



CCSBT–CC/2510/08

Update of the CCSBT Compliance Plan
CCSBT 遵守計画の改定
(CC 議題項目 3.1)

1. Introduction

序論

The 19th meeting of the Compliance Committee (CC19) agreed that the Compliance Committee would review the CCSBT Compliance Plan in 2025 (at CC20) to ensure that its overarching goals, strategies and principles are aligned with CCSBT's 2023-2028 Strategic Plan.

第 19 回遵守委員会会合（CC 19）は、CCSBT 遵守計画の全体的なゴール、戦略及び原則が 2023–2028 年戦略計画に沿ったものとなるよう確保するため、2025 年の CC 20 会合において CCSBT 遵守計画のレビューを行うことに合意した。

The CCSBT Strategic Plan includes a Convention Objective along with Vision and Goals that inform the work of the Commission, including its compliance activities and priorities. The CCSBT Compliance Plan defines the CCSBT compliance approach and establishes a framework that supports the continual improvement in compliance with obligations. CCSBT 戦略計画には、条約の目的と合わせて、委員会の業務の根本となるビジョン及びゴール（その遵守関連活動及び優先度を含む）が示されている。CCSBT 遵守計画は、CCSBT の遵守に関する手段を定義し、義務の遵守にかかる継続的な改善を支援するための枠組みを定めている。

A key supporting document of the Compliance Plan is the Compliance Action Plan 2025-2029 (CAP). The CAP sits within the CCSBT Compliance Plan and identifies priority compliance risks and agreed compliance actions to address these risks. The CCSBT Compliance Plan, therefore, needs to not only define the CCSBT compliance approach, but also outline the processes needed to:

遵守計画の重要なサポート文書は 2025–2029 年の遵守行動計画（CAP）である。CAP は、CCSBT 遵守計画の一部であり、優先度の高い遵守リスクと特定するとともに、これらのリスクに対処するための遵守行動に合意したものである。したがって、CCSBT 遵守計画は、CCSBT の遵守手段を定義するだけでなく、以下に必要なプロセスについても総括する必要がある。

- ensure that the compliance risks remain up to date and emerging risks are identified and discussed by the Compliance Committee;
遵守リスクが最新の状態にアップデートされており、新たなリスクが遵守委員会によって特定及び検討されるよう確保すること。
- review action taken to address these risks and ensure that defined actions are effectively responding to these risks; and
これらのリスクに対処するために取られた行動をレビューし、またこれらのリスクに効果的に対応する形で行動が定義されるよう確保すること。

- ensure that CCSBT maintains a responsive and targeted compliance approach.
CCSBT が迅速かつ対象を絞った遵守手段を維持するよう確保すること。

This paper provides:

本文書では以下を提示した。

- The current Compliance Plan revised at the Twenty-Sixth Annual Meeting of the Commission and Extended Commission (CCSBT26) (17 October 2019) (**Attachment A**);
第 26 回委員会年次会合（CCSBT 26）に付属する拡大委員会（2019 年 10 月 17 日）で改定された現行遵守計画（別紙 A）
- A draft discussion document that includes the current Compliance Plan text, draft recommended updates for new Compliance Plan and comments from the Secretariat on the updates (**Attachment B**); and
現行の遵守計画本文、改定遵守計画に向けた変更提案、及びこれらのアップデートに関する事務局コメントを含む検討文書（別紙 B）
- A clean copy of the draft CCSBT Compliance Plan (**Attachment C**).
CCSBT 遵守計画案のクリーンバージョン（別紙 C）

2. Background

背景

CCSBT's updated Strategic Plan for 2023 to 2028 included an action item (number 5i) to “*update or revise the 2018-2020 Action Plan to the next five-year phase as a matter of urgency based on the recommendations from the Performance Review*”.

2023－2028 年の CCSBT 戦略計画には、「パフォーマンス・レビュー勧告を踏まえ、緊急課題として、2018－2020 年の行動計画を次の 5 年間にに向けて更新又は修正する」こととした行動項目（項目 5i）が含まれている。

Work to update the CAP commenced in 2023. The CAP for 2025-2029 was completed at CC19 and endorsed at CCSBT31 in 2024. The Compliance Action Plan (CAP) sits within the Compliance Plan and current CCSBT Compliance Plan was last updated in 2019. It is therefore essential that the CCSBT Compliance Plan is reviewed and updated to ensure that it provides a framework that best supports the implementation of the CAP, including ensuring that it is effectively monitored and responsive to new and emerging risks.

CAP の改定作業は 2023 年に開始された。2025－2029 年の CAP は 2024 年の CC 19 において策定され、CCSBT 31 により承認された。遵守行動計画（CAP）は遵守計画の一部であり、現行の CCSBT 遵守計画が策定されたのは 2019 年である。このため、CCSBT 遵守計画が CAP の実施を最善な形で支援する（新たに顕在化しつつあるリスクの効果的にモニタリング及び迅速な対応を確保することを含む）枠組みであるよう確保するべく、これをレビュー及び改定することが必要不可欠である。

The Secretariat has reviewed the CCSBT Compliance Plan and provided recommended updates to the Plan for the consideration of the Compliance Committee to meet these needs. 事務局は、遵守委員会による検討に供するため、CCSBT 遵守計画をレビューし、こうしたニーズに応えるための同計画への修正案を勧告した。

The purpose of the CCSBT Compliance Plan remains to provide a framework for the Commission and Members to improve compliance, and over time, achieve and maintain full compliance with their CCSBT obligations.

CCSBT 遵守計画の目的は、以前と変わらず、委員会及びそのメンバーに対して、そ

これらの CCSBT 保存管理措置に対する遵守を向上させ、将来的にその完全遵守を達成させる枠組みを示すことである。

The Draft Updated CCSBT Compliance Plan

CCSBT 遵守計画改定案

A draft discussion document has been provided as Attachment B to this paper and includes the current CCSBT Compliance Plan text, draft recommended updates for a new CCSBT Compliance Plan. The Secretariat has also provided comments on the recommended updates for Members consideration. The key changes to the draft CCSBT Compliance Plan are:
本件にかかる検討文書を本文書別紙 B に示した。これには、現行 CCSBT 遵守計画の本文、改定 CCSBT 遵守計画の本文案が含まれる。また事務局は、メンバーの検討に供するため、これらの修正提案にかかる事務局のコメントを付した。CCSBT 遵守計画案における主な修正点は以下のとおりである。

- The alignment with mechanisms established to support improved compliance, including the [Corrective Actions Policy](#) and the [Capacity Building Workplan](#).
遵守の向上に資するために設立されたメカニズム（[是正措置政策](#)及び[キャパシティ・ビルディング作業計画](#)を含む）との整合
- The removal of strategies to streamline the plan and focus on key areas of delivery, recognising the move to a more risk-based approach to compliance by CCSBT.
CCSBT による遵守がリスクベースの手法に移行しつつあることを踏まえた、本計画を整理するための戦略部分の削除及び成果の重要分野への重点化
- Updating the compliance principles that inform the key elements of the CCSBT compliance approach.
CCSBT の遵守手法の重要な要素の基礎情報となるよう、遵守に関する原則をアップデート
- Outlining a review process that is based around the Compliance Committee conducting:
遵守委員会が以下を実施することをベースとするレビュープロセスの総括
 - Annual reviews of the compliance risks to identify and discuss current and emerging risks to ensure that the Commission is responding to current priority compliance risks. This will also minimise the burden on the Compliance Committee to undertake a full review process to update compliance risks every five years as was previously conducted.
委員会が現在優先度の高い遵守リスクに対応していることを確保するべく、現行及び新たなリスクを特定及び議論するための遵守リスクの年次レビュー。またこれは、以前に行われていたような 5 年に一度の遵守リスクの更新に伴う全面的なレビュープロセスを実施するための遵守委員会に対する負担を軽減するものと考えられる。
 - An annual review of progress made against actions identified in the Compliance Action Plan and an assessment of whether the target delivery timeframes remain applicable.
遵守行動計画において特定された行動事項に対する進捗状況の年次レビュー及び目標達成期限が引き続き適用可能かどうかに関する評価
 - An annual review of actions identified in the Compliance Action Plan for delivery in the following year and an assessment of whether the target delivery timeframes remain applicable.
遵守行動計画のうち翌年に実施予定とされている行動事項の年次レビュー及び目標達成期限が引き続き適用可能かどうかに関する評価
 - Identification of any new actions needed to address any agreed new or emerging risks.

合意された新たに顕在化しつつあるリスクに対処するために必要な新たな行動の特定

Summary

概要

The Secretariat invites Members to:

事務局は、メンバーに対して以下を招請する。

- Consider and discuss the draft CCSBT Compliance Plan provided by the Secretariat; 事務局が提出した CCSBT 遵守計画案を検討すること。
- Agree and update the draft CCSBT Compliance Plan as needed; and 必要に応じて、CCSBT 遵守計画に合意及び改定すること。
- Recommend that CCSBT 32 adopt the updated CCSBT Compliance Plan. CCSBT 32 に対し、改定 CCSBT 遵守計画の採択を勧告すること。

Prepared by the Secretariat

事務局作成文書

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.

CCSBT 遵守計画

(第26回委員会年次会合 (2019年10月17日) 改正)

目的

遵守計画は、2015年10月に承認された CCSBT 戦略計画を支持する。遵守計画は、特にカテゴリーCに関するビジョンを支持する。

「メンバーは、委員会を通じて SBT の管理に積極的に参加し、
その決定を実施する。」

遵守計画の目的は、委員会及びそのメンバーに対して、それらの CCSBT 保存管理措置に対する遵守を向上させ、将来的にその完全遵守を達成させる枠組みを示すことである。

遵守計画は、優先的な遵守リスクに取り組むための「5年間の行動計画」を含んでいる。当該行動計画は、少なくとも5年に一度レビューされ、追認されるか又は更新される。したがって、行動計画は、「生きた」文書であり、重点項目は時間とともに変更される。

この文書において、メンバーには、拡大委員会の協力的非加盟国 (CNM) が含まれ、全ての委員会には拡大委員会 (EC) も含まれる。

構成

この計画は、以下に掲げる5つのパートから構成されている。

1. ゴール及び戦略
2. 遵守に関する原則
3. 役割及び責任
4. 計画実施及びレビュー
5. 5年間の行動計画 (別添1)

パート 1：ゴール及び戦略

ゴール

CCSBT 戦略計画は、メンバーによる参加及び実施に関連する 4 つのゴールを特定している（カテゴリーC）。

- **監視、管理及び取締り（ゴール8）**

統合され、目標を定めた、並びに費用対効果の高い監視、管理及び取締り措置を委員会のゴールにかなうよう稼働する

- **メンバーの義務（ゴール9）**

全てのメンバーが CCSBT の規則を遵守する

- **途上国支援（ゴール10）**

途上国が委員会の管理措置及び他の要件を遵守することができる

- **CCSBT への参加（ゴール11）**

SBT を漁獲する全ての国並びに地域的な経済統合のための機関（REIO）及び主体を委員会に参加させるとともに、SBT の管理に協力させる。寄港国及び市場国に対して CCSBT の目的及び管理に関する取決めに協力するよう要請する。

戦略

戦略は、これらのゴールを達成するために提案される手段であり、それぞれのゴールに対応した番号を付している。

下記の戦略は、CCSBT 戦略計画において規定された戦略に基づいている（日本語版 16-17 ページ）。一部の戦略については、タイトルに修正を加えており、記述も詳しくしている。戦略 8.4 は、非メンバーの IUU 漁業の監視を明示的に網羅できるよう拡大している。

8.1 合意された MCS 措置をメンバーが実行する

遵守委員会は、メンバーによる CCSBT 保存管理措置の実施を監視する。これには、保存管理措置の包括的なリストの維持、及び当該措置に基づくメンバーの義務に対する各メンバーからの定期報告も含まれる。メンバーからの報告書は、遵守委員会によって分析され、メンバーは当該報告書に関する質問及びフィードバックを受ける。また、独立的な監査が実施される（戦略 9.1 を参照）。

遵守委員会は、既存の遵守政策を引き続き策定³し、そして定期的にこれをレビューする。かかる政策は、例えば文書「CCSBT の義務を遂行するための最低履行要件」のように、メンバーの義務及び関連する履行要件を明記するものである。遵守政策は、委員会の合意によって採択される。

³ 遵守政策ガイドラインとしては、最低履行要件（CPG1）、是正措置（CPG3）及び情報収集及び共有（CPG4）に関するものが策定されている。

8.2 遵守計画の実施

新たに発生した遵守リスクに対応するため、又は効果のない若しくは効率の悪い措置の代わりとするため、新規の措置が必要となる可能性がある。遵守委員会は、委員会に勧告する措置や義務を策定する際は、リスク管理の手法を採用する。これには、以下に掲げるものが含まれる。

- a) 委員会の目標を達成するため、追加的な MCS 措置及び／又は合意された MCS 措置の改善の必要性について評価する
- b) 実施中の MCS 措置と必要となる改善又は追加的な措置及びこれらの措置の実施プロセスの間のギャップを特定する

保存管理措置の変更又は追加に関する勧告には、履行要件も含まれる。

8.3 メンバーの遵守強化

漁場から市場までの SBT 漁業の各段階（転載、蓄養、貿易等）における十分な遵守を確保すべく、メンバーの取組を引き続き強化する。

遵守委員会は、メンバーが効果的な MCS 制度及び費用対効果の高い遵守業務の遂行を計画及び実施するのを支援するための政策及びガイドラインを引き続き策定する。かかる政策及びガイドラインは、メンバーの義務に基づくものとし、義務を遂行しないリスクを回避、改善又は緩和するための最善の方法に焦点を合わせるものとする。

この戦略の一環として、FAO 寄港国措置協定及び各メンバーの国内法及び規制を踏まえ、寄港国による検査に関する決議をレビューする必要がある。

8.4 SBT 市場の拡大の監視

委員会及びメンバーは、非協力的非加盟国（CNSM）による SBT の漁獲量／死亡量、及び／又はそれらの SBT 市場の拡大を積極的に監視する。これには、MCS 活動を通じたモニタリング及び SBT に関する貿易データの定期的なレビューも含まれる。

CCSBT の義務に反する全ての SBT 漁業を支援する非メンバー及び寄港国は、CCSBT の措置に協力するよう要請される。IUU SBT 漁業への対抗措置が実施され、これには国際法と整合的な貿易及び市場措置の適用が含まれる。

8.5 遵守に関するデータの交換

遵守委員会は、MCS に関する情報を、メンバー間で、及び必要に応じて寄港国、市場国及び沿岸国と、交換及び共有することを促進するための政策及び規則を引き続きレビューする。これには、必要となるデータの機密性に関する規則のレビューも含まれる。

遵守委員会は、メンバー、その他の関係団体（寄港国、市場国、沿岸国、他の地域漁業管理期間（RFMO）及び NGO 等）、及び一般の者との間の情報共有を促進す

る。これには、情報共有を障害するものの除去、情報共有の経費を圧縮するための制度の設立、及び委員会の情報へのオープンアクセスを最大化する政策の採択、に積極的に取り組むことが含まれる。

8.6 事務局による MCS 業務

事務局は、遵守委員会に対して、遵守政策及びプロセスに関する助言を提供し、共有される遵守業務の指定及び発注を支援する。

これには、以下の事項が含まれる。

- a) 提出された MCS データを分析を実施し、かかるデータの傾向を毎年報告する
- b) 事務局に提出されたデータに基づき、既存の MCS 措置の有効性を評価する
- c) CCSBT による遵守に関する取組を管理及び監視する
- d) 遵守制度及び計画（例えば、漁獲証明制度及び報告）の管理

事務局は、予算上の決定に応じて、委員会に対して MCS に関する業務を提供することができるが、これは費用対効果が高く、かつ事務局の中心的な任務である委員会へのサポート、委員会運営の円滑化及び委員会に関する情報の管理を阻害しない形で実施することが可能な場合とする。かかる業務は、専任職員又は業務契約を通じて実施することができる。

8.7 調査及び開発

遵守委員会は、MCS 制度の実施を促進するべく、新しい技術及び手法に関する調査の開始を勧告する。有望な技術については、試験的に実施し、その実用性及び費用対効果について評価する。当該試験のための負担割合は、遵守に関するリスク及び便益に基づくものでなければならない。試験のための資金拠出については、技術及びその適用に応じて、メンバーが個別に又は協力して行うことができる。

9.1 メンバーの MCS 制度及びプロセスの監査

保存管理措置及び CCSBT に関連する国際的な義務に対するメンバーの履行、取締り及び遵守に対して、定期的に監査が行われる。

遵守委員会は、メンバーに対して、当該メンバーの SBT に関連する MCS 制度に対して独立的に監査が行われるよう要請する。かかる監査は、メンバーが遵守政策ガイドライン 1—最低履行要件（MPR）により定義された CCSBT における義務を遂行するために実施している制度及びプロセスに焦点を合わせる。監査報告書は、全てのメンバーに公表される。かかる監査の目的は、メンバーに対して、当該メンバーの MCS 制度の妥当性を保証するものであり、また改善分野を特定し、そして委員会に対して当該メンバーは自らの義務を果たしていることを保証するものである。

9.2 是正措置及び改善

遵守委員会は、CCSBT 規則への違反に対して CCSBT 是正措置政策を適用し、及び CCSBT の義務の遵守を促進するためのインセンティブを定める。

メンバーが主要な保存管理措置及び義務（特に漁獲管理措置及び MCS 措置）を遵守していないことについて、これを信じるに足る合理的な理由があった場合には、遵守委員会は、調査を行うよう勧告する。調査結果は、委員会によって検討される。

10.1 発展途上国であるメンバー、及び適当な場合は非メンバーによる委員会の要件の遵守への支援

遵守委員会は、委員会がメンバーに技術及び資金を提供し、当該メンバーが自らの義務を遂行するために漁業 MCS 制度の開発及び実施を行うのを支援するよう勧告する。支援には、以下に掲げる項目を含めることができる。

- 教育、訓練及び特別業務
- 技術コンサルタント
- 業務の共有
- 財政支援

遵守委員会は、途上国のメンバーと共に作業を行い、以下の事項を実施する。

- a) 途上国による CCSBT の義務の遂行を確保するためには、いかなる分野に対する支援が有益であるか特定する
- b) 支援の提供方法について特定する（例：技術向上、派遣、ワークショップなど）
- c) 途上国が委員会の要件を実施するのを支援する計画を策定及び実施する

11.1 包括的な協力

CCSBT の管理措置の広範な実施を促進するため、遵守委員会は、

- a) NCNM によるあらゆる漁獲量／死亡量を特定し、関連する主体に対して協力を求めるよう勧告する。
- b) 運搬船の旗国であって SBT の漁獲は行っていない国といったより幅広い当事者による参加及び／又は協力を得るための方法について調査し、これを勧告する。
- c) SBT に関係する重要な寄港国、市場国又は沿岸国となっている又はなりそうな非メンバー国を特定する。このような国は委員会に通報され、委員会はかかる国々に対して CCSBT の管理措置への協力を要請するかどうかについて検討する。

パート 2：遵守に関する原則

この計画を実施する際には、以下に掲げる原則が決定のための指針となる。

遵守要請：メンバーは、効果的な遵守制度の実施を通じて、CCSBT の義務を遵守するよう要請されなければならない。

抑止策：IUU 漁業を発見し、処罰するための効果的な抑止策が用いられなければならない。

責任：メンバーは、世間に対して、自身の CCSBT 上の義務を果たしていることの説明責任を有しなければならない。

公開及び透明性：

d) 遵守に関する情報が、全てのメンバーによって利用可能な状態でなければならない。

e) 全てのメンバーが議論に参加しなければならない。

f) 全ての遵守報告書は、可能な限り直ちに公表されなければならない（ただし、CCSBT 手続規則の規則 10 に従うことを条件とする）。

協力及び共同活動：メンバーは、共同活動等を通じて協力し、効果的な監視を推進し、かつ遵守のレベルを向上させなければならない。

インセンティブ：前向きなインセンティブによって、メンバーによる遵守制度の監視及び改善が奨励されなければならない。

効率性：遵守義務は、費用対効果があるものでなければならず、メンバーに対して不当な経費を負担させてはならない。

リスク管理：保存管理措置並びにそれを支援する制度及びプロセスの変更又は追加の決定を行う際には、リスク管理の手法が適用されなければならない。

パート 3：役割及び責任

メンバー

- 委員会の政策、企画及び保存管理措置の策定に関連する意思決定プロセスに積極的に参加する。
- 義務を遂行し、かつ委員会によって合意された措置を確実に遵守する。
- 効果的な漁業 MCS 制度を実施し、そして自国の船籍を持つ船舶及び許可蓄養場がメンバーの規則⁴に従うことを確保する。
- 遵守委員会に対して、措置及び義務の実施状況、並びに措置及び義務を効果的に遵守するために改善が必要な全ての分野を報告する。
- 発見された全ての重大な非遵守及び実施された改善措置について報告する。
- 委員会が合意した全ての是正措置又は改善措置を実施する。

委員会

- 遵守計画及び「5 年間の行動計画」を承認する。
- 全ての是正措置及び改善措置を決定する。
- 遵守委員会からの勧告を検討し、最終決定を下す。

遵守委員会

- 政策に関する枠組、ガイドライン及び技術的支援を勧告し、メンバーによる CCSBT 措置の効果的かつ一貫した実施を促進する。
- 委員会の措置に対するメンバーの履行状況を監視する。
- 年次遵守リスク評価を実施する。
- 遵守に関するリスクの特定に基づき、「5 年間の行動計画」（別添 1）をレビューし、更新を勧告する。
- 遵守リスクに対応するべく、CCSBT の義務の追加又はその修正を勧告する。
- 監査報告をレビューし、遵守に関する監査を勧告する。
- 疑義のある重大な非遵守に対する調査を勧告し、必要な場合には、あらゆる是正措置又は改善について勧告する。

事務局

- メンバー間の建設的な作業の協力関係を促進する。
- 包括的であり、全てのメンバーを含む形であり、かつ透明性がある意思決定プロセスを推進する。
- メンバー及び委員会の任務及び責任に寄与する情報を管理及び配信する。
- 教育、特別及び専門業務の実施を推進し、委員会の措置の効果的な実施を支援する。
- 遵守委員会のための総括及び不調和報告書を作成する。
- 遵守委員会に対して、遵守/MCS に関する政策、計画、ガイドライン及び業務についての助言を行う。

⁴ 「規則」には、法令、許認可の条件を含む。

パート 4 : 計画の実施及びレビュー

実施責任

遵守委員会は、委員会の指揮及び監督の下、この計画の実施運用についての責任を有し、これには、以下の事項が含まれる。

- 年次遵守リスクレビュー
- 「5年間の行動計画」の5年に一度のレビュー及び更新

遵守委員会は、委員会によって検討され決定されるよう、行動計画、新しい義務、政策、その他の行動に関する勧告を行う。

事務局は、遵守委員会及び委員会の両方に対して、技術的及び事務的な支援を行うとともに遵守政策に関する助言を行う。

レビュー

CCSBT 戦略計画がレビューされた場合には、委員会は直ちに遵守計画をレビューする。「5年間の行動計画」（別添 1）は、遵守委員会によって少なくとも5年に一度レビューされる。

CCSBT Compliance Plan (Revised at the Twenty-Sixth Annual Meeting: 17 October 2019)	DRAFT CCSBT Compliance Plan (To be revised at the Thirty-Second Annual Meeting: 9 October 2025)	Secretariat Comment
Purpose The Compliance Plan supports the CCSBT Strategic Plan, approved in October 2015. Specifically, it supports the vision for Category C: <i>“Members are actively participating in management of SBT through the Commission and implementing its decisions”.</i> 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	Purpose The Compliance Plan supports the achievement of the vision and goals defined in the CCSBT Strategic Plan, approved in October 2023. Specifically, it most strongly supports the vision that: <i>“Members¹ are actively participating in management of SBT through the Commission and implementing its decisions”.</i> The purpose of the Compliance Plan is to provide a framework for the Commission and Members to improve compliance and, over time, achieve and maintain full compliance with their CCSBT conservation and management measures obligations. CCSBT 31 endorsed the CCSBT Capacity Building Workplan which targets support and assistance to the areas of greatest need for developing country Members to help them to comply with CCSBT measures. The Capacity Building Workplan complements the CCSBT Corrective Actions Policy and both	Updated reference to the new Strategic Plan and to reflect the changes to the vision in this strategy. The purpose has been broadened to recognise that the Compliance Plan supports all of the vision and goals, but most strongly supports the participation and implementation by Members. Seeking full compliance over time is seen as a fundamental tenet of the Compliance Plan so this is recommended to be retained. However, maintaining full compliance when achieved is also important, so this has been included as a suggested addition to the purpose. As agreed at CC19, the CAP will be reviewed and updated as needed at CC annually. It is recommended that the risks are also reviewed and updated (as needed) annually. This recognises that compliance risks may change a lot in five years and will ensure that the review of the CAP is based on current compliance risks.

CCSBT Compliance Plan (Revised at the Twenty-Sixth Annual Meeting: 17 October 2019)	<i>DRAFT</i> CCSBT Compliance Plan (To be revised at the Thirty-Second Annual Meeting: 9 October 2025)	Secretariat Comment
of the Extended Commission (CNMs), and all references to the Commission include the Extended Commission (EC).	documents are key tools for establishing and maintaining high levels of compliance. The Compliance Plan includes a Five-Year Compliance Action Plan (CAP) to address priority compliance risks. Progress against the action plan will be reviewed by the Compliance Committee annually, with the CAP confirmed or updated every five years as required following this review. The action plan is therefore a dynamic ‘rolling’ document and over time its emphasis will change. Footnote 1: Throughout this document references to Members also includes Cooperating Non-Members of the Extended Commission (CNMs), and all references to the Commission include the Extended Commission (EC).	Text has been added outlining the link to the Capacity Building Plan, noting that this, along with the Corrective Actions Policy, are key supporting tools for increasing Member compliance. CC19 agreed to annual reviews of the CAP to ensure that the document is dynamic and responsive to changing risks and compliance needs. This annual review process has been extended to the compliance risks, which will also inform the review of the CAP, and will lessen the burden on Members to update these at the end of life of the plan. It is recommended that the text outlining how the term ‘Members’ is used in the document is moved to a footnote. This is because it is explanatory, rather than adding any substantive value to the Compliance Plan.
Structure This plan is in five parts: 1. Goals and Strategies 2. Compliance Principles 3. Roles and Responsibilities	Structure This plan is in five parts: 1. Goals and Strategies 2. Compliance Principles 3. Roles and Responsibilities	It is recommended that this text is retained, but strategies are removed as outlined in the text that follows.

CCSBT Compliance Plan <i>(Revised at the Twenty-Sixth Annual Meeting: 17 October 2019)</i>	DRAFT CCSBT Compliance Plan <i>(To be revised at the Thirty-Second Annual Meeting: 9 October 2025)</i>	Secretariat Comment
4. Plan implementation and review 5. Five -Year Action Plan (Appendix 1).	4. Plan implementation and review 5. Five -Year Compliance 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	Part 1: Goals and Strategies Goals The CCSBT Strategic Plan contains specific targeted compliance-related goals that have informed, and been incorporated into, the high-level goals of the compliance plan: 1. Integrated, targeted and cost-effective measures are in place to monitor global SBT trade and assess compliance with CCSBT’s obligations.	The new Strategic plan contains targeted goals assigned to CC that are mostly identified for short-term delivery. So, these goals have been incorporated in suggested high-level compliance goals. The language in the first objective has been altered slightly to incorporate the language in the Strategic Plan goal to “Improve arrangements to collect and analyse the information of SBT distributed in the global market and consider strengthening relevant measures to monitor and control trade of SBT products in the markets”. It is proposed that specific references to Monitoring, Control and Surveillance (MCS) are removed from this goal, as MCS is undertaken mostly at the Member level, and the broader reference to “measures” can include both MCS measures and also broader tools such as monitoring of SBT trade.

CCSBT Compliance Plan (Revised at the Twenty-Sixth Annual Meeting: 17 October 2019)	DRAFT CCSBT Compliance Plan (To be revised at the Thirty-Second Annual Meeting: 9 October 2025)	Secretariat Comment
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	2. All Members achieve and maintain compliance with CCSBT rules and obligations. 3. Developing country Members are supported to build and sustain capacity to implement and comply with the Commission's management measures and obligations. 4. Ensure that all States, 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.	Monitoring global SBT trade is undertaken principally through the CDS, but also through incorporating other (cost effective) external information sources into the compliance measures, including new information sources as these become available. This goal will also encompass the strategic plan goal to "Further increase efforts, including analysis on the application of electronic monitoring, to improve and supplement observer coverage in accordance with Scientific Observer Program Standard (SOPS)." The second goal aligns with the defined purpose of the compliance plan but references high rates of compliance rather than full compliance to recognise the duration of the plan (four years, whereas full compliance is the long-term goal). The third goal encompasses the strategic plan goal to "formulate and implement a capacity-building work plan to improve data collection, scientific analysis, and compliance related activities".

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		The fourth goal is carried over with no suggested changes.
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.		It is proposed that the strategies be removed from the updated compliance plan, as these strategies are no longer present in the current CCSBT Strategic Plan. The strategies also added a lot of volume to the Compliance Plan, and some were repetitive of elements that were elsewhere in the Compliance Plan, or were covered in other CCSBT documents, such as the Terms of Reference for the Compliance Committee and CPG documents. It is recommended that these existing CCSBT documents be updated if Members believe that any points included in the previous strategies are essential to retain.
Part 2: Compliance Principles In implementing this plan, decisions will be guided by the following principles:	Part 2: Compliance Principles In implementing this plan, decisions will be guided by the following principles:	It is proposed that compliance principles be retained but updated to align them with the new goals included in the Draft Compliance Plan.

CCSBT Compliance Plan (Revised at the Twenty-Sixth Annual Meeting: 17 October 2019)	DRAFT CCSBT Compliance Plan (To be revised at the Thirty-Second Annual Meeting: 9 October 2025)	Secretariat Comment
<i>Encouraging compliance:</i> Members should be encouraged to comply with their CCSBT obligations through implementation of effective compliance systems. <i>Deterrence:</i> Effective deterrence should be used to detect and apply sanctions against IUU fishing. <i>Accountability:</i> Members should be held publicly accountable for meeting their CCSBT obligations. <i>Openness and transparency:</i> 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). <i>Cooperation and collective action:</i> Members should cooperate, including through collective action, to facilitate	<i>Targeted:</i> Compliance actions should prioritise non-compliance that presents the greatest risk to the achievement of CCSBT’s objectives. <i>Efficient:</i> Compliance actions should effectively identify and address non-compliance whilst not imposing unreasonable administrative burdens or costs on Members or the Secretariat. <i>Cooperative:</i> Members should cooperate with each other and the Secretariat, including through collective action, to facilitate effective monitoring and improve levels of compliance. <i>Inclusive:</i> Compliance actions should: a) be effective, whilst also considering the resources available to Members and the Secretariat. Where appropriate, improved compliance should be encouraged and supported, including proactively through the CCSBT Capacity Building Workplan.	Targeted: Supports goal one and also recognises the risk-based approach that was taken to developing the compliance action plan. Efficient: Also supports goal one to ensure actions and decisions are effective, but also consider the costs and burdens placed on Members. Cooperative: Contains the same text as the previous principle “Cooperation and collective action” but adds cooperation with the Secretariat. Inclusive part (a): Supports goal three, through recognising not all Members have the same resources available, and this may present challenges to implementation, so this principle seeks to encourage and support improved compliance (such as through the capacity building workplan) where appropriate. Inclusive part (b): Supports goal four, through seeking cooperation with other entities that

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effective monitoring and improve levels of compliance. <i>Incentives:</i> Positive incentives should be used to encourage Members to monitor and improve their compliance systems. <i>Efficiency:</i> Compliance obligations should be able to be met cost-effectively, and not impose unreasonable costs on Members. <i>Risk management:</i> 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.	b) encourage cooperation from all States, Regional Economic Integration Organisations (REIOs) and entities catching, receiving landings of, or trading SBT. Transparent: Sufficient information should be available to all Members to support thorough compliance assessment processes, develop targeted compliance actions and to inform appropriate responses to non-compliance. All compliance reporting documents should also be made publicly available. Responsive: Members should respond without undue delay to address incidents of non-compliance and improve systems and processes to prevent further non-compliance from occurring.	are involved in the harvesting or trade of SBT. Transparent: Focusses on ensuring that Members have the information they need to make informed compliance decisions and to support compliance actions. This principle will be supported by both Members and the Secretariat and is important to support the achievement of goal two. It also seeks to encourage the continuation of current CCSBT processes of making compliance reporting publicly available, which was in the previous transparency principle. However, the reference to the CCSBT Rules of Procedure has been removed, noting that this principle includes “should”, so it is an expectation, not a requirement. This principle would not impact in any way Members ability to request a report, or a specified part of a report, not to be made available for release. Responsive: Seeks to support goal two by encouraging Members to respond quickly to non-compliance and improve systems and processes to prevent further non-compliance

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		so that they achieve and maintain high rates of compliance.
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.¹ - Report to the Compliance Committee on the implementation of 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.¹² - Actively support the planning and delivery of compliance actions	The roles and responsibilities are proposed to be retained as they were, but with two small additional references: 1) to Member support to those actions identified in the CAP as having Member responsibility. 2) to Secretariat support to those actions identified in the CAP as having Secretariat responsibility. There are also some small additional editorial changes recommended to the roles and responsibilities. These broader roles and responsibilities contained in this section (beyond just the specific implementation of this plan) are seen as important to support the achievement of the objectives defined in this Compliance Plan.

^{1 2}“Rules” include laws, regulations, and conditions on permits, licenses or authorisations.

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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.	identified as having Member (or shared) responsibility. - 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 the Compliance Plan and Five-Year CAP Action Plan. - Determine any corrective actions and remedies, especially considering the application of the <u>Corrective Actions Policy</u> and <u>Capacity Building Workplan</u>.	It is proposed that “MCS” be removed from the reference to “compliance/ MCS policy, plans, guidelines and services”. MCS is implemented more at the Member level and focusses more on the tools used to monitor and improve compliance. It is proposed that the focus in the Compliance Plan should remain on the desired result, achieving improved/full compliance. The Compliance Committee responsibilities have been updated to support the annual review processes, which will allow the compliance work to be more responsive to changing risks and lessen the burden that will fall to Members at the end of the life of the plan.

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• 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.	• Consider recommendations from the Compliance Committee and make final determinations decisions. 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 of identified compliance risks and update the compliance risks as needed, including following the review and update of the Compliance Plan. • Annually review progress against the Five-Year CAP Action Plan (Appendix 1), based on the identification and assessment of	

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• 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. • Provide advice to the Compliance Committee on compliance/ MCS policy, plans, guidelines and services.	compliance risks, and recommend any updates. • Recommend additions or changes to CCSBT obligations to address compliance risks. • Identify priorities for Quality Assurance Reviews (QARs), review audit QAR reports and recommend actions to address any identified issues or needs 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.	

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	• Manage and distribute information that supports the role and responsibilities of Members and the Commission. • Actively support the planning and delivery of compliance actions identified as having Secretariat (or shared) responsibility. • Facilitate provision of educational, extension and technical services to support effective implementation of Commission CCSBT measures. • Prepare summary and discrepancy reports for the Compliance Committee. • Provide advice to the Compliance Committee on compliance/MCS policy, plans, guidelines and services.	
Part 4: Plan Implementation and review	Part 4: Plan Implementation and review	The review and implementation section has been updated to reflect the discussion at CC19 and the decisions made by CCSBT31.

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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	Review The Commission will review the Compliance Plan following any review of the CCSBT Strategic Plan. Progress against the actions outlined in the five-year Action Plan (CAP) will be reviewed annually by the Compliance Committee. The CAP may also be updated annually, based on the assessment of current and emerging compliance risks and the progress against defined actions. The CAP will be redeveloped every five years or following the review and update of the Compliance Plan. In this regard, the CAP is a dynamic document that will be amended as needed to best support the implementation of the Compliance Plan and address the identified compliance risks. Implementation responsibilities The Compliance Committee will be responsible for managing the implementation of this plan under the direction and oversight of the Commission. This will include:	The suggested approach is that the compliance risks be reviewed by the Compliance Committee annually to ensure that they remain relevant. CC19 agreed that the CAP also be reviewed and updated annually. It is proposed that this review will be based on any changes to the agreed compliance risks and progress against the reported actions. Ensuring that this is undertaken annually, as needed, will avoid any requirement for larger review processes every five years, which can be a burden for Members. It will also ensure that the CAP responds to the changing risks and compliance needs during the implementation period of the Compliance Plan.

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Compliance Committee at least every five years.	• the annual review of the compliance risks and identification of actions required to address new and emerging risks; • annual review of progress against the actions defined in the CAP, and recommend updates to these as necessary; • annual review and discussion of actions defined in the CAP for delivery in the twelve months following each Compliance Committee meeting and recommend updates to these actions as needed; • the review and recommendation of updates to the Compliance Plan following the review of the CCSBT Strategic Plan, and at other times as required; and • the redevelopment of a new five-year CAP following the review of the Compliance Plan.	

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	The Secretariat and Members will report annually to the Compliance Committee on the progress against actions contained within the five-year CAP. The Compliance Committee will make recommendations on updates to the CAP (including to respond to changes in identified compliance risks), 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.	
Part 5: Five -Year Action Plan Agreed at CC19.	Appendix One: Five -Year Compliance Action Plan	The CAP adopted by CCSBT31 will be reattached as Appendix One to the Compliance Plan. It is recommended this remain an appendix to the plan, recognising the intention for the CP and CAP to be reviewed and updated at different times to keep the update processes more manageable.

DRAFT CCSBT Compliance Plan

(To be revised at the Thirty-Second Annual Meeting: 9 October 2025)

Purpose

The Compliance Plan supports the achievement of the vision and goals defined in the CCSBT Strategic Plan, approved in October 2023. Specifically, it most strongly supports the vision that:

“Members¹ 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 and maintain full compliance with their CCSBT obligations.

CCSBT 31 endorsed the CCSBT Capacity Building Workplan which targets support and assistance to the areas of greatest need for developing country Members to help them to comply with CCSBT measures. The Capacity Building Workplan complements the CCSBT Corrective Actions Policy and both documents are key tools for establishing and maintaining high levels of compliance.

The Compliance Plan includes a Five-Year Compliance Action Plan (CAP) to address priority compliance risks. Progress against the action plan will be reviewed by the Compliance Committee annually, with the CAP confirmed or updated as required following this review. The action plan is therefore a dynamic document and over time its emphasis will change.

Structure

This plan is in five parts:

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

Part 1: Goals

Goals

The CCSBT Strategic Plan contains specific targeted compliance-related goals that have informed, and been incorporated into, the high-level goals of the compliance strategy:

1. Integrated, targeted and cost-effective measures are in place to monitor global SBT trade and assess compliance with CCSBT obligations.
2. All Members achieve and maintain compliance with CCSBT rules and obligations.
3. Developing country Members are supported to build and sustain capacity to implement and comply with the Commission’s management measures and obligations.

¹ Throughout this document references to Members also includes Cooperating Non-Members of the Extended Commission (CNMs), and all references to the Commission include the Extended Commission (EC)

4. Ensure that all States, 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.

Part 2: Compliance Principles

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

Targeted: Compliance actions should prioritise non-compliance that presents the greatest risk to the achievement of CCSBT's objectives.

Efficient: Compliance actions should effectively identify and address non-compliance whilst not imposing unreasonable administrative burdens or costs on Members or the Secretariat.

Cooperative: Members should cooperate with each other and the Secretariat, including through collective action, to facilitate effective monitoring and improve levels of compliance.

Inclusive: Compliance actions should:

- a) be effective, whilst also considering the resources available to Members and the Secretariat. Where appropriate, improved compliance should be encouraged and supported, including proactively through the CCSBT Capacity Building Workplan.
- b) encourage cooperation from all States, Regional Economic Integration Organisations (REIOs) and entities catching, receiving landings of, or trading SBT.

Transparent: Sufficient information should be available to all Members to support thorough compliance assessment processes, develop targeted compliance actions and to inform appropriate responses to non-compliance. All compliance reporting documents should also be made publicly available.

Responsive: Members should respond without undue delay to address incidents of non-compliance and improve systems and processes to prevent further non-compliance from occurring.

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
- Actively support the planning and delivery of compliance actions identified as having Member (or shared) responsibility.

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

- 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 the Compliance Plan and Five-Year CAP.
- Determine any corrective actions and remedies, especially considering the application of the [Corrective Actions Policy](#) and [Capacity Building Workplan](#).
- Consider recommendations from the Compliance Committee and make final decisions.

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 assessment of identified compliance risks and update the compliance risks as needed, including following the review and update of the Compliance Plan.
- Annually review progress against the Five-Year CAP (Appendix 1), based on the identification and assessment of compliance risks, and recommend any updates.
- Recommend additions or changes to CCSBT obligations to address compliance risks.
- Identify priorities for Quality Assurance Reviews (QARs), review QAR reports and recommend actions to address any identified issues or needs.
- 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.
- Actively support the planning and delivery of compliance actions identified as having Secretariat (or shared) responsibility.
- Facilitate provision of educational, extension and technical services to support effective implementation of CCSBT measures.
- Prepare summary and discrepancy reports for the Compliance Committee.
- Provide advice to the Compliance Committee on compliance policy, plans, guidelines and services.

Part 4: Plan Implementation and Review

Review

The Commission will review the Compliance Plan following any review of the CCSBT Strategic Plan. Progress against the actions outlined in the five-year CAP will be reviewed annually by the

Compliance Committee. The CAP may also be updated annually, based on the assessment of current and emerging compliance risks and the progress against defined actions. The CAP will be redeveloped every five years or following the review and update of the Compliance Plan. In this regard, the CAP is a dynamic document that will be amended as needed to best support the implementation of the Compliance Plan and address the identified compliance risks.

Implementation Responsibilities

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

- the annual review of the compliance risks and identification of actions required to address new and emerging risks;
- annual review of progress against the actions defined in the CAP, and recommend updates to these as necessary;
- annual review and discussion of actions defined in the CAP for delivery in the twelve months following each Compliance Committee meeting and recommend updates to these actions as needed;
- the review and recommendation of updates to the Compliance Plan following the review of the CCSBT Strategic Plan, and at other times as required; and
- the redevelopment of a new five-year CAP following the review of the Compliance Plan.

The Secretariat and Members will report annually to the Compliance Committee on the progress against actions contained within the five-year CAP.

The Compliance Committee will make recommendations on updates to the CAP (including to respond to changes in identified compliance risks), 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.

Appendix One: Five -Year Compliance Action Plan

(To be attached once the Compliance Plan is agreed and approved)