



Review of Compliance Policy Guideline 5 (CPG5)

1. Introduction

CCSBT's Compliance Policy Guideline 5 (CPG5)¹ is a guideline that defines principles for action and steps to be taken when extraordinary circumstances² prevent the full implementation of CCSBT measures. It was adopted by CCSBT 27 largely in response to the uncertainty and resulting restrictions created by the COVID-19 pandemic. However, the guideline should be applied in the event of any extraordinary circumstance occurring that impacts Members ability to meet their CCSBT obligations.

The purpose of the policy is to ensure, as far as practical, that extraordinary circumstances do not undermine the Commission's conservation and management measures, and that all Members understand how to respond if extraordinary circumstances arise and ensure they continue to meet the Commission's expectations. The policy sets out the steps that should be followed by Members in situations where extraordinary circumstances prevent full compliance with or require reliance on exemptions from CCSBT measures.

The policy specifies (section 5) the actions to be taken by Members facing extraordinary circumstances and non-compliance or reliance on exemptions:

Members facing extraordinary circumstances and non-compliance	<ul style="list-style-type: none">• Notify the Executive Secretary of the extraordinary circumstance and the proposed action to be taken• Report to the Compliance Committee on the extraordinary circumstance and the action(s) taken
Members facing extraordinary circumstances and relying on exemptions	<ul style="list-style-type: none">• Notify the Executive Secretary of the extraordinary circumstance and the action taken or to be taken• Report to the Compliance Committee on the extraordinary circumstance and the action(s) taken

¹ [CPG5: Guideline on principles for action and steps to be taken in relation to extraordinary circumstances](#)

² Extraordinary circumstances are considered to be rare and unpredictable events or problems that prevent the normal operation of the CCSBT's measures and/or a fishing vessel

The policy also sets out (section 5) the role of the Compliance Committee:

Compliance Committee	<ul style="list-style-type: none">• If requested, consider the information provided in relation to cases of non-compliance and cases of reliance on exemptions• Make recommendations to the Commission on future action as appropriate for a particular extraordinary circumstance should it arise again or be ongoing
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CPG5 includes a requirement that the policy be reviewed “after operational difficulties associated with the COVID-19 pandemic have been resolved to incorporate lessons learned during the crisis”. CC18 agreed to add a review of CPG5 to the work plan for 2024, including to incorporate lessons learned during the COVID pandemic.

2. CPG Notifications and Discussion Since CCSBT 27

To date the Secretariat has only received one notification under CPG5. This was received from Japan on 22/12/2021³ following initial discussion at CC16. This notification concerned an event where, *“It was found that a Japanese SBT fishing vessel did not have sufficient tags on board for SBTs already caught. It happened because the quota was transferred from another Japanese vessel during operation at sea in the middle of 2020/2021 fishing season”*.

CPG5 was agreed in 2020 as there was a need for reporting mechanisms to ensure transparency amongst Members and notify alternative actions taken by Members under extraordinary circumstances.

The Secretariat has not received any other CPG5 notifications since CCSBT 28, despite the restrictions imposed in response to the COVID 19 global pandemic, which in some cases prevented some Members from meeting some CCSBT obligations, such as the deployment of scientific observers or port inspections on foreign flagged vessels carrying SBT.

At CC17 Members noted some limitations in the application of CPG5 to the coverage requirements for port inspections and observer coverage as this was often difficult to foresee in advance of the end of the season⁴. However, it was also noted by some Members that not meeting the scientific observer coverage target level when efforts are made to do so is non-compliance due to ordinary circumstances not due to extraordinary circumstances. In applying CPG5, CC17 noted that Members could choose to make notifications under CPG5 for lack of scientific observer coverage or port inspections ‘when viewed as appropriate’.

3. Discussion

CPG5 recognises that, in some situations, extraordinary circumstances may prevent Members from meeting their CCSBT obligations and provides a framework for the proactive reporting of these events or problems and the measures taken by the Member to mitigate any resultant

³ Circular #2021/069

⁴ Noting that CPG5 requires notification of the extraordinary circumstance as soon as possible and no later than 10 working days after they are identified.

risk. However, the lack of application of the policy, despite global conditions that have, for much of the time since its inception, justified its use, indicates there are some weaknesses in the current policy.

The very limited application of the policy to date, despite the COVID pandemic, means it has been difficult to identify and consider any lessons learned through this period. However, in considering CPG5, the Secretariat has noted some factors that may currently be limiting the application of CPG5:

- There is no incentive for Members to use CPG5 or consequence if no notification is made under CPG5;
- There is not complete agreement across the Membership on what is an extraordinary circumstance and what is not; and
- Often issues that prevent the full implementation of CCSBT measures will be raised and discussed at the Compliance Committee, regardless of whether a notification under CPG5 has been made or not.

There are two options for CC19 to consider in relation to the ongoing operation of CPG5. These options are:

1. To repeal CPG5 and manage these responses to extraordinary circumstances through existing mechanisms (such as reporting to, and discussion at, the Compliance Committee which is already largely occurring);
or
2. To amend CPG5 to more effectively respond to the range of unpredictable events or problems and maintain transparency amongst Members.

To support consideration by Members, the Secretariat has included below further discussion on each of these options below.

3. Repealing CPG5

The limited application of CPG5 to date is likely to mean that, in the current circumstances, there would be minimal impact from repealing CPG5. However, noting that CPG5 was developed largely in response to the uncertainty and resulting restrictions created by the COVID-19 pandemic, it would also mean that CCSBT would lose the structures created by the policy that can support more effective responses should a similar event occur.

The COVID pandemic did highlight, more generally, the need for organisations to have in place policies that enable them to be responsive in times of crisis or emergency, or where restrictions on movement or activities may be imposed that impacts Members ability to implement CCSBT obligations. The Secretariat believes that it is important that CCSBT maintains such processes and that these can be implemented transparently through intersessional processes, to ensure that responses are timely and do not undermine the effectiveness of CCSBT measures.

It is therefore not recommended that the policy be repealed.

4. Amending CPG5 to Make it More Effective

CPG5, in its current form, does ensure that there are structures available to Members that can support more timely, effective and transparent responses to unpredictable events or problems.

However, the limited use of CPG5 to date seems to indicate that the current policy is not fit for purpose and is not achieving its stated goal. So, amendment of the policy is recommended to ensure that it can best deliver what Members need.

In order to amend CPG5 to maximise its effectiveness, it is vital that there is clarity around its purpose and the types of unpredictable events or problems that the policy is seeking to address, particularly noting the different magnitudes of unpredictable events that may arise for Members. The structures needed to respond to serious regional or global unpredicted events or problems⁵ that place limits on the movement or activities of people and/or vessels may be quite different to those unpredictable events that have an impact at the level of a single vessel or company. It is therefore worthwhile considering, based on Members experience during the COVID pandemic, what Members feel is needed in CPG5 to ensure that any such serious unpredictable events or problems don't undermine the operation of CCSBT measures.

In the case of more isolated or localised unpredictable events or problems, the lack of agreement around what may be considered extraordinary circumstances and when the policy should be applied is currently limiting its application and effectiveness. Similarly, Members have highlighted difficulties in anticipating some specific types of non-compliance and the only time the policy has been applied to date was retrospectively, outlining action that had already been taken. It could also be argued that, in the case of more isolated or localised unpredictable events or problems, the Member may have already had to commit to a response before the timeframes specified in CPG5⁶ have expired.

To encourage stronger reporting of extraordinary circumstances and to support Members consideration of how this may be applied in the future, it is recommended that this reporting be added to the template for national reports to CC/EC. It is in national reports that Members are responding to identified non-compliance, so this is likely when Members will also be considering what has contributed to identified non-compliance. Capturing this in the national reports could also support greater levels of reporting and discussion of extraordinary circumstances identified by Members that can inform the further development of this policy. The Secretariat has provided a draft proposed update to the national reporting template as **Attachment A** to this paper for Members consideration.

5. Summary

CC19 is invited to:

- Discuss Members experience implementing CCSBT obligations during the COVID pandemic;
- Determine, based on Members experience, what is needed in CPG5 (if anything) to effectively respond to a similar regional or global event;

⁵ Serious or widespread unpredictable events or problems may include such things as pandemics and other health related risks and restrictions, natural disasters, civil unrest or armed conflict or other hostilities.

⁶ Notify the Executive Secretary of the extraordinary circumstance as soon as possible and no later than 10 working days after they are identified and Members then have 7 week days from the time it is circulated to object to the proposed action.

- Recommend to EC31 that reporting of extraordinary circumstances be added to the template for national reports (as attached) to improve reporting and discussion to inform the ongoing review and improvement of CPG5;
- Agree to move the Secretariat reporting on CPG5 implementation to the standing agenda items for the Compliance Committee to be discussed if and where updated information is available; and
- Encourage all Members to consider the use of existing CPG5 reporting structures to support proactive, timely and transparent communication about alternative measures taken in response to extraordinary circumstances.

Prepared by the Secretariat

Attachment A

Template for the Annual Report to the Compliance Committee and the Extended Commission

(Revised at the Twenty-Eighth Annual Meeting: 13 October 2021)

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

This template sometimes seeks information on a quota year basis. Those Members/CNMs that have not specified a quota year to the CCSBT (i.e. the EU), should provide the information on a calendar year basis. Within this template, the quota year (or calendar year for those without a quota year) is referred to as the “fishing season”. Unless otherwise specified, information should be provided for the most recently completed fishing season. Members and CNMs are encouraged to also provide preliminary information for the current fishing season where the fishing for that season is complete or close to complete.

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1 Summary of Monitoring, Control and Surveillance (MCS) Improvements

1.1 Improvements achieved in the current fishing season

Provide details of MCS improvements achieved for the current fishing season.

1.2 Extraordinary Circumstances

Provide comment on whether extraordinary circumstances contributed to non-compliance with any of the Commission's conservation and management measures during the current fishing season. Where extraordinary circumstances are identified, include a description of extraordinary circumstance, the CCSBT obligation impacted by the extraordinary circumstance, and the action taken by the Member to alleviate any risk created by the extraordinary circumstances.

1.3.1.3 Future planned improvements

Describe any MCS improvements that are being planned for future fishing seasons and the expected implementation date for such improvements.

1.3.1.4 Progress with actions taken to rectify any non-compliance

Describe actions taken to rectify any non-compliant issues identified in the previous Compliance Committee meeting.

2 SBT Fishing and MCS

2.1 Fishing for Southern Bluefin Tuna

2.1.1 Catch and allocation

Specify the Effective Catch Limit, carry-forward of quota, total available catch, and attributable catch for the three most recently completed fishing seasons in Table 1. All figures should be provided in tonnes.

Table 1. Effective catch limit, carry-forward, total available catch, and attributable catch.

A	B	C	D	E
Fishing Season	Effective Catch Limit ¹ (tonnes)	Quota Carried Forward to this Fishing Season (tonnes)	Total Available Catch ² (B+C) (tonnes)	Attributable catch ³ (tonnes)
(e.g. April 2019 – March 2020)				

¹ Effective catch limit is the Member's allocation plus any adjustments for agreed short term changes to the National Allocation. For example, see column 3 of Table 1 at paragraph 87 of the Report of CCSBT 24.

² Total available catch means a Member's Effective Catch Limit allocation for that quota year plus any amount of unfished allocation carried forward to that quota year.

³ 'A Member or CNM's attributable catch against its national allocation is the total Southern Bluefin Tuna mortality resulting from fishing activities within its jurisdiction or control including, inter alia, mortality resulting from: commercial fishing operations whether primarily targeting SBT or not; releases and/or discards; recreational fishing; customary and/or traditional fishing; and artisanal fishing.'

2.1.2 Allowances and SBT mortality for each sector

Specify the allowances and SBT mortality for each sector during the three most recently completed fishing seasons in Table 2. If information on SBT mortality is not available for a particular sector, use the best estimates of catch. All figures to be provided in tonnes.

Table 2. Allowances and SBT mortality for each sector.

Sector	Commercial fishing operations whether primarily targeting SBT or not			
	Sector 1: (please name)		Sector 2: (please name)	
Fishing season	National allowance	Mortalities (tonnes)	National allowance	Mortalities (tonnes)
(e.g. April 2019 – March 2020)				

Sector continued	Releases and/or discards		Recreational fishing		Customary and/or traditional fishing		Artisanal fishing	
	Sector 3:		Sector 4:		Sector 5:		Sector 6:	
Fishing season	National allowance	Mortalities (tonnes)	National allowance	Mortalities (tonnes)	National allowance	Mortalities (tonnes)	National allowance	Mortalities (tonnes)

2.1.3 SBT Catch (retained and non-retained)

For the three most recently completed fishing seasons, specify the weight (in tonnes) and number of SBT for each sector (e.g. commercial longline, commercial purse seine, commercial charter fleet, commercial domestic fleet, recreational fishing, customary and/or traditional fishing and artisanal fishing) in Table 3. Provide the best estimate if reported data is not available. Figures should be provided for both retained SBT and non-retained SBT. For all non-farming sectors, “Retained SBT” includes SBT retained on vessel and “Non-Retained SBT” includes those returned to the water. For farming, “Retained SBT” includes SBT stocked to farming cages and towing mortalities. If possible, provide both the weight in tonnes and the number of individuals in square brackets (e.g. [250]) for each sector. Table cells should not be left empty. If the value is zero, enter “0”.

Table 3. SBT catch (retained and non-retained)

Fishing Season	Retained and discarded SBT							
	Commercial sectors (all weights are in tonnes)							
	Sector 1 (please name)		Sector 2 (please name)		Sector 3: Recreational sector		Sector 4: Customary/artisanal sector	
	Retained SBT	Non-Retained SBT	Retained SBT	Non-Retained SBT	Retained SBT	Non-Retained SBT	Retained SBT	Non-Retained SBT
(e.g. April 2019 – March 2020)								

2.1.4 The number of vessels in each sector

Specify the fishing season and number of vessels that caught SBT in each sector during the three most recently completed fishing seasons in Table 4.

In cases where vessel numbers are not able to be provided, specify the best estimate.

Table 4. Vessels by Sector

Fishing season (e.g. April 2019 – March 2020)	Number of vessels			
	Commercial sectors		Sector 3: Recreational sector	Sector 4: Customary/artisanal sector
Sector 1 (please name)	Sector 2 (please name)			

2.2 Monitoring catch of SBT

2.2.1 Daily logbooks

- i. If daily logbooks are not mandatory, specify the % of SBT fishing where daily logbooks were required.
- ii. Specify whether the effort and catch information collected complied with that specified in the “Characterisation of the SBT Catch” section of the CCSBT Scientific Research Plan (Attachment D of the SC5 report), including both retained and discarded catch. If not, describe the non-compliance.

2.2.2 Additional reporting methods (such as real time monitoring programs)

- i. If multiple reporting methods exists (e.g. daily, weekly and/or month SBT catch reporting, reporting of tags and SBT measurements, reporting of ERS interactions etc) then, for each reporting method, specify if it was mandatory, and if not, specify the % of SBT fishing the reporting method covered.

2.2.3 Scientific Observers

- i. Provide the percentage of the SBT catch and effort observed in the three most recently completed fishing seasons for each sector (e.g. longline, purse seine, commercial charter fleet, and domestic fleet) in Table 5. The unit of effort should be hooks for longline and sets for purse seine.

Table 5. Observer coverage of SBT catch and effort

Fishing season (e.g. April 2019 – March 2020)	Sector 1		Sector 2	
	% effort obs.	% catch obs.	% effort obs.	% catch obs.

- ii. Specify whether the observer program complied with the CCSBT Scientific Observer Program Standards. If not, describe the non-compliance. Also indicate whether there was any exchange of observers between Members.

2.2.4 Vessel Monitoring System (VMS)

For the most recently completed fishing season for Member-flagged authorised carrier vessels and fishing vessels fishing for or taking SBT specify:

- i. Was a mandatory VMS that complies with CCSBT's VMS resolution in operation?
- ii. If a mandatory VMS that complies with CCSBT's VMS resolution was not in operation, provide details of non-compliance and plans for further improvement.
- iii. The number of its flag 1) fishing vessels (FVs) and 2) carrier vessels (CVs) that were required to report to a National VMS system:-
 - 1) FVs:
 - 2) CVs:
- iv. The number of its flag 1) fishing vessels (FVs) and 2) carrier vessels (CVs) that actually reported to a National VMS system:-
 - 1) FVs:
 - 2) CVs:
- v. Reasons for any non-compliance with VMS requirements and action taken by the Member.
- vi. In the event of a technical failure of a vessel's VMS, the vessel's geographical position (latitude and longitude) at the time of failure and the length of time the VMS was inactive.
- vii. A description of any investigations initiated in accordance with paragraph 3(b) of the CCSBT VMS resolution including progress to date and any actions taken.

2.2.5 At-sea inspections

Specify the coverage level of at sea inspections of SBT authorised fishing vessels by Member's patrol vessels during the most recently completed fishing season (e.g. the percentage of SBT trips inspected).

2.2.6 Authorised vessel requirements

Report on the review of internal actions and measures taken in relation to the authorised vessel requirements provided at Appendix 1, including any punitive and sanction actions taken.

2.2.7 Monitoring of catch of SBT from other sectors (e.g. recreational, customary, etc)

Provide details of monitoring methods used to monitor catches in other sectors.

2.3 SBT Towing and transfer to and between farms (farms only)

- i. Specify the percentage of the tows that were observed and the percentage of the transfers of the fish to the farms that were observed during the three most recently completed fishing seasons in Table 6.

Table 6. Observer coverage of towing and transfer to and between farms

Fishing season	Observer coverage of tows (%)	Observer coverage of transfers (%)
(e.g. April 2019 – March 2020)		

- ii. Provide updates on plans to allow adoption of the stereo video systems for ongoing monitoring.

2.4 SBT transshipment (in port and at sea)

In accordance with the Resolution on Establishing a Program for Transshipment by Large-Scale Fishing Vessels, report:

- i. The quantities and percentage of SBT transhipped at sea and in port during the three most recently completed fishing seasons in Table 7.

Table 7. SBT transshipment (in port and at sea)

Fishing season	Kilograms of SBT transhipped at sea	Percentage of the annual SBT catch transhipped at sea	Kilograms of SBT transhipped in port	Percentage of the annual SBT catch transhipped in port
(e.g. April 2019 – March 2020)				

- ii. The list of the tuna longline fishing vessel with Freezing Capacity (LSTLVs) registered in the CCSBT Authorised Vessel List which have transhipped at sea and in port during the most recently completed fishing season.
- iii. A comprehensive report assessing the content and conclusions of the reports of the observers assigned to carrier vessels which have received at-sea transhipments from their LSTLVs during the most recently completed fishing season.

2.5 Port Inspections of Foreign Fishing Vessels/Carrier Vessels (FVs/CVs) with SBT/SBT Products on Board

For the three most recently completed **whole calendar years**, provide information about the number of landing/ transshipment operations that foreign FVs/CVs carrying SBT or SBT product made in port, the number of those landing/ transshipment operations that were inspected, and the number of inspections where infringements of CCSBT’s measures were detected in Table 8.

Annex 1. Standing items: details of MCS arrangements used to monitor SBT catch in the fishery

1 Monitoring catch of SBT

Describe the system used for controlling the level of SBT catch. For ITQ and IQ systems, this should include details on how the catch is allocated to individual companies and/or vessels. For competitive catch systems this should include details of the process for authorising vessels to catch SBT and how the fishery is monitored for determining when to close the fishery. The description provided here should include any operational constraints on effort (both regulatory and voluntary).

Complete the table below to provide details of methods used to monitor catching in the fishery.

Details should also be provided of monitoring conducted of fishing vessels when steaming away from the fishing grounds (this does not include towing vessels that are reported in Section 1.1 of this Annex).

Monitoring Methods	Description
Daily log book	<p>Specify:</p> <ul style="list-style-type: none"> i. Whether this was mandatory. ii. The level of detail recorded (shot by shot, daily aggregate etc):- iii. What information on ERS is recorded in logbooks:- iv. Who are the logbooks submitted to⁵:- v. What is the timeframe and method⁶ for submission:- vi. The type of checking and verification that is routinely conducted for this information:- vii. Reference to applicable legislation and penalties:- viii. Other relevant information⁷:-

⁵ If the reports are not to be submitted to the Member's or CNM's government fisheries authority, then also specify whether the information will later be sent to the fisheries authority, including how and when that occurs.

⁶ In particular, whether the information is submitted electronically from the vessel.

⁷ Including information on ERS, and comments on the effectiveness of the controls or monitoring tools and any plans for further improvement.

<p><i>Additional reporting methods (such as real time monitoring programs)</i></p>	<p><i>If multiple reporting methods exists (e.g. daily, weekly and/or month SBT catch reporting, reporting of tags and SBT measurements, reporting of ERS interactions etc), create a separate row of in this table for each method. Then, for each method, specify:</i></p> <ul style="list-style-type: none"> <i>i. Whether this is mandatory.</i> <i>ii. The information that is recorded (including whether it relates to SBT or ERS):-</i> <i>iii. Who the reports are submitted to and by whom (e.g. Vessel Master, the Fishing Company etc)⁵:-</i> <i>iv. What is the timeframe and method⁶ for submission:-</i> <i>v. The type of checking and verification that is routinely conducted for this information:-</i> <i>vi. Reference to applicable legislation and penalties:-</i> <i>vii. Other relevant information⁷:-</i>
<p><i>Scientific Observers</i></p>	<p><i>Specify:</i></p> <ul style="list-style-type: none"> <i>i. The system used for comparisons between observer data and other catch monitoring data in order to verify the catch data:-</i> <i>ii. What information on ERS is recorded by observers:-</i> <i>iii. Who are the observer reports submitted to:-</i> <i>iv. Timeframe for submission of observer reports:-</i> <i>v. Other relevant information (including plans for further improvement – in particular to reach coverage of 10% of the effort):-</i>
<p><i>VMS</i></p>	<ul style="list-style-type: none"> <i>i. For Member-flagged authorised carrier vessels and fishing vessels fishing for or taking SBT provide references to applicable legislation and penalties:-</i>
<p><i>Other (for example, use of electronic monitoring etc.)</i></p>	

1.1 SBT Towing and transfer to and between farms (farms only)

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

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

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

- i. Inspection/Observation required for transfer of SBT*
- ii. Monitoring system used for recording the quantity of SBT transferred:-*

(c) For “a” and “b” above, describe the process used for completing, validating⁸ and collecting the relevant CCSBT CDS documents (Farm Stocking Form, Farm Transfer Form):-

(d) Other relevant information⁷

1.2 SBT Transshipment (in port and at sea)

(a) Describe the system used for controlling and monitoring transshipments in port. This should include details of:

- i. Flag State rules for and names of:
- designated foreign ports where SBT may be transhipped, and
- foreign ports where in-port transshipments of SBT are prohibited:-*
- ii. Flag State inspection requirements for in-port transshipments of SBT (include % coverage):-*
- iii. Information sharing with designated Port States:-*
- iv. Monitoring systems for recording the quantity of SBT transhipped:-*
- v. Process for validating⁸ and collecting the relevant CCSBT CDS documents (Catch Monitoring Form, Catch Tagging Form):-*
- vi. Reference to applicable legislation and penalties:-*
- vii. Other relevant information⁷:-*

(b) Describe the system used for controlling and monitoring transshipments at sea. This should include details of:

- i. The rules and processes for authorising transshipments of SBT at sea and methods (in addition to the presence of CCSBT transshipment observers) for checking and verifying the quantities of SBT transhipped:-*
- ii. Monitoring systems for recording the quantity of SBT transhipped:-*
- iii. Process for collecting the relevant CCSBT CDS documents (Catch Monitoring Form, Catch Tagging Form):-*
- iv. Reference to applicable legislation and penalties:-*

⁸ Including the class of person who conducts this work (e.g. government official, authorised third party)

- v. *Other relevant information*⁷:-

1.3 Port Inspections of Foreign FVs/CVs with SBT/SBT Products on Board

This section provides for reporting with respect to the CCSBT's Scheme for Minimum Standards for Inspection in Port. It should be filled out by Port State Members that have authorised foreign Fishing Vessels/Carrier Vessels carrying SBT or SBT products to enter their designated ports for the purpose of landing and/or transshipment. Only information for landings/transshipments of SBT or SBT products that have NOT been previously landed or transhipped at port should be included in the table below.

- (a) *Provide a list of designated ports into which foreign FVs/ CVs carrying SBT or SBT product may request entry:-*
- (b) *Provide the minimum number of hours of notice required for foreign FVs/CVs carrying SBT or SBT product to request authorisation to enter these designated ports:-*

1.4 Landings of Domestic Product (from both fishing vessels and farms)

Describe the system used for controlling and monitoring domestic landings of SBT. This should include details of:

- (a) *Rules for designated ports of landing of SBT:-*
- (b) *Inspections required for landings of SBT.*
- (c) *Details of genetic testing conducted and any other techniques that are used to verify that SBT are not being landed as a different species:-*
- (d) *Monitoring systems for recording the quantity of SBT landed:-*
- (e) *Process for validating⁸ and collecting the relevant CCSBT CDS documents (Catch Monitoring Form, and depending on circumstances, Catch Tagging Form):-*
- (f) *Reference to applicable legislation and penalties:-*
- (g) *Other relevant information*⁷:-

1.5 Monitoring of trade of SBT

1.5.1 SBT Exports

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

- (a) *Inspections required for export of SBT -*
- (b) *Details of genetic testing conducted and any other techniques that are used to verify that SBT are not being exported as a different species:-*
- (c) *Monitoring systems for recording the quantity of SBT exported:-*
- (d) *Process for validating⁸ and collecting the relevant CCSBT CDS documents (Catch Monitoring Form and depending on circumstances, Catch Tagging Form or Re-export/Export after landing of domestic product Form):-*
- (e) *Reference to applicable legislation and penalties:-*

(f) *Other relevant information*⁷:-

1.5.2 SBT Imports

Describe the system used for controlling and monitoring imports of SBT. This should include details of:

- (a) *Rules for designating specific ports for the import of SBT:-*
- (b) *Inspections required for imports of SBT*
- (c) *Details of genetic testing conducted and any other techniques that are used to verify that SBT are not being imported as a different species:-*
- (d) *Process for checking and collecting CCSBT CDS documents (Catch Monitoring Form and depending on circumstances, Re-export/Export after landing of domestic product Form):-*
- (e) *Reference to applicable legislation and penalties:-*
- (f) *Other relevant information*⁷:-

1.5.3 SBT Markets

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

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

(c) *Other relevant information*⁷

1.6 Other

Description of any other MCS systems of relevance.

2 Additional Reporting Requirements Ecologically Related Species

(a) *Reporting requirements in relation to implementation of the 2008 ERS Recommendation:*

- i. *Specify whether each of the following plans/guidelines have been implemented, and if not, specify the action that has been taken towards implementing each of these plans/guidelines:-*
 - *International Plan of Action for Reducing Incidental Catches of Seabirds in Longline Fisheries:*
 - *International Plan of Action for the Conservation and Management of Sharks:*
 - *FAO Guidelines to reduce sea turtle mortality in fishing operations:*
- ii. *Specify whether all current binding and recommendatory measures⁹ aimed at the protection of ecologically related species¹⁰ from fishing of the following tuna RFMOs are being complied with. If not, specify which measures are not being complied with and the progress that is being made towards compliance:-*
 - *IOTC, when fishing within IOTC's Convention Area:*
 - *WCPFC, when fishing within WCPFC's Convention Area:*

⁹ *Relevant measures of these RFMOs can be found at: <https://www.ccsbt.org/en/content/bycatch-mitigation>.*

¹⁰ *Including seabirds, sea turtles and sharks.*

- *ICCAT, when fishing within ICCAT's Convention Area:*
- iii. *Specify whether data is being collected and reported on ecologically related species in accordance with the requirements of the following tuna RFMOs. If data are not being collected and reported in accordance with these requirements, specify which measures are not being complied with and the progress that is being made towards compliance:-*
- *CCSBT¹¹:*
 - *IOTC, for fishing within IOTC's Convention Area:*
 - *WCPFC, for fishing within WCPFC's Convention Area:*
 - *ICCAT, for fishing within ICCAT's Convention Area:*

(b) Mitigation – describe the current mitigation requirements:

(c) Monitoring usage of bycatch mitigation measures:

- i. *Describe the methods being used to monitor compliance with bycatch mitigation measures (e.g. types of port inspections conducted and other monitoring and surveillance programs used to monitor compliance). Include details of the level of coverage (e.g. proportion of vessels inspected each year):*
- ii. *Describe the type of information that is collected on mitigation measures as part of compliance programmes for SBT vessels:*

¹¹ *Current CCSBT requirements are those in the Scientific Observer Program Standards and those necessary for completing the template for the annual report to the ERSWG.*

Appendix 1. CCSBT Authorised Vessel Resolution

The flag Members and Co-operating Non-members of the vessels on the record shall:

- a) authorize 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;
- b) take necessary measures to ensure that their FVs comply with all the relevant CCSBT conservation and management measures;
- c) 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;
- d) 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 anymore;
- e) 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;
- f) 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.