

Minimum performance requirements to meet CCSBT Obligations

Compliance Policy 1

1. Introduction

This policy sets out minimum performance requirements for Members and Cooperating Non Members (CNMs) of the Commission (CNMs) 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. The original resolution, decision or recommendation should be consulted for an authoritative specification of the obligations.

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.

~~be updated to include the new links at that time.~~

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 by September 2012. 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 ~~C~~catch ~~M~~management, ~~A~~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 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 ~~or CNMs~~ 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 ~~Statement~~.

CP 1: Minimum performance requirements

14 September 2011

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

- Appendix 2 (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 Transshipment by Large-Scale Fishing Vessels, Section 3 (At-Sea Transshipment), Annex 1 (CCSBT Transshipment Declaration, and Annex 2 (CCSBT Regional Observer Program) [Transshipment Resolution](#)
- CCSBT Scientific Observer Program Standards [Scientific Observer Program Standards](#)

Definition of terms

The following terms are used in this policy:

- *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:

- *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
 - (2) inspecting SBT product **or catch** and relevant documentation in a random sample **from** ~~of~~ the Member's:
 - a. farms
 - b. vessels that are landing in, or re-exporting from, the Member's ports
 - c. vessels that are landing in foreign ports, or

CP 1: Minimum performance requirements

14 September 2011

(3) monitoring transshipments by the Member's vessels 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, and
 - (2) monitoring markets to detect and investigate any supply of SBT whose CDS documentation is incomplete or missing.

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.

In 2011, the Compliance Committee will:

- a) consider performance requirements associated with Compliance with National Allocations obligations, and make recommendations to the Commission;
- b) determine the obligations to be addressed in 2012, and propose an inter-sessional process to bring proposed performance requirements to the Compliance Committee meeting in 2012.

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.

4.5. Roles and responsibilities under this Policy

Who	Responsibility to:
Commission	<ul style="list-style-type: none">• Approve policy• <u>Approve performance requirements</u>
Compliance Committee	<ul style="list-style-type: none">• <u>Recommend performance requirements (updates to Appendix 1)</u>• Monitor Member compliance through review of annual reports• Review and <u>recommend changes</u> revisto e this policy
Members	<ul style="list-style-type: none">• Develop and implement rules, operating systems and processes• Report on progress and effectiveness
Secretariat	<ul style="list-style-type: none">• Develop reporting template• Place this policy and annual reports on website

5.6. Policy review

This Policy ~~and its minimum performance requirements are~~ 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.

6.7. 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 Plan (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: Paragraphs 49-51 and 53 of the CCSBT 16 report and paragraphs 52, 54, and 66 of the CCSBT 17 report
http://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_16/report_of_CCSBT16.pdf
http://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_17/report_of_CCSBT17.pdf

Note: Obligations relating to this measure are subject to regular decisions of the Extended Commission and will require frequent updating. The current obligations relate to the TAC and national allocations agreed for 2010 and 2011.

Comment [LN1]: This appendix lists all the obligations. On the right hand side it lists performance requirements accepted in August 2011. Proposed performance requirements which are considered to add obligations or which simply repeat the obligations in the left hand column have been removed. Performance requirements with green highlighting are additional to the existing obligations, but they are current practice and hence agreed.

1.1 Compliance with National Allocations**Obligations**

- i. For 2010 and 2011, each Member shall be bound to an average catch over the two years as specified in the “Allocated catch” column below. Australia and New Zealand will also undertake voluntary catch reductions so that their average catch over the two years does not exceed that specified in the “Effective catch limit” column.

	Nominal catch (t)	Allocated catch (t)	Effective catch limit (t)
Japan	5665	2261	2261
Australia	5665	4270	4015
New Zealand	1000	754	709
Korea	1140	859	859
Taiwan	1140	859	859
Indonesia	750	651	651

- ii. The 2010 and 2011 TAC allocation is considered to be a 2 year total TAC, and can be distributed across the two year period, with unused catch from the first year carried forward to the second year. There will be no carryover of unused quota from 2010/11 to 2012.

- iii. Catch allocations for CNMs for each of 2010 and 2011, are as follows:

	Allocated catch (t)
Philippines	45
South Africa	40
EC	10

Minimum performance requirements

1. ~~Each Member Rules in place~~ to ensure ~~total commercial fishing mortality of that its SBT catch attributable to each Member (see definition below)~~ does not exceed the Member's Effective ~~C~~catch ~~L~~limit for the relevant period.
2. All fishing-related SBT mortality (including actual or estimated catch from recreational and artisanal fishing within the Member's jurisdiction) is reported annually to the Extended Scientific Committee, for incorporation into stock assessment analysis, and to the Commission.

1. As above, except that references to Effective catch limit refer to Allocated Catch for CNMs.

1.2 Compliance Action Plans

Title: Resolution on action plans to ensure compliance with Conservation and Management Measures

Link: http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_ComplianceActionPlans.pdf

Notes: Date specific aspects of this resolution that are in the past are not listed in the obligations.

1.2 Compliance Action Plans	
Obligations	Minimum performance requirements
i. Flag Members of pelagic longline vessels shall specify in their action plans improvement in at least 3 areas: <ul style="list-style-type: none">• Port state inspection of transhipment of SBT<ul style="list-style-type: none">➤ 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.	
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.	

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: http://www.ccsbt.org/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 to: a. authorise each farm to operate for farming of SBT; b. provide all required information on authorised farms to the Executive Secretary; c. submit any updates to the Executive Secretary promptly; and d. submit the authorisation information, and any updates, electronically using the Data Provision Form for CCSBT Record of Farms Authorised to Fish for SBT.
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.	
iii. —Members shall ensure that their authorised farms comply with relevant CCSBT measures	
iv-iii. v-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.	

2.1 Record of Authorised Farms	
Obligations	Minimum performance requirements
<p>vi.v. To ensure effectiveness of the CDS:</p> <ul style="list-style-type: none"> 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 “Illegal, Unregulated and Unreported Fishing (IUU) and Establishment of a CCSBT Record of Vessels over 24 meters Authorized to Fish for Southern Bluefin Tuna” adopted at the CCSBT15 in 2008

Link: http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Ammended_resolution_on_authorised_24m_vessel_list.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
<p>i. Members shall:</p> <ul style="list-style-type: none"> 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 	<p>1. Review any evidence obtained of IUU fishing, and assess the effectiveness of Member measures to detect and deter IUU fishing.</p>

2.2 Record of Authorised Vessels	
Obligations	Minimum performance requirements
implementation of its IUU measures including adopting further measures as required on a regular basis.	
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: <ol style="list-style-type: none"> authorise specific fishing vessels flying the Member's flag to fish for SBT; submit any updates to the Executive Secretary promptly, at any time changes occur; and- 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.
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.	
iv. Flag Members of the vessels on the record shall: <ul style="list-style-type: none"> 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. <u>Ensure</u> authorised FVs to comply with relevant CCSBT measures, including requiring: <ol style="list-style-type: none"> 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: <ol style="list-style-type: none"> 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.

Comment [L2]: To consolidate CDS requirements, performance requirements to meet the obligation in 2.2 (vi) have been included in section 3.1 D (Validation).

2.2 Record of Authorised Vessels	
Obligations	Minimum performance requirements
<p>not engaged in or associated with fishing activities for SBT conducted by FVs not entered into the CCSBT Record; and</p> <ul style="list-style-type: none"> 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. 	
v. Members shall prohibit the fishing for, the retaining on board, the transshipment and landing of SBT by the FVs which are not entered into the CCSBT Record.	
<p>vi. To ensure effectiveness of the CDS</p> <ul style="list-style-type: none"> 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. 	
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 transshipment 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	

2.2 Record of Authorised Vessels	
Obligations	Minimum performance requirements
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 transshipments-at-sea in areas beyond national jurisdiction (*from section 2 of the “Resolution on Establishing a Program for Transhipment by Large-Scale Fishing Vessels”*)

Link: http://www.ccsbt.org/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 at-sea transhipment operations.

2.3 Record of Authorised Carrier Vessels	
Obligations	Minimum performance requirements

CP 1: Minimum performance requirements

14 September 2011

<p>i. Members shall submit to the CCSBT Secretary, the list of carrier vessels that are authorised to receive at-sea transhipments from its LSTLVs.</p>	<p>1. Operating systems and procedures to:</p> <ul style="list-style-type: none"> a. authorise specific carrier vessels to receive at-sea transhipments from its authorised Fishing Vessels (LSTLVs); b. ensure authorised carrier vessels will meet their obligations to (see Transhipment Monitoring performance requirements 3.3): <ul style="list-style-type: none"> 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; c. provide required information on authorised carrier vessels to the Executive Secretary ; d. submit any updates to the Executive Secretary promptly; 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.
<p>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.</p>	
<p>iii. Carrier vessels authorized for at-sea transhipment shall be required to install and operate a Vessel Monitoring System (VMS).</p>	

3. MCS Measures

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

- Catch Documentation System (3.1)
- Vessel Monitoring System (3.2)
- Transshipment (at sea) Monitoring Program (3.3)

3.1 Catch Documentation System (Resolution)

Title: Resolution on the Implementation of a CCSBT Catch Documentation Scheme

Link: http://www.ccsbt.org/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 to ensure: a. CDS documents are uniquely numbered, and completed fully and in accordance with the document’s instructions; b. CDS documents accompany SBT as relevant, including: i. a Catch Monitoring Form for all transshipments, landings of domestic product, exports, imports and re-exports ii. a Re-export/Export After Landing of Domestic Product for
ii. For transshipments, 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	

3.1 Catch Documentation System	
A. Obligations (general)	Minimum performance requirements
<p>required² at least one Re-export/Export after landing of domestic product Form as well. There is no waiver of this requirement. However:</p> <ul style="list-style-type: none"> 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 	<p>all exports of SBT landed as domestic product and for all re-exports</p> <p>iii. a Farm Transfer Form for all transfers of SBT between authorised farms within the Member's jurisdiction;</p> <p>c. all entities involved in towing and farming SBT have procedures to:</p> <p>i. determine, for the catch from each catching vessel:</p> <p>a) the mortality of SBT during towing</p> <p>b) the quantity (number and weight) of SBT transferred to each farm</p> <p>ii. use these records to complete the Farm Stocking Form at the end of each fishing season.</p>
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. Members/OSECs shall not permit the landing as domestic product, transshipment, 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.	<p>1. Operating systems and processes implemented to ensure that:</p> <p>a. at all times only carrier vessels currently entered into the CCSBT Record of Carrier Vessels are authorised to receive at-sea transshipments from the Member's LSTLVs; <u>and</u></p> <p>b. no transshipment of SBT takes place until the carrier vessel and any updated details are entered into the Record.</p>

3.1 Catch Documentation System	
B. Obligations (modification to CDS documents)	Minimum performance requirements
vi. Only minimal modifications, such as the addition of translations, may be made to the approved forms ³ . No information field may	

² For all re-exports of SBT, and any exports of SBT that were landed as domestic product.

3.1 Catch Documentation System	
B. Obligations (modification to CDS documents)	Minimum performance requirements
be omitted from the standard form, except where the field is not applicable.	
vii. Any documentation modified, as described above ⁴ , shall be provided to the Executive Secretary for distribution to other Members/OSECs.	
viii. Significant 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.	

3.1 Catch Documentation System	
C. Obligations (Tagging)	Minimum performance requirements
ix. 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 "xiii" below.	1. Operating systems and processes dures to implement CCSBT Catch Tagging Program requirements, including: <ul style="list-style-type: none"> a. ensuring all SBT tags meet the minimum specifications in paragraph 3 of Appendix 2 of the CDS Resolution; b. recording the distribution of SBT tags to: <ul style="list-style-type: none"> i. entities authorised to fish for, or farm, SBT; 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(xiii) apply);
x. A Catch Tagging Form 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	

³ However the Catch Tagging Form may be amended to include additional information at the discretion of the Member .

⁴ With the exception of additions to the Catch Tagging Form.

3.1 Catch Documentation System	
C. Obligations (Tagging)	Minimum performance requirements
be accurately done on board the vessel, they may be made at the time of landing or transshipment, provided the measurements and the associated Catch Tagging Form are filled in before any further transfer of the SBT.	<ul style="list-style-type: none"> d. requiring tags to be attached to each fish <u>as soon as practicable after the time of kill; and</u> e. requiring details for each fish to be recorded on the Catch Tagging Form as soon as practicable, with weight and length measurements carried out before SBT is frozen.
xi. A tagging programme shall meet the minimum procedural and information standards set out in Appendix 2 of the CDS resolution ⁵ .	<ul style="list-style-type: none"> 1. Operating systems and processes to: <ul style="list-style-type: none"> a. report any cases of whole SBT being landed without tags (due to exceptional circumstances in “xiii” and “xiv”) and minimise their occurrence in future.
xii. Members shall prohibit unauthorised use of SBT tags.	
xiii. Members/OSECs shall not permit whole SBT to be landed as domestic product, transhipped, exported, imported or re-exported without a tag, except that: <ul style="list-style-type: none"> 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. 	
xiv. 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, transshipment or export.	
xv. Members shall report any exceptional circumstances referred to in	

⁵ This includes minimum standards for the tag and requirements for tag related information.

3.1 Catch Documentation System	
C. Obligations (Tagging)	Minimum performance requirements
<p>“xiii(b)”, “xiii(c)” or “xiv” 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 “xiv” of this measure, the old (where known) and new tag number(s).</p>	
<p>xvi. 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.</p>	

3.1 Catch Documentation System	
D. Obligations (Validation)	Minimum performance requirements
<p>xvii. 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.</p>	<p>1. Operating systems and processes to:</p> <ol style="list-style-type: none"> authorise validators; demonstrate that all persons with authority to validate CDS documents: <ol style="list-style-type: none"> are government officials or other individuals who have been duly delegated authority to validate have not certified the relevant CDS form; inform the Executive Secretary of: <ol style="list-style-type: none"> the details for all validators (including the information specified in obligation 3.1D xviii) and maintain this information up to date.
<p>xviii. Members/ OSECs shall provide to the Executive Secretary information on validation (including type of validation, name of the organization 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.</p>	
<p>xix. The CCSBT CDS documentation must be validated (or signed in the</p>	

3.1 Catch Documentation System	
D. Obligations (Validation)	Minimum performance requirements
<p>case of transshipments at sea) as applicable by:</p> <ul style="list-style-type: none"> a. 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 b. for all SBT transshipments subject to CCSBT Resolution on Establishing a Program for Transshipment by Large-Scale Fishing Vessels, the observer required by that resolution; and c. for all export of SBT, an official of the exporting Member; and d. for all re-export of SBT, an official of the re-exporting Member/OSEC. 	
<p>xx. 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.</p>	<p>1. Ensure:</p> <ul style="list-style-type: none"> a. validation only occurs: <ul style="list-style-type: none"> i. for tagged SBT (except where tag is no longer required due to processing) b. validated documentation accompanies: <ul style="list-style-type: none"> i. all SBT consignments (except transshipments at sea) and c. validation does not occur where: <ul style="list-style-type: none"> i. validation procedures not followed or ii. any deficiency or discrepancy is found. <p>2. Operating systems and processes established to validate relevant CDS documents, including:</p> <ul style="list-style-type: none"> a. requirements to check accuracy of information, including, at a minimum: <ul style="list-style-type: none"> i. ensuring CDS documentation is complete, valid and has no obviously incorrect information ii. taking into account any results from relevant inspections carried out by the validator or under the verification
<p>xxi. Full or partial consignments of untagged whole SBT must not be validated or accepted for transshipment, 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).</p>	
<p>xxii. 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.</p>	

Comment [L3]: These consolidate CDS requirements from section 2 into section 3.1

3.1 Catch Documentation System	
D. Obligations (Validation)	Minimum performance requirements
xxiii. No Member/OSEC shall accept any SBT for transshipment, 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.	<p>programme;</p> <p>b. reporting requirements, including:</p> <ol style="list-style-type: none"> identification of any inconsistencies or inaccuracies found in the CDS documentation notification to the Member's authorities.
3.1 Catch Documentation System	
E. Obligations (Retention and submission of documents)	Minimum performance requirements
xxiv. Members/OSECs shall retain all original CCSBT CDS Documents received by them. Members/OSECs shall also retain a copy of any CCSBT CDS Documents issued by them	
xxv. Copies of these CDS Documents shall be forwarded to the Executive Secretary on a quarterly basis.	1. 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:
xxvi. 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.	<ol style="list-style-type: none"> documents issued or received in Jan-Mar - due 30 June documents issued or received in Apr-Jun - due 30 September documents issued or received in Jul-Sep - due 31 December documents issued or received Oct-Dec - due 31 March. <p>2. Catch Tagging Form information provided to the Executive Secretary using the electronic Data Provision Form developed by the Secretariat and in accordance with the Data Provision Form's instructions.</p>

3.1 Catch Documentation System	
F. Obligations (Verification of CDS documentation)	Minimum performance requirements
xxvii. 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.	<ol style="list-style-type: none"> 1. Operating systems and processes established for verification, including: <ol style="list-style-type: none"> a. inspecting CDS documentation; b. reviewing and analysing information from CDS documents , including: <ol style="list-style-type: none"> i. cross-checking completeness and consistency of data from CDS Forms received ii. cross-checking data from six-monthly report from Executive Secretary 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 the final outcome of the investigation.
xxviii. 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.	
xxix. Each Member/OSEC shall, as soon as practicable, identify to the Executive Secretary and relevant Members/OSECs, any consignments of SBT where there are: <ul style="list-style-type: none"> • doubts about the information contained in any associated CDS documentation; or • incomplete, missing or unvalidated CCSBT CDS documentation. 	
xxx. Each Member shall co-operate and take all necessary steps with relevant authorities, and within domestic law, to review,	

3.1 Catch Documentation System	
F. Obligations (Verification of CDS documentation)	Minimum performance requirements
investigate and resolve any concerns identified in “xxvii” and “xxviii” of this measure, and notify the Executive Secretary of the outcome of any such action for inclusion in its report to the Commission	
xxxi. Members/OSECs shall cooperate to ensure that CDS documents are not forged and/or do not contain misinformation.	
xxxii. 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: http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_VMS_Development_Implement.pdf

http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_VMS.pdf

Notes:

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: <ol style="list-style-type: none"> ensure all VMSs are tamper-resistant and meet the requirements in 3.2 ii(c); to ensure the VMS automatically transmits the following data: <ol style="list-style-type: none"> vessel identification
ii. The Vessel Monitoring Systems shall include the following elements:	

3.2 Vessel Monitoring System	
Obligations	Minimum performance requirements
<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> 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.
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 ⁶ (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.	

⁶ The Resolutions/Measures of the other RFMOs that apply are specified in paragraph 1 and 2 of the CCSBT Resolution.

3.2 Vessel Monitoring System	
Obligations	Minimum performance requirements
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 ⁷ 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)	

3.3 Transhipment (at sea) Monitoring Program (Resolution)

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

Link: http://www.ccsbt.org/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 that are authorised to receive SBT at sea from tuna longline fishing vessels with freezing capacity (LSTLVs). Its obligations are set out in section 2.3 of this Appendix so that it is together with the other CCSBT Authorisation measures.

⁷ Confidentiality provisions that apply to this information are specified in the Resolution.

3.3 Transshipment (at sea) Monitoring Program	
Obligations	Minimum performance requirements
i. Transshipments by LSTLVs in waters under the jurisdiction of the Members are subject to prior authorization from the Coastal State / Fishing Entity concerned.	<i>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.</i>
ii. Members shall take the necessary measures to ensure that LSTLVs flying their flag comply with the following conditions: <ol style="list-style-type: none"> LSTLVs are not authorised to tranship at sea, unless they have obtained prior authorization from their Flag State / Fishing Entity. To receive prior authorization, 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 transshipment: <ul style="list-style-type: none"> Name & CCSBT Registration Number of the transshipping LSTLV & receiving carrier vessel; Tonnage by product to be transhipped; Date & location of transshipment; and Geographic location of the SBT catches The LSTLV concerned shall complete and transmit to its flag State / Fishing Entity, not later than 15 days after the transshipment, the CCSBT transshipment declaration⁸, along with its CCSBT Registration Number. 	<ol style="list-style-type: none"> Operating systems and processes to ensure: <ol style="list-style-type: none"> 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). Ensure: <ol style="list-style-type: none"> fishing vessel and carrier vessel are on the CCSBT registers; transshipment declarations are completed and transmitted by the fishing vessel and the carrier vessel, in accordance with paragraphs 11-14 of Transshipment Resolution. Operating systems and processes to: <ol style="list-style-type: none"> issue transshipment authorisations; request placement of observers on board carrier vessels; notify any cases of 'force majeure' (where transshipment occurs without an observer on the carrier vessel) to Executive Secretary; ensure observers can board the fishing vessel (<u>provided it is safe to do so</u>), and have access to personnel and areas necessary to monitor compliance with paragraph 5(a) of Annex 2 of the Transshipment Resolution.
iii. The master of the receiving carrier vessel shall: <ol style="list-style-type: none"> complete and transmit the CCSBT transshipment declaration to the CCSBT Secretariat and the flag Member of the LSTLV, along with its CCSBT Registration Number, within 24 hours of the completion of the transshipment. 	

⁸ As specified in Annex 1 of this resolution.

3.3 Transshipment (at sea) Monitoring Program	
Obligations	Minimum performance requirements
b. 48 hours before landing, transmit a CCSBT transshipment declaration, along with its CCSBT Registration Number, to the competent authorities of the State / Fishing Entity where the landing takes place.	
iv. Each Member shall ensure that all carrier vessels transshipping at sea have on board a CCSBT observer in accordance with the CCSBT Regional Observer Program ⁹ .	
v. Vessels shall be prohibited from commencing or continuing at-sea transshipping at sea without a CCSBT regional observer on board, except in cases of 'force majeure' duly notified to the Executive Secretary.	
vi. 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 of LSTLVs shall ensure that transshipments are consistent with the reported catch amount by each LSTLV. b. The Flag Member of LSTLVs shall validate the necessary CCSBT CDS documentation for the transhipped fish, as required by the CDS, after confirming that the transshipment was conducted in accordance with this Resolution. This confirmation shall be based on the information obtained through the CCSBT Regional Observer Program.	1. Report on number of inspections and fish count.

⁹ The CCSBT Regional Observer Program is described at Annex 2 of this 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, stating that SBT will be transhipped, before the transshipment.

3.3 Transhipment (at sea) Monitoring Program	
Obligations	Minimum performance requirements
c. Members shall require that SBT caught by LSTLVs, when imported into the territory of a Contracting Party, be accompanied by necessary CCSBT CDS documentation validated for the vessels on the CCSBT Authorised Vessel List and a copy of the CCSBT transhipment declaration.	
vii. All SBT landed or imported into the Members 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. Operating systems and processes dures established to ensure: <ol style="list-style-type: none"> all transhipped product is accompanied by signed Transhipment Declaration until the first point of sale.
viii. The costs of implementing this program shall be financed by the flag Members of LSTLVs wishing to engage in transhipment operations	

4. Science Measures

This section sets out minimum performance requirements for obligations relating to the Scientific Observer Program Standards.

4.1 Scientific Observer Program Standards (Decision/Recommendation)

Title: CCSBT Scientific Observer Program Standards

Link: http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/observer_program_standards.pdf

Notes: The objectives of the CCSBT Scientific Observer Program Standards are to:

- Provide a framework for the alignment of members' scientific observer programs with the objectives of the SRP;
- Standardize scientific observer programs across fleets and fisheries among members; and
- Specify minimum standards for the development of a scientific observer program for members without a program.

4.1 Scientific Observer Program Standards	
Obligations	Minimum performance requirements
i. All Members are expected to adapt their respective programs taking into account the standards but recognizing that members may have additional requirements they wish to maintain in their respective programs.	1. All Flag Members' programmes meet the minimum standards for the CCSBT Scientific Observer Program .
ii. Responsibility for the operation of the CCSBT Scientific Observer Program on the high seas and in domestic EEZ fisheries lies with the Member whose flag is flown on the vessel.	
iii. The CCSBT Scientific Observer Program covers the fishing activity of CCSBT Members wherever southern bluefin tuna are targeted or are a significant bycatch.	1. Operating systems and processes established for the Scientific Observer Program that: a. ensure the program applies: i. wherever SBT is targeted or are a significant comprises at least 5% of the bycatch; b. set out procedures to meet the target observer coverage of 10% for catch and effort monitoring in each fishery, including: i. requiring observer coverage to be representative of Member's range of SBT fisheries; c. implement observer recruitment and training schemes to meet section 8 of the CCSBT Scientific Observer Program Standards relating to: Qualification of observers, Independence/Integrity, Scientific Observer Training, and Recruitment of observers; d. set out how observers are assigned to vessels; e. analyse, at least once a year, the effectiveness of the actual assignment of observers in achieving 10% coverage across a representative range of the Member's SBT fisheries.
iv. The Program has a target observer coverage of 10% for catch and effort monitoring for each fishery. Observer coverage should be representative of different vessel-types in distinct areas and times. In order to approach 10% coverage in some strata (e.g., specific vessel-types in certain areas and times) it may be necessary to have higher than 10% coverage in other strata.	
v. Each Member should assign observers to its vessels and cruises based on a carefully considered and appropriately designed sampling scheme that has a high likelihood of ensuring reasonably representative coverage. The program should ensure that, within the main fishing areas and seasons and to the extent possible, all representative vessels, areas, and time periods have an approximately equal probability of being sampled.	
vi. Each Member should evaluate and analyse the sampling scheme used for the assignment of observers against the principles outlined above. Each Member should document the scheme used for the observer assignments actually implemented and make this information and data collected available to the Commission in its	

4.1 Scientific Observer Program Standards	
Obligations	Minimum performance requirements
national report (as described in the reporting requirements) to enable review within the Commission of whether or not the standards are being met.	
vii. The placement of observers should also encompass arrangements to ensure the independence and scientific integrity of the data.	
viii. Observer plans and training programs should include specific provision for the role and responsibilities of observers for tag recapture reporting.	
ix. Each Member is responsible for the recruitment and training of observers for placement on their flagged vessels. Training schemes should be constructed to impart the skills necessary to adequately collect the scientific data and should take account of the principles specified in section 8 of the CCSBT Scientific Observer Program Standards relating to: Qualification of observers, Independence/Integrity, Scientific Observer Training, and Recruitment of observers.	
x. Any vessel selected for an observation should be capable of meeting the minimum requirements for accommodation, sanitary facilities, meals, equipments and communication systems equivalent to those of the crew (junior officer when possible) so that the observer's duties are not compromised. A selected vessel should be advised of its responsibility for the observer while they are on board.	1. Operating systems and processes established to: <ol style="list-style-type: none"> advise a selected fishing vessel of its responsibilities while the observer is on board.
xi. The scientific data to be collected should include the following categories of information. A detailed description of the information to be collected for each of these categories is provided in Attachment 1 of the CCSBT Scientific Observer Program Standards. Annex 1 of that attachment provides	1. Operating systems and processes established to: <ol style="list-style-type: none"> ensure required data is collected and, where necessary, hierarchies to prioritise data collection are applied.

4.1 Scientific Observer Program Standards	
Obligations	Minimum performance requirements
<p>hierarchies for prioritising the collection of data.</p> <ul style="list-style-type: none"> A. Details of the observed vessel, including its size, capacity and equipment. B. Summary of the observed trip, which will include information such as the observer name, dates of embarkation and disembarkation. C. Comprehensive catch, effort and environmental information for each set that occurred while the observer was on-board the vessel, regardless of whether the set/haul was actually observed. This includes the target species, location fished and quantity of gear used. D. Observed catch information for each period of observation, including the time at start and end of observation, the number of hooks observed, the observed catch in number and weight for SBT and all other species caught to the extent possible. E. Biological measurements taken of individual SBT, as much as possible, including its condition, length, weight, sex and details of samples (otoliths, scales, gonads, etc.) that were taken from the SBT for later analysis. F. SBT tag recovery information, including, both tag numbers (actual tags also to be provided), date, location, length, weight, sex, details of samples taken (e.g. otoliths), and whether or not the tags were spotted during a period of fishing that was being observed. 	

5. Measures Relating to Ecologically Related Species

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

- Seabird Mitigation Measures in Longline Fisheries (5.1)
- Recommendation on Ecologically Related Species (5.2)

5.1 Seabird Mitigation Measures in Longline Fisheries (Decision & Recommendations)

Title: There is no official title for this measure as this is not a “single measure”, but instead is a collection consisting of a decision at CCSBT 4, a request at CCSBT 5 and a series of recommendations at CCSBT 3.

Links: Details of the requirement to use Tori poles are at Agenda Item 10.2 and Attachment U of the CCSBT 4 (part 1) report.

http://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_04/report_of_ccsbt4_part1.pdf

Details relating to the guidelines for design and deployment of tori lines are at Agenda Item 10.2 and Attachments 29 & 30 of the CCSBT 5 (part 1) report: http://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_05/report_of_ccsbt5_part1.pdf

Details of the other obligations below (obligations iii and iv) are at Agenda Item 5 and Attachment E of the CCSBT 3 (part 2) report.

http://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_03/report_of_ccsbt3_part2.pdf

Notes: Paragraphs “ii” to “iv” below are not binding on Members, but Members are nevertheless expected to comply.

5.1 Seabird Mitigation Measures in Longline Fisheries

Obligations	Minimum performance requirements
-------------	----------------------------------

5.1 Seabird Mitigation Measures in Longline Fisheries	
Obligations	Minimum performance requirements
<p>i. Mandatory use of Tori poles is required by all Members in all longline SBT fisheries below 30° south.</p> <p>ii. Members are requested to use the guidelines for the design and deployment of tori poles for tuna longline fisheries as specified in Attachment 30¹⁰ of the CCSBT 5 (part 1) report.</p>	<p>1. Operating systems and processes to:</p> <ol style="list-style-type: none"> ensure tori poles are used in all longline SBT fisheries below 30° south; encourage design and deployment of tori poles to be consistent with the guidelines in Attachment 30 of the CCSBT 5 (part 1) report.
<p>iii. Members should:</p> <ul style="list-style-type: none"> ○ Continue existing information collection on the nature and extent of ERS captures in southern bluefin tuna fishing operations. ○ Collect data concerning the incidental catch of seabirds and information concerning the state and trend of the seabird population subjected to incidental catch in cooperation with appropriate international organisations, other States and entities concerned. ○ Promote the use of appropriately designed and deployed tori lines in SBT longline fishing operations. ○ Take the following measures, as appropriate, in longline fisheries while taking southern bluefin tuna: <ul style="list-style-type: none"> ▪ avoid the dumping of offal as far as possible while longlines are being set or hauled; and ▪ use thawed baits. ○ Make every effort to ensure that birds captured alive during longlining are released alive and that wherever possible hooks are removed without jeopardising the life of the bird concerned. 	<p>1. Encourage adoption of methods to mitigate incidental catch of seabirds, including:</p> <ol style="list-style-type: none"> collecting information on incidental catch of seabird ; and developing, trialling and implementing improved measures to reduce incidental seabird catch and mortality.

¹⁰ These guidelines are now over 10 years old and may be in need of review.

5.1 Seabird Mitigation Measures in Longline Fisheries	
Obligations	Minimum performance requirements
<p>iv. Members shall:</p> <ul style="list-style-type: none">○ Exchange information concerning new or refined techniques to reduce incidental catch of seabirds and cooperate in developing and assessing the effectiveness of such techniques, including those with the objective of preventing the approach of seabirds to fishing vessels or restraining the feeding activities of seabirds. In introducing a technique, a Member will consider its effectiveness in reducing the incidental catch of ERS, and the costs and benefits, including possible impacts on harvesting of tuna○ Continue to assess the effectiveness of the measures described in the points above.○ Promote, among the fishers concerned, understanding about the incidental capture of seabirds and measures which can be implemented to reduce seabird capture in longline operations.	

5.2 Recommendation on Ecologically Related Species (Recommendation)

Title: Recommendation to Mitigate the Impact on Ecologically Related Species of Fishing for Southern Bluefin Tuna.

Link: http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Recommendation_ERS.pdf

Notes: This recommendation is not binding on Members, but Members are expected to comply with this recommendation.

5.2 Recommendation on Ecologically Related Species	
Obligations	Minimum performance requirements
<p>i. 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.</p>	<p><i>Although ERS obligations (5.2) are not legally binding, Members are expected to comply with them. Hence it is useful to have minimum performance requirements, as set out below.</i></p> <p>1. Operating systems and processes established to:</p> <ol style="list-style-type: none"> comply with measures to protect ecologically related species (including seabirds, sea turtles and sharks) set by the IOTC and the WCPFC when fishing in their Convention areas; <u>comply with</u> data requirements adopted by the IOTC or WCPFC for incidental catch while fishing in their Convention areas; and report <u>data ed</u> to: <ol style="list-style-type: none"> Extended Commission and Ecologically Related Species Working Group and IOTC or WCPFC where SBT fishing occurs in their Convention areas.
<p>ii. 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:</p> <ul style="list-style-type: none"> o by the Indian Ocean Tuna Commission, when fishing in its Convention area, and o by the Western and Central Pacific Fisheries Commission, when fishing in its Convention area o irrespective of whether the Member concerned is a member of the relevant Commission or otherwise cooperates with it. 	
<p>iii. 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 “ii.” 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.</p>	

6. Routine Reporting Measures

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

- Monthly Catch Reporting (6.1)
- Reporting of initial allocations and final catch by vessel/company (6.2)
- Scientific Data Exchange (6.3)
- National Report to the Extended Commission (6.4)
- Annual Reporting to the Compliance Committee (6.5)
- National Report to the Extended Scientific Committee (6.6)
- Annual Report to the Ecologically Related Species Working Group (6.7)

6.1 Monthly Catch Reporting (Decision)

Title: Monthly Catch Reporting to the CCSBT.

Link: Details of this decision are at Agenda Item 12.4 of the CCSBT 12 report.

http://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_12/report_of_ccsbt12.pdf

Notes: The primary purpose of monthly catch reporting is to improve the management and the compliance regimes for the fishery.

6.1 Monthly Catch Reporting	
Obligations	Minimum performance requirements
i. Each month, each Member will report the total SBT catch for the month and the total cumulative SBT catch for the year to date to the Secretariat. The report is to be provided no later than the last day of the month following fishing.	<ol style="list-style-type: none">1. Report submitted electronically to Executive Secretary no later than the last day of the month following fishing.2. Monthly and cumulative catch reported as whole weight in kilograms.

6.2 Reporting of initial allocations and final catch by vessel/company (Decision)

Title: This measure does not have a formal title, but it is commonly referred to as “Reporting of initial allocations and final catch by vessel/company”.

Link: Details of this decision are at paragraphs 39 and 40 of the CCSBT 13 report.

http://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_13/report_of_CCSBT13.pdf

Notes: Reporting of initial allocations and final catch by vessel/company was established in order to improve transparency of and confidence in CCSBT management measures.

6.2 Reporting of initial allocations and final catch by vessel/company	
Obligations	Minimum performance requirements
i. Members shall provide to the CCSBT Secretariat in a timely manner ¹¹ information relating to: a) the yearly SBT quota and catch allocation arrangements for this fishery either by company, quota holder or vessel ¹² ; and b) the final SBT catch against quota by company, quota holder or vessel at the completion of a vessel’s fishing period or fishing year.	
ii. In the case where Members manage through an “Olympic” system members shall only be required to report details in (b).	

¹¹ Intersessional discussion following this decision determined that information on the initial quota allocation is due within two months of the start of the fishing season and that the final catch information is due within 6 months of the end of the fishing season.

¹² Vessel details provided shall include vessel name and call sign.

6.3 Scientific Data Exchange (Annual Decision)

Title: Scientific Data Exchange

Link: This set of obligations is updated at each year's meeting of the Extended Scientific Committee (ESC). Requirements for the 2011 Scientific Data Exchange are at Attachment 14 of the SC 15 report:

http://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_17/report_of_SC15.pdf

Notes: The Scientific Data Exchange requirements are detailed and specify what each Member is required to provide and the due date for each item of data. The requirements vary by Member and may change slightly from year to year.

6.3 Scientific Data Exchange	
Obligations	Minimum performance requirements
i. All Members are required to provide the data specified in the most recent annual data exchange requirements by the ESC and by the due date specified in those requirements.	1. Submit data electronically to the Executive Secretary.

6.4 National Report to the Extended Commission (Decision)

Title: Annual Review of Fisheries for the Annual Commission Meeting

~~**Link:**~~

Notes: This review must also be submitted to the Compliance Committee, which meets prior to the Extended Commission.

6.4 National Report to the Extended Commission	
Obligations	Minimum performance requirements
i. Prior to the annual meeting of the Extended Commission, each Member shall submit the annual review of fisheries in accordance with the agreed format for the annual review (Attachment A). ¹³	1. Submit report electronically to Executive Secretary at least 4 weeks before annual meeting of Compliance Committee (<i>which precedes the annual EC meeting</i>), with responses provided for

¹³ Attachments A and B are expected to be reviewed and replaced once this policy is finalised. [The Annual Review and Compliance Action Plan would be replaced with a single report. The new report format should be an enhancement of the existing compliance action plan template. The Secretariat will revise the reporting template in accordance with the final decisions on this policy.](#)

6.4 National Report to the Extended Commission	
Obligations	Minimum performance requirements
	every section of the [<i>revised and agreed</i>] template.

6.5 Annual Reporting to the Compliance Committee (Suite of Decisions/Resolutions/Recommendations)

Title: This is a compilation of reporting requirements to the Compliance Committee (CC), so it does not have an official title.

Links: The following points provide the source of the associated obligations within this measure:

- i. Procedural Rule 10 of the Terms of Reference of the Compliance Committee: -
http://www.ccsbt.org/userfiles/file/docs_english/basic_documents/terms_of_reference_for_subsidary_bodies.pdf
- ii. Paragraph 7(f) of the CC5 report:-
http://www.ccsbt.org/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_17/report_of_CC5.pdf
- iii. Paragraph 3 (a) of the Resolution on establishing the CCSBT vessel monitoring system:-
http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_VMS.pdf
- iv. Paragraph 18 of the Resolution on establishing a program for transshipment by large-scale fishing vessels:-
http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_Transshipment.pdf
- v. Paragraph 4 of the Recommendation to mitigate the impact on ecologically related species of fishing for southern bluefin tuna
http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Recommendation_ERS.pdf

6.5 Annual Reporting to the Compliance Committee	
Obligations	Minimum performance requirements
i. Each Member shall submit the above Annual Review of Fisheries in accordance with the agreed format for the annual review (Attachment A) ¹³ four weeks prior to the convening of the Compliance Committee meeting.	1. The report is submitted electronically to Executive Secretary at least 4 weeks before the annual meeting of Compliance Committee.
ii. Each Member should continue to improve the detail in its Compliance Action Plan, and the plan should be kept up to date and submitted to future annual meetings of the Compliance Committee. The agreed template for the plan is provided at Attachment B. ¹⁴	
iii. Members shall provide VMS summary reports in advance of the Compliance Committee meeting. The agreed format of the report is at Section III (1) of Attachment B. ¹⁴	1. Submit report electronically to Executive Secretary at least 4 weeks before the annual Compliance Committee meeting.

¹⁴ Attachments A and B are expected to be reviewed and replaced once this policy is finalised

6.5 Annual Reporting to the Compliance Committee	
Obligations	Minimum performance requirements
iv. Members shall report the following to the Executive Secretary 6 weeks prior to the Annual Meeting of the Commission: <ul style="list-style-type: none"> o The quantities of SBT transhipped during the previous year. o The list of the LSTLVs registered in the CCSBT Authorised Vessel List which have transhipped during the previous year. o A comprehensive report assessing the content and conclusions of the reports of the observers assigned to carrier vessels which have received transhipment from their LSTLVs. 	1. Submit information electronically to Executive Secretary at least 6 4 weeks before the annual Compliance Committee meeting.
v. Members will report annually to the Compliance Committee on the action they have taken pursuant to paragraphs 1, 2 and 3 of the Recommendation to mitigate the impact on ecologically related species of fishing for SBT. These three paragraphs are shown at Section III (3) of Attachment B.	1. Submit report electronically to Executive Secretary at least 4 weeks before the annual Compliance Committee meeting.

6.6 National Report to the Extended Scientific Committee (Decision)

Title: Annual Review of National SBT Fisheries for the Scientific Committee

6.6 National Report to the Extended Scientific Committee	
Obligations	Minimum performance requirements
i. Each Member shall submit the annual review of SBT fisheries in accordance with the agreed format for the annual review (Attachment C).	1. Submit annual report electronically 4 weeks before the Extended Scientific Committee annual meeting, with responses provided for every section of the agreed template.

6.7 Annual Report to the Ecologically Related Species Working Group (Decision)

CP 1: Minimum performance requirements

14 September 2011

Title: Requirement for Member's Annual Report to the ERSWG

6.7 Annual Report to the Ecologically Related Species Working Group	
Obligations	Minimum performance requirements
i. Each Member shall submit its annual report to the ERSWG four weeks before the ERSWG meeting in accordance with the agreed format for the annual report (Attachment D).	<ol style="list-style-type: none">1. Submit annual report 4 weeks before the ERSWG annual meeting, with responses provided for every section of the agreed template.2. Submit report electronically.