

**Sixth Meeting of the Compliance Committee  
6-8 October 2011  
Bali, Indonesia  
Provisional Agenda**

1. Opening of meeting
  - 1.1. Welcome
  - 1.2. Adoption of Agenda
  - 1.3. Meeting Arrangements

2. Compliance with CCSBT Conservation and Management Measures

*This agenda item relates to compliance with existing CCSBT conservation and management measures.*

- 2.1. Reports from Members and Cooperating Non-members (*compliance related issues from National Reports and content of updated Compliance Action Plans*),

*At the completion of this agenda item during CC5, the Compliance Committee made a number of recommendations at paragraph 7 of its report (see Attachment A to this draft provisional agenda). It is recommended that Member's/CNM's National Reports include a description of progress made against each of these recommendations. If a particular recommendation is not relevant to a Member/CNM, it should be marked as being not relevant.*

*It is assumed that Members will have read the submitted National Reports and updated Compliance Action Plans so there should be no need to re-present those items<sup>1</sup>. The time will therefore focus on questions and answers to key issues within the National Reports as well as the contents of the updated Compliance Action Plans.*

- 2.2. Report from Secretariat

*The Secretariat's report will include an updated Compliance Table that summarises compliance of Members and CNMs with CCSBT management measures. This table will be updated in conjunction with Members and CNMs in advance of the meeting as recommended by the Fourth Meeting of the Compliance Committee (CC4). The paper from the Secretariat will also include an updated characterisation of global SBT fisheries as requested by CC5.*

- 2.3. Assessment of compliance with CCSBT management measures

*The draft CCSBT Strategic plan requires that, in order to obtain accurate data on all fisheries, an annual audit of Members against a checklist of compliance measures be conducted by the Compliance Committee. Information presented in the previous sub agenda items are expected to be the major contributors to this audit process. The present sub agenda item provides an opportunity to assess this information and to provide recommendations for any areas that require improvement.*

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<sup>1</sup> *The template for National Reports and Compliance Action Plans are attached. It should be noted that the template for the Compliance Action Plan includes the "Annual VMS Summary Report", the "Annual Transshipment Summary Report" and the "Annual Report on Implementation of the 2008 ERS Recommendation".*

### 3. Development of the CCSBT Compliance Plan

*CCSBT 17 agreed that a Compliance Plan should be developed and that the plan should place special emphasis on managing the following compliance risks:*

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

*A draft Compliance Plan and has been developed and circulated to Members for comments intersessionally. The initial draft was modified twice, once after a round of full comments and once after a round of technical comments. The plan will be subject to an initial round of discussion at the August Special Meeting of the CCSBT, with more complete discussion and possible finalisation of the plan at this meeting.*

*There is overlap between the draft Compliance Plan and the draft Strategic Plan (in particular, goals 8, 9, 10). There is a greater level of detail and structure to the initiatives to promote compliance with CCSBT measures in the Compliance Plan than in the Strategic Plan. Members should consider whether to adopt a Compliance Plan as a separate document and possibly rationalise the Strategic Plan, or to integrate the two plans.*

### 4. Development of Compliance Policy Statements

*CCSBT 17 agreed that to ensure effective implementation of compliance measures, five draft compliance policy statements should be developed to:*

- *Clearly specify Members' compliance obligations. Each obligation should be clearly stated and be accompanied by a standard that clearly specified what needed to be achieved. Certain resolutions of the EC, such as the CDS, would be broken down into several obligations.*
- *Obtain improved reporting by Members against their compliance obligations. This would specify the reporting required against each obligation.*
- *Provide for independent auditing of Members' compliance systems. This is to verify compliance with the stated obligations.*
- *Specify sanctions for non-compliance against the obligations and/or CCSBT's management and conservation measures. This could include market measures, allocation reductions and penalties.*
- *Provide for the sharing of compliance information.*

*Four draft Compliance Policy Statements were developed and circulated to Members in the same manner as described above for the Compliance Plan. This meeting will further the development and possibly finalise the Compliance Policy Statements.*

## 5. Review of CCSBT MCS Measures

*This agenda item is for review of existing MCS measures, with the intention of ensuring that these measures are operating effectively and efficiently. Compliance with such measures should, in most cases, be dealt with in agenda item 2. The Secretariat will prepare a brief report summarising the operation of these measures from its perspective. Members should prepare papers outlining any operational issues with the measures that they have identified, including any recommendations for change.*

### 5.1. CDS

*As part of this item, the Secretariat will present a draft set of standards and processes to ensure CDS data integrity as requested by CC5.*

### 5.2. Transshipment

### 5.3. VMS

### 5.4. Record of authorised farms and vessels

## 6. Discussion of new MCS measures

### 6.1. Market Analyses

*CC5 agreed that Members (particularly Australia and Japan) would conduct intercessional work to develop methods of market analysis. The results of this work should be reported by Members at this agenda item.*

## 7. Future work program

## 8. Other business

## 9. Recommendations to the Extended Commission

## 10. Conclusion

### 10.1. Timing of the next meeting

*The Terms of Reference for the Compliance Committee specifies that “The Compliance Committee will meet annually immediately prior to the annual meeting of the Extended Commission unless otherwise decided by the Extended Commission”.*

### 10.2. Adoption of meeting report

### 10.3. Close of meeting

**Extract from the Report of the Fifth Meeting of the Compliance Committee  
(October 2010)**

7. Following the discussion, the meeting made a number of recommendations including:
  - a) Due to a reduction in the scale of Japanese longline fisheries, the use of longline data for other longline fleets for scientific purpose should be evaluated, and reliable data needs to be collected from these other fleets.
  - b) There is concern about the expansion of markets for SBT, particularly in mainland China, Taiwan and Korea. Consequently, landing controls by such States and Entities are important and every effort should be made to strengthen the monitoring and control of the landings to ensure reliability of the data.
  - c) There is a need to improve reporting of Ecologically Related Species Interactions and compliance to IOTC and WCPFC measures.
  - d) Improve observer coverage levels, including for SBT bycatch fisheries, and ensure they meet the 10% level that has been agreed to. Members and Cooperating Non-Members should report observer coverage in terms of total catch and total hooks or effort.
  - e) Improve validation of the information contained in the CDS documents including through physical inspections.
  - f) 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.
  - g) Ensure that SBT discard quantities, together with discard fate (live/dead) are properly recorded and reported by all Members and Cooperating Non-Members as part of their national reports.
  - h) Improved monitoring of fisheries for and landings of other tuna species should be conducted, including exploring the use of techniques such as DNA analysis to verify the identification of tuna landed as other (non SBT) species.

**Template for the  
Annual Review of SBT Fisheries for the Annual Meeting of the Extended Commission**

*(this template originates from the proforma that was circulated on 26/11/1996 following the decision for standardised reporting by CCSBT 3(1). Changes since then are footnoted below.)*

1. Introduction
2. Operational Constraints on Effort
  - Voluntary Measures
  - Regulatory Measures
3. Catch and Effort
  - All sources of mortality (e.g. discards together with discard fate [live/dead] and recreational fishing) should be included<sup>1</sup>.
4. Historical Catch and Effort
5. Annual Fleet Size and Distribution
6. Historical Fleet Size and Distribution
7. Fisheries Monitoring
  - Amongst other things, this should include:*
    - Scientific observer coverage levels reported in accordance with the Scientific Observer Standards so that performance against the target could be properly assessed<sup>2</sup>.
    - Details on the level of coverage and type of audit undertaken, in accordance with paragraph 5.8 of the CDS resolution, and the level of compliance<sup>3</sup>.
8. Other Factors
  - Import/Export Statistics
    - Including a report on SBT imports and a breakdown of domestic consumption versus exports<sup>4</sup>.
  - Markets
    - Including a report on the Member's/CNM's domestic markets and consumption of SBT<sup>4</sup>.
  - Mitigation
  - ERS interactions<sup>5</sup>
    - Provide a table of observed interactions & mortalities, and methods of scaling to produce estimates of total ERS mortality in the same format as presented in Attachment 4 of the ERSWG8 Report.

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<sup>1</sup> CCSBT 11, paragraph 25 and CC5, paragraph 7g

<sup>2</sup> CCSBT 11, paragraph 24

<sup>3</sup> Paragraph 5.9 of the CDS resolution

<sup>4</sup> CCSBT 11, paragraph 25 and CCSBT 17, paragraph 19

<sup>5</sup> CCSBT 16, paragraph 34

## **COMPLIANCE ACTION PLAN TEMPLATE**

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

***This template contains 3 chapters:***

- *Summary of Improvements Implemented in the Compliance Action Plan*
- *Compliance Action Plan*
  - *The plan is subdivided into 7 sections that represent different points from the fishing grounds to market. It focuses on measures for monitoring and controlling the Member's or Cooperating Non Member's catch against its allocation. An additional section (section 8) is available at the end of this chapter to cater for **other** information. The plan to ensure compliance with **other** CCSBT conservation and management measures should be recorded in that section. Throughout this chapter it is assumed that the Action Plan is being implemented for the NEXT fishing season, so that all the details specified are for the NEXT season. If this is not the case, this needs to be clearly specified when completing the template.*
- *Additional Reporting Requirements for the Compliance Committee*
  - *There are a number of annual reporting requirements for the Compliance Committee. In order to keep the information in one place and help reduce the number of documents, these reporting requirements (except for the National Report) have been placed within the compliance action plan template since 2010.*

### **I. Summary of Improvements Implemented in the Compliance Action Plan**

*Compliance action plans are intended to ensure compliance with the CCSBT's conservation and management measures by requiring improvement in certain areas. This section of the template is intended to provide a brief summary of the improvements achieved in the current Compliance Action Plan (which is the plan described in this document) as well as summarising improvements that are planned for the future.*

#### **(1) Current improvements**

*Briefly list improvements achieved in this action plan, such as: designated foreign port of transshipment, 10% observer coverage, 10% monitoring of SBT transfer to farm cages by stereo video etc. There is no need to provide detailed descriptions of the improvements here because details of measures should be provided in the actual plan itself.*

#### **(2) Future planned improvements**

*Describe any improvements that are being planned for the future (i.e. beyond the current Compliance Action Plan) and the expected implementation date for such improvements.*

## **II. Compliance Action Plan**

### **(1) Fishing for Southern Bluefin Tuna**

*(a) Specify the number of vessels expected to be in the SBT fishery together with the number that are expected to target SBT and the number that are expected to take SBT as a bycatch.*

*(b) Describe the system for controlling the level of SBT catch. For ITQ and IQ systems, this should include details on how the catch will be allocated to individual companies and/or vessels. For competitive catch systems this should include details of the process for authorising vessels to catch SBT and how the fishery will be monitored for determining when to close the fishery.:-*

(c) Provide details of the methods used to monitor catching in the fishery by completing the table below. Details should also be provided of monitoring conducted of fishing vessels when steaming away from the fishing grounds (this does not include towing vessels that are reported in Section 2).

Monitoring Methods	Description
Daily log book	<p>Specify:</p> <ul style="list-style-type: none"> <li>i. Whether this is mandatory. If not, specify the % of SBT fishing to be covered:-</li> <li>ii. The level of detail recorded (shot by shot, daily aggregate etc):-</li> <li>iii. Whether the effort and catch information collected complies with that specified in the “Characterisation of the SBT Catch” section of the CCSBT Scientific Research Plan (Attachment D of the SC5 report), including both retained and discarded catch. If not, describe the non-compliance:-</li> <li>iv. What information on ERS will be recorded in logbooks:-</li> <li>v. Who the log books will be submitted to<sup>1</sup>:-</li> <li>vi. What is the timeframe and method<sup>2</sup> for submission:-</li> <li>vii. The type of checking and verification that will routinely be conducted for this information:-</li> <li>viii. Reference to applicable legislation and penalties:-</li> <li>ix. Other relevant information<sup>3</sup>:-</li> </ul>
Additional reporting methods (such as real time monitoring programs)	<p>If multiple reporting methods exists (e.g. daily, weekly and/or month SBT catch reporting, reporting of tags and SBT measurements, reporting of ERS interactions etc), create a separate row of in this table for each method. Then, for each method, specify:</p> <ul style="list-style-type: none"> <li>i. Whether this is mandatory. If not, specify the % of SBT fishing to be covered:-</li> <li>ii. The information that will be recorded (including whether it relates to SBT or ERS):-</li> <li>iii. Who the reports will be submitted to and by whom (e.g. Vessel Master, the Fishing Company etc)<sup>1</sup>:-</li> <li>iv. What is the timeframe and method<sup>2</sup> for submission:-</li> <li>v. The type of checking and verification that will routinely be conducted for this information:-</li> <li>vi. Reference to applicable legislation and penalties:-</li> <li>vii. Other relevant information<sup>3</sup>:-</li> </ul>
Scientific Observers	<p>Specify:</p> <ul style="list-style-type: none"> <li>i. The % of the SBT catch and effort to be observed:-</li> <li>ii. The system to be used for comparisons between observer data and other catch monitoring data in order to verify the catch data:-</li> </ul>

<sup>1</sup> If the reports are not to be submitted to the Member’s or CNM’s government fisheries authority, then also specify whether the information will later be sent to the fisheries authority, including how and when that occurs.

<sup>2</sup> In particular, whether the information is submitted electronically from the vessel.

<sup>3</sup> Including information on ERS, and comments on the effectiveness of the controls or monitoring tools and any plans for further improvement.

	<p>iii. <i>Excluding the coverage, specify whether the observer program will comply with the CCSBT Scientific Observer Program Standards. If not, describe the non-compliance. Also indicate whether there has been any exchange of observers between countries:-</i></p> <p>iv. <i>What information on ERS will be recorded by observers:-</i></p> <p>v. <i>Who the observer reports will be submitted to:-</i></p> <p>vi. <i>Timeframe for submission of observer reports:-</i></p> <p>vii. <i>Other relevant information (including plans for further improvement – in particular to reach coverage of 10% of the effort):-</i></p>
VMS	<p><i>Specify:</i></p> <p>i. <i>whether a mandatory VMS for SBT vessels that complies with CCSBT's VMS resolution will be in operation. If not, provide details of non-compliance and plans for further improvement:-</i></p> <p>ii. <i>Reference to applicable legislation and penalties:-</i></p>
At-Sea Inspections	<p><i>Specify:</i></p> <p>i. <i>The coverage level of at sea inspections (e.g. % of SBT trips inspected):-</i></p> <p>ii. <i>Other relevant information<sup>3</sup>:-</i></p>
Other (use of masthead cameras etc.)	

## **(2) SBT Towing and transfer to and between farms (farms only)**

(a) *Specify the approximate percentage of the annual SBT catch that is expected to be caught for farming.*

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

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

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

- i. *Inspection/Observation required for transfer of SBT (include % coverage):-*
- ii. *Monitoring system to be used for recording the quantity of SBT transferred:-*
- iii. *Process to be implemented for commercial trials of stereo video systems for monitoring 10% of SBT transfers in the 2011 fishing season:-*
- iv. *Plans to allow adoption of the stereo video systems for ongoing monitoring in the following season if they prove successful:-*



(d) For “b” and “c” above, describe the process to be used for completing, validating<sup>4</sup> and collecting the relevant CCSBT CDS documents (Farm Stocking Form, Farm Transfer Form):-

(e) Other relevant information<sup>3</sup>

### **(3) SBT Transhipment (in port and at sea)**

(a) Specify the approximate percentage of the annual SBT catch expected to be involved in transhipments each year. Provide separate figures for transhipments in port and at sea.

(b) Describe the system to be used for controlling and monitoring transhipments in port. This should include details of:

- i. Rules for designated foreign ports of transhipment for SBT and for prohibition of transhipment at other foreign ports:-
- ii. Port State inspections required for transhipments of SBT (include % coverage):-
- iii. Information sharing with designated port states:-
- iv. Monitoring systems for recording the quantity of SBT transhipped:-
- v. Process for validating<sup>4</sup> and collecting the relevant CCSBT CDS documents (Catch Monitoring Form, Catch Tagging Form):-
- vi. Reference to applicable legislation and penalties:-
- vii. Other relevant information<sup>3</sup>:-

(c) Describe the system to be used for controlling and monitoring transhipments at sea. This should include details of:

- i. The rules and processes for authorising transhipments of SBT at sea and methods (in addition to the presence of CCSBT transhipment observers) for checking and verifying the quantities of SBT transhipped:-
- ii. Monitoring systems for recording the quantity of SBT transhipped:-
- iii. Process for collecting the relevant CCSBT CDS documents (Catch Monitoring Form, Catch Tagging Form):-
- iv. Reference to applicable legislation and penalties:-
- v. Other relevant information<sup>3</sup>:-

### **(4) Landings of Domestic Product (from both fishing vessels and farms)**

(a) Specify the approximate percentage of the annual SBT catch that is expected to be landed as domestic product each year.

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<sup>4</sup> Including the class of person who conducts this work (e.g. government official, authorised third party)

*(b) Describe the system to be used for controlling and monitoring domestic landings of SBT. This should include details of:*

- i. Rules for designated ports of landing of SBT:-*
- ii. Inspections required for landings of SBT (including % coverage):-*
- iii. Monitoring systems for recording the quantity of SBT landed:-*
- iv. Process for validating<sup>4</sup> and collecting the relevant CCSBT CDS documents (Catch Monitoring Form, and depending on circumstances, Catch Tagging Form):-*
- v. Reference to applicable legislation and penalties:-*
- vi. Other relevant information<sup>3</sup>:-*

### **(5) SBT Exports**

*(a) Specify the approximate percentage of the annual catch that is expected to be exported each year.*

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

- i. Inspections required for export of SBT (including % coverage):-*
- ii. Monitoring systems for recording the quantity of SBT exported:-*
- iii. Process for validating<sup>4</sup> and collecting the relevant CCSBT CDS documents (Catch Monitoring Form and depending on circumstances, Catch Tagging Form or Re-export/Export after landing of domestic product Form):-*
- iv. Reference to applicable legislation and penalties:-*
- v. Other relevant information<sup>3</sup>:-*

### **(6) SBT Imports**

*(a) Specify the approximate tonnage of SBT that is expected to be imported each year.*

*(b) Describe the system to be used for controlling and monitoring imports of SBT. This should include details of:*

- i. Rules for designated ports for import of SBT:-*
- ii. Inspections required for import of SBT (including % coverage):-*
- iii. Process for checking and collecting CCSBT CDS documents (Catch Monitoring Form and depending on circumstances, Re-export/Export after landing of domestic product Form):-*
- iv. Reference to applicable legislation and penalties:-*
- v. Other relevant information<sup>3</sup>:-*

**(7) SBT Markets**

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

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

*(c) Other relevant information<sup>3</sup>*

**(8) Other**

*Description of any other systems of relevance to the Action Plan.*

### **III. Additional Reporting Requirements for the Compliance Committee**

*The following reports are required to be provided to the Compliance Committee or Secretariat on an annual basis.*

#### **(1) Annual VMS Summary Report**

*The Resolution on establishing the CCSBT Vessel Monitoring System requires the following information to be reported by each Member and CNM. However, depending on the information provided in the Compliance Action Plan (chapter II), it may be possible to satisfy the requirements of item “a” by referencing the VMS part of Section “1c” of the Compliance Action Plan.*

- a. A description of the progress and implementation of its VMS program in accordance with the CCSBT VMS resolution.
- b. The number of its flag vessels on the CCSBT Authorised Vessel List that were required to report to a National VMS system.
- c. The number of its flag vessels on the CCSBT Authorised Vessel List that actually reported to a National VMS system.
- d. Reasons for any non-compliance with VMS requirements and action taken by the Member.
- e. In the event of a technical failure of a vessel’s VMS, the vessel’s geographical position (latitude and longitude) at the time of failure and the length of time the VMS was inactive should be reported.
- f. Describe the procedures used for manual reporting in the event of a VMS failure (e.g. “manual position reporting on a 4 hourly basis”).
- g. A description of any investigations initiated in accordance with paragraph 3(b) of the CCSBT VMS resolution including progress to date and any actions taken.

#### **(2) Annual Transshipment Summary Report**

*The CCSBT’s resolution on Establishing a Program for Transshipment by Large-Scale Fishing Vessels requires the following information to be reported to the Secretariat by each Member and CNM six weeks prior to the Annual meeting of the Commission. It would be appropriate for the same information to be provided in this report to the Compliance Committee.*

- a. The quantities of SBT transshipped during the previous year.
- b. The list of the LSTLVs registered in the CCSBT Authorised Vessel List which have transshipped during the previous year.
- c. A comprehensive report assessing the content and conclusions of the reports of the observers assigned to carrier vessels which have received transshipment from their LSTLVs.

### **(3) Annual Report on Implementation of the 2008 ERS Recommendation**

*The CCSBT's Recommendation to Mitigate the Impact on Ecologically Related Species of Fishing for Southern Bluefin Tuna includes an annual reporting requirement to the Compliance Committee.*

Members and CNMs are required to report on the action they have taken pursuant to the following paragraphs of the 2008 ERS Recommendation:

1. Members and Cooperating Non-Members will, to the extent possible, implement the International Plan of Action for Reducing Incidental Catches of Seabirds in Longline Fisheries (IPOA-Seabirds), the International Plan of Action for the Conservation and Management of Sharks (IPOA-Sharks), and the FAO Guidelines to reduce sea turtle mortality in fishing operations (FAO-Sea turtles), if they have not already done so.
2. Members and Cooperating Non-Members will comply with all current binding and recommendatory measures aimed at the protection of ecologically related species, including seabirds, sea turtles and sharks, from fishing, which are adopted from time to time:
  - a) by the Indian Ocean Tuna Commission, when fishing in its Convention area, and
  - b) by the Western and Central Pacific Fisheries Commission, when fishing in its Convention area,irrespective of whether the Member or Cooperating Non-Member concerned is a member of the relevant Commission or otherwise cooperates with it.
3. Members and Cooperating Non-Members will collect and report data on ecologically related species to the Extended Commission and/or its subsidiary bodies as appropriate, including the Ecologically Related Species Working Group. Further, the undertaking described in paragraph 2 will include a commitment to comply with measures adopted by the Indian Ocean Tuna Commission and the Western and Central Pacific Fisheries Commission on the collection and reporting of data in relation to ecologically related species. Data confidentiality shall be protected under the rules that apply in those Commissions.