



CCSBT-CC/1110/06 Rev. 1

## **DRAFT CCSBT COMPLIANCE PLAN AND COMPLIANCE POLICY STATEMENTS – REVISED AFTER SPECIAL MEETING**

### **Introduction**

The draft Compliance Plan and Compliance Policy Statements were discussed at a Compliance Committee Working Group (CCWG) Session at the August 2011 Special Meeting of the Extended Commission.

The CCWG recommended that numerous changes be made to the plan and policies prior to the annual meeting of the Compliance Committee. These changes have been made by the independent consultant in consultation with the Chair of the Compliance Committee. The revised plan and policies are introduced below.

There are 7 attachments to this document:

- A. Compliance Plan
- A. *Compliance Plan – Colour Coded (as above, but colour coded to help identify changes)*
- B. Compliance Policy 1
- C. Previously Proposed Performance Requirements for CP1
- D. Compliance Policy 2
- E. Compliance Policy 3
- F. Compliance Policy 4

For readability reasons, attachments A, D, E and F do not contain tracking from previous versions of the plan and policies. However if required, tracked versions of these can be found in the following separate document:

CCSBT-CC/1110/06a – Tracked Changes of Plan and Policies

It should be noted that due to reorganisation with the documents (i.e. moving text, which is shown in tracking as separate deletions and inserts), it appears that there are more changes in the tracked versions than there really are.

### **Compliance Plan**

The Compliance Plan has been substantially rewritten to take into account comments from the CCWG. The main changes were to:

- Fully integrate the Compliance Plan with the adopted CCSBT Strategic Plan
- Prioritise the work in the first three year period to focus on:
  - compliance with national allocations;
  - implementing the CDS;
  - IUU fishing; and
  - transshipment at sea.

Part 1 (Goals and Strategies) of the Compliance Plan is a full rewrite of this section. However, it is now fully integrated with the Strategic Plan to the extent that a majority of the content of this section is already agreed by virtue of the adoption of the Strategic Plan. The remaining parts of the plan are revisions from the previous version of the plan rather than a complete rewrite.

### **Compliance Policy 1 (CP1) - Minimum performance requirements to meet CCSBT obligations)**

There have been two important changes to this policy:

- Adding a section to the policy in relation to implementation of the policy. This section specifies that the policy will be implemented over three years, and that one of the 2011 priorities is to consider performance requirements associated with compliance with national allocations.
- Removing proposed performance requirements that were either new obligations or that just repeated the obligation in the left hand column of CP1's Appendix 1.

Consequently, Appendix 1 of CP1 now only contains existing requirements, inferred requirements (such as having systems and process in place to achieve existing obligations), or items that are current CCSBT practise as opposed to being specified requirements (these are highlighted in green).

The removal of proposed performance requirements has not been tracked in the revised CP1, but the small number of other changes have been tracked.

As indicated above, one of the proposed tasks of the Compliance Committee at its 2011 annual meeting will be to consider performance requirements associated with compliance with national allocations. To assist with this task, and considerations of other performance requirements in the future, the Previously Proposed Performance Requirements has been retained as a separate attachment for Member's consideration. This document lists all the performance requirements set out in the version of CP1 considered by CCWG in August 2011, and colour coding has been added to indicate which performance requirements have been removed from the revised CP1 and why.

Finally, the internet links to the full text for each measure have been updated to point to the CCSBT's new web site. Changes to links have not been tracked.

### **Compliance Policy 2 (CP2) - Audit Policy**

The audit policy has been updated to reflect Member's preferences for a single auditor and to address some of the concerns about associated costs and resource requirements. Systems audits are now planned to occur for each Member once every 5 years and priorities for these audits would be set on the obligations which are most important to implement effectively.

Estimated costs are not yet available, but enquires have been made and it is hoped that indicative prices will be available prior to the meeting.

### **Compliance Policy 3 (CP3) - Corrective actions policy**

The revised Corrective actions policy now places priority on compliance with national allocations and on capacity building as requested by the CCWG.

### **Compliance Policy 4 (CP4) - MCS information collection and sharing**

This policy used to be known as the “Information sharing” policy. The policy has been revised to, amongst other things, reflect the importance of collecting standardised information (such as by port States) to share with others such as flag States.