Commission for the Conservation of
Southern Bluefin Tuna

みなみまぐろ保存委員会

CCSBT-CC/2610/07

Capacity Building Needs Assessment

(CC Agenda item 3.3.2)

1. Background

At the Thirtieth Meeting of the Commission for the Conservation of Southern Bluefin Tuna (CCSBT 30) in 2023, Members adopted a revised CCSBT Strategic Plan[1] that includes a number of specific actions detailed as part of its Action Plan. One such action is the development of a Capacity Building Workplan.

One of the key challenges identified by the Strategic Plan was to "consider the special requirements and capacity building needs of developing State Members and potential Cooperating Non-Members in terms of compliance with CCSBT obligations". This is further captured as one of the overarching goals of the Strategic Plan, which states the following:

> ***Participation and implementation by Members, including Compliance***
>
> *Members are actively participating in management of SBT through the Commission and implementing its decisions.*
>
> • *This includes strategies concerning MCS, sanctions and assistance to developing countries.*

Accordingly, a specific action in the Action Plan was developed to deliver against the portion of this goal that is focused on assistance to developing countries. Item 7)i) under the Action Plan commits Members to the following:

> *Using the recommendations from the Performance Review, formulate and implement a capacity-building work plan to improve data collection, scientific analysis, and compliance related activities.*

Members assigned a "very high" priority to this item and a delivery timeframe of 2024/2025. Members also tasked the Secretariat to develop an initial draft of the Capacity Building Workplan, which was delivered and adopted at CCSBT 31 in 2024 (see **Attachment A**).

The Secretariat has been tasked with providing the Compliance Committee with this initial assessment to support the creation of a finalised needs assessment. This initial assessment has been completed in collaboration with the Chair of the Compliance Committee.

2. Alignment with Existing Policies and Projects

The primary response focus of the Corrective Action Policy (CPG3) is to assist Members to achieve capacity to effectively comply with CCSBT obligations. Additionally, the Corrective

[1] www.ccsbt.org/sites/default/files/userfiles/file/docs_english/operational_resolutions/CCSBT_Strategic_Plan.pdf

Action Policy specifies capacity building programmes as the focus of corrective action taken in relation to administrative failings by a developing country Member. Therefore, the Capacity Building Workplan is seen as an important tool that can support the implementation of the Corrective Action Policy.

The Corrective Action Policy identifies compliance assistance/capacity building programmes as part of a suite of responses to address identified non-compliance[2] that the Compliance Committee can recommend. In deciding on the appropriate response, the Policy states that the Compliance Committee should consider the particular circumstances and degree of non-compliance identified. It is therefore important that the circumstances that are causing or contributing to the non-compliance are understood. This is a key focus of the needs assessment, which is the initial step in the process outlined under the Capacity Building Workplan. The Capacity Building Workplan specifies that this should identify existing gaps in skills, knowledge, and resources through analysis of performance and feedback from the Compliance Committee.

3. Initial Assessment

The Compliance Committee's assessment will focus on Objective 3 of the Capacity Building Workplan (Improve compliance related activities) with Objectives 1 and 2 (on data collection and scientific analysis) reserved for the Scientific Committee (ESC) and the Ecologically Related Species Work Group (ERSWG).

Objective 3: Improve Compliance Related Activities

Establishing Priorities

The Secretariat recommends that there are three areas that should inform the Compliance Committee assessment of capacity building priorities. These areas are:

- Member compliance assessments, especially considering the links to corrective actions.
- The compliance risks identified and agreed by Members that inform the Compliance Action Plan.
- The compliance actions outlined in the Compliance Action Plan 2025-2029 (CAP) that are focused on developing State Members and/or capacity development.

The Secretariat has compiled the table below to support the Compliance Committee's recommendation of priority compliance capacity building needs. Some risk areas will require further engagement from developing Members to identify priority.

Compliance Risk	**CAP Action to Address the Risk**	**Identified Areas of Non-Compliance and other considerations for Developing Members**
Non-compliance with the (e)CDS or incorrect information in (e)CDS documents.	Expedite (e)CDS capacity building for Members and Member stakeholders – *2025, 2026, 2027.*	With the eCDS implementation planned to occur on 1 April 2027, it is recommended that this risk and action should be a key focus for CCSBT capacity building initiatives for 2027.

[2] Along with quota pay back, quota reductions in national catch allocations, increased monitoring requirements, public disclosure and trade or market restrictions consistent with international law.

		South Africa – • CDS documents using duplicate numbers, duplicate CDS documents containing different information. • Continued discrepancies between tagging data and data reported on CMFs. Indonesia – • Overutilisation of SBT reported on REEFs.
Incomplete implementation or submission of (e)CDS data including Non-Members not cooperating with the CDS Resolution.	Continue (e)CDS capacity building by the Secretariat – *2027, 2028, 2029*	South Africa – • CDS submissions that are late or incomplete. Indonesia – • Late or no submission of CDS data and information related to its artisanal fisheries.
Incomplete reporting of SBT mortalities.	Ensure Members meet reporting requirements as they relate to describing how they monitor, estimate and report all SBT mortalities – *2025, 2026.*	South Africa – • Failure to submit final catch by vessel/quota holder. • Inconsistency between reported catch and SBT reported on CDS documents. Indonesia – • Monitoring of SBT catches to ensure the accuracy of CDS reporting (and prevent overutilisation).
Not fully attributing all SBT mortalities (such as recreational catch, artisanal catches, discards, farm sector catches, non-farm commercial sector catches) against national allocations.	Ensure Members meet reporting requirements as they relate to describing how they monitor, estimate and report all SBT mortalities – *2025, 2026.*	Indonesia – • Uncertainty around monitoring and reporting of artisanal/recreational catch.
Non-compliance associated with transhipment obligations (both in port and at-sea).	Review if arrangements have been implemented to ensure transhipment obligations are in place and report back to the Compliance Committee (CC) – *2026, 2027*	Indonesia – • Non-compliance with transhipment data submission requirements. • Lack of observer training on CCSBT CMMs. • Lack of independence of observer monitoring.
Incomplete submission of transhipment information including transhipment information for non-Member flagged vessels.		
SBT misreported as other (non SBT) species.		
Catches of SBT that are not reported by Non-Cooperating		

Non-Members (NCNMs) and so not taken into account.		
Insufficient scientific observer data to manage target and non-target species.	Support Members who are considering using EM as a source of scientific data observations where it may be difficult to employ human observers – *Ongoing.*	Indonesia – • Reported observer coverage in 2024 was 2.16% of SBT effort and 5.09% of SBT catch.
Incomplete or inaccurate reporting of non SBT bycatches, including seabirds.		
CCSBT Members not fully **implementing** specific Conservation and Management Measures (CMMs) as agreed, particularly the CCSBT ERS Measure.	Ongoing sharing of information and best practice MCS to assist developing Members and Cooperating Non-Members to implement the CCSBT's CMMs, including a capacity building workplan if appropriate – *Ongoing.*	South Africa – • Continued challenges in meeting the obligations in CCSBT's Minimum Standards for Inspection in Port. Indonesia • Has not provided information on its usage of mitigation measures with its EDE data in any year, and even if it had provided such information, its observer coverage is too low to provide robust information. ** *New Zealand and Indonesia are working together intersessionally to explore a possible capacity-building initiative on EM for consideration by the EC.*
CCSBT Members not fully **complying** with the obligations of specific Conservation and Management Measures (CMMs) as agreed, particularly the CCSBT ERS Measure.	Capacity building for vessel crew of developing state on binding ERS measures – *2026, 2027.* Support developing State CCSBT Members to raise awareness of CCSBT obligations within their industry and to identify and introduce tools to support improved compliance with CCSBT measures – *2025, 2026.* Ongoing sharing of information and best practice MCS to assist developing Members and Cooperating Non-Members to comply with the CCSBT's CMMs, including a capacity building workplan if appropriate – *Ongoing*.	
Lack of systematic follow-up actions to address non-compliance		

leading to persistent non-compliance.		
The increasing demands of work limiting the ability of the Secretariat to assess compliance.		
Lack of comprehensive monitoring and inspection of vessels on the High Seas.		

Preliminary Recommendations to Areas to Improve Compliance Related Activities

Based on Areas of Non-Compliance:

i. South Africa's CDS implementation –
   a. Identified in South Africa's Action Plan to Address its Non-Compliance as requiring skills development and training to address.
   b. Failing to address implementation issues could inhibit the implementation of the eCDS.
   c. This will require further engagement with South Africa to identify and focus any capacity building on priority eCDS implementation issues.

ii. South Africa's Implementation of CCSBT's Minimum Standards for Inspection in Port –
   a. Identified in South Africa's Action Plan to Address its Non-Compliance as requiring skills development and training to address.

iii. Indonesia's CDS Implementation –
   a. At present the key CDS compliance issue for Indonesia remains to be the SBT overutilisation on REEFs. This is addressed in Indonesia's Improvement Plan but does not identify any capacity building initiatives in support of this.
   b. Independent monitoring of SBT catches prior to the generation of the CDS document.
   c. This will require further engagement with Indonesia to identify and focus any capacity building on priority CDS implementation issues, specifically with a focus on the eCDS implementation.

iv. Indonesia's Transhipment Monitoring Programme –
   a. The assessment contained in the QAR report presented to CC 20 was that Indonesia will require dedicated technical support and capacity building assistance to help make the necessary improvements, should the program continue.
      i. Indonesia's Improvement Plan includes several planned training initiatives to support it to strengthen its transhipment programme and implement the recommendations of the QAR. Many of these were planned for completion in 2026, so an update from Indonesia on these activities will be required.

Based on Compliance Actions:

v. (e)CDS capacity building for Members and Member stakeholders
    a. Based on the current planned eCDS implementation date (1 April 2027), the development of capacity building resources and initiatives to support CCSBT Members transition to the eCDS will continue to be a key focus through the first half of 2027.

vi. Support developing State CCSBT Members to raise awareness of CCSBT obligations within their industry and to identify and introduce tools to support improved compliance with CCSBT measures (2025 – 2026).
    a. Noting this action is scheduled to be completed in 2026, this would benefit from further elaboration of current actions and remaining priority needs from developing Members.

vii. Capacity building for vessel crew of developing state on binding ERS measures (2026 – 2027).
    a. This would benefit from further elaboration of current actions and priority needs from developing Members.

viii. Support Members who are considering using EM as a source of scientific data observations where it may be difficult to employ human observers.
    a. New Zealand and Indonesia are working together intersessionally to explore a possible capacity-building initiative on EM for consideration by the EC.

4. Potential Capacity Building Initiatives

The Secretariat welcomes the discussion of the Compliance Committee on potential priority capacity building initiatives in the areas identified above, or other areas it identifies as a priority. As noted in the section above, further input and clarification will be required from Indonesia and South Africa to support this consideration. It will also be important for the Compliance Committee to consider the particular circumstances and degree of non-compliance identified in deciding on the priority areas and defining the appropriate responses.

4.1. CCSBT Resources to Support Member eCDS Implementation

The Secretariat has worked in 2026 to update the eCDS manual for Member industry eCDS users and its eCDS videos. As reported to CC 20, the Secretariat also developed a prototype CCSBT implementation sheet in 2025 that outlined the key CCSBT CDS requirements. The Secretariat again highlights that there are opportunities to develop further resources, including additional implementation sheets, to support Members implementation of the eCDS. The Secretariat would welcome Members input on suggested priority areas that the Secretariat can focus immediate development on.

Next Steps

Following the Capacity Building Workplan, the CC this year is invited to:

1. Evaluate the current status and preliminary recommendations described in this paper;

2. Determine what (if any) capacity building initiative/s to improve compliance related activities should be recommended for adoption by the EC; and
3. If CC recommends the development of compliance-focused capacity building initiative/s, identify priorities for targeted engagement, specifying area, issue, urgency, relevant stakeholders and possible solutions to assist in defining the Capacity Development Initiative.

Prepared by the Secretariat

Attachment A

Capacity Building Workplan

(Agreed at the Thirty-First Annual meeting of the Commission: 10 October 2024)

1. Objectives

- **Objective 1: Improve data collection**
- **Objective 2: Improve scientific analysis**
- **Objective 3: Improve compliance related activities**

2. Needs Assessment

Activity: Conduct a needs assessment

Description: Identify existing gaps in skills, knowledge, and resources through analysis of performance and feedback from relevant subsidiary bodies (i.e. Compliance Committee and Extended Scientific Committee).

Responsible: Secretariat, CC and ESC Chairs, Compliance Committee and Extended Scientific Committee, Members

Timeline:

- Secretariat to provide paper to meetings of ESC and CC with preliminary assessment.
- ESC and CC to finalise Needs Assessment

Resources Needed: Compliance data, feedback from Chairs of subsidiary bodies and Scientific Advisory Panel.

Outcome: Agreed Needs Assessment Report

3. Member Engagement & Development of Capacity Building Initiative

Activity: Secretariat to engage with the Member(s) identified through the Needs Assessment and agree on targeted capacity development initiatives including required budget, performance indicator(s) and risk management plan.

Description: Involve key stakeholders within Member administration to gather input and build support for capacity development initiatives.

Responsible: Secretariat, relevant Member(s)

Timeline: Following conclusion of ESC and CC meetings

Resources Needed: Availability of Secretariat staff and Member administrations.

Outcome: Relevant Member(s) aware and supportive of the planned capacity development initiatives.

4. Budget

Activity: Develop and manage budget for Capacity Development Initiatives

Description: Outline and manage the financial resources needed for the capacity development activities. Seek external funding opportunities where available.

Responsible: Secretariat

Timeline: In line with broader budget reporting obligations

Resources Needed: Secretariat time in managing external contractors otherwise limited resourcing requirement.

Outcome: Approved budget at FAC

5. **Implementation of Capacity Building Initiative**

   Activity: Deliver planned activities (e.g. training sessions, site visits, and workshops)

   Description: Deliver training programs to address identified skill gaps.

   Responsible: Secretariat in consultation with relevant Member(s)

   Timeline: 2026 and beyond

   Resources Needed: Secretariat time, travel, training materials, venue, external experts

   Outcome: Activity reports, participant feedback

6. **Monitoring and Evaluation**

   Activity: Monitor and evaluate any changes in performance against indicators

   Description: Implement a system to track progress and assess the effectiveness of the capacity development initiatives.

   Responsible: Secretariat

   Timeline: Before the Annual Extended Commission meeting

   Resources Needed: Secretariat time in compiling data on performance indicators.

   Outcome: Monitoring and evaluation summary report

7. **Reporting and Feedback**

   Activity: Report findings and gather feedback on individual initiatives

   Description: Prepare and present reports on progress and outcomes, and collect feedback for continuous improvement.

   Responsible: Secretariat

   Timeline: Annual Extended Commission meeting

   Resources Needed: Secretariat time in preparing report. Subsidiary bodies to assess report.

   Outcome: Final report to Subsidiary Bodies

8. **Review and Adjustments to Capacity Building Workplan**

   Activity: Review and make any adjustments required to the approach used to target, develop, and deliver the capacity development initiatives

   Description: Periodically review the workplan and make adjustments as needed based on feedback and evolving needs.

   Responsible: Extended Commission

   Timeline: First review after three years and then every five years.

   Resources Needed: Secretariat and Subsidiary bodies to provide review for overall assessment by the Extended Commission.

   Outcome: Updated workplan