

# Discussion paper on a CCSBT Management Plan

## 1 Introduction

The Commission for the Conservation of Southern Bluefin Tuna (CCSBT) currently has a strategic plan (under revision) and a range of more operational documents and policies, but no formal management plan. Development of a management plan was recommended by the 2014 performance review of the CCSBT, in order to set out a greater level of implementation detail, help avoid duplication, and better integrate the range of planning documents CCSBT has in place.

This discussion paper has been prepared for discussion at the Strategy and Fisheries Management Working Group meeting (July 2015), so that members can gain a common understanding of what should be contained in a CCSBT management plan, and agree a process for its development.

### 1.1 Key decisions

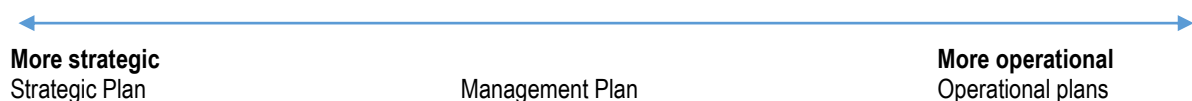
Members are invited to consider and agree on:

- The need for a CCSBT Management Plan;
- The suggested content of such a plan; and
- The process and resourcing for developing the plan.

## 2 What is a Management Plan?

### 2.1 Planning hierarchy

The following table outlines a common hierarchy of planning documents that move from more strategic, with a longer-term focus, to more operational, with a shorter-term and more detailed focus.



#### Strategic plan

Common components of strategic plans include:

- Vision and mission;
- Goals and objectives;
- Outcomes;
- Strategies.

It is also common to include some form of situation analysis, so that consideration is given to the context in which the strategy is developed. A strategic plan can detail roles and responsibilities, and the appropriate governance arrangements adopted by an organisation, depending on key decisions that are made about how that organisation will operate (for example, in a devolved or centralised manner).

The current CCSBT strategic plan includes an introductory section that outlines the context, including performance review recommendations and an analysis of the strengths, weaknesses, opportunities and

threats facing the Commission. It then outlines a vision for how members would like to see the Commission in the future. The plan then outlines an objective (based on the Convention) and goals. Strategies and priorities for achieving the goals are outlined, along with an associated action plan.

The current plan was adopted by CCSBT in draft in 2010 and in full in 2011, and is currently under revision. The strategies and action plan are more focused on the short-term and may sit more appropriately at the level of the management plan in this hierarchy.

**Management plan:**

A management plan is a more operational document, which characterises specific implementation details that arise as a result of the approach outlined in the strategic plan. For example, where the strategic plan may have a goal that the SBT stock is at a biomass level that supports the MSY, a management plan may translate that into a series of research and management actions that would ensure this goal can be met over time (for example adoption of a specific stock assessment timetable and methodology, adoption of a management procedure and rules and agreements for setting and allocating global catches).

The Technical Guidelines on Fisheries Management (FAO, 1997) describe a management plan as “a formal or informal arrangement between a fisheries management authority and interested parties which identifies the partners in the fishery and their respective roles, details the agreed objectives for the fishery and specifies the management rules and regulations which apply to it and provides other details about the fishery which are relevant to the task of the management authority.” (Source: A Fishery Manager's Guidebook - Management Measures and Their Application. Fisheries Technical Paper 424. UN FAO (2002)).

CCSBT's compliance policy and scientific research program are examples of existing components that could be incorporated into a management plan.

**Operational policies or plans:**

Operational policies or plans outline more detailed delivery of specific services (e.g. compliance, research), and generally cover a shorter timeframe. CCSBT has a variety of documents that could be considered in this category, including a scientific research plan and work plans associated with the compliance plan.

It is not proposed to develop any additional documents other than what are already present at this level in the planning hierarchy.

## 2.2 Performance review recommendations

The relevant discussion from the CCSBT performance review is repeated below.<sup>1</sup> The 2014 recommendations are generally presented in relationship to other criteria or recommendations, such as from the 2008 self-assessment and independent performance reviews in the case of the below recommendation.

Recommendation 16 of the 2008 Self-Assessment was to develop a strategic and an SBT management plan. The 2014 Performance Review comments:

The CCSBT should develop a Strategic Plan plus a Management Plan to implement minimum standards for the fishery (SA-2008). This recommendation refers to the “lighter” of the two propositions contained in the preceding recommendation to meet [United Nations Fish Stock Agreement] UNFSA standards. It may be seen as a complement to the preceding or as an easier way to comply with the UNFSA standards than a full-fledged revision of the Convention. In our view, that recommendation stands whether or not the Convention is revised as these plans will give practical and coherent effect to the legal text. The CCSBT formally adopted a Strategic Plan (in draft in 2010 and in final in 2011) and according to the

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<sup>1</sup> [http://www.ccsbt.org/userfiles/file/docs\\_english/operational\\_resolutions/2014\\_Independent\\_Performance\\_Review.pdf](http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/2014_Independent_Performance_Review.pdf)

Secretariat, the Plan is being implemented since 2010 in accordance with the specified timeframes. No management Plan has been formally adopted yet.

A proper management plan should cover the entire decision-making, implementation, and evaluation cycle and contain:

- (i) objectives;
- (ii) approaches (participative, precautionary, ecosystem);
- (iii) data requirements;
- (iv) assessment methodology;
- (v) Management Procedure;
- (vi) adopted measures;
- (vii) implementation procedures, means, and responsibilities;
- (viii) control and surveillance;
- (ix) penalties, judicial process<sup>2</sup> and appeal mechanisms;
- (x) monitoring system; and
- (xi) management performance assessment.

The Management Plan would show in a transparent manner the way in which the Members intend to implement the obligations under the Convention. It should clarify the role of the Commission, the Secretariat, the Members as well as the means needed, at national and Secretariat levels. The work of the CCSBT reflects decisions covering most of these points. The management goals and the strategies to reach them (e.g. through TACs) are in the Strategic Plan. The Management Procedure encapsulates an objective decision function. The TACs and national allocations are fixed. There is a compliance plan and Quality Assurance Reviews (QARs) are required. The Performance Review process provides internal and external oversight. Altogether, this indicates that the CCSBT has all the elements needed to develop a Management Plan. The comparison with the Management Plan requirements, above, point to some gaps such as the ecosystem approach, the means and allocation of responsibilities, the penalties and appeal processes, etc. which may be dealt with in the Convention but could be more transparently integrated in a management plan.

**Recommendation PR-2014-29:** The CCSBT should pursue the effort of coherent planning. As conservation and management are the core of the CCSBT mandate and the Strategic Plan provides a comprehensive framework for fulfilling that mandate, it could be suggested to attach to the recently adopted Strategic Plan (as an annex) a management Plan, going into more implementation details. This could help avoid duplication and integrate better the policy, the strategy and the management plan. The management procedure and metarule processes are part of the Management Plan.

The terminology used by the Performance Review authors is outlined in appendix one.

### 3 Proposed next steps

As the performance review highlights, CCSBT already has many of the components recommended for a management plan, albeit spread out across a number of different documents and agreements (ranging from the current strategic plan, to meeting agreements, resolutions, and various work plans), as outlined in table one below. The proposed next step

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<sup>2</sup> A judicial process is a set of interrelated procedures and roles for deciding disputes by an authoritative person or persons whose decisions are regularly obeyed. The disputes are to be decided according to a previously agreed upon set of procedures and in conformity with prescribed rules.

is to compile existing material into the sections suggested by the performance review, and to highlight areas where further discussion is required.

**Table One: Management Plan components**

<b>Management Plan component</b>	<b>Comment</b>
Objectives	Contained in strategic plan
Approaches (participative, precautionary, ecosystem)	Broadly contained in strategic plan but could be made more explicit.
Data requirements	Data submissions cover science and stock assessment, ecologically related species, compliance and monitoring, and reporting on member obligations. Data requirements are spread out over a number of resolutions and other less formal agreements (such as the annual data exchange requirements).
Assessment methodology	<p>The assessment methodology for SBT is agreed and documented by the Extended Scientific Committee.</p> <p>There is no overall strategy for research requirements, priorities, and funding for research required for the management of SBT and ERS. Some components are covered e.g. in the scientific research programme and 2014-18 update of the research plan (as outlined in attachment 10 of the SC19 report) and the three year work plan for projects to be funded by the CCSBT (attachment 12 of SC19 report); however, these are operational in focus.</p> <p>There is no research strategy for ERS. Members may cooperate on projects on an <i>ad hoc</i> basis (such as on initiation of a porbeagle shark assessment). Projects have been self-funded by members, but some research of common interest to the tuna RFMOs is currently being funded through the Global Tuna Project of the Common Oceans Programme.</p>
Management Procedure	The Management Procedure is extensively documented in ESC reports, and is summarised on the CCSBT website.
Adopted measures	CCSBT has a wide range of past agreements and resolutions, which the Secretariat is currently compiling in a compendium. Some historical agreements are recorded only via meeting reports, while others are outdated or superseded (but may not have been formally rescinded).
Implementation procedures, means, and responsibilities	Implementation procedures may be documented within individual resolutions, and minimum performance requirements are specified under Compliance Policy Guideline One (Minimum Performance Requirements to Meet CCSBT Obligations). However, given that the CCSBT has devolved many functions (such as compliance and monitoring, research) to members, more explicit standards might be of value. The Compliance Policy outlines some roles and responsibilities for members, the Commission, and the Compliance Committee. The CCSBT Convention also outlines Member responsibilities at a high level. The role of the Secretariat is not clearly documented (although it appears to be broadly agreed by members) and the range of tasks performed exceeds that outlined in the Convention.
Control and surveillance	CCSBT has a range of monitoring, control, and surveillance resolutions, covering positive (farm and vessel authorisations) and negative (IUU vessel) lists; transshipment; VMS; and CDS (discussed further below). Members are largely responsible for implementing their own MCS programmes (for example there are not centralised VMS or observer programmes). CCSBT does not have provision for high seas

	<p>boarding and inspections, although vessels fishing for SBT within the waters of other RFMOs would be subject to their provisions.</p>
Penalties, judicial process and appeal mechanisms	<p>CCSBT has adopted a corrective actions policy that outlines guidelines for dealing with non-compliance by Members with their obligations. The primary response focus is to assist Members to achieve capacity to effectively comply with CCSBT obligations.</p> <p>Non-compliance by individual vessels or entities is dealt with by the flag state in the first instance, and is not subject to specific CCSBT criteria.</p> <p>CCSBT's judicial process is outlined in Article 16 of its Convention (noting that in the past some challenges have arisen with implementation of these provisions). No explicit appeal process is outlined.</p> <p>CCSBT has consensus-based decision-making, including for issues related to member compliance.</p>
Monitoring system	<p>CCSBT's main catch monitoring system is its <a href="#">Catch Documentation Scheme</a>. As outlined above, members submit a range of data that the Secretariat collates to report to members in order to monitor the fishery (e.g. monthly catch reporting, annual quota and catch reporting obligations, annual country reports).</p> <p>The CCSBT contributes some funds towards specific scientific monitoring projects (e.g. scientific aerial surveys conducted by Australia for monitoring juveniles in the fishery), although there is no formal framework or criteria for deciding which monitoring projects to support.</p> <p>Other forms of monitoring (e.g. quota management systems, log books, otolith collections, SBT measurements, scientific observers, VMS etc.) are expected to be conducted by individual CCSBT Members. CCSBT has <a href="#">Scientific Observer Program Standards</a> and VMS requirements that Members are required to follow.</p> <p>Many monitoring requirements of Members can be inferred through CCSBT data exchange requirements (both ESC and ERSWG) and annual reporting templates. However, the CCSBT does not have agreed minimum catch monitoring requirements for each sector. Item 8.3.2 of the 3-year Compliance Action Plan is to "Develop and implement agreed minimum catch monitoring requirements for each fishing sector, for example commercial (EEZ longline, High Seas longline, purse seine, other) and non-commercial (artisanal, recreational, other).</p>
Management performance assessment	<p>CCSBT has undertaken two performance reviews (in 2008 and 2014), and a commitment to on-going reviews is outlined in the strategic plan.</p> <p>A Quality Assurance Review programme has been adopted to provide independent reviews to help Members identify how well their management systems function with respect to their CCSBT obligations, and make recommendations for improvements.</p> <p>A meta-rule process provides a well-defined process for assessing MP performance.</p> <p>Detailed objectives and standards for the work carried out by the Secretariat have not been identified, and there is no formal performance planning in place for the Executive Secretary.</p>

The performance review also recommended work be undertaken on more explicitly applying an Ecosystem Approach to Fisheries (EAF), including considering the present elements of CCSBT fishery policy and management framework which belong to an EAF, then identifying and filling possible gaps (PR-2014-36). Further, the performance review also recommended work on a more comprehensive strategy for ERS, including objectives and priorities (PR-2014-25; see also PR-2014-08, 15, 3, 34).

It is anticipated that these components will need to be the subject of additional discussion before they can be incorporated into a management plan.

### **3.1 Next steps**

Members are invited to consider and agree on:

- The need for a CCSBT Management Plan;
- The suggested content of such a plan; and
- The process and resourcing for developing the plan.
  - It is proposed that a two-step process be followed; firstly documenting in more detail the existing components that would fit into the Management Plan and secondly further discussing other matters that have not yet been considered in detail by Members.

## Appendix One: Terminology

Refer page 27 of the 2014 Performance Review Report

**Strategic plan.** It is an overarching document adopted by the CCSBT in 2011. Based on the reports of the first Performance Review (in its content and structure) it is an excellent tool reflecting both the common vision, objectives and strategies that the CCSBT intends to follow to achieve effectively and efficiently its overarching conservation and management goals.

**Management strategy.** The term is not commonly used by CCSBT and refers generally to the setting of TACs and quotas, with some concern about the capture of juvenile SBT. The management strategy should, by definition provide the overarching frame for management and should be implemented through a management plan (see below). The CCSBT considered a proposal for such a strategy in 1994 but never adopted one. It still does not have one at the moment. The Kobe II meeting in San Sebastian, recommended to use a standard Strategy Matrix (K2SM) to harmonize the presentation of the scientific advice to managers in all tuna RFMOs, laying out options for meeting agreed management targets with the probabilities to reach them by a certain time. However, with only one stock (the SBT) to deal with, the usefulness of a K2SM for the CCSBT is not obvious. In addition, the CCSBT has adopted a Management Procedure (see below), tested through Management Strategy Evaluation (MSE), that accounts for many possible sources of uncertainty, fulfilling the functions of a K2SM. The CCSBT is indeed in the leading group of RFMOs using MSE.

**Management Plan.** In the CCSBT context, it refers usually to the management of the SBT fishery and describes the operational objectives (including interim objectives), indicators, measures, implementation means and responsibilities, reporting, monitoring and performance evaluation. Ideally, it should cover the target as well as ERS species impacted by the fishery. The elaboration of such a plan is on the agenda of the Strategy and Fishery Management WG (SFMWG) established in 2008. While the CCSBT has many of the elements to figure in such a plan, it does not have one formally yet, e.g., one that could be nested in its Strategic Plan.

**Management Procedure (MP).** It is a more or less “mathematized” algorithm helping to formally define management targets and limits, expected stocks trajectories and pre-agreed courses of action, accounting for uncertainties. The CCSBT has taken a few years to develop one (adopted in 2011) which conveys a precautionary approach in the choice of target and limits and threshold levels at which action is triggered the robustness of which to uncertainties has been tested through simulations (e.g., through MSE).