Commission for the Conservation of
Southern Bluefin Tuna

みなみまぐろ保存委員会

CCSBT–CC/2610/14

Draft Revised Minimum Performance Requirements (Compliance Policy Guideline 1): Transhipment and CDS Resolutions

1. Introduction

The "*Resolution on the Implementation of a CCSBT Catch Documentation Scheme*", was revised in 2025 at the Thirty-Second Annual Meeting of the Commission and Extended Commission (CCSBT 32) to accommodate the planned implementation of the eCDS in 2027. Additionally, minor changes to the "*Resolution on Establishing a Program for Transhipment by Large-Scale Fishing Vessels*" were also agreed at CCSBT 32. This paper proposes revisions to CCSBT's Minimum Performance Requirements (CPG 1) to take these recent revisions into account and to ensure CPG1 remains current and relevant.

2. Background

CPG1[1] sets out the minimum requirements that need to be met by Members to fulfil their obligations with respect to each of CCSBT's obligations. CCSBT obligations are listed on the left-hand side of the table in **Attachment A** and are derived from relevant CCSBT Decisions, Resolutions or Recommendations. The corresponding Minimum Performance Requirements (MPRs) are specified to the right of each obligation.

CPG1 is a useful resource to understand CCSBT obligations and the core elements expected to ensure effective implementation of these obligations. CPG1 is also the key reference document against which the CCSBT's programme of Quality Assurance Reviews (QARs) is conducted. It is therefore important that CPG1 is updated at CC 21 to reflect the revisions made in 2025 to CCSBT's CDS and Transhipment Resolutions and to ensure that it remains up-to-date.

3. Draft Revised MPRs

Proposed draft revisions to the MPRs are provided at **Attachment A** for Members' consideration and are summarised below.

The updates proposed are:

- Revisions to match the editorial updates to the CDS Resolution agreed by CCSBT 32 in 2025[2];
- Revisions to the Transhipment Resolution agreed by CCSBT 32 in 2025. These revisions related predominantly to paragraphs related to the Indonesian Transhipment Trial. This programme is to be reviewed by CC 21, so the relevant paragraphs have been flagged for review based on the discussion/decisions of CC 21;

[1] "Minimum Performance Requirements to Meet CCSBT Obligations" ("Compliance Policy Guideline 1").

[2] Refer to attachments B and C of CCSBT–CC/2510/11 for the Resolution revisions (shown in tracked changes).

- Small additions to reflect the requirements of Paragraph 22 of the Transhipment Resolution. This paragraph was identified during the Indonesian Transhipment Programme QAR in 2025 as not being directly linked to the CPG1 performance requirements; and
- Small editorial changes to ensure that page or paragraph references included in CPG1 are correct.

All proposed updates are in tracked changes and have an associated comment from the Secretariat.

4. Summary

CC 21 is invited to:

- Review and consider the proposed amendments to CPG1 (**Attachment A**);
- Discuss and make any further required changes to the paragraphs highlighted in CPG1 (**Attachment A**) that relate to the Indonesian Transhipment Trial; and
- Recommend the updated CPG1 to the Extended Commission.

Prepared by the Secretariat

Minimum performance requirements to meet CCSBT Obligations
Compliance Policy Guideline 1
(Revised at the Thirty ~~First~~ Third Annual Meeting: ~~10~~ 8 October 202~~4~~6)

1. Introduction

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

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

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

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

2. Purpose

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

a) develop, document and implement rules, operating systems, and processes to meet their CCSBT obligations; and

b) report on the effectiveness of the rules, operating systems, and processes to the Commission through the Compliance Committee.

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

3. Policy Statement

1. Members are expected to meet, or exceed, the minimum performance and reporting requirements set out in Appendix 1 of this Compliance Policy as soon as possible, after this policy is adopted by the Commission. The Compliance Committee may agree to a specific later implementation date for particular Members, based on individual circumstances.

2. All rules, operating systems, and processes must be implemented.

3. All operating systems and processes for measures relating to Catch Management, Authorisation, and MCS (groups 1-3 in Appendix 1) must be documented. Members are also encouraged to document their operating systems and processes for measures relating to Science and Ecologically Related Species (groups 4 and 5 in Appendix 1).

4. All documentation must:
   - specify how compliance with rules will be monitored
   - specify sanctions for any non-compliance detected
   - assign responsibility to a competent authority or authorities for implementing all aspects of the operating systems and processes
   - include criteria and procedures to assess the effectiveness of the rules, systems and processes in achieving compliance with the obligations.

5. Annual performance reports must:
   - set out how minimum performance requirements are met and monitored
   - evaluate the effectiveness of the rules, operating systems, and procedures in meeting obligations and performance requirements
   - disclose any compliance risks or deficiencies in the rules, operating systems, or procedures.

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

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

- Appendix ~~23~~ (Minimum Procedural and Information Standards for CCSBT Member and Cooperating Non-Member Tagging Programmes), Resolution on the Implementation of a CCSBT Catch Documentation Scheme CDS Resolution
- Resolution on Establishing a Program for Transhipment by Large-Scale Fishing Vessels, Section 3 (at-sea transhipment), Section 4 (in-port transhipment), Annex 1 (CCSBT Transhipment Declaration), and Annex 2 (CCSBT Regional Observer Program) Transhipment Resolution
- Resolution for a CCSBT Scheme for Minimum Standards for Inspection in Port
- CCSBT Scientific Observer Program Standards Scientific Observer Program Standards.

Definition of terms

The following terms are used in this policy:

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

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

- A CDS document that is entered in the CCSBT eCDS and validated and/or certified as required by the Resolution, shall be deemed to *accompany* the SBT recorded in that document.
- *Certification* means the first check and confirmation that details in a CDS form have been fully and accurately recorded. Certification is generally carried out by individuals who represent, or are responsible for, the relevant business operation (e.g. fishing, farming, importing or exporting) whose documentation is being certified.
- *Validation* means the second check to confirm that details in a CDS form have been fully and accurately recorded. Validation procedures include:
    (1) checking documentation, and/or
    (2) inspecting SBT product or catch against relevant documentation in a random sample from the Member's:

Commented [Sec1]: Update to Appendix Reference.

Commented [Sec2]: Recommended clarification to ensure that references to "accompany" in CPG1 recognises documents entered into the eCDS, as it now does in the Resolution.

a. farms
b. vessels that are landing in, or re-exporting from, the Member's ports
c. vessels that are landing in foreign ports.

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

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

4. Policy implementation

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

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

5. Roles and responsibilities under this Policy

Who	***Responsibility to:***
Commission	• Approve policy • Approve performance requirements
Compliance Committee	• Recommend performance requirements (updates to Appendix 1) • Monitor Member compliance through review of annual reports • Review and recommend changes to this policy
Members	• Develop and implement rules, operating systems and processes • Report on progress and effectiveness
Secretariat	• Develop reporting template • Place this policy and annual reports on website

6. Policy review

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

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

7. Approval

This policy was approved by the Commission:

_____ _____

Chair, Commission Date

Review date: _____ (unless reviewed earlier)

Appendix 1. Minimum performance requirements

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

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

1. Catch Management Measures

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

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

1.1. Compliance with National Allocations (Decisions)

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

Links: https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_Allocation.pdf

https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_Limited_Carry_forward.pdf
Details of the decision on the common definition of the Attributable SBT Catch and on the Principle and Action points in relation to implementing the Attributable SBT Catch definition are at paragraphs 50 - 53 of the CCSBT 21 report:
https://www.ccsbt.org/sites/default/files/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_21/report_of_CCSBT21.pdf

Note: Obligations relating to this measure are subject to regular allocation decisions of the Extended Commission (EC). The limited carry-forward process can only be utilised by Members and not by CNMs.

CCSBT has agreed that the "catch" of a Member/CNM that is to be counted against its allocation of the global SBT Total Allowable Catch is called the "Attributable SBT Catch" and that the Attributable SBT Catch is defined as follows:

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[1] 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.*

1.1 Compliance with National Allocations	
Obligations	**Minimum performance requirements**
i. Each Member and CNM shall ensure that its total Attributable SBT Catch for a quota year shall not exceed its Effective Catch Limit[2] as prescribed by the EC for that quota year, plus any amount of unfished allocation formally carried forward by the Member/CNM to that quota year (*i.e.* shall not exceed its total available catch).	1. Rules in place to ensure that the total "Attributable SBT Catch" of each Member/ CNM does not exceed the Member's/ CNM's Total Available Catch Limit[3] for the relevant period. 2. Operating systems and processes established to: a. implement annual catching arrangements, including: i. Specification of allocations by company, quota holder or vessel; ii. Arrangements for daily recording of all catches; and iii. Weekly reporting of catches by large scale tuna longliners and monthly reporting of catches by coastal fishing vessels. b. Monitor all fishing-related mortality of SBT. c. Ensure accuracy of the "Attributable SBT Catch", including:

[1] Except where a vessel is chartered to a person or entity of another Member or CNM, and if a catch is attributable to that Member or CNM

[2] The Effective Catch Limit is the Member's National Allocation plus or minus any agreed short-term changes to that allocation, for example temporary transfers

[3] Total Available Catch Limit means a Member's Effective Catch Limit allocation for that quota year plus any amount of unfished allocation carried forward to that quota year.

1.1 Compliance with National Allocations	
Obligations	**Minimum performance requirements**
	i. For fishing Members/CNMs, a physical inspection regime of SBT caught by the Member's/CNM's fishing vessel; and ii. For farming Members/CNMs, monitoring the method used for estimating the weight of the SBT catch and adjusting/ re-calibrating where necessary. 3. All fishing-related SBT mortality is reported annually to the Extended Scientific Committee, for incorporation into stock assessment analysis, and to the Commission. 4. Operating systems and processes applied to: a. monitor compliance with annual catching arrangements; and b. impose sanctions or remedies where necessary.
ii. Except in some situations when carry-forward procedures shall not be applied[4] unless decided otherwise by the Extended Commission, if a Member's annual total available catch is under-caught, that Member may carry forward the unfished quota to the following quota year. However, the total quota carried forward from one year to the next shall not exceed 20% of that Member's Effective Catch Limit for the year from which the quota is being carried forward.	1. For Members that decide to adopt the carry-forward procedure (regardless of whether carry-forward was used in a particular year): a. Operating systems and processes must be in place to ensure that: i. an accurate, verified and robust figure for the final Attributable Catch is available before the Secretariat is notified of the carry-forward, ii. a report on the adoption and use of the carry-forward procedure, together with documentation on quantification and verification of the total Attributable SBT catch is included in each annual report to the Extended Commission; b. For Members intending to carry forward unfished quota to the next quota year, the Executive Secretary is formally notified of that Member's Total Attributable

[4] These include cases where: a) 'exceptional circumstances' exist and the Extended Commission (EC) agrees to reduce the global total allowable catch within a three year quota block, or b) the EC agrees within a three year quota block to reduce the national allocation of one or more Members (the Members concerned cannot carry-forward), or c) the Management Procedure recommends or the EC decides on a lower Global TAC, or d) a Member exceeds its national allocation for the 2017 fishing season or later without paying back its excess catch for those seasons

1.1 Compliance with National Allocations	
Obligations	**Minimum performance requirements**
iii. A Member's total available catch for a quota year shall not exceed the sum of its national allocation for that year plus an amount equal to 20% of its national allocation for the previous quota year. iv. Members that have elected to carry forward unfished quota shall provide confirmation to the Secretariat within 90 days of receipt of its confirmation request[5], and shall include a revised Total Available Catch Limit[3] for the new quota year. v. Members shall report on their use of the procedure in their annual reports to the Extended Commission, regardless of whether the procedure was in fact used by the Member during that quota year.	SBT Catch (in whole weight) for the concluded quota year together with the revised Total Available Catch Limit[3] for the new quota year within 90 days of receiving the Secretariat's confirmation request.

[5] The Secretariat is required to seek confirmation from Members at the end of each quota year as to whether they intend to carry forward unfished quota to the next quota year

1.2. Compliance Action Plans

Title: a) Resolution on action plans to ensure compliance with Conservation and Management Measures, and
b) Paragraph 26 (and Attachment 5) of the CC7 report:- Decision to adopt a new consolidated template for annual reports as agreed by CC7 and adopted at CCSBT19.

Link: a) https://www.ccsbt.org/sites/default/files/userfiles/file/docs_english/operational_resolutions/Resolution_ComplianceActionPlans.pdf
b) https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/templates/Annual_CC-EC_Reporting_Template.docx

Notes: The Fifth meeting of the Compliance Committee agreed that: "*Compliance Action Plans have provided a valuable source of information. The detail in these plans should continue to be improved and the plans should be kept up to date, and submitted to future annual meetings of the Compliance Committee*". Nevertheless, paragraphs 1 and 5 of the Resolution on Action Plans are not listed as obligations below because these paragraphs have been completed and no longer apply. Some reporting elements of the Action Plans Resolution are superseded by the consolidated template for annual reports. Consequently, some obligations now refer to the National Report instead.

1.2 Compliance Action Plans	
Obligations	**Minimum performance requirements**
i. Flag Members of pelagic longline vessels shall specify in their National Reports improvement in at least 3 areas: • Port state inspection of transhipment of SBT ➢ Members should designate foreign ports of transhipment of SBT for their vessels, prohibit such transhipment at other foreign ports and communicate with those designated port states to share relevant information required for effective inspection • Verification of catch data through scientific observers on fishing vessels of coverage of 10% in terms of effort. • Actual inspection of catches by authorities of flag Members and CNMs. • All the above measures should be implemented in a manner that will not interfere with legitimate commercial transaction of SBT.	1. Sections II(3)(b), II(4)(b) and II(5)(b) of the Annual National Report template must be completed in full in relation to this obligation. The following additional sections of the Annual National Report template should also be completed: • Section I(I): describe details of any MCS improvements achieved in the current fishing season; • Section I(2): describe details of any MCS improvements planned for future fishing seasons, including the expected implementation date, and • Section II(1)(d) – Scientific Observers (vii): describe plans to reach a scientific observer coverage of 10% of effort in cases where this has not been achieved.

1.2 Compliance Action Plans	
Obligations	**Minimum performance requirements**
ii. Members farming SBT shall implement in the 2011 fishing season commercial trials of stereo video systems for monitoring 10% of the SBT transferred to their cages and, if the systems prove successful, adopt them in the following season as the systems for ongoing monitoring.	1. SVM adopted for monitoring of SBT transferred to cages once the technology has been proved financially viable. 2. The results of such monitoring should be reported to the relevant CCSBT meetings, including the Scientific Committee and the Compliance Committee.

2. Authorisation Measures

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

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

2.1. Record of Authorised Farms (Resolution)

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

Link: https://www.ccsbt.org/sites/default/files/userfiles/file/docs_english/operational_resolutions/Resolution_AuthorisedFarms.pdf

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

2.1 Record of Authorised Farms	
Obligations	**Minimum performance requirements**
i. Members shall submit to the Executive Secretary the list of SBT farms under the Member's jurisdiction that are authorised to operate for farming of SBT.	1. Operating systems and processes established and applied to: a. authorise each farm to operate for farming of SBT; b. provide all required information on authorised farms to the Executive Secretary within 15 days of the farm being authorised; c. submit any updates to the Executive Secretary promptly, and no later than 15 days from the date the change(s) occur(s); and d. submit the authorisation information, and any updates, electronically using the Data Provision Form for the CCSBT Record of Authorised SBT Farms.
ii. Members shall notify the Executive Secretary of any addition to, any deletion from and/or any modification of the record of authorised farms at any time such changes occur.	

2.1 Record of Authorised Farms	
Obligations	**Minimum performance requirements**
iii. Members shall ensure that their authorised farms comply with relevant CCSBT measures	1. Rules, operating systems and processes in place to ensure: a. all authorised farm operators are aware of their obligations in relation to CCSBT measures; b. no stocking, harvesting or transfer of SBT is carried out before notifying the Executive Secretary of the authorised farms and, where relevant, any updates.
iv. Members shall not permit landings of domestic product, exports, imports, and/or re-exports of SBT into and from farms which are not registered on the CCSBT record of authorised farms.	a. 2. Rules in place to ensure authorised farms comply with relevant CCSBT measures; and b. no SBT (whether from domestic product, exports, imports or re-exports) are landed into or (re-)exported from farms which are not on the Record of Authorised Farms. 3. Apply operating systems and processes to: a. monitor farm compliance with rules; and b. impose sanctions and/or remedies on farms/operators where necessary in the event that non-compliance is detected.
v. To ensure effectiveness of the CDS: • Members shall validate CDS documents only for farming facilities on the CCSBT record of authorised farms; • Members that farm SBT shall require sales of farmed SBT to the first point of domestic sale to be accompanied by CDS documents validated only for the farming facilities on the CCSBT record of authorised farms; • Members shall require imports of farmed SBT to be accompanied by CDS documents validated only for the farming facilities on the CCSBT record of authorised farms.	See section 3.1 D (CDS Validation)

2.2. Record of Authorised Vessels

Title: Resolution on amendment of the Resolution on "Resolution on a CCSBT Record of Vessels Authorised to Fish for Southern Bluefin Tuna" revised at the CCSBT22 in 2015

Link: https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_Authorised_Fishing_Vessels.pdf

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

2.2 Record of Authorised Vessels	
Obligations	**Minimum performance requirements**
i. Members shall: • Effective from January 2017, ensure that all fishing vessels (except wooden and fibreglass vessels) flying their flag that are authorised to catch SBT, and that are at least 100GT/GRT in size, have IMO numbers issued to them. • ensure that all vessels under their registry do not carry out IUU fishing activities for SBT; • take every possible action, consistent with relevant law, to prevent, deter and eliminate IUU fishing; • review progress on the issue of IUU fishing for SBT and the implementation of its IUU measures including adopting further measures as required on a regular basis.	1. Rules are in place to require that: a. all authorised vessels to have a national unique vessel identifier or unique registration number; b. all authorised fishing vessels (except wooden and fibreglass vessels) of at least 100GT/GRT have IMO numbers issued to them from January 2017. 2. Operating systems and processes established and applied to detect, prevent and deter IUU fishing of SBT by any fishing vessel. 3. Once a year review any evidence obtained of IUU fishing, and assess the effectiveness of Member measures to detect and deter IUU fishing.
ii. Members shall submit to the Executive Secretary, the list of fishing vessels (FV) flying the Member's flag that are authorised to fish for SBT.	1. Operating systems and processes to: a. authorise specific fishing vessels flying the Member's flag to fish for SBT;

2.2 Record of Authorised Vessels	
Obligations	**Minimum performance requirements**
iii. Members shall promptly notify the Executive Secretary of any addition to, any deletion from and/or any modification of the CCSBT record at any time such changes occur.	b. provide the required information on authorised fishing vessels to the Executive Secretary no later than 15 days after the vessel is authorised; c. submit any updates to the Executive Secretary not later than 15 days from the date the changes occur; and d. ensure all authorisation information and any updates are submitted to the Executive Secretary electronically and using the CCSBT Data Provision Form for Authorised Fishing Vessels.
iv. Flag Members of the vessels on the record shall: • authorise their FVs to fish for SBT only if they are able to fulfil in respect of these vessels the requirements and responsibilities under the CCSBT Convention and its conservation and management measures; • take necessary measures to ensure that their FVs comply with all the relevant CCSBT conservation and management measures; • take necessary measures to ensure that their FVs on the CCSBT Record keep on board valid certificates of vessel registration and valid authorization to fish and/or tranship; • affirm that if those vessels have record of IUU fishing activities, the owners have provided sufficient evidence demonstrating that they will not conduct such activities any more; • ensure, to the extent possible under domestic law, that the owners and operators of their FVs on the CCSBT Record are	1. Ensure authorised FVs comply with relevant CCSBT measures, including requiring: a. that at all times only FVs legitimately flying the Member's flag and whose current details are correctly entered into the Record of Authorised Vessels are authorised to fish for, retain on board, tranship or land SBT; b. owners of FVs or fishing concessions to be citizens or legal entities within the Member's jurisdiction and subject to enforcement actions and the application of sanctions; 2. Operating systems and processes to: a. Ensure all vessel masters are aware of their obligations in relation to CCSBT measures; b. provide information to Executive Secretary on any fishing vessel not on the Record of Authorised Vessels that is suspected of fishing for and/or transhipping of SBT as soon as practicable after investigation by the Member, including

2.2 Record of Authorised Vessels	
Obligations	**Minimum performance requirements**
not engaged in or associated with fishing activities for SBT conducted by FVs not entered into the CCSBT Record; and • 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.	vessel name, flag and (if available) location, operator name and vessel identification number and call sign, and any other information that could assist in locating and identifying the vessel and operator. 3. Operating systems and procedures applied to: a. monitor fishing vessel compliance with rules; and b. impose sanctions or remedies where necessary.
v. Members shall prohibit the fishing for, the retaining on board, the transhipment and landing of SBT by the FVs which are not entered into the CCSBT Record.	
vi. To ensure effectiveness of the CDS • Flag Members shall validate CDS documents only for FVs on the CCSBT record; • Members shall require that SBT caught by FVs, when transhipped, landed as domestic product, exported, imported or re-exported within their jurisdictions, shall be accompanied by CDS documents validated for the vessels on the CCSBT Record; and • Members shall co-operate to ensure that CDS documents are not forged or do not contain misinformation.	See section 3.1 D (CDS Validation)

2.2 Record of Authorised Vessels	
Obligations	**Minimum performance requirements**
vii. Members shall notify the Executive Secretary of any factual information showing that there are reasonable grounds for suspecting FVs not on the CCSBT record to be engaged in fishing for and/or transhipment of SBT.	
viii. The Commission and the Members concerned shall communicate with each other, and make the best effort with FAO and other relevant regional fishery management bodies to develop and implement appropriate measures, where feasible, including the establishment of records of a similar nature in a timely manner so as to avoid adverse effects upon other tuna resources in other oceans. Such adverse effects might consist of excessive fishing pressure resulting from a shift of the IUU FVs from fishing for SBT to other fisheries.	

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

Title: Record of vessels authorised to receive transhipments involving SBT at-sea or in port *(from section 2 of the "Resolution on Establishing a Program for Transhipment by Large-Scale Fishing Vessels")*

Link: https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_Transhipment.pdf

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

2.3 Record of Authorised Carrier Vessels	
Obligations	**Minimum performance requirements**
i. Members shall submit to the CCSBT Executive Secretary, the list of Carrier Vessels that are authorised to receive SBT transhipments from its LSTLVs at sea or in port.	1. Operating systems and processes to: a. authorise specific Carrier Vessels to receive at-sea and/or in-port transhipments from its authorised Fishing Vessels (LSTLVs); b. ensure authorised Carrier Vessels that tranship at sea will meet their obligations to (see Transhipment Monitoring performance requirements 3.3): i. provide access and accommodation to observers, ii. cooperate with observers in relation to carrying out their duties, and iii. not interfere with, or seek to influence, observers in any way;

2.3 Record of Authorised Carrier Vessels	
Obligations	**Minimum performance requirements**
ii. Each Member shall promptly notify the Executive Secretary, after the establishment of the initial CCSBT Record of Carrier Vessels, of any addition to, any deletion from and/or any modification of the CCSBT Record of Carrier Vessels, at any time such changes occur.	c. provide required information on authorised Carrier Vessels to the Executive Secretary within 15 days of the vessel being authorised, and before such vessels are actually used in transhipments; d. submit any updates to the Executive Secretary promptly, and not later than 15 days from the date the change(s) occur(s), and before such vessels are actually used in transhipments; and e. ensure all authorisations, and any updates, are submitted electronically to the Executive Secretary using the Data Provision Form for CCSBT Record of Authorised Carrier Vessels.
iii. Carrier Vessels authorised to conduct at-sea or in-port transhipments shall be required to install and operate a Vessel Monitoring System (VMS).	1. Operating systems and processes to ensure that Carrier Vessels are only to be authorised to carry out transhipments if: a. The Carrier Vessel already has an operational VMS installed, or the Carrier Vessel undertakes to install an operational VMS before any authorisation and transhipments of SBT take place, and b. The VMS transmits at frequency sufficient to show transhipping operations, and c. The VMS will function effectively in the expected operating conditions.

3. MCS Measures

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

- Catch Documentation System (3.1)
- Vessel Monitoring System (3.2)
- Transhipment Monitoring Program (3.3)
- IUU Vessel List (3.4)
- Minimum Standards for Inspection in Port (3.5).

3.1. Catch Documentation System (Resolution)

Title: Resolution on the Implementation of a CCSBT Catch Documentation Scheme
Link: https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_CDS.pdf
Notes: In the text below, the term "Member" includes CNMs as it does for the rest of this document, and the term "Member/OSEC" includes Members, CNMs and Other States/Fishing Entities Cooperating in the CDS.

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

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

3.1 Catch Documentation System	
A. Obligations (general)	**Minimum performance requirements**
i. All Members shall implement the CCSBT CDS for southern bluefin tuna (SBT) to document the movement of all SBT as outlined in this resolution. The CCSBT CDS incorporates CCSBT CDS documentation and tagging of SBT.	1. Operating systems and processes established and implemented to ensure that: a. all owners and operators of authorised farms, fishing vessels, and carrier vessels, and all SBT processors, importers,

3.1 Catch Documentation System	
A. Obligations (general)	**Minimum performance requirements**
ii. For transhipments, landings of domestic product, exports, imports and re-exports under the jurisdiction of a Member/OSEC, all SBT shall be accompanied by a Catch Monitoring Form, and where required[7] at least one Re-export/Export after landing of domestic product form as well. There is no waiver of this requirement. However: • the exportation/import of fish parts other than the meat (i.e. head, eyes, roe, guts, tails) may be allowed without the document • Members that prohibit the sale of fish caught by recreational fishers may exempt their recreational fisheries from the requirements of the CCSBT CDS.	exporters and re-exporters, are aware of their CCSBT obligations[6]; b. CDS documents accompany SBT as relevant, including: i. a Catch Monitoring Form (CMF) for all transhipments, landings of domestic product, exports, imports and re-exports ii. a Re-export/Export After Landing of Domestic Product (REEF) for all exports of SBT landed as domestic product then exported, and for all re-exports of imported SBT. Any REEF must also be accompanied by a copy of the associated CMF and copies of any previously issued REEFs for the SBT being exported iii. a Farm Transfer Form (FTF) for all transfers of SBT between authorised farms within the Member's jurisdiction; c. all entities with CDS certification obligations have certification requirements, including: i. that the certifier for the Catch Tagging Form (CTF) should be the Vessel Master or other appropriate authority for any wild harvested SBT, and the Farm Operator or other appropriate authority for any farmed SBT; d. all entities involved in towing and farming SBT have procedures to:
iii. Transfers of SBT into and between farms under the jurisdiction of a Member shall be documented on the Farm Stocking Form and Farm Transfer Form as applicable.	
iv. CCSBT CDS documents must be uniquely numbered.	
v. An appropriate authority should complete the Certification section of a Catch Tagging Form.	

[6] In the case of authorised carrier vessels that are not flagged to a Member, the carrier vessel masters need to be aware of the authorising Member's obligations so that the carrier vessel can comply with these.

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

3.1 Catch Documentation System	
A. Obligations (general)	**Minimum performance requirements**
	i. record the following items about the catch from each catching vessel: 1. the daily mortality of SBT during catching and towing, and 2. the quantity (number and weight in kilograms) of SBT transferred to each farm ii. use these records to complete the Farm Stocking Form at the end of each fishing season and before the SBT are recorded on a CMF; e. compliance with certification procedures is verified. 2. Any use of specific exemptions to CDS documentation (allowed for under obligation 3.1 A (ii) for recreational catch) must be: a. explicitly allowed and this decision advised to the Executive Secretary; and b. have associated documented risk-management strategies to ensure that associated mortalities are accounted for and that recreational catches do not enter the market. 3. Operating system and processes established and implemented to ensure all CDS documents are uniquely numbered, and completed fully and in accordance with the document's instructions;
vi. Members/OSECs shall not permit the landing as domestic product, transhipment, import, export and/or re-export of SBT caught by vessels not authorised to catch SBT and (if SBT farming is conducted under their jurisdiction) the transfer of SBT to or between, and harvest of SBT from, farms not authorised to farm SBT.	1. Operating systems and processes established and implemented to ensure that at all times only carrier vessels authorised on the CCSBT Record of Carrier Vessels for the transhipment date are permitted to receive at-sea transhipments from the Member's LSTLVs. 2. Rules established and implemented to prohibit:

3.1 Catch Documentation System	
A. Obligations (general)	**Minimum performance requirements**
	a. the landing, transhipment, import, export or re-export of SBT caught or transhipped by non-authorised fishing/carrier vessels; b. the transfer of SBT to, between or harvested from farms which were not authorised to farm SBT on the date(s) of the transfers/ harvests.

3.1 Catch Documentation System	
B. ~~Obligations (modification to CDS documents)~~	**~~Minimum performance requirements~~**
vii. ~~Only minimal modifications, such as the addition of translations, may be made to the approved forms[8]. No information field may be omitted from the standard form, except where the field is not applicable.~~	~~1. The Executive Secretary shall, in consultation with Members, determine whether proposed modifications are minimal or significant with respect to this obligation.~~ ~~2. Modified documents remain compatible with approved forms to ensure data series remain continuous and so they can be uploaded by the Secretariat.~~ ~~3.~~1. ~~Modified documents are provided to the Executive Secretary in electronic format at least 4 weeks prior to the use of such documents and with proposed modifications clearly highlighted.~~
viii. ~~Any documentation modified, as described above[9], shall be provided to the Executive Secretary for distribution to other Members/OSECs.~~	
ix. ~~Significant a~~Amendments to the forms and form content may be made only with the agreement of the Commission at its annual meeting based on recommendations from the CCSBT Compliance Committee.	

Commented [Sec3]: Most provisions in the Resolution related to modification of CDS documents were removed by CCSBT 32, recognising that any modification of forms used within the eCDS will require technical support and there will be costs associated.

[8] ~~However the Catch Tagging Form may be amended to include additional information at the discretion of the Member.~~

[9] ~~With the exception of additions to the Catch Tagging Form.~~

3.1 Catch Documentation System	
C. Obligations (Tagging)	**Minimum performance requirements**
x. Members shall require that an SBT tag be attached to each whole SBT at the time of kill except in the three circumstances described at paragraph "3.1 C xv" below.	1. Operating systems and processes established and implemented to ensure that CCSBT Catch Tagging Program requirements are met, including: a. ensuring all SBT tags meet the minimum specifications in paragraph 3 of Appendix ~~2~~3 of the CDS Resolution; b. recording the distribution of SBT tags to: i. entities authorised to fish for, or farm, SBT, and ii. where applicable, entities which received tags to cover exceptional circumstances outlined in "3.1 C xv" and "xvi"; c. requiring a valid tag to be attached to each SBT brought on board a fishing vessel and killed (including SBT caught as incidental bycatch) or landed and killed from a farm (unless the special circumstances in "3.1C xv" apply); d. requiring tags to be attached to each fish as soon as practicable after the time of kill; e. requiring details for each fish to be recorded as soon as practicable after the time of kill including month, area, method of capture, as well as weight and length measurements carried out before the SBT is frozen.
xi. A Catch Tagging Form[10] shall be filled in as soon as practicable after the time of kill. Length and weight measurements shall be conducted before the SBT is frozen. Where measurements cannot be accurately done on board the vessel, they may be made at the time of landing or transhipment, provided the measurements and the associated Catch Tagging Form are filled in before any further transfer of the SBT. xii. Catch Tagging Form(s) must have been completed for all SBT on the Catch Monitoring Form.	

Commented [Sec4]: Update to Appendix Reference.

Commented [Sec5]: New footnote proposed to recognise the electronic capture of tagging data already undertaken by Members and now reflected in the Resolution.

[10] The information that is required to be included in the Catch Tagging Form may be recorded in electronic format by a Member or Cooperating Non-Member provided that all the required information from the Catch Tagging Form is included in the electronic record used.

3.1 Catch Documentation System	
C. Obligations (Tagging)	**Minimum performance requirements**
xiii. A tagging programme shall meet the minimum procedural and information standards set out in Appendix 2 of the CDS resolution[11].	1. Operating systems and processes established and implemented to: a. meet procedural and information standards set out in Appendix ~~2~~3 of the CDS Resolution; b. identify any unauthorised use of SBT tags; c. identify any use of duplicate tag numbers; d. identify any whole SBT landed, transhipped, exported, imported or re-exported without a tag (except in the circumstance set out in obligations "3.1Cxv and xvi"; e. ensure that tags are retained on whole SBT to at least the first point of sale[12] for landings of domestic product; f. ensure a risk management strategy (including random or risk-based sampling) is in place to minimise the opportunity of illegal SBT being marketed. 2. Operating systems and processes established and implemented to: a. monitor compliance by operators with control measures in 1. a-f above; b. impose sanctions on operators where non-compliance is detected;
xiv. Members shall prohibit unauthorised use of SBT tags.	
xv. Members/OSECs shall not permit whole SBT to be landed as domestic product, transhipped, exported, imported or re-exported without a tag, except that: a) in the case of farming operations, the SBT may be landed without a tag provided a tag is attached within 30 hours of kill; b) in exceptional circumstances, where a vessel on the CCSBT Record of Authorised Vessels does not have sufficient tags on board the vessel, the tag may be attached at landing; c) in exceptional circumstances, where a vessel catches SBT as unexpected bycatch and has no or insufficient tags on board, the tag may be attached at landing.	
xvi. In exceptional circumstances, where a tag becomes accidentally detached and cannot be reattached, a replacement tag shall be attached as soon as possible and no later than the time of landing, transhipment or export.	

Commented [Sec6]: Update to Appendix Reference.

[11]This includes minimum standards for the tag and requirements for tag related information.

[12]Tags should be retained on whole SBT as long as possible. In cases where the catching and processing are conducted by the same operator (or entity), the tags should be retained as long as the SBT remains whole. This is because, in this case, the first point of sale occurs later in a processed form.

3.1 Catch Documentation System	
C. Obligations (Tagging)	**Minimum performance requirements**
xvii. Members shall report any exceptional circumstances referred to in "3.1Cxv(b)", "xv(c)" or "xvi" of this measure to the Executive Secretary within 7 days of the landing. The report shall provide details of the exceptional circumstances, the number of SBT tagged and for "3.1Cxvi" of this measure, the old (where known) and new tag number(s).	c. report any cases of whole SBT being landed without tags (due to exceptional circumstances in "3.1Cxv" and "xvi") to the Executive Secretary, and minimise their occurrence in future.
xviii. Members shall require that tags be retained on whole SBT to at least the first point of sale for landings of domestic product, and shall encourage the retention of tags on whole fish thereafter.	

3.1 Catch Documentation System	
D. Obligations (Validation)	**Minimum performance requirements**
xix. The authority to validate CDS documents may be delegated to an authorised person by an official of the relevant State/fishing entity. Members/OSECs who utilise delegated person/s shall submit a certified copy of such delegation/s to the Executive Secretary. The individual who certifies a CCSBT CDS Document shall not be the same person who validates the Document.	1. Operating systems and processes established and implemented to: a. authorise validators to validate Farm Stocking, Catch Monitoring and Re-Export/Export after Landing of Domestic Product Forms;

3.1 Catch Documentation System	
D. Obligations (Validation)	**Minimum performance requirements**
xx. Members/ OSECs shall provide to the Executive Secretary information on validation (including type of validation, name of the organisation which validates the documents, title and name and signature of officials who validate the documents, sample impression of stamp or seal, and a list of all persons holding delegated authority to validate CCSBT CDS documentation prior to those officials and persons exercising the authority). Members/OSECs shall inform the Executive Secretary of any changes in a timely fashion.	b. demonstrate that all persons with authority to validate CDS documents: i. are government officials or other individuals who have been duly delegated authority to validate ii. are aware of their responsibilities, including inspection, monitoring and reporting requirements iii. are aware of penalties applicable should the authority be mis-used c. appropriate individuals certify each CDS form type by each signing and dating the required fields; d. the same individual does not both certify and validate information on the same CDS form e. inform the Executive Secretary of: i. the details for all validators (including the information specified in obligation "3.1D xx") and keep this information up to date ii. any individuals removed from the list of validators no later than the end of the quarter in which the removal occurred; f. ensure that no individual conducts validations i. prior to the Executive Secretary being fully informed of his/her current validation details, or ii. after that individual's authority to validate has been removed.
xxi. The CCSBT CDS documentation must be validated (or signed in the case of transhipments at sea) as applicable by: • for landings of domestic product, an official of the flag Member of the catching vessel or, when the fishing vessel is operating under a charter arrangement, by a competent authority or institution of the chartering Member; and • for all SBT transhipments subject to CCSBT Resolution on Establishing a Program for Transhipment by Large-Scale Fishing Vessels, the observer required by that resolution[13]; and • for all export of SBT, an official of the exporting Member; and	

[13] CDS documents entered into the eCDS do not need to be validated by the observer, but must be certified and include the observer's full name.

Commented [Sec7]: New proposed footnote to reflect the changes to the validation of transhipments by observers in the eCDS.

3.1 Catch Documentation System	
D. Obligations (Validation)	**Minimum performance requirements**
• for all re-export of SBT, an official of the re-exporting Member/OSEC.	2. Operating systems and processes established and implemented to monitor performance (compliance and effectiveness) of validators.
xxii. Full or partial consignments of untagged whole SBT must not be validated or accepted for transhipment, landing of domestic product, export (including export after landing of domestic product), import or re-export (except where the tag is no longer required to be attached to the SBT because it has undergone processing such as filleting or loining and the SBT is no longer whole).	1. Operating systems and processes to ensure: a. CDS forms are only validated: i. where all of the SBT listed on the form are tagged (except in cases where tags are no longer required due to processing having occurred) ii. in the case of farmed SBT, for SBT harvested from farms on a date that the farm was authorised on the CCSBT record of Authorised Farms iii. in the case of Wild Harvest SBT, for SBT taken by FVs on a date when that FV was authorised by the flag Member; b. validated documentation accompanies all SBT consignments whether transhipped, landed as domestic product, exported, imported or re-exported; c. no SBT is accepted (for landing of domestic product, export, import or re-export) without validated documentation; d. validation does not occur where: i. validator authorisation procedures were not correctly followed or ii. any deficiency or discrepancy is found with the CDS form. 2. Operating systems and processes established and implemented for a Member to validate SBT product against CDS documents, including: a. requirements to check accuracy of information by ensuring every CDS document is complete, valid and contains no
xxiii. No Member/OSEC shall accept any SBT for transhipment, landing of domestic product, export, import, or re-export where any or all required documents do not accompany the relevant consignment of SBT, where fields of information required on the form are not completed, or where the form has not been validated as required by this resolution.	
xxiv. Members/OSECs shall not validate any CCSBT CDS document that is not complete, has obviously incorrect information, or has not been validated as required by this resolution.	
xxv. 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.	

3.1 Catch Documentation System	
D. Obligations (Validation)	**Minimum performance requirements**
	obviously incorrect information by cross-checking data on the form being validated against: i. data on preceding CDS forms including the Catch Tagging Form ii. relevant lists of authorised farms, vessels or carriers iii. result of any physical inspection by the authority. b. notification of any inconsistencies or inaccuracies to the Member's enforcement authorities.

3.1 Catch Documentation System	
E. Obligations (Retention and submission of documents)	**Minimum performance requirements**
xxvi. Members/OSECs shall retain all original CCSBT CDS Documents (or scanned electronic copies of the original documents) received by them. Members/OSECs shall also retain a copy of any CCSBT CDS Documents issued by them	1. CDS d~~D~~ocuments are entered into the eCDS or documents and/or scanned electronic copies stored in a secure location for a minimum of three years under conditions that avoid damage to the legibility of the documents or the data files.
xxvii. Copies of these CDS Documents shall be forwarded to the Executive Secretary on a quarterly basis.	1. CDS documents are entered into the eCDS or ~~C~~copies of all completed CDS documents issued by catching Members or received by importing or receiving Members, sent to Executive Secretary in accordance with the following timeframes: a. documents issued or received in Jan-Mar - due 30 June b. documents issued or received in Apr-Jun - due 30 September c. documents issued or received in Jul-Sep - due 31 December d. documents issued or received Oct-Dec - due 31 March. 2. Catch Tagging Form information shall be entered into the eCDS or provided to the Executive Secretary using the electronic Data
xxviii. Completed Catch Tagging Forms shall be provided to the flag Members which shall provide the information in the Catch Tagging Form to the Executive Secretary in an electronic format. All other forms shall be forwarded to the Executive Secretary either as a copy of the original form or in electronic format containing all the information in the forms.	

Commented [Sec8]: Changes proposed to reflect that any CDS document completed in the eCDS is deemed to have been retained by that Member and/or provided to the Executive Secretary.

3.1 Catch Documentation System	
E. Obligations (Retention and submission of documents)	**Minimum performance requirements**
	Provision Form developed by the Secretariat and in accordance with the Data Provision Form's instructions.

3.1 Catch Documentation System	
F. Obligations (Verification of CDS documentation)	**Minimum performance requirements**
xxix. Each Member shall ensure that its competent authorities, or other authorised individual or institution, take steps to identify each consignment of SBT landed as domestic product in, imported into or exported or re-exported from its territory and examine the validated CCSBT CDS Documents for each consignment of SBT. These competent authorities, or authorised individuals or institutions, may also examine the content of the consignment to verify the information contained in the CCSBT CDS Document and in related documents and, where necessary, shall carry out verifications with the operators concerned.	1. Operating systems and processes established and implemented to: a. assign unambiguous responsibility to individuals or institutions for implementing verification procedures; and b. Ensure no verification procedure[14] is carried out for a CDS document by an individual who has validated or certified the same CDS document. 2. Operating systems and processes established and implemented for verification, including: a. selecting and inspecting, where appropriate, a targeted sample of vessels and export, import and market establishments based on risk. The intent of these inspections

Commented [Sec9]: Update to page number in footnote referring to the location of the verification definition.

[14]Noting that verification is defined on page ~~34~~ of this document together with a list of processes that may form part of verification.

3.1 Catch Documentation System	
F. Obligations (Verification of CDS documentation)	**Minimum performance requirements**
xxx. Each Member shall review information and investigate and resolve any irregularities identified in relation to their information in the CDS reports, including any discrepancies identified during the comparison of data from the Executive Secretary. Among other matters, Members shall cross-check the six monthly reports provided by the Executive Secretary using information available to it.	should be to provide confidence that the provisions of the CDS are being complied with; b. reviewing and analysing information from CDS documents at least once every 6 months, including: i. checking the completeness of data on CDS forms and cross-checking the consistency of the data on CDS forms received with other sources of information ii. cross-checking data from the Executive Secretary's CDS six-monthly report iii. analysing any discrepancies; c. investigating any irregularities suspected or detected; d. taking action to resolve any irregularities; e. notifying the Executive Secretary and relevant Members/ OSECs, of any consignments of SBT whose CDS documentation is considered doubtful, or incomplete or unvalidated; f. notifying the Executive Secretary of any investigation into serious irregularities, in order to present these in an annual summary report to the Compliance Committee. Notifications should include reporting: i. the commencement of an investigation if doing so will not impede that investigation ii. progress, within 6 months of starting the investigation if doing so will not impede that investigation and iii. the final outcome within 3 months of completing the investigation.
xxxi. Each Member/OSEC shall, as soon as practicable, identify to the Executive Secretary and relevant Members/OSECs, any consignments of SBT where there are: • doubts about the information contained in any associated CDS documentation; or • incomplete, missing or unvalidated CCSBT CDS documentation.	

3.1 Catch Documentation System	
F. Obligations (Verification of CDS documentation)	**Minimum performance requirements**
	3. Ensure that no SBT is accepted (for landing of domestic product, export, import or re-export) without validated documentation attached.
xxxii. Each Member shall co-operate and take all necessary steps with relevant authorities, and within domestic law, to review, investigate and resolve any concerns identified in "3.1Fxxx" and "3.1Fxxxi" of this measure, and notify the Executive Secretary of the outcome of any such action for inclusion in its report to the Commission.	
xxxiii. Members/OSECs shall cooperate to ensure that CDS documents are not forged and/or do not contain misinformation.	
xxxiv. Where necessary, in support of catch verification procedures, Members/OSECs agree to exchange the necessary supporting information and, where relevant, evidence as may be necessary to verify the integrity of the flow of CDS information and to reconcile any discrepancies.	

3.2. Vessel Monitoring System (Resolution)

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

Links: https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_VMS.pdf

Notes: These MPRs need to be updated. They currently refer to two VMS Resolutions (Resolution on the development and implementation of a Vessel Monitoring System 2006 and Resolution on establishing the CCSBT Vessel Monitoring System 2008) which were superseded by the consolidated Resolution on the CCSBT Vessel Monitoring System in October 2017.

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

3.2 Vessel Monitoring System	
Obligations	**Minimum performance requirements**
iii. Members shall implement a mandatory Vessel Monitoring System for fishing of SBT inside the Exclusive Economic Zone by 1 January 2008 for vessels above a specified size.	
iv. Members shall ensure their domestic regulations and rules enable them to act in accordance with the Vessel Monitoring System to be developed under paragraph "i" above.	
v. In addition to the above, Members shall adopt and implement satellite-linked Vessel Monitoring Systems (VMS) for vessels fishing for SBT in accordance with the requirements of the RFMO[15] (IOTC, WCPFC, CCAMLR, ICCAT) whose convention area is being fished at the time, or in accordance with IOTC's requirements when fishing in any other high seas area.	
vi. In response to requests from Members in accordance with paragraph 3b of the 2008 CCSBT VMS resolution in relation to incidents concerning specific vessels, Members that receive the request shall: a. investigate the incidents and provide details[16] of the investigation to the Member which requested VMS data; or b. provide VMS data[8] on the vessel(s) to the requesting Member, which will inform the results of its investigation to the Member which is the flag state/fishing entity of the vessel(s)	

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

[16] Confidentiality provisions that apply to this information are specified in the Resolution.

3.3. Transhipment Monitoring Program (Resolution)

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

Link: https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_Transhipment.pdf

Notes:

- To enable interoperability between the CCSBT, IOTC and ICCAT transhipment monitoring programs, for the purpose of this measure, the IOTC/ICCAT Secretariat, observers, transhipment declarations and registration numbers may be treated as being the CCSBT equivalents provided that the presence of SBT is reported at each stage (from the initial observer deployment request through to the transhipment declaration).
- Section 2 of this Resolution relates to the establishment and maintenance of a record of authorised Carrier Vessels (Carrier Vessel means any vessel that receives SBT transhipped from a LSTLV) that are authorised to receive SBT at sea or in port from tuna longline fishing vessels with freezing capacity (LSTLVs). The obligations contained in Section 2 of this Resolution are set out in section 2.3 of this Appendix so that it is together with the other CCSBT Authorisation measures.
- In 2023, EC 30 agreed that a special temporary allowance of 130 t would be provided to Indonesia per year from 2024 to 2026 inclusive, subject to paragraphs 85 and 86 of the EC 30 report. This condition for a special temporary allowance for Indonesia includes compliance with transhipment-related obligations. In addition, CC 18 agreed on a two-year trial that would include a targeted Quality Assurance Review (QAR) in 2025 to independently assess the performance of the trial (paragraphs 68 of the CC 18 report).

Commented [Sec10]: Paragraph relates to ID transhipment trial. Paragraph recommended for consideration by CC 21 for update/removal (as required) based on discussion/decision of the meeting.

3.3 Transhipment Monitoring Program	
A. Obligations (At-sea Transhipments)	**Minimum performance requirements**
i. Transhipments by LSTLVs in waters under the jurisdiction of the Members are subject to prior authorisation from the Coastal State / Fishing Entity concerned. An original or copy of the documentation of Coastal State/Fishing Entity prior authorisation must be retained on the LSTLV and made available to the CCSBT Observer when requested.	***Unless otherwise specified, the Flag State of the authorised fishing vessel (LSTLV) is responsible for meeting the minimum performance requirements set out in section 3.3.*** 1. Operating systems and processes to ensure: a. the authorisation document(s) from the Coastal State Fishing Entity (where applicable) and/or Fishing State Entity, including details of the intended transhipment provided by

3.3 Transhipment Monitoring Program	
A. Obligations (At-sea Transhipments)	**Minimum performance requirements**
ii. Members shall take the necessary measures to ensure that LSTLVs flying their flag comply with the following conditions: a. LSTLVs shall not be authorised to tranship at sea, unless they have obtained prior authorisation from their Flag State / Fishing Entity. An original or copy of the documentation of prior authorisation must be retained on the LSTLV and made available to the CCSBT observer when requested. To receive prior authorisation, the master and/or owner of the LSTLV must notify the following information to its Flag State / Fishing Entity authorities at least 24 hours in advance of an intended transhipment: • Name, CCSBT Registration Number & IMO Number of the transhipping LSTLV & receiving Carrier Vessel; • Tonnage and product type[17] to be transhipped (by species where known); • Date & location of transhipment; and • Geographic location of the SBT catches. b. The master and/or owner of the LSTLV concerned shall complete and transmit to its Flag State / Fishing Entity, and,	the master or owner of the LSTLV, is/are available on the LSTLV prior to the transhipment occurring; b. any Carrier Vessel receiving the transhipped SBT is meeting its obligations to provide access and accommodation to observers, and to cooperate with the observer in relation to the performance of his or her duties (see Carrier Vessel Authorisation minimum performance requirements, section 2.3). 2. Rules in place to ensure: a. all SBT transhipments receive prior authorisation, and that carrier vessels do not commence transhipments without confirmation of the LSTLV authorisation; b. fishing vessels are authorised on the CCSBT authorised fishing vessel register on the date(s) the SBT are harvested, retained on board, transhipped and landed; c. Carrier Vessels are authorised on the CCSBT authorised; Carrier Vessel register on the date(s) any transhipments occur;

Commented [Sec11]: Based on the requirements of Paragraph 22 of the Resolution, which were not previously reflected.

[17] Product type is the processed state e.g. refer to the types of product listed in the CCSBT Transhipment Declaration in Annex I

3.3 Transhipment Monitoring Program	
A. Obligations (At-sea Transhipments)	**Minimum performance requirements**
where applicable, the Coastal State/ Fishing Entity not later than 5 working days after the transhipment, the CCSBT transhipment declaration[18].	d. a named CCSBT observer is on board the Carrier Vessel; e. no SBT transhipment occurs without an observer on board except in the case of 'force majeure' (as notified to the Executive Secretary);
iii. The master of the receiving Carrier Vessel shall: a. not start the transhipment without confirmation the LSTLV is participating in the CCSBT programme to monitor transhipment at sea and has obtained the prior authorisation from their Flag State / Fishing Entity. ~~a.~~b. complete and transmit the CCSBT transhipment declaration to the CCSBT Secretariat and the Flag Member/CNM of the LSTLV, along with its CCSBT Registration Number, within 24 hours of the completion of the transhipment; and ~~b.~~c. no later than 48 hours before landing, transmit a CCSBT transhipment declaration, along with its CCSBT Registration Number, to the competent authorities of the State / Fishing Entity where the landing takes place.	f. transhipment declarations are completed, signed and transmitted by the LSTLV and the Carrier Vessel, in accordance with paragraphs 21, 23 and 24 of the Transhipment Resolution, in particular that: i. The master and/or owner of the LSTLV shall transmit a completed CCSBT Transhipment Declaration to its Flag State / Fishing Entity, not later than 5 working days after the transhipment; and ii. The master of the carrier vessel shall transmit its CCSBT Registration Number and a completed CCSBT Transhipment Declaration to the CCSBT Secretariat and the Flag Member/ CNM of the LSTLV, within 24 hours of the completion of the transhipment.

Commented [Sec12]: Paragraph 22, as above

[18] As specified in Annex 1 of the Transhipment Resolution.

3.3 Transhipment Monitoring Program	
A. Obligations (At-sea Transhipments)	**Minimum performance requirements**
iv. Each Member shall ensure that all Carrier Vessels transhipping at sea have on board a CCSBT observer in accordance with the CCSBT Regional Observer Program[19].	3. Operating systems and processes to: a. issue transhipment authorisations; b. verify the date and location of transhipments; c. request placement of observers on board Carrier Vessels; d. notify any cases of 'force majeure' (where transhipment occurs without an observer on the Carrier Vessel) to Executive Secretary within 15 days of the event occurring; e. ensure observers can board the LSTLV (provided it is safe to do so) before transhipment takes place, and have access to personnel and areas necessary to monitor compliance with paragraph 6(a) of Annex 2 of the Transhipment Resolution; f. enable observers to report any concerns about inaccurate documentation or obstruction, intimidation, or influence in relation to carrying out their duties; g. monitor compliance with the control measures; and
v. Vessels shall be prohibited from commencing or continuing transhipping at sea without a CCSBT regional observer on board[20], except in cases of 'force majeure' duly notified to the Executive Secretary.	

Commented [Sec13]: Footnote relates to ID transhipment trial. Footnote recommended for consideration by CC21 for update/removal (if required) based on discussion/decision of the meeting.

[19] The CCSBT Regional Observer Program is described at Annex 2 of the Transhipment Resolution. The description includes obligations of the Flag State/Fishing Entity of both Carrier Vessels and LSTLVs to the observers which are not described here. In order to place a CCSBT observer on board a Carrier Vessel, the Member must submit an observer deployment request to the Secretariat before the transhipment, stating that SBT will be transhipped.

[20] With the exception that Indonesia may fulfill the requirements of the Regional Observer Program through the use of its own national observers where SBT is being transhipped at-sea to the Indonesian-flagged wooden Carrier Vessels listed in Annex IV of CCSBT's Transhipment Resolution during the agreed timeframe of its trial at-sea transhipment programme which commenced on 1 November 2023 for a two-year period.

3.3 Transhipment Monitoring Program	
A. Obligations (At-sea Transhipments)	**Minimum performance requirements**
	h. impose sanctions or corrective action programmes for any non-compliance detected.
vi. Indonesia shall provide directly to both the CCSBT and IOTC Secretariats, copies of all data and documentation required by and within the timeframes set out in the respective CCSBT and IOTC Transhipment Resolutions.	1. Operating systems and processes to ensure: a. Submission to the CCSBT Secretariat of all required transhipment observer programme information relating to: i. Observer designation: including the observer details and evidence to demonstrate sufficient experience and knowledge of CCSBT conservation and management measures, species identification and fishing gear and the ability to observe, record, report and verify carrier and fishing vessel transfers and SBT onboard; and ii. Observer deployment: including 5-day reports, transhipment declarations and observer reports, and any other required notifications, reports and revisions thereof. b. The items listed in a. above are submitted within the required timeframes.
vii. Replacement of any Indonesian-flagged wooden carrier vessels in Annex IV is only permitted if the material of the substitute vessel shall remain wooden and the carrying capacity or fish hold volume is not larger than the vessel(s) being replaced.	1. Rules in place to ensure that: a. Any replacement Indonesian CVs are notified to the Secretariat promptly and before they receive any at-sea transhipments of SBT; and b. Do not have a greater hold volume (gross tonnage used as a proxy) than the CV being replaced; and c. The replacement vessel is also of wooden construction.

Commented [Sec14]: Paragraph relates to ID transhipment trial. Paragraph recommended for consideration by CC 21 for update/removal (if required) based on discussion/decision of the meeting.

Commented [Sec15]: Paragraph relates to ID transhipment trial. Paragraph recommended for consideration by CC 21 for update/removal (as required) based on discussion/decision of the meeting.

3.3 Transhipment Monitoring program	
B. Obligations (In-port Transhipments)	**Minimum performance requirements**
viii. For effective in-port inspections, Flag States of fishing vessels shall designate foreign ports of transhipment of southern bluefin tuna for their vessels, prohibit such transhipment at other foreign ports and communicate with those designated Port States to share relevant information required for effective monitoring.	1. Operating systems and processes in place to: a. provide a list of designated foreign ports where SBT transhipments are permitted to occur to the Executive Secretary on an annual basis before the annual meeting of the Compliance Committee.
ix. Members shall take necessary measures to ensure that the following conditions are complied with for in-port transhipments: a) Prior to transhipping, the master of the LSTLV must notify the following information to the Port State authorities, at least 48 hours in advance or immediately after the end of fishing operations if the time to the port is less than 48 hours: • The name of the LSTLV, IMO number and its number in the CCSBT record of fishing vessels; • the name of the Carrier Vessel, IMO number and its number in the CCSBT Record of Carrier Vessels, • the tonnage and product type to be transhipped (by species where known); • the date and location of transhipment; • the geographic location of the SBT catches.	1. Rules in place to ensure: a. Port State authorities are notified at least 48 hours prior to (or immediately after) any pending in-port transhipment by the LSTLV master, and this notification includes key details about the intended transhipment; b. LSTLVs are authorised on the CCSBT authorised fishing vessel register on the date(s) the SBT are harvested, retained on board, transhipped and/or landed; c. Carrier Vessels are authorised on the CCSBT authorised Carrier Vessel register on the date(s) any transhipment/ transportation of SBT occurs; d. transhipment declarations are completed, signed and transmitted by the LSTLV and the Carrier Vessel, in accordance with paragraphs 32, 34, and 35 of the Transhipment Resolution, in particular that:

3.3 Transhipment Monitoring program	
B. Obligations (In-port Transhipments)	**Minimum performance requirements**
b) At the time of the transhipment, the master and/or owner of the LSTLV must inform its Flag State/ Fishing Entity of the LSTLV of the following; – the product types[18] and quantities involved; – the date and place of the transhipment; – the name, registration number, IMO number and flag of the receiving Carrier Vessel, and its number in the CCSBT Record of Carrier Vessels authorised to receive SBT transhipments; and – the geographic location of the SBT catches.	i. The master and/or owner of the LSTLV transmits a completed CCSBT Transhipment Declaration and its number in the CCSBT Record of Fishing Vessels to its Flag State / Fishing Entity, not later than 15 days after the transhipment occurs, or, if the SBT are being transferred temporarily to bonded cold storage, not later than 15 days from the date on which the SBT is transferred into the bonded cold storage facility. 2. Operating systems and processes in place to: a. verify the date and location of transhipments; b. monitor compliance with the control measures; and c. impose sanctions or corrective action programmes for any non-compliance detected.
x. The master and/or owner of the LSTLV concerned shall complete and transmit to its Flag State/ Fishing Entity the CCSBT transhipment declaration, along with its number in the CCSBT Record of Fishing Vessels, in the format set out in **Annex I** not later than 15 days after the transhipment[21].	

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

3.3 Transhipment Monitoring program	
B. Obligations (In-port Transhipments)	**Minimum performance requirements**
xi. For in-port transhipments, the master of the Receiving Carrier Vessel shall: a. Not later than 24 hours before the beginning of the transhipment, inform the Port State authorities of the quantities of SBT to be transhipped to the receiving Carrier Vessel; and b. Within 24 hours of the completion of the transhipment, complete and transmit the CCSBT transhipment declaration to the Port State authorities, the Flag Member/ CNM of the LSTLV, and the CCSBT Secretariat. A copy of this transhipment declaration shall be retained on board the receiving Carrier Vessel. c. Following receipt of a transhipment including SBT, and after leaving the transhipment port, at least 48 hours before landing its transhipped SBT, complete and transmit a copy of the CCSBT transhipment declaration referred to in paragraph 35, to the competent authorities of the landing State/ Fishing Entity where the landing will take place.	

3.3 Transhipment Monitoring program	
B. Obligations (In-port Transhipments)	**Minimum performance requirements**
xii. The Port State and the Landing State (where the transhipment in port occurred) shall make an effort to take the appropriate measures to verify the accuracy of the information received and shall cooperate with the work of the Flag Member or CNM of the LSTLV to ensure that reported catches, transhipments and landings are consistent with the reported catch amounts of each vessel. This verification shall be carried out so that the vessel suffers the minimum interference and inconvenience, and so that degradation of the fish is avoided.	

3.3 Transhipment Monitoring program	
C. Obligations (General Provisions)	**Minimum performance requirements**
xiii. LSTLVs and Carrier Vessels authorised by Members and CNMs which tranship at sea or in-port shall be required to install and operate a VMS in accordance with paragraph 4 of CCSBT's *Resolution on the CCSBT Vessel Monitoring System (VMS)* (2017), and any successor Resolution, including any future revisions thereto.	1. Operating systems and processes and rules to ensure that LSTLVs and Carrier Vessels authorised by Members and CNMs are only to be authorised to conduct transhipments if: a) The LSTLV already has an operational VMS installed, or the LSTLV undertakes to install an operational VMS before any authorisation/ transhipments of SBT take place, and b) The VMS transmits at frequency sufficient to show transhipping operations, and c) The VMS will function effectively in the expected operating conditions.
xiv. Port State Members and CNMs should prioritise inspection in port of (a) Carrier Vessels whose AIS/VMS signals disappear under suspicious circumstances and without explanation and/or indicate dubious movements, as well as (b) Carrier Vessels which are not CCSBT-authorised to verify that SBT is not on board.	

3.3 Transhipment Monitoring program	
C. Obligations (General Provisions)	**Minimum performance requirements**
xv. Carrier Vessels authorised to receive transhipments of SBT shall be required to separate and stow transhipped SBT by fishing vessel and develop a stowage plan to show the locations in the hold of the quantities of SBT by fishing vessel. The Carrier Vessel master shall submit the stowage plan to inspectors, if requested.	1. Operating systems and processes are in place to ensure: a. That CVs stow SBT received from each LSTLV separately from SBT received from other LSTLVs, and b. Accurate stowage plans are available for each CV with SBT on board and are updated whenever new transhipments of SBT are received.
xvi. To ensure the effectiveness of the CCSBT conservation and management measures pertaining to the Catch Documentation System (CDS): a. In validating the necessary CCSBT CDS documentation, as required by the CDS, Flag Members and CNMs of LSTLVs shall ensure that transhipments are consistent with the reported catch amount by each LSTLV. b. The Flag Member or CNM of LSTLVs shall validate the necessary CCSBT CDS documentation for the transhipped fish, as required by the CDS, after confirming that the transhipment was conducted in accordance with this Resolution. If transhipped at sea this confirmation shall be based on the information obtained through the CCSBT Regional Observer Program.	1. Operating systems and processes are in place to: a. identify and resolve any discrepancies between the LSTLV's reported catches, CDS documents, transhipment declarations and the amount of fish counted as transhipped, b. 100% supervision of all fish transhipped at sea. 2. Operating systems and processes are in place to allow any CDS forms for domestically landed SBT that were transhipped at sea to be validated at the time of landing.

3.3 Transhipment Monitoring program	
C. Obligations (General Provisions)	**Minimum performance requirements**
c. Members and CNMs shall require that SBT caught by LSTLVs, when imported into the territory of a Member or CNM, be accompanied by the necessary CCSBT CDS documentation validated for the vessels on the CCSBT Authorised Vessel List and a copy of the CCSBT transhipment declaration.	
xvii. All SBT landed or imported, either unprocessed or after having been processed on board and which are transhipped, shall be accompanied by the CCSBT transhipment declaration until the first sale has taken place.	1. Rules, systems and procedures to ensure: a. all transhipped product is accompanied by a signed Transhipment Declaration until the first point of sale.
xiii. The costs of implementing this program shall be financed by the Flag Members of LSTLVs wishing to engage in transhipment operations.	

No proposed changes after the end of the Transhipment Monitoring Program section