sector 3: Recreational sector	Sector 4: Customary/artisanal sector
	Sector 1 (please name)	Sector 2 (please name)		

2.2 Monitoring catch of SBT

2.2.1 Daily logbooks

- i. If daily logbooks are not mandatory, specify the % of SBT fishing where daily log books were required.
- ii. Specify whether the effort and catch information collected complied with that specified in the “Characterisation of the SBT Catch” section of the CCSBT Scientific Research Plan (Attachment D of the SC5 report), including both retained and discarded catch. If not, describe the non-compliance.

2.2.2 Additional reporting methods (such as real time monitoring programs)

- i. If multiple reporting methods exists (e.g. daily, weekly and/or month SBT catch reporting, reporting of tags and SBT measurements, reporting of ERS interactions etc) then, for each method, specify if it was mandatory, and if not, specify the % of SBT fishing that was covered.

2.2.3 Scientific Observers

- i. Provide the percentage of the SBT catch and effort observed in the three previous seasons for each sector (e.g. longline, purse seine, commercial charter fleet, and domestic fleet) in Table 5. The unit of effort should be hooks, and sets for longline, and purse seine respectively.

Table 5. Observer coverage of SBT catch and effort

Fishing season	Sector 1		Sector 2	
	% effort obs.	% catch obs.	% effort obs.	% catch obs.

- ii. Specify whether the observer program complied with the CCSBT Scientific Observer Program Standards. If not, describe the non-compliance. Also indicate whether there was any exchange of observers between Members.

2.2.4 Vessel Monitoring System (VMS)

For the most recent fishing season for Member-flagged authorised carrier vessels and fishing vessels fishing for or taking SBT specify:

- i. Was a mandatory VMS that complies with CCSBT’s VMS resolution in operation?
 - ii. If a mandatory VMS that complies with CCSBT’s VMS resolution was not in operation, provide details of non-compliance and plans for further improvement.
 - iii. The number of its flag 1) fishing vessels (FVs) and 2) carrier vessels (CVs) that were required to report to a National VMS system:-
 - 1) FVs:
 - 2) CVs:
 - iv. The number of its flag 1) fishing vessels (FVs) and 2) carrier vessels (CVs) that actually reported to a National VMS system:-
 - 1) FVs:
 - 2) CVs:
-

- v. Reasons for any non-compliance with VMS requirements and action taken by the Member.
- vi. In the event of a technical failure of a vessel's VMS, the vessel's geographical position (latitude and longitude) at the time of failure and the length of time the VMS was inactive.
- vii. A description of any investigations initiated in accordance with paragraph 3(b) of the CCSBT VMS resolution including progress to date and any actions taken.

2.2.5 At-sea inspections

Specify the coverage level of at sea inspections of SBT authorised fishing vessels by Member's patrol vessels during the previous fishing season (e.g. the percentage of SBT trips inspected).

2.2.6 Authorised vessel requirements

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

2.2.7 Monitoring of catch of SBT from other sectors (e.g. recreational, customary, etc)

Provide details of monitoring methods used to monitor catches in other sectors.

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

Specify the percentage of the tows that were observed and the percentage of the transfers of the fish to the farms that were observed during the previous three fishing seasons in Table 6.

Table 6. Observer coverage of towing and transfer to and between farms

Fishing season	Observer coverage of tows	Observer coverage of transfers

- i. Plans to allow adoption of the stereo video systems for ongoing monitoring.

2.4 SBT transshipment (in port and at sea)

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

- i. The quantities and percentage of SBT transhipped at sea and in port during the previous three fishing seasons in Table 7.

Table 7. SBT transshipment (in port and at sea)

Fishing season	Kilograms of SBT transhipped at sea	Percentage of the annual SBT catch transhipped at sea	Kilograms of SBT transhipped in port	Percentage of the annual SBT catch transhipped in port

- ii. The list of the tuna longline fishing vessel with Freezing Capacity (LSTLVs) registered in the CCSBT Authorised Vessel List which have transhipped at sea and in port during the previous fishing season.
- iii. A comprehensive report assessing the content and conclusions of the reports of the observers assigned to carrier vessels which have received at-sea transhipments from their LSTLVs during the previous fishing season.

2.5 Port Inspections of Foreign Fishing Vessels/Carrier Vessels (FVs/CVs) with SBT/SBT Products on Board

For the three previous calendar years, provide information about the number of landing/ transhipment operations that foreign FVs/CVs carrying SBT or SBT product made in port, the number of those landing/ transhipment operations that were inspected, and the number of inspections where infringements of CCSBT's measures were detected in Table 8.

Table 8. Port inspections of foreign FVs and CVs with SBT/SBT products on board

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

2.6 Monitoring of trade of SBT

For the last whole calendar year or fishing season,

- i. Provide the percentage of landings of SBT that were inspected.
- ii. Provide the percentage of exports of SBT that were inspected.
- iii. Provide the percentage of imports of SBT that were inspected.

2.7 Coverage and Type of CDS Audit undertaken

As per paragraph 5.9 of the CDS Resolution, specify details on the level of coverage and type of audit undertaken, in accordance with 5.8⁴ of the Resolution, and the level of compliance.

3 Changes to sections in Annex 1

List any sections of Annex 1 that have changed since the previous year.

⁴ Paragraph 5.8 of the CDS Resolution specifies that "Members and Cooperating Non-Members shall undertake an appropriate level of audit, including inspections of vessels, landings, and where possible markets, to the extent necessary to validate the information contained in the CDS documentation."

Annex 1. Standing items: details of MCS arrangements used to monitor SBT catch in the fishery

1 Monitoring catch of SBT

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

Methods used to monitor catching in the fishery

Details should also be provided of monitoring conducted of fishing vessels when steaming away from the fishing grounds (this does not include towing vessels that are reported in Section 2).

Monitoring Methods	Description
Daily log book	<p>Specify:</p> <ul style="list-style-type: none">i. Whether this was mandatory.ii. The level of detail recorded (shot by shot, daily aggregate etc):-iii. What information on ERS is recorded in logbooks:-iv. Who are the log books submitted to⁵:-v. What is the timeframe and method⁶ for submission:-vi. The type of checking and verification that is routinely conducted for this information:-vii. Reference to applicable legislation and penalties:-viii. Other relevant information⁷:-

⁵ If the reports are not to be submitted to the Member's or CNM's government fisheries authority, then also specify whether the information will later be sent to the fisheries authority, including how and when that occurs.

⁶ In particular, whether the information is submitted electronically from the vessel.

⁷ Including information on ERS, and comments on the effectiveness of the controls or monitoring tools and any plans for further improvement.

<p><i>Additional reporting methods (such as real time monitoring programs)</i></p>	<p><i>If multiple reporting methods exists (e.g. daily, weekly and/or month SBT catch reporting, reporting of tags and SBT measurements, reporting of ERS interactions etc), create a separate row of in this table for each method. Then, for each method, specify:</i></p> <ul style="list-style-type: none"> <i>i. Whether this is mandatory.</i> <i>ii. The information that is recorded (including whether it relates to SBT or ERS):-</i> <i>iii. Who the reports are submitted to and by whom (e.g. Vessel Master, the Fishing Company etc)⁵:-</i> <i>iv. What is the timeframe and method⁶ for submission:-</i> <i>v. The type of checking and verification that is routinely conducted for this information:-</i> <i>vi. Reference to applicable legislation and penalties:-</i> <i>vii. Other relevant information⁷:-</i>
<p><i>Scientific Observers</i></p>	<p><i>Specify:</i></p> <ul style="list-style-type: none"> <i>i. The system used for comparisons between observer data and other catch monitoring data in order to verify the catch data:-</i> <i>ii. What information on ERS is recorded by observers:-</i> <i>iii. Who are the observer reports submitted to:-</i> <i>iv. Timeframe for submission of observer reports:-</i> <i>v. Other relevant information (including plans for further improvement – in particular to reach coverage of 10% of the effort):-</i>
<p><i>VMS</i></p> <p><i>The items of “ii” are required in association with the Resolution on establishing the CCSBT Vessel Monitoring System</i></p>	<ul style="list-style-type: none"> <i>i. For Member-flagged authorised carrier vessels and fishing vessels fishing for or taking SBT reference to applicable legislation and penalties:-</i>
<p><i>Other (for example, use of electronic monitoring etc.)</i></p>	

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

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

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

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

- i. Inspection/Observation required for transfer of SBT*
- ii. Monitoring system used for recording the quantity of SBT transferred:-*

(c) For “b” and “c” above, describe the process used for completing, validating⁸ and collecting the relevant CCSBT CDS documents (Farm Stocking Form, Farm Transfer Form):-

(d) Other relevant information⁷

1.2 SBT Transshipment (in port and at sea)

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

- i. Flag State rules for and names of:*
 - designated foreign ports where SBT may be transhipped, and*
 - foreign ports where in-port transshipments of SBT are prohibited:-*
- ii. Flag State inspection requirements for in-port transshipments of SBT (include % coverage):-*
- iii. Information sharing with designated Port States:-*
- iv. Monitoring systems for recording the quantity of SBT transhipped:-*
- v. Process for validating⁸ and collecting the relevant CCSBT CDS documents (Catch Monitoring Form, Catch Tagging Form):-*
- vi. Reference to applicable legislation and penalties:-*
- vii. Other relevant information⁷:-*

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

- i. The rules and processes for authorising transshipments of SBT at sea and methods (in addition to the presence of CCSBT transshipment observers) for checking and verifying the quantities of SBT transhipped:-*
- ii. Monitoring systems for recording the quantity of SBT transhipped:-*
- iii. Process for collecting the relevant CCSBT CDS documents (Catch Monitoring Form, Catch Tagging Form):-*
- iv. Reference to applicable legislation and penalties:-*
- v. Other relevant information⁷:-*

⁸ Including the class of person who conducts this work (e.g. government official, authorised third party)

1.3 Port Inspections of Foreign FVs/CVs with SBT/ SBT Products on Board

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

- (a) Provide a list of designated ports into which foreign FVs/ CVs carrying SBT or SBT product may request entry:-*
- (b) Provide the minimum number of hours of notice required for foreign FVs/CVs carrying SBT or SBT product to request authorisation to enter these designated ports:-*

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

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

- (a) Rules for designated ports of landing of SBT:-*
- (b) Inspections required for landings of SBT.*
- (c) Details of genetic testing conducted and any other techniques that are used to verify that SBT are not being landed as a different species:-*
- (d) Monitoring systems for recording the quantity of SBT landed:-*
- (e) Process for validating⁸ and collecting the relevant CCSBT CDS documents (Catch Monitoring Form, and depending on circumstances, Catch Tagging Form):-*
- (f) Reference to applicable legislation and penalties:-*
- (g) Other relevant information⁷:-*

1.5 Monitoring of trade of SBT

1.5.1 SBT Exports

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

- (a) Inspections required for export of SBT -*
 - (b) Details of genetic testing conducted and any other techniques that are used to verify that SBT are not being exported as a different species:-*
 - (c) Monitoring systems for recording the quantity of SBT exported:-*
 - (d) Process for validating⁸ and collecting the relevant CCSBT CDS documents (Catch Monitoring Form and depending on circumstances, Catch Tagging Form or Re-export/Export after landing of domestic product Form):-*
 - (e) Reference to applicable legislation and penalties:-*
 - (f) Other relevant information⁷:-*
-

1.5.2 SBT Imports

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

- (a) Rules for designating specific ports for the import of SBT:-*
- (b) Inspections required for imports of SBT*
- (c) Details of genetic testing conducted and any other techniques that are used to verify that SBT are not being imported as a different species:-*
- (d) Process for checking and collecting CCSBT CDS documents (Catch Monitoring Form and depending on circumstances, Re-export/Export after landing of domestic product Form):-*
- (e) Reference to applicable legislation and penalties:-*
- (f) Other relevant information⁷:-*

1.5.3 SBT Markets

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

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

(c) Other relevant information⁷

1.6 Other

Description of any other MCS systems of relevance.

2 Additional Reporting Requirements Ecologically Related Species

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

- i. Specify whether each of the following plans/guidelines have been implemented, and if not, specify the action that has been taken towards implementing each of these plans/guidelines:-*
 - *International Plan of Action for Reducing Incidental Catches of Seabirds in Longline Fisheries:*
 - *International Plan of Action for the Conservation and Management of Sharks:*
 - *FAO Guidelines to reduce sea turtle mortality in fishing operations:*
- ii. Specify whether all current binding and recommendatory measures⁹ aimed at the protection of ecologically related species¹⁰ from fishing of the following tuna RFMOs are being complied with. If not, specify which measures are not being complied with and the progress that is being made towards compliance:-*
 - *IOTC, when fishing within IOTC's Convention Area:*
 - *WCPFC, when fishing within WCPFC's Convention Area:*
 - *ICCAT, when fishing within ICCAT's Convention Area:*

⁹ Relevant measures of these RFMOs can be found at: http://www.ccsbt.org/site/bycatch_mitigation.php.

¹⁰ Including seabirds, sea turtles and sharks.

iii. *Specify whether data is being collected and reported on ecologically related species in accordance with the requirements of the following tuna RFMOs. If data are not being collected and reported in accordance with these requirements, specify which measures are not being complied with and the progress that is being made towards compliance:-*

- *CCSBT¹¹:*
- *IOTC, for fishing within IOTC's Convention Area:*
- *WCPFC, for fishing within WCPFC's Convention Area:*
- *ICCAT, for fishing within ICCAT's Convention Area:*

(b) Mitigation – describe the current mitigation requirements:

(c) Monitoring usage of bycatch mitigation measures:

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

¹¹ *Current CCSBT requirements are those in the Scientific Observer Program Standards and those necessary for completing the template for the annual report to the ERSWG.*

Appendix 1. CCSBT Authorised Vessel Resolution

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

- a) authorize their FVs to fish for SBT only if they are able to fulfil 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 anymore;
 - 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.
-

Commission for the Conservation of
Southern Bluefin Tuna



みなみまぐろ保存委員会



Food and Agriculture
Organization of the
United Nations



Indian Ocean Tuna Commission
Commission des Thons de l'Océan Indien

Letter of Understanding between the CCSBT¹ and IOTC² for Monitoring Transshipment at Sea by Large-Scale Tuna Longline Fishing Vessels

Introduction

1. The IOTC adopted Resolution 18/06³ that required implementation of a monitoring program for transshipment at sea by large-scale tuna longline fishing vessels (LSTLVs) within the IOTC Area of competence. The CCSBT has adopted a similar Resolution⁴ for tuna longline fishing vessels with freezing capacity that applies globally to all transshipments involving southern bluefin tuna (SBT).
2. Within the IOTC area of competence, the CCSBT and IOTC Resolutions have similar provisions and most vessels that are required to comply with the CCSBT Resolution are also required to comply with the IOTC Resolution.
3. This Letter of Understanding (LoU) has been established to minimise the duplication of work and to minimise the associated costs for those that are required to comply with both the CCSBT and IOTC Resolutions.

Scope of this Letter of Understanding

4. This LoU applies to transshipments at sea involving southern bluefin tuna (SBT) within the IOTC area of competence, for all fleets.

The Arrangement between CCSBT and IOTC

5. All provisions of IOTC transshipment Resolution 18/06 (or any subsequent superseding Resolution) will continue to apply to transshipments at sea that fall within this arrangement.
6. All provisions of the CCSBT transshipment Resolution (or any subsequent superseding Resolution) will also apply to transshipments at sea that fall within this arrangement, except that:
 - a) To enable a single Transshipment Declaration form to be completed for transshipment by an LSTLV, an IOTC Transshipment Declaration form may be used instead of the CCSBT Transshipment Declaration form. This only applies where the IOTC and CCSBT forms remain compatible, unless there is agreement to the contrary. Furthermore, transmission of this form by Carrier Vessel masters to the IOTC Secretariat is deemed to also be a transmission to

¹ Commission for the Conservation of Southern Bluefin Tuna

² Indian Ocean Tuna Commission

³ Resolution 18/06 on establishing a programme for transshipment by large-scale fishing vessels

⁴ Resolution on establishing a program for transshipment by large-scale fishing vessels

the CCSBT Secretariat. The IOTC Secretariat will transmit these documents to the CCSBT Secretariat without delay.

- b) IOTC Register Numbers for LSTLVs and Carrier Vessels may be used instead of the CCSBT equivalents. The CCSBT Secretariat will conduct the necessary conversions between IOTC and CCSBT registration numbers.
 - c) To enable a single set of Transshipment Observers to be used, IOTC Transshipment Observers will be deemed to be CCSBT Transshipment Observers, providing these observers meet the standards established in the CCSBT Transshipment Resolution and providing that the CCSBT Secretariat is informed.
 - d) Transmission of Observer Reports by the Contractor to the IOTC Secretariat is deemed to also be a transmission to the CCSBT Secretariat. The IOTC Secretariat will transmit these and any other related documents to the CCSBT Secretariat without delay.
7. The combined effect of paragraphs 5 and 6 is that the IOTC Secretariat and Transshipment Observers will continue to follow the requirements of the IOTC Resolution with the additions that:
- a) The IOTC and CCSBT Secretariats will advise each other regarding any planned or actual changes to their Resolutions for at sea transshipment including the Transshipment Declaration form.
 - b) The IOTC Secretariat will transmit copies of Transshipment Observer Deployment Approvals, Transshipment Declarations, Five Day Reports, Observer Reports and any other related documents for all transshipments involving SBT to the CCSBT Secretariat without delay.
 - c) In addition to the experience and training required by IOTC Resolution 18/06 (or any subsequent superseding Resolution), IOTC Transshipment Observers that observe transshipments of SBT must:
 - have sufficient experience and knowledge to identify southern bluefin tuna; and
 - have a satisfactory knowledge of the CCSBT conservation and management measures.
 - d) An up-to-date list of Transshipment Observers will be maintained and provided to the CCSBT Secretariat by the IOTC Secretariat, at the beginning of every quarter of the year.
 - e) When IOTC is informed that an observer deployment will involve transshipments of SBT, IOTC will notify CCSBT prior to approving the observer deployment so that the CCSBT Secretariat can check the validity of authorisations of the Fishing Vessels and Carrier Vessels against the published list of CCSBT Authorised Fishing Vessels and CCSBT Authorised Carrier Vessels, respectively.
 - f) In addition to tasks specified in IOTC Resolution 18/06 (or any subsequent superseding Resolution), Transshipment Observers that observe transshipments of SBT will:
 - Sign the transshipment verification section of the CCSBT CDS documentation to indicate that the transshipment details (date, name and registration of carrier vessel) were filled in correctly and that the transshipment of product was observed according to the CCSBT Transshipment Resolution⁵.
8. Additional costs imposed on the IOTC Secretariat by operating according to this arrangement (e.g. additional training and insurance required for observers) will be recovered in accordance

⁵ A discrepancy between the stated product on the CDS document and the quantities recorded by the observer would be recorded in the observer's report (not the CDS document) and would not prevent the observer from signing the CDS document.

with the cost recovery mechanism of IOTC Resolution 18/06 (or any subsequent superseding Resolution) from the fleets transshipping under the IOTC's Regional Observer Programme to monitor at-sea transshipments.

9. This arrangement comes into effect from the date notified below. Termination of this arrangement shall be effective upon the date notified by the IOTC's Executive Secretary to the CCSBT's Executive Secretary.

10. Effective from: _____

Signed and duly dated:

Indian Ocean Tuna Commission

Commission for the Conservation of
Southern Bluefin Tuna

Date: _____

Date: _____

Project proposal for enhancing education on and implementation of Ecologically Related Species seabird measures within CCSBT fisheries.

Background

In response to the recommendation from the October 2018 meeting of the CCSBT Compliance Committee (CC13 paragraphs 101 and 111), the CCSBT Secretariat has supported BirdLife International and CCSBT Members to develop a project proposal for enhancing the implementation of Ecologically Related Species (ERS) measures through outreach/education and further development of systems to verify onboard implementation of measures.

The proposal has been developed with a purpose of seeking and securing external funding. One potential source of funding is from the UN Global Environment Facility (GEF), via the FAO, as part of the follow-up to the current Common Oceans project, focused on projects concerning Areas Beyond National Jurisdiction (ABNJ). GEF funding may be available from 2021 onwards. Additional potential funding sources are being explored, which might enable activities to begin in 2020.

Feedback received on earlier drafts

An initial outline of a proposal was discussed at the meeting of the CCSBT Ecologically Related Species Working Group (ERSWG13) in May 2019 and has been further developed by an intersessional group involving CCSBT Members, BirdLife International and the CCSBT Secretariat. Input has been received from representatives from Australia, Indonesia, Japan, Korea, New Zealand, South Africa and Taiwan.

Updates to the initial draft include greater emphasis being given to education and training elements of the proposal, and postponing budget development until after further detail is added on planned project activities. Some members have a particular interest in engaging in the technical-innovation aspect of the project. Others have indicated interest across the range of activities contained the proposal but need further time to identify the specific elements that they would like to be involved with.

There has been discussion of what would be effective indicators to measure project success.

Current draft project outline

Proposed project period: 3-4 years but timing dependent on securing external funding. The table format below is based on a template developed by FAO in early 2019 to solicit potential projects for Common Oceans follow-up GEF funding.

Partners	<ul style="list-style-type: none"> • Japan • Fishing Entity of Taiwan • Republic of Korea • South Africa • Indonesia • New Zealand • Australia • BirdLife International • [Agreement for the Conservation of Albatrosses and Petrels]
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	<ul style="list-style-type: none"> • [Ocean Outcomes]
Links to other programmes of work	Activities underway in each of the five tuna RFMOs to reduce seabird bycatch
Objective	Use educational outreach, capacity-building and technical innovation to enhance the capacity of CCSBT Members to implement and monitor the use of seabird bycatch mitigation measures, in order to reduce bycatch of seabirds.
Rationale/ Global Environmental Benefits	<p>Rationale/Environmental benefits: Albatrosses are the most threatened group of seabirds in the world. There are 15 of the 22 albatross species on the IUCN Red List. Bycatch in global pelagic longline fisheries is a key conservation threat. Impacts on albatross and petrel populations are one of the main biodiversity impacts of fisheries in the ABNJ.</p> <p>Successive meetings of CCSBT's Ecologically Related Species Working Group (ERSWG) have confirmed that the level of interaction between seabirds and Southern Bluefin Tuna (SBT) fisheries has remained at a high level and is a significant level of concern.</p> <p>Binding requirements are in place in the five tuna RFMOs for use of mitigation measures to reduce the risk of incidental capture of seabirds, particularly albatrosses. The CCSBT ERSWG has advised that mitigation measures and their effective implementation should be further promoted. In 2018, CC13 agreed that the Secretariat should work with Members and BirdLife International to develop a project involving both outreach/education and verification of compliance with seabird bycatch mitigation measures and seek external funding for that proposal (CC13 paras 110-111).</p> <p>The first global seabird bycatch assessment for tuna fisheries south of 20°S was completed through collaborative work under the first Common Oceans project and produced an estimate of 36,000 seabirds caught per year south of 20° S based on 2016 data and using a range of analytical approaches (CCSBT-ERS/1905/23). Nevertheless the assessment also identified that there are data gaps and sources of bias and uncertainty in currently-available data (in relation to observer data, seabird density distribution data and fishing effort data) that have an impact on the estimate of number of birds caught per year.</p> <p>With legal and technical aspects in place, keys to implementation of bycatch mitigation measures are (i) further education and outreach to industry; (ii) capacity-building among onboard observers and compliance officers; (iii) creation of systems to monitor vessel-level implementation of bycatch mitigation measures.</p>
Context (i.e. any activities already underway)	<p>The seabird bycatch element of the current FAO Common Oceans ABNJ Tuna 1 project, which has been coordinated by BirdLife International, has conducted national awareness-raising for seabird bycatch mitigation measure requirements with a number of fleets, along with observer training and provision of support for the collaborative efforts undertaken to produce the global seabird bycatch estimate for the area south of 20° S.</p> <p>Pilot studies conducted elsewhere, and by RFMO members, have proven the concept of using cameras for Electronic Monitoring onboard pelagic longline vessels.</p> <p>New Zealand is looking to trial a prototype of EARS (Electronic Automated Reporting System).</p>

	<p>An analysis by BirdLife/Global Fishing Watch (paper CCSBT-CC/1810/Info03) described a novel method for monitoring the use of night setting using Global Fishing Watch's data. There is potential for this technique to be extended to analysis by CCSBT Members of their VMS data. This project would support innovation of tools for national analysis of VMS data.</p> <p>The 2018 meeting of the CCSBT Compliance Committee and Extended Commission recommended that BirdLife International, the CCSBT Secretariat and CCSBT Members develop an externally funded proposal to enhance education and the verification of compliance with seabird mitigation measures to actively encourage full implementation of these measures.</p> <p>BirdLife International through its Albatross Task Force engages with pelagic longline, demersal longline and trawl fleets in South Africa, Brazil, Argentina, Namibia and Chile to support fleets to reduce seabird bycatch.</p>
<p>Technical Approach: The project will engage with CCSBT Members to deliver educational outreach; capacity-building of observers and compliance officers; and innovation of partially automated remote monitoring systems, to enable CCSBT Members to enhance and measure the degree of implementation of bycatch mitigation measures by vessels (for seabirds this is principally the use of night setting, branch-line weighting and bird scaring lines).</p> <p>1. Education and outreach to industry Education and outreach to participating fleets will provide information and support to facilitate vessel-level implementation of the required seabird bycatch mitigation measures.</p> <p>As far as possible, the project will support sustainable enhancement of existing national systems for education and outreach to industry, so that impact will continue beyond the lifespan of the project.</p> <p>Members with particular interest in this area: Taiwan, Indonesia, Japan</p> <p>2. Capacity-building to enhance monitoring The project will support:</p> <ol style="list-style-type: none"> 1. Observer training: Members with particular interest in this area: Indonesia, South Africa, Taiwan, Japan 2. Training compliance officers in key ports to increase capacity to monitor presence of bycatch mitigation measures onboard vessels. Members with particular interest in this area: Indonesia, South Africa, Taiwan, Japan <p>As far as possible, the project will support enhancement of existing national systems for training so that impact will continue beyond the lifespan of the project.</p> <p>3. Innovate automated systems to allow fishery managers to monitor automatically vessel-level implementation of bycatch mitigation measures The proposed project approach will involve fishery managers, industry and technology innovators to enhance development of systems that can undertake remote-monitoring of implementation by vessels of seabird bycatch mitigation measures.</p> <p>This may also include development of a VMS-based analysis of use of night setting (cf. CCSBT-CC/1810/Info03).</p>	

Work in this area is looking to go ahead in New Zealand, where there is a project to develop an early stage concept product known as EARS (Electronic Automated Reporting System), which is designed to detect and remotely report on the use of seabird mitigation. New Zealand has plans to undertake device development and initial testing of devices that can monitor the use of tori lines, line weighting, hook shielding device and night setting.

This project would include further development and testing of such devices on fleets where they could be utilised to monitor the use of required seabird bycatch mitigation measures.

Development under this project will take into account work underway in other RFMOs in relation to EM systems more broadly (not limited to monitoring of bycatch mitigation measure implementation), to avoid duplication, inconsistency and excessive burden on fishing vessels.

Members with particular interest in this area: Australia, Indonesia, Japan, Korea, New Zealand, South Africa, Taiwan

4. Update global seabird risk assessment

[This section subject to review and confirmation by Member scientists]

The first global seabird bycatch assessment for tuna fisheries south of 20°S was completed through collaborative work under the first Common Oceans project and produced an estimate of 36,000 seabirds caught per year south of 20° S based on 2016 data and using a range of analytical approaches (CCSBT-ERS/1905/23).

A repeat assessment would take the form of providing support to national scientists of tuna RFMOs to engage in analysis of their bycatch data through a workshop format similar to the Common Oceans' first estimate, to be coordinated through CCSBT.

Budget:	<p>Outline of potential budget:</p> <ol style="list-style-type: none"> 1. CCSBT project coordinator 2. Education and outreach to industry and observer/compliance-officer training (possible ballpark figure \$300K) 3. Technical innovation workshops, gear development and testing (Members and number of workshops to be confirmed) (possible ballpark figure \$500K) 4. Repeat seabird bycatch estimate for pelagic longline fleets south of 20° S (\$100K)
Co-financing:	(To be identified once project concept further developed)
Next steps:	Submit outline to CCSBT Compliance Committee 14 (October 2019) for its consideration.

MCS information collection and sharing

Compliance Policy Guideline 4

(Revised at the Twenty-Sixth Annual Meeting: 17 October 2019)

1. Introduction

In this policy all references to the Commission include the Extended Commission, and all references to Members include Cooperating Non-Members (CNMs) of the Extended Commission.

2. Purpose of policy

The purpose of this policy is to promote confidential and prompt sharing of MCS information:

- a) among relevant Members;
- b) between Port States and relevant Members;
- c) between coastal States and relevant Members;
- d) between market States and relevant Members; and
- e) with the Secretariat.

3. Policy statement

All Members are expected to:

- a) share relevant MCS information promptly with other Members' national fisheries agencies and the Secretariat;
- b) Provide to the Secretariat a list of current contacts for MCS purposes which can be shared with all Members;
- c) conduct inspections and share port inspection information with the relevant Member where there are grounds for suspecting that a vessel has engaged in IUU fishing or fishing related activities for SBT;
- d) share other port inspection information with Members as relevant/ appropriate;
- e) advise relevant non-Member Port States, coastal States and/or market States of information Members would like to receive to ensure the integrity of the SBT management regime; and
- f) follow the confidentiality and use guidelines provided at Annex I.

4. Circumstances where suspected IUU fishing is occurring or imminent

In cases where a Member has reasonable grounds to suspect a vessel is conducting IUU fishing or fishing activity relating to SBT, that Member is expected to:

- a) capture the information contained in Annex II; and
- b) if the suspected IUU activity involves a CCSBT Member flagged vessel, inform the relevant Member of the potential/suspected IUU activity and provide that Member with sufficient time to respond prior to providing the information to the Secretariat; or

- c) if the suspected IUU activity does not involve a Member flagged vessel, promptly provide the information collected to the Secretariat;

Upon receipt of information pertaining to suspected IUU activity, the Secretariat shall:

- d) share the information with the individual member contacts identified under paragraph 3 b) in accordance with the Guidelines for Confidentiality outlined in Annex I.

It is intended that information from routine aerial surveillance, port inspections, at-sea inspections, market monitoring and other information sources (*e.g.* AIS) or investigations would be shared with relevant Members as appropriate. Members are expected to respond to any information received that indicates potential non-compliance, and advise the Member, Port State, coastal State or market State providing the information of the response taken.

To encourage MCS information sharing, the Compliance Committee may:

- i) identify the MCS information to be collected and shared by Members, Port States, coastal States and market States;
- ii) recommend standardised formats for collecting and sharing this information;
- iii) provide and review guidelines to ensure information confidentiality; and
- iv) request the Secretariat to analyse information it may receive and report on any trends or unusual variations as appropriate.

In the absence of guidance from the Compliance Committee on items i) – iv) above, Members should share MCS information amongst themselves and with the Secretariat on a case by case basis as appropriate.

Members are encouraged to participate in the current fisheries MCS network, including building on existing bilateral arrangements and international networks such as the International Monitoring, Control and Surveillance Network (IMCSN). The Secretariat should continue to be an active member of the Tuna Compliance Network (TCN)¹, including cooperating and liaising with other tuna RFMOs through the TCN as appropriate.

Over time, there may be a need to establish a formal compliance network among Members and with members of other RFMOs. A formal compliance network would include obligations to provide information and respond to information received and may include reciprocity of enforcement powers.

¹ As long as the TCN continues to function

5. Roles and responsibilities under this Policy

<i>Who</i>	<i>Responsibility to:</i>
Commission	<ul style="list-style-type: none">• Approve policy• Consider recommendations from Compliance Committee
Compliance Committee	<ul style="list-style-type: none">• Recommend standardised MCS information to be collected and shared• Provide and review guidelines for information confidentiality• Review and revise policy
Secretariat	<ul style="list-style-type: none">• Provide a confidential pathway for information to be exchanged• Analyse information it may receive and report on trends and variations within confidentiality constraints
Members	<ul style="list-style-type: none">• Share information with relevant parties confidentially and as promptly as possible

6. Policy review

This policy is to be reviewed five years from the date of its most recent revision. The Commission may direct a review at any earlier time. A Member may request an earlier review. The request, setting out the reasons for the review, must be submitted to the annual meeting of the Compliance Committee.

Annex I: Guidelines for Confidentiality and Use of MCS Information

1. MCS information is confidential and may only be provided or used as permitted by this Policy.
2. The Secretariat:
 - may only share the MCS information it receives if permitted to do so by the Member that provided the information;
 - may restrict the sharing of MCS information to relevant Members, as appropriate, and/or to Members specified by the information provider.
3. Members that receive MCS information from another Member will maintain the confidentiality of that information and may not use the information except as specified in this Policy. In particular, Members that receive MCS information may only provide that information to Member representatives and officials for the purposes outlined in paragraph 4 of this Annex.
4. Members may only use the MCS information to monitor compliance with CCSBT conservation and management measures.

Annex II: Potential template to record IUU sighting information

In the event that a Member identifies a fishing vessel that may be conducting IUU fishing of SBT, the Member shall document as much information as possible on each sighting, including;

- a) Name and description of the vessel
- b) Vessel call sign
- c) Registration Number and Vessel IMO number (if applicable)
- d) Flag State of the vessel
- e) Photographs of the vessel
- f) Activity of the vessel (e.g. setting, hauling)
- g) Time and date of sighting
- h) Location of sighting