



CCSBT-CC/1209/05

Updated Minimum Performance Requirements (Compliance Policy 1)

最低履行要件の更新（遵守政策 1）

The Secretariat distributed a revision of Compliance Policy 1 (CP1) in CCSBT Circular #2012/005, which included:

事務局は、CCSBT 回章#2012/005 によって遵守政策 1（CP1）の更新版を配布した。その内容は次のとおり。

- addition of minimum performance requirements for obligations associated with compliance with national allocations and transshipments at sea, as requested by the Sixth Meeting of the Compliance Committee; and
第 6 回遵守委員会からの要請に応じた、国別配分及び洋上転載に関する義務の最低履行要件の追加
- changes to obligations and associated performance requirements due to new/changed Resolutions adopted at CCSBT 18.
CCSBT18 で採択された新しい/改訂された決議に基づく、義務及び関連する履行要件の変更

Members provided valuable changes and comments on the revision of CP1 to the Secretariat and the Secretariat updated CP1 to take these changes and comments into account. A tracked-changes version of the updated CP1 was distributed with CCSBT Circular #2012/017. メンバーは改訂版 CP1 に対して有益な変更及び意見を事務局に提出し、事務局はこれらの変更及び意見を踏まえ CP1 を更新した。更新版 CP1 の変更履歴付きバージョンは、CCSBT 回章#2012/017 によって配布されている。

A “clean” version of the updated CP1 is attached for consideration at the 7th Meeting of the Compliance Committee.

更新版 CP1 の反映バージョンは、第 7 回遵守委員会会合での検討のため、この文書に添付している。

DRAFT REVISION (February 2012) OF THE
Minimum performance requirements to meet CCSBT Obligations
Compliance Policy Guideline 1

1. Introduction

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

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

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

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

2. Purpose

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

- a) develop, document and implement rules, operating systems, and processes to meet their CCSBT obligations; and
- b) report on the effectiveness of the rules, operating systems, and processes.

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

3. Policy Statement

1. Members are expected to meet, or exceed, the minimum performance and reporting requirements set out in Appendix 1 of this Compliance Policy as soon as possible, after this policy is adopted by the Commission. The Compliance Committee may agree to a specific later implementation date for particular Members, based on individual circumstances.
2. All rules, operating systems, and processes must be implemented.
3. All operating systems and processes for measures relating to Catch Management, Authorisation, and MCS (groups 1-3 in Appendix 1) must be documented. Members are also encouraged to document their operating systems and processes for measures relating to Science and Ecologically Related Species (groups 4 and 5 in Appendix 1).
4. All documentation must:
 - specify how compliance with rules will be monitored
 - specify sanctions for any non-compliance detected
 - assign responsibility to a competent authority or authorities for implementing all aspects of the operating systems and processes
 - include criteria and procedures to assess the effectiveness of the rules, systems and processes in achieving compliance with the obligations.
5. Annual performance reports must:
 - set out how minimum performance requirements are met and monitored
 - evaluate the effectiveness of the rules, operating systems, and procedures in meeting obligations and performance requirements
 - disclose any compliance risks or deficiencies in the rules, operating systems, or procedures.

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

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

- Appendix 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:

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

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

- *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 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
 - (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.

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

5. Roles and responsibilities under this Policy

<i>Who</i>	<i>Responsibility to:</i>
Commission	<ul style="list-style-type: none"> • Approve policy • Approve performance requirements
Compliance Committee	<ul style="list-style-type: none"> • Recommend performance requirements (updates to Appendix 1) • Monitor Member compliance through review of annual reports • Review and recommend changes to 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

6. Policy review

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

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

7. Approval

This policy was approved by the Commission:

Chair, Commission

Date

Review date: _____ (unless reviewed earlier)

Appendix 1. Minimum performance requirements

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

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

1. Catch Management Measures

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

- Compliance with National Allocations (1.1)
- Compliance Action 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: http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_Allocation.pdf
http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_Limited_Carry_forward.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 2012, 2013 and 2014.

1.1 Compliance with National Allocations

Obligations

- i. For 2012, 2013 and 2014, each Member shall be bound to the Allocated Catch for the respective year as specified below.

	Allocated Catch (t)		
	2012	2013	2014*
Japan	2519	2689	3366*
Australia	4528	4698	5147
New Zealand	800	830	909
Korea	911	945	1036
Taiwan	911	945	1036
Indonesia	685	707	750

* The allocations shown for 2014 and the proportional allocation shown for Japan are dependent on the TAC for 2014 (these figures assume a TAC of 12449t) and a compliance review at CCSBT 20 (2013) as described in the Resolution on the Allocation of the Global Total Allowable Catch.

Minimum performance requirements

1. Rules in place to ensure that the total “Attributable SBT Catch” (see the note below concerning the Attributable SBT Catch) of each Member does not exceed the Member’s Allocated Catch for the relevant period.
2. Operating systems and processes established to:
 - a. implement annual catching arrangements, including:
 - i. specification of allocations by company, quota holder or vessel, and
 - ii. arrangements for real-time monitoring of catch and for stopping fishing before the catch limit is reached;
 - b. In accordance with the timeline in the table below, monitor all fishing-related mortality of SBT .

Starting Year for Monitoring of SBT Mortality

MEMBER	Sources of SBT Mortality					
	Commercial Retained Catch (t)	Commercial Discard Mortality (t)	Commercial Towing Mortality (t)	Non-Commercial Retained Catch (t)	Other Discard Mortality (t)	Other Sources of Mortality (t)
Australia	Now	Now	Now	Input from Members required on these timeframes		
Indonesia	Now	Now	N/A			
Japan	Now	Now	N/A			
Republic of Korea	Now	Now	N/A			
New Zealand	Now	Now	N/A			
Taiwan	Now	Now	N/A			
European Union	Now	Now	N/A			
Philippines	Now	Now	N/A			
South Africa	Now	Now	N/A			

Any of the sources of the mortality listed in the table above may or may not contribute to 'Attributable Catch'

- c. Ensure accuracy of the “Attributable SBT Catch”, including:
 - i. For fishing Members, physical inspection of SBT caught by the Member’s fishing vessel

1.1 Compliance with National Allocations	
Obligations	Minimum performance requirements
	<ul style="list-style-type: none"> ii. For farming Members, monitoring the accuracy of the stereo video monitoring and adjusting/ re-calibrating where necessary. <p>3. 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.</p> <p>4. Operating systems and processes applied to:</p> <ul style="list-style-type: none"> a. monitor compliance with annual catching arrangements; and b. impose sanctions or remedies where necessary. <p><i>Note on the Attributable SBT Catch</i> <i>Until the CCSBT agrees on a single definition, each Member must clearly and unambiguously state the definition of its Attributable SBT Catch in its annual report to the Compliance Committee and Extended Commission.</i></p>

1.1 Compliance with National Allocations																						
Obligations		Minimum performance requirements																				
ii. Catch allocations for CNMs for each of 2012, 2013 and 2014, are as follows: <table border="1" data-bbox="241 354 741 579"> <thead> <tr> <th rowspan="2"></th> <th colspan="3">Allocated catch (t)</th> </tr> <tr> <th>2012</th> <th>2013</th> <th>2014</th> </tr> </thead> <tbody> <tr> <td>Philippines</td> <td>45</td> <td>45</td> <td>45</td> </tr> <tr> <td>South Africa</td> <td>40</td> <td>80*</td> <td>150*</td> </tr> <tr> <td>EC</td> <td>10</td> <td>10</td> <td>10</td> </tr> </tbody> </table> <p>* The increased allocation for South Africa in 2013 and 2014 is subject to its accession to the Convention for the Conservation of Southern Bluefin Tuna, as described in the Resolution on the Allocation of the Global Total Allowable Catch.</p>			Allocated catch (t)			2012	2013	2014	Philippines	45	45	45	South Africa	40	80*	150*	EC	10	10	10	1. As above, except that references to Allocated Catch refer to the Allocated Catch for CNMs.	
	Allocated catch (t)																					
	2012	2013	2014																			
Philippines	45	45	45																			
South Africa	40	80*	150*																			
EC	10	10	10																			
iii. Unless the Extended Commission reduces the TAC or a Member's allocation of the TAC, Members may carry forward up to 20% of their unfished quota to the next quota year within the same three year quota block, but quota that is carried forward may not in turn generate further under-fishing to be carried forward to the following year. Members that decide to adopt the carry-forward procedure for their fishery shall: <ol style="list-style-type: none"> Report on their use of the procedure in their annual reports to the Extended Commission, regardless of whether the procedure was in fact used by the Member during that quota year; If at the beginning of a new quota year, the Member decides to carry forward unfished 		1. For Members that decide to adopt the carry-forward procedure (regardless of whether carry-forward was used in the particular year): <ol style="list-style-type: none"> Operating systems and processes must be in place to ensure that <ol style="list-style-type: none"> an accurate, verified and robust figure for the final Attributable Catch is available before the notification to the Secretariat of the carry-forward, a report on the adoption and use of the carry-forward procedure, together with documentation on quantification and verification of the total catch is included in each annual report to the Extended Commission; The Executive Secretary is formally notified of the catch for the concluded quota year together with the available catch limit (Catch Allocation + carry-forward) for the new quota year within 60 days of the start of the new quota year. 																				

1.1 Compliance with National Allocations	
Obligations	Minimum performance requirements
<p>quota from a previous year, it shall within 60 days of the new quota year, notify the Secretariat of this carry-forward and provide a revised annual available catch limit (i.e. Catch Allocation + carry-forward) for the new quota year</p>	

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
<p>i. Flag Members of pelagic longline vessels shall specify in their action plans improvement in at least 3 areas:</p> <ul style="list-style-type: none"> • Port state inspection of transshipment of SBT <ul style="list-style-type: none"> ➤ Members should designate foreign ports of transshipment of SBT for their vessels, prohibit such transshipment 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. 	<p>1. Compliance Action Plans must:</p> <ol style="list-style-type: none"> a. specify foreign ports where their vessels may tranship or land SBT; b. prohibit transshipment or landing at other foreign ports; c. specify inspection requirements at: <ol style="list-style-type: none"> i. domestic ports ii. designated foreign ports; d. detail how catch is to be inspected and what information will be communicated to Port States of designated foreign ports to enable effective inspection (see Validation performance requirements, section 3.1(D)xx-xxii);

1.2 Compliance Action Plans	
Obligations	Minimum performance requirements
<ul style="list-style-type: none"> 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. 	e. Aid verification of catches by ensuring a scientific observer coverage of 10% of effort.
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.	<ol style="list-style-type: none"> SVM adopted for monitoring of SBT transferred to cages starting from the 2012 fishing season. The results of such monitoring should be reported to the relevant CCSBT meetings, including the Scientific Committee and the Compliance Committee.

2. Authorisation Measures

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

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

2.1 Record of Authorised Farms (Resolution)

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

Link: 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: <ol style="list-style-type: none"> 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. 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.	
v. To ensure effectiveness of the CDS: <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_authorized_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
i. Members shall: <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 implementation of its IUU measures including adopting further measures as required on a regular basis. 	1. Review any evidence obtained of IUU fishing, and assess the effectiveness of Member measures to detect and deter IUU fishing.
ii. Members shall submit to the Executive Secretary, the list of fishing vessels (FV) flying the Member’s flag that are authorised to fish for SBT.	1. Operating systems and processes to: <ul style="list-style-type: none"> a. authorise specific fishing vessels flying the Member’s flag to fish for SBT; b. submit any updates to the Executive Secretary promptly, at any time changes occur; and c. 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; 	1. Ensure authorised FVs comply with relevant CCSBT measures, including requiring: <ul style="list-style-type: none"> a. 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.

2.2 Record of Authorised Vessels	
Obligations	Minimum performance requirements
<ul style="list-style-type: none"> • 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 not engaged in or associated with fishing activities for SBT conducted by FVs not entered into the CCSBT Record; and • take necessary measures to ensure, to the extent possible under domestic law, that the owners of the FVs on the CCSBT Record are citizens or legal entities within the flag Members and Co-operating Non-members so that any control or punitive actions can be effectively taken against them. 	<p>2. Operating systems and processes to:</p> <p>a. 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.</p>
<p>v. Members shall prohibit the fishing for, the retaining on board, the transhipment and landing of SBT by the FVs which are not entered into the CCSBT Record.</p>	
<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 	

2.2 Record of Authorised Vessels	
Obligations	Minimum performance requirements
<p>by CDS documents validated for the vessels on the CCSBT Record; and</p> <ul style="list-style-type: none"> Members shall co-operate to ensure that CDS documents are not forged or do not contain misinformation. 	
<p>vii. Members shall notify the Executive Secretary of any factual information showing that there are reasonable grounds for suspecting FVs not on the CCSBT record to be engaged in fishing for and/or transhipment of SBT.</p>	
<p>viii. The Commission and the Members concerned shall communicate with each other, and make the best effort with FAO and other relevant regional fishery management bodies to develop and implement appropriate measures, where feasible, including the establishment of records of a similar nature in a timely manner so as to avoid adverse effects upon other tuna resources in other oceans. Such adverse effects might consist of excessive fishing pressure resulting from a shift of the IUU FVs from fishing for SBT to other fisheries</p>	

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

Title: Record of vessels authorised to receive transhipments-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
<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 processes 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 within 1 month of the vessel being authorised, and before such vessels are actually used in transhipments; d. submit any updates to the Executive Secretary promptly, and no later than 1 month from the change occurring, and before such vessels are actually used in transhipments; and e. ensure all authorisations, and any updates, are submitted electronically to the Executive Secretary using the Data Provision Form for CCSBT Record of Authorised Carrier Vessels.
<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</p>	

to install and operate a Vessel Monitoring System (VMS).	1. Operating systems and processes to ensure that carrier vessels are only to be authorised to carry out at-sea transhipments if: <ul style="list-style-type: none"> a) The carrier vessel already has an operational VMS installed, or the carrier vessel undertakes to install an operational VMS before any authorisation and transhipments of SBT take place, and b) The VMS transmits at frequency sufficient to show transhipping operations, and c) The VMS will function effectively in the expected operating conditions.
iv.	2.

3. MCS Measures

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

- Catch Documentation System (3.1)
- Vessel Monitoring System (3.2)
- Transhipment (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
<p>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.</p>	<p>1. Operating systems and processes established to ensure:</p> <ul style="list-style-type: none"> 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: <ul style="list-style-type: none"> i. a Catch Monitoring Form for all transhipments, landings of domestic product, exports, imports and re-exports ii. a Re-export/Export After Landing of Domestic Product for all exports of SBT landed as domestic product and for all re-exports iii. a Farm Transfer Form for all transfers of SBT between authorised farms within the Member's jurisdiction; c. all entities involved in towing and farming SBT have procedures to: <ul style="list-style-type: none"> i. determine, for the catch from each catching vessel: <ul style="list-style-type: none"> a) the mortality of SBT during towing b) the quantity (number and weight) of SBT transferred to each farm ii. use these records to complete the Farm Stocking Form at the end of each fishing season.
<p>ii. For transhipments, landings of domestic product, exports, imports and re-exports under the jurisdiction of a Member/OSEC, all SBT shall be accompanied by a Catch Monitoring Form, and where required¹ 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>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.</p>	
<p>iv. CCSBT CDS documents must be uniquely numbered.</p>	
<p>v. Members/OSECs shall not permit the landing as domestic product,</p>	<p>1. Operating systems and processes implemented to ensure that:</p>

¹ For all re-exports of SBT, and any exports of SBT that were landed as domestic product.

3.1 Catch Documentation System	
A. Obligations (general)	Minimum performance requirements
transhipment, import, export and/or re-export of SBT caught by vessels not authorised to catch SBT and (if SBT farming is conducted under their jurisdiction) the transfer of SBT to or between, and harvest of SBT from, farms not authorised to farm SBT.	<ul style="list-style-type: none"> a. at all times only carrier vessels currently entered into the CCSBT Record of Carrier Vessels are authorised to receive at-sea transhipments from the Member's LSTLVs; and b. no transhipment of SBT takes place until the carrier vessel and any updated details are entered into the Record.

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 ² . No information field may be omitted from the standard form, except where the field is not applicable.	
vii. Any documentation modified, as described above ³ , 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.	

² However the Catch Tagging Form may be amended to include additional information at the discretion of the Member .

³ With the exception of additions to the Catch Tagging Form.

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 to implement CCSBT Catch Tagging Program requirements, including: <ol 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: <ol 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); d. requiring tags to be attached to each fish as soon as practicable after the time of kill; and 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.
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 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.	
xi. A tagging programme shall meet the minimum procedural and information standards set out in Appendix 2 of the CDS resolution ⁴ .	
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: <ol style="list-style-type: none"> a. in the case of farming operations, the SBT may be landed 	1. Operating systems and processes to: <ol 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.

⁴ 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>without a tag provided a tag is attached within 30 hours of kill;</p> <p>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;</p> <p>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.</p>	
<p>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.</p>	
<p>xv. Members shall report any exceptional circumstances referred to in “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</p>	<p>1. Operating systems and processes to:</p> <p>a. authorise validators;</p> <p>b. demonstrate that all persons with authority to validate CDS</p>

3.1 Catch Documentation System	
D. Obligations (Validation)	Minimum performance requirements
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.	documents:
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.	<ul style="list-style-type: none"> i. are government officials or other individuals who have been duly delegated authority to validate ii. have not certified the relevant CDS form;
xix. The CCSBT CDS documentation must be validated (or signed in the case of transshipments at sea) as applicable by: <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. 	<ul style="list-style-type: none"> c. inform the Executive Secretary of: <ul style="list-style-type: none"> i. the details for all validators (including the information specified in obligation 3.1D xviii) and maintain this information up to date.
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.	<ul style="list-style-type: none"> 1. Ensure: <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)

3.1 Catch Documentation System	
D. Obligations (Validation)	Minimum performance requirements
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).	<ul style="list-style-type: none"> 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 programme; b. reporting requirements, including: <ul style="list-style-type: none"> i. identification of any inconsistencies or inaccuracies found in the CDS documentation ii. notification to the Member's authorities.
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.	
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.	

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

3.1 Catch Documentation System	
E. Obligations (Retention and submission of documents)	Minimum performance requirements
<p>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.</p>	<p>Executive Secretary in accordance with the following timeframes:</p> <ol style="list-style-type: none"> a. documents issued or received in Jan-Mar - due 30 June b. documents issued or received in Apr-Jun - due 30 September c. documents issued or received in Jul-Sep - due 31 December d. documents issued or received Oct-Dec - due 31 March. <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.	<p>1. Operating systems and processes established for verification, including:</p> <ul style="list-style-type: none"> a. inspecting CDS documentation; b. reviewing and analysing information from CDS documents , including: <ul 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	
xxx. 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"> a. ensure all VMSs are tamper-resistant and meet the requirements in 3.2 ii(c); b. to ensure the VMS automatically transmits the following data: <ol style="list-style-type: none"> i. vessel identification
ii. The Vessel Monitoring Systems shall include the following elements:	

3.2 Vessel Monitoring System	
Obligations	Minimum performance requirements
<p>a. Flag states/fishing entities shall monitor and manage their vessels equipped with vessel monitoring devices</p> <p>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</p> <p>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.</p> <p>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.</p>	<p>ii. geographic position</p> <p>iii. date and time;</p> <p>c. require, in the event of a technical failure of the VMS, the Master to report the required information; and</p> <p>d. monitor vessels' VMS reports.</p>
<p>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.</p>	
<p>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.</p>	
<p>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 RFMO⁵ (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.</p>	

⁵ 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: <ol style="list-style-type: none"> a. investigate the incidents and provide details⁶ of the investigation to the Member which requested VMS data; or b. provide VMS data⁸ 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 Transshipment (at sea) Monitoring Program (Resolution)

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

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

Notes:

- To enable interoperability between the CCSBT, IOTC and ICCAT transshipment monitoring programs, for the purpose of this measure, the IOTC/ICCAT Secretariat, observers, transshipment 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 transshipment 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.

⁶ Confidentiality provisions that apply to this information are specified in the Resolution.

3.3 Transshipment (at sea) Monitoring Program	
Obligations	Minimum performance requirements
<p>i. Transshipments by LSTLVs in waters under the jurisdiction of the Members are subject to prior authorization from the Coastal State / Fishing Entity concerned.</p>	<p><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></p> <p>3. Operating systems and processes to ensure:</p> <ol style="list-style-type: none"> authorisation document, including details of transshipment provided by master or owner of LSTLV, is available on LSTLV prior to transshipment; 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). <p>4. Rules in place to ensure:</p> <ol style="list-style-type: none"> all SBT transshipments receive prior authorisation; fishing vessel and carrier vessel are on the CCSBT registers; named CCSBT observer is on board carrier vessel; no SBT transshipment occurs without an observer on board; transshipment declarations are completed, signed and transmitted by the fishing vessel and the carrier vessel, in accordance with paragraphs 11-14 of the Transshipment Resolution. <p>5. Operating systems and processes to:</p> <ol style="list-style-type: none"> issue transshipment authorisations; Verify the date and location of transshipments;
<p>ii. Members shall take the necessary measures to ensure that LSTLVs flying their flag comply with the following conditions:</p> <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 declaration⁷, along with its CCSBT Registration Number. 	
<p>iii. The master of the receiving carrier vessel shall:</p> <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. 	

⁷ As specified in Annex 1 of this resolution.

3.3 Transshipment (at sea) Monitoring Program	
Obligations	Minimum performance requirements
<p>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.</p>	<p>c. request placement of observers on board carrier vessels;</p> <p>d. notify any cases of ‘force majeure’ (where transshipment occurs without an observer on the carrier vessel) to Executive Secretary as soon as practical;</p> <p>e. ensure observers can board the fishing vessel (provided it is safe to do so) before transshipment takes place, and have access to personnel and areas necessary to monitor compliance with paragraph 5(a) of Annex 2 of the Transshipment Resolution;</p> <p>f. enable observers to report any concerns about inaccurate documentation or obstruction, intimidation, or influence in relation to carrying out their duties;</p> <p>g. monitor compliance with the control measures; and</p> <p>h. impose sanctions or corrective action programmes for any non-compliance detect.</p>
<p>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 Program⁸.</p>	
<p>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.</p>	
<p>vi. To ensure the effectiveness of the CCSBT conservation and management measures pertaining to the Catch Documentation System (CDS):</p> <p>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.</p> <p>b. The Flag Member of LSTLVs shall validate the necessary CCSBT CDS documentation for the transhipped fish, as required by</p>	<p>1. Operating systems and processes in place to:</p> <p>a. Identify and resolve any discrepancies in the fish counts or CDS documents.</p> <p>b. Conduct physical inspection of all SBTs caught by the Member’s vessels before the first point of sale, or cooperate with the State/Fishing Entity to which the SBTs are exported, to establish equally effective measures which can be implemented in the port</p>

⁸ 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
<p>the CDS, after confirming that the transhipment was conducted in accordance with this Resolution. This confirmation shall be based on the information obtained through the CCSBT Regional Observer Program.</p> <p>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.</p>	<p>of that State/Fishing Entity.</p> <p>2.</p>
<p>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.</p>	<p>1. Rules, systems and procedures to ensure:</p> <p>a. all transhipped product is accompanied by signed Transhipment Declaration until the first point of sale;</p>
<p>viii. The costs of implementing this program shall be financed by the flag Members of LSTLVs wishing to engage in transhipment operations</p>	

6. 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: <ol style="list-style-type: none"> a. ensure the program applies: <ol style="list-style-type: none"> i. wherever SBT is targeted or are a significant bycatch; b. set out procedures to meet the target observer coverage of 10% for catch and effort monitoring in each fishery, including: <ol style="list-style-type: none"> 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
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.	

4.1 Scientific Observer Program Standards	
Obligations	Minimum performance requirements
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 national report (as described in the reporting requirements) to enable review within the Commission of whether or not the standards are being met.	representative range of the Member's SBT fisheries.
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: <ul style="list-style-type: none"> a. advise a selected fishing vessel of its responsibilities while the observer is on board.

4.1 Scientific Observer Program Standards

Obligations	Minimum performance requirements
<p>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 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	<ul style="list-style-type: none">1. Operating systems and processes established to:<ul style="list-style-type: none">a. 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
whether or not the tags were spotted during a period of fishing that was being observed.	

7. 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
i. Mandatory use of Tori poles is required by all Members in all longline SBT fisheries below 30° south.	1. Operating systems and processes to: <ol style="list-style-type: none"> ensure tori poles are used in all longline SBT fisheries below 30° south;
ii. Members are requested to use the guidelines for the design and	

5.1 Seabird Mitigation Measures in Longline Fisheries	
Obligations	Minimum performance requirements
deployment of tori poles for tuna longline fisheries as specified in Attachment 30 ⁹ of the CCSBT 5 (part 1) report.	b. encourage design and deployment of tori poles to be consistent with the guidelines in Attachment 30 of the CCSBT 5 (part 1) report.

⁹ 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>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> <ul style="list-style-type: none"> a. collecting information on incidental catch of seabird ; and b. developing, trialling and implementing improved measures to reduce incidental seabird catch and mortality.
<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 	

5.1 Seabird Mitigation Measures in Longline Fisheries	
Obligations	Minimum performance requirements
<p>costs and benefits, including possible impacts on harvesting of tuna</p> <ul style="list-style-type: none"> ○ 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

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> <ul style="list-style-type: none"> a. comply with measures to protect ecologically related species (including seabirds, sea turtles and sharks) set by the IOTC, the WCPFC or the ICCAT when fishing in their Convention areas; b. comply with data requirements adopted by the IOTC, WCPFC or ICCAT for incidental catch while fishing in their Convention areas; and c. report data to: <ul style="list-style-type: none"> i. Extended Commission and Ecologically Related Species Working Group and ii. IOTC, WCPFC or ICCAT 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, o by the Western and Central Pacific Fisheries Commission, when fishing in its Convention area, and o by the International Commission for the Conservation of Atlantic Tunas, 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, the Western and Central Pacific Fisheries Commission and the Commission for the Conservation of Atlantic Tunas on the collection and reporting of data in relation to ecologically related species.</p>	

8. 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 ¹⁰ information relating to: <ul style="list-style-type: none"> a) the yearly SBT quota and catch allocation arrangements for this fishery either by company, quota holder or vessel¹¹; 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).	

¹⁰ 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.

¹¹ 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

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). ¹²	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 every section of the [<i>revised and agreed</i>] template.

¹² 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.

6.5 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. ¹³	
iii. Members shall provide VMS summary reports in advance of the	1. Submit report electronically to Executive Secretary at least 4

¹³ 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
Compliance Committee meeting. The agreed format of the report is at Section III (1) of Attachment B. ¹⁴	weeks before the annual Compliance Committee meeting.
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 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)

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.