

**Minimum performance requirements to meet CCSBT Obligations**  
***Compliance Policy Guideline 1***  
*(Revised at the Twenty-Eighth Annual Meeting: 13 October 2021)*

**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 to the Commission through the Compliance Committee.

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), Section 4 (in-port transshipment), Annex 1 (CCSBT Transshipment Declaration), and Annex 2 (CCSBT Regional Observer Program) [Transshipment Resolution](#)
- Resolution for a CCSBT Scheme for Minimum Standards for Inspection in Port
- 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/or
  - (2) inspecting SBT product or catch against 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.

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,
  - (2) monitoring markets to detect and investigate any supply of SBT whose CDS documentation is incomplete or missing,
  - (3) monitoring transshipments by the Member's vessels in foreign ports,
  - (4) checking that required CDS documents are attached to exported and imported SBT.

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

## 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 Plans (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:** [https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_Allocation.pdf](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_Allocation.pdf)

[https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_Limited\\_Carry\\_forward.pdf](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_Limited_Carry_forward.pdf)

Details of the decision on the common definition of the Attributable SBT Catch and on the Principle and Action points in relation to implementing the Attributable SBT Catch definition are at paragraphs 50 - 53 of the CCSBT 21 report:

[https://www.ccsbt.org/sites/default/files/userfiles/file/docs\\_english/meetings/meeting\\_reports/ccsbt\\_21/report\\_of\\_CCSBT21.pdf](https://www.ccsbt.org/sites/default/files/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_21/report_of_CCSBT21.pdf)

**Note:** Obligations relating to this measure are subject to regular allocation decisions of the Extended Commission (EC). The limited carry-forward process can only be utilised by Members and not by CNMs.

CCSBT has agreed that the “catch” of a Member/CNM that is to be counted against its allocation of the global SBT Total Allowable Catch is called the “Attributable SBT Catch” and that the Attributable SBT Catch is defined as follows:

*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<sup>1</sup> 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.*

<b>1.1 Compliance with National Allocations</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
<p>i. Each Member and CNM shall ensure that its total Attributable SBT Catch for a quota year shall not exceed its Effective Catch Limit<sup>2</sup> as prescribed by the EC for that quota year, plus any amount of unfished allocation formally carried forward by the Member/CNM to that quota year (<i>i.e.</i> shall not exceed its total available catch).</p>	<ol style="list-style-type: none"> <li>1. Rules in place to ensure that the total “Attributable SBT Catch” of each Member/ CNM does not exceed the Member’s/ CNM’s Total Available Catch Limit<sup>3</sup> for the relevant period.</li> <li>2. Operating systems and processes established to:               <ol style="list-style-type: none"> <li>a. implement annual catching arrangements, including:                   <ol style="list-style-type: none"> <li>i. Specification of allocations by company, quota holder or vessel;</li> <li>ii. Arrangements for daily recording of all catches; and</li> <li>iii. Weekly reporting of catches by large scale tuna longliners and monthly reporting of catches by coastal fishing vessels.</li> </ol> </li> <li>b. Monitor all fishing-related mortality of SBT.</li> <li>c. Ensure accuracy of the “Attributable SBT Catch”, including:</li> </ol> </li> </ol>

<sup>1</sup> Except where a vessel is chartered to a person or entity of another Member or CNM, and if a catch is attributable to that Member or CNM

<sup>2</sup> The Effective Catch Limit is the Member’s National Allocation plus or minus any agreed short-term changes to that allocation, for example temporary transfers

<sup>3</sup> Total Available Catch Limit means a Member’s Effective Catch Limit allocation for that quota year plus any amount of unfished allocation carried forward to that quota year.

<b>1.1 Compliance with National Allocations</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
	<ul style="list-style-type: none"> <li>i. For fishing Members/CNMs, a physical inspection regime of SBT caught by the Member's/CNM's fishing vessel; and</li> <li>ii. For farming Members/CNMs, monitoring the method used for estimating the weight of the SBT catch and adjusting/ re-calibrating where necessary.</li> </ul> <p>3. All fishing-related SBT mortality 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"> <li>a. monitor compliance with annual catching arrangements; and</li> <li>b. impose sanctions or remedies where necessary.</li> </ul>
<p>ii. Except in some situations when carry-forward procedures shall not be applied<sup>4</sup> unless decided otherwise by the Extended Commission, if a Member's annual total available catch is under-caught, that Member may carry forward the unfished quota to the following quota year. However, the total quota carried forward from one year to the next shall not exceed 20% of that Member's Effective Catch Limit for the year from which the quota is being carried forward.</p>	<p>1. For Members that decide to adopt the carry-forward procedure (regardless of whether carry-forward was used in a particular year):</p> <ul style="list-style-type: none"> <li>a. Operating systems and processes must be in place to ensure that: <ul style="list-style-type: none"> <li>i. an accurate, verified and robust figure for the final Attributable Catch is available before the Secretariat is notified of the carry-forward,</li> <li>ii. a report on the adoption and use of the carry-forward procedure, together with documentation on quantification and verification of the total Attributable SBT catch is included in each annual report to the Extended Commission;</li> </ul> </li> <li>b. For Members intending to carry forward unfished quota to the next quota year, the Executive Secretary is formally notified of that Member's Total Attributable</li> </ul>

<sup>4</sup> These include cases where: a) 'exceptional circumstances' exist and the Extended Commission (EC) agrees to reduce the global total allowable catch within a three year quota block, or b) the EC agrees within a three year quota block to reduce the national allocation of one or more Members (the Members concerned cannot carry-forward), or c) the Management Procedure recommends or the EC decides on a lower Global TAC, or d) a Member exceeds its national allocation for the 2017 fishing season or later without paying back its excess catch for those seasons

<b>1.1 Compliance with National Allocations</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
<p>iii. A Member's total available catch for a quota year shall not exceed the sum of its national allocation for that year plus an amount equal to 20% of its national allocation for the previous quota year.</p> <p>iv. Members that have elected to carry forward unfished quota shall provide confirmation to the Secretariat within 90 days of receipt of its confirmation request<sup>5</sup>, and shall include a revised Total Available Catch Limit<sup>3</sup> for the new quota year.</p> <p>v. Members shall 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.</p>	<p>SBT Catch (in whole weight) for the concluded quota year together with the revised Total Available Catch Limit<sup>3</sup> for the new quota year within 90 days of receiving the Secretariat's confirmation request.</p>

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<sup>5</sup> The Secretariat is required to seek confirmation from Members at the end of each quota year as to whether they intend to carry forward unfished quota to the next quota year

## 1.2 Compliance Action Plans

**Title:** a) Resolution on action plans to ensure compliance with Conservation and Management Measures, and  
b) Paragraph 26 (and Attachment 5) of the CC7 report:- Decision to adopt a new consolidated template for annual reports as agreed by CC7 and adopted at CCSBT19.

**Link:** a) [https://www.ccsbt.org/sites/default/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_ComplianceActionPlans.pdf](https://www.ccsbt.org/sites/default/files/userfiles/file/docs_english/operational_resolutions/Resolution_ComplianceActionPlans.pdf)  
b) [https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/templates/Annual\\_CC-EC\\_Reporting\\_Template.docx](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/templates/Annual_CC-EC_Reporting_Template.docx)

**Notes:** The Fifth meeting of the Compliance Committee agreed that: *“Compliance Action Plans have provided a valuable source of information. The detail in these plans should continue to be improved and the plans should be kept up to date, and submitted to future annual meetings of the Compliance Committee”*. Nevertheless, paragraphs 1 and 5 of the Resolution on Action Plans are not listed as obligations below because these paragraphs have been completed and no longer apply. Some reporting elements of the Action Plans

Resolution are superseded by the consolidated template for annual reports. Consequently, some obligations now refer to the National Report instead.

<b>1.2 Compliance Action Plans</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
<p>i. Flag Members of pelagic longline vessels shall specify in their National Reports improvement in at least 3 areas:</p> <ul style="list-style-type: none"> <li>• Port state inspection of transshipment of SBT <ul style="list-style-type: none"> <li>➤ 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</li> </ul> </li> <li>• Verification of catch data through scientific observers on fishing vessels of coverage of 10% in terms of effort.</li> <li>• Actual inspection of catches by authorities of flag Members and CNMs.</li> <li>• All the above measures should be implemented in a manner that will not interfere with legitimate commercial transaction of SBT.</li> </ul>	<p>1. Sections II(3)(b), II(4)(b) and II(5)(b) of the Annual National Report template must be completed in full in relation to this obligation.</p> <p>The following additional sections of the Annual National Report template should also be completed:</p> <ul style="list-style-type: none"> <li>• Section I(1): describe details of any MCS improvements achieved in the current fishing season;</li> <li>• Section I(2): describe details of any MCS improvements planned for future fishing seasons, including the expected implementation date, and</li> <li>• Section II(1)(d) – Scientific Observers (vii): describe plans to reach a scientific observer coverage of 10% of effort in cases where this has not been achieved.</li> </ul>

<b>1.2 Compliance Action Plans</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
<p>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.</p>	<p>1. SVM adopted for monitoring of SBT transferred to cages once the technology has been proved financially viable.</p> <p>2. The results of such monitoring should be reported to the relevant CCSBT meetings, including the Scientific Committee and the Compliance Committee.</p>

## 1. 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:** [https://www.ccsbt.org/sites/default/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_AuthorisedFarms.pdf](https://www.ccsbt.org/sites/default/files/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 established and applied to: <ol style="list-style-type: none"> <li>a. authorise each farm to operate for farming of SBT;</li> <li>b. provide all required information on authorised farms to the Executive Secretary within 15 days of the farm being authorised;</li> <li>c. submit any updates to the Executive Secretary promptly, and no later than 15 days from the date the change(s) occur(s); and</li> <li>d. submit the authorisation information, and any updates, electronically using the Data Provision Form for the CCSBT Record of Authorised SBT Farms.</li> </ol>
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.	

<b>2.1 Record of Authorised Farms</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
iii. Members shall ensure that their authorised farms comply with relevant CCSBT measures	1. Rules, operating systems and processes in place to ensure: <ol style="list-style-type: none"> <li>a. all authorised farm operators are aware of their obligations in relation to CCSBT measures;</li> <li>b. no stocking, harvesting or transfer of SBT is carried out before notifying the Executive Secretary of the authorised farms and, where relevant, any updates.</li> </ol>
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.	<ol style="list-style-type: none"> <li>a. 2. Rules in place to ensure authorised farms comply with relevant CCSBT measures; and</li> <li>b. no SBT (whether from domestic product, exports, imports or re-exports) are landed into or (re-)exported from farms which are not on the Record of Authorised Farms.</li> </ol> 3. Apply operating systems and processes to: <ol style="list-style-type: none"> <li>a. monitor farm compliance with rules; and</li> <li>b. impose sanctions and/or remedies on farms/operators where necessary in the event that non-compliance is detected.</li> </ol>
v. To ensure effectiveness of the CDS: <ul style="list-style-type: none"> <li>• Members shall validate CDS documents only for farming facilities on the CCSBT record of authorised farms;</li> <li>• 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;</li> <li>• 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.</li> </ul>	See section 3.1 D (CDS Validation)

## 2.2 Record of Authorised Vessels

**Title:** Resolution on amendment of the Resolution on “Resolution on a CCSBT Record of Vessels Authorised to Fish for Southern Bluefin Tuna” revised at the CCSBT22 in 2015

**Link:** [https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_Authorised\\_Fishing\\_Vessels.pdf](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_Authorised_Fishing_Vessels.pdf)

**Notes:** For the purpose of this resolution, fishing vessels (FVs) not entered into the Record are deemed not to be authorised to fish for, retain on board, tranship or land SBT.

2.2 Record of Authorised Vessels	
Obligations	Minimum performance requirements
<p>i. Members shall:</p> <ul style="list-style-type: none"> <li>• Effective from January 2017, ensure that all fishing vessels (except wooden and fibreglass vessels) flying their flag that are authorised to catch SBT, and that are at least 100GT/GRT in size, have IMO numbers issued to them.</li> <li>• ensure that all vessels under their registry do not carry out IUU fishing activities for SBT;</li> <li>• take every possible action, consistent with relevant law, to prevent, deter and eliminate IUU fishing;</li> <li>• 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.</li> </ul>	<ol style="list-style-type: none"> <li>1. Rules are in place to require that:               <ol style="list-style-type: none"> <li>a. all authorised vessels to have a national unique vessel identifier or unique registration number;</li> <li>b. all authorised fishing vessels (except wooden and fibreglass vessels) of at least 100GT/GRT have IMO numbers issued to them from January 2017.</li> </ol> </li> <li>2. Operating systems and processes established and applied to detect, prevent and deter IUU fishing of SBT by any fishing vessel.</li> <li>3. Once a year review any evidence obtained of IUU fishing, and assess the effectiveness of Member measures to detect and deter IUU fishing.</li> </ol>
<p>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.</p>	<ol style="list-style-type: none"> <li>1. Operating systems and processes to:               <ol style="list-style-type: none"> <li>a. authorise specific fishing vessels flying the Member’s flag to fish for SBT;</li> </ol> </li> </ol>

<b>2.2 Record of Authorised Vessels</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
<p>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.</p>	<p>b. provide the required information on authorised fishing vessels to the Executive Secretary no later than 15 days after the vessel is authorised;</p> <p>c. submit any updates to the Executive Secretary not later than 15 days from the date the changes occur; and</p> <p>d. 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.</p>
<p>iv. Flag Members of the vessels on the record shall:</p> <ul style="list-style-type: none"> <li>• 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;</li> <li>• take necessary measures to ensure that their FVs comply with all the relevant CCSBT conservation and management measures;</li> <li>• 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;</li> <li>• 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;</li> <li>• ensure, to the extent possible under domestic law, that the owners and operators of their FVs on the CCSBT Record are</li> </ul>	<p>1. Ensure authorised FVs comply with relevant CCSBT measures, including requiring:</p> <ul style="list-style-type: none"> <li>a. that at all times only FVs legitimately flying the Member’s flag and whose current details are correctly entered into the Record of Authorised Vessels are authorised to fish for, retain on board, tranship or land SBT;</li> <li>b. 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;</li> </ul> <p>2. Operating systems and processes to:</p> <ul style="list-style-type: none"> <li>a. Ensure all vessel masters are aware of their obligations in relation to CCSBT measures;</li> <li>b. 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 as soon as</li> </ul>

<b>2.2 Record of Authorised Vessels</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
<p>not engaged in or associated with fishing activities for SBT conducted by FVs not entered into the CCSBT Record; and</p> <ul style="list-style-type: none"> <li>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.</li> </ul>	<p>practicable after investigation by the Member, including vessel name, flag and (if available) location, operator name and vessel identification number and call sign, and any other information that could assist in locating and identifying the vessel and operator.</p> <p>3. Operating systems and procedures applied to:</p> <ol style="list-style-type: none"> <li>monitor fishing vessel compliance with rules; and</li> <li>impose sanctions or remedies where necessary.</li> </ol>
<p>v. Members shall prohibit the fishing for, the retaining on board, the transshipment and landing of SBT by the FVs which are not entered into the CCSBT Record.</p>	
<p>vi. To ensure effectiveness of the CDS</p> <ul style="list-style-type: none"> <li>Flag Members shall validate CDS documents only for FVs on the CCSBT record;</li> <li>Members shall require that SBT caught by FVs, when transhipped, landed as domestic product, exported, imported or re-exported within their jurisdictions, shall be accompanied by CDS documents validated for the vessels on the CCSBT Record; and</li> <li>Members shall co-operate to ensure that CDS documents are not forged or do not contain misinformation.</li> </ul>	<p>See section 3.1 D (CDS Validation)</p>

<b>2.2 Record of Authorised Vessels</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
vii. Members shall notify the Executive Secretary of any factual information showing that there are reasonable grounds for suspecting FVs not on the CCSBT record to be engaged in fishing for and/or transshipment of SBT.	
viii. The Commission and the Members concerned shall communicate with each other, and make the best effort with FAO and other relevant regional fishery management bodies to develop and implement appropriate measures, where feasible, including the establishment of records of a similar nature in a timely manner so as to avoid adverse effects upon other tuna resources in other oceans. Such adverse effects might consist of excessive fishing pressure resulting from a shift of the IUU FVs from fishing for SBT to other fisheries.	

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

**Title:** Record of vessels authorised to receive transhipments involving SBT at-sea or in port (*from section 2 of the “Resolution on Establishing a Program for Transhipment by Large-Scale Fishing Vessels”*)

**Link:** [https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_Transhipment.pdf](https://www.ccsbt.org/sites/ccsbt.org/files/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 either at-sea or in-port transhipment operations.

2.3 Record of Authorised Carrier Vessels	
Obligations	Minimum performance requirements
<p>i. Members shall submit to the CCSBT Executive Secretary, the list of Carrier Vessels that are authorised to receive SBT transhipments from its LSTLVs at sea or in port.</p>	<p>1. Operating systems and processes to:</p> <ul style="list-style-type: none"> <li>a. authorise specific Carrier Vessels to receive at-sea and/or in-port transhipments from its authorised Fishing Vessels (LSTLVs);</li> <li>b. ensure authorised Carrier Vessels that tranship at sea will meet their obligations to (see Transhipment Monitoring performance requirements 3.3):               <ul style="list-style-type: none"> <li>i. provide access and accommodation to observers,</li> <li>ii. cooperate with observers in relation to carrying out their duties, and</li> <li>iii. not interfere with, or seek to influence, observers in any way;</li> </ul> </li> </ul>

### 2.3 Record of Authorised Carrier Vessels

Obligations	Minimum performance requirements
<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>	<ul style="list-style-type: none"> <li>c. provide required information on authorised Carrier Vessels to the Executive Secretary within 15 days of the vessel being authorised, and before such vessels are actually used in transhipments;</li> <li>d. submit any updates to the Executive Secretary promptly, and not later than 15 days from the date the change(s) occur(s), and before such vessels are actually used in transhipments; and</li> <li>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.</li> </ul>
<p>iii. Carrier Vessels authorised to conduct at-sea or in-port transhipments shall be required to install and operate a Vessel Monitoring System (VMS).</p>	<ul style="list-style-type: none"> <li>1. Operating systems and processes to ensure that Carrier Vessels are only to be authorised to carry out transhipments if:               <ul style="list-style-type: none"> <li>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</li> <li>b) The VMS transmits at frequency sufficient to show transhipping operations, and</li> <li>c) The VMS will function effectively in the expected operating conditions.</li> </ul> </li> </ul>

### 3. MCS Measures

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

- Catch Documentation System (3.1)
- Vessel Monitoring System (3.2)
- Transshipment Monitoring Program (3.3)
- IUU Vessel List (3.4)
- Minimum Standards for Inspection in Port (3.5).

#### 3.1 Catch Documentation System (Resolution)

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

**Link:** [https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_CDS.pdf](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_CDS.pdf)

**Notes:** In the text below, the term “Member” includes CNMs as it does for the rest of this document, and the term “Member/OSEC” includes Members, CNMs and Other States/Fishing Entities Cooperating in the CDS.

To keep “like” tasks together the CDS obligations are grouped below as follows:

- A. General provisions and application
- B. Modification to standard CDS Documents
- C. Tagging
- D. Validation
- E. Retention and submission of documents to the Secretariat
- F. Verification of CDS documentation

3.1 Catch Documentation System	
A. Obligations (general)	Minimum performance requirements
i. All Members shall implement the CCSBT CDS for southern bluefin tuna (SBT) to document the movement of all SBT as outlined in this resolution. The CCSBT CDS incorporates CCSBT CDS documentation and tagging of SBT.	1. Operating systems and processes established and implemented to ensure that: <ol style="list-style-type: none"> <li>a. all owners and operators of authorised farms, fishing vessels, and carrier vessels, and all SBT processors, importers,</li> </ol>

3.1 Catch Documentation System	
A. Obligations (general)	Minimum performance requirements
<p>ii. For transshipments, landings of domestic product, exports, imports and re-exports under the jurisdiction of a Member/OSEC, all SBT shall be accompanied by a Catch Monitoring Form, and where required<sup>7</sup> 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"> <li>• the exportation/import of fish parts other than the meat (i.e. head, eyes, roe, guts, tails) may be allowed without the document</li> <li>• Members that prohibit the sale of fish caught by recreational fishers may exempt their recreational fisheries from the requirements of the CCSBT CDS.</li> </ul>	<p>exporters and re-exporters, are aware of their CCSBT obligations<sup>6</sup>;</p> <p>b. CDS documents accompany SBT as relevant, including:</p> <ul style="list-style-type: none"> <li>i. a Catch Monitoring Form (CMF) for all transshipments, landings of domestic product, exports, imports and re-exports</li> <li>ii. a Re-export/Export After Landing of Domestic Product (REEF) for all exports of SBT landed as domestic product then exported, and for all re-exports of imported SBT. Any REEF must also be accompanied by a copy of the associated CMF and copies of any previously issued REEFs for the SBT being exported</li> <li>iii. a Farm Transfer Form (FTF) for all transfers of SBT between authorised farms within the Member’s jurisdiction;</li> </ul> <p>c. all entities with CDS certification obligations have certification requirements, including:</p> <ul style="list-style-type: none"> <li>i. that the certifier for the Catch Tagging Form (CTF) should be the Vessel Master or other appropriate authority for any wild harvested SBT, and the Farm Operator or other appropriate authority for any farmed SBT;</li> </ul>
<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. An appropriate authority should complete the Certification section of a Catch Tagging Form.</p>	

<sup>7</sup>For all re-exports of SBT, and any exports of SBT that were landed as domestic product.

<sup>6</sup>In the case of authorised carrier vessels that are not flagged to a Member, the carrier vessel masters need to be aware of the authorising Member’s obligations so that the carrier vessel can comply with these.

<b>3.1 Catch Documentation System</b>	
<b>A. Obligations (general)</b>	<b>Minimum performance requirements</b>
	<ul style="list-style-type: none"> <li>d. all entities involved in towing and farming SBT have procedures to:               <ul style="list-style-type: none"> <li>i. record the following items about the catch from each catching vessel:                   <ul style="list-style-type: none"> <li>1. the daily mortality of SBT during catching and towing, and</li> <li>2. the quantity (number and weight in kilograms) of SBT transferred to each farm</li> </ul> </li> <li>ii. use these records to complete the Farm Stocking Form at the end of each fishing season and before the SBT are recorded on a CMF;</li> </ul> </li> <li>e. compliance with certification procedures is verified.</li> <li>2. Any use of specific exemptions to CDS documentation (allowed for under obligation 3.1 A (ii) for recreational catch) must be:               <ul style="list-style-type: none"> <li>a. explicitly allowed and this decision advised to the Executive Secretary; and</li> <li>b. have associated documented risk-management strategies to ensure that associated mortalities are accounted for and that recreational catches do not enter the market.</li> </ul> </li> <li>3. Operating system and processes established and implemented to ensure all CDS documents are uniquely numbered, and completed fully and in accordance with the document's instructions;</li> </ul>

<b>3.1 Catch Documentation System</b>	
<b>A. Obligations (general)</b>	<b>Minimum performance requirements</b>
vi. Members/OSECs shall not permit the landing as domestic product, transshipment, import, export and/or re-export of SBT caught by vessels not authorised to catch SBT and (if SBT farming is conducted under their jurisdiction) the transfer of SBT to or between, and harvest of SBT from, farms not authorised to farm SBT.	<ol style="list-style-type: none"> <li>1. Operating systems and processes established and implemented to ensure that at all times only carrier vessels authorised on the CCSBT Record of Carrier Vessels for the transshipment date are permitted to receive at-sea transshipments from the Member's LSTLVs.</li> <li>2. Rules established and implemented to prohibit: <ol style="list-style-type: none"> <li>a. the landing, transshipment, import, export or re-export of SBT caught or transhipped by non-authorised fishing/carrier vessels;</li> <li>b. the transfer of SBT to, between or harvested from farms which were not authorised to farm SBT on the date(s) of the transfers/ harvests.</li> </ol> </li> </ol>

<b>3.1 Catch Documentation System</b>	
<b>B. Obligations (modification to CDS documents )</b>	<b>Minimum performance requirements</b>
vii. Only minimal modifications, such as the addition of translations, may be made to the approved forms <sup>8</sup> . No information field may be omitted from the standard form, except where the field is not applicable.	<ol style="list-style-type: none"> <li>1. The Executive Secretary shall, in consultation with Members, determine whether proposed modifications are minimal or significant with respect to this obligation.</li> <li>2. Modified documents remain compatible with approved forms to ensure data series remain continuous and so they can be uploaded by the Secretariat.</li> </ol>
viii. Any documentation modified, as described above <sup>9</sup> , shall be provided to the Executive Secretary for distribution to other Members/OSECs.	

<sup>8</sup>However the Catch Tagging Form may be amended to include additional information at the discretion of the Member.

<sup>9</sup>With the exception of additions to the Catch Tagging Form.

3.1 Catch Documentation System	
B. Obligations (modification to CDS documents )	Minimum performance requirements
ix. Significant amendments to the forms and form content may be made only with the agreement of the Commission at its annual meeting based on recommendations from the CCSBT Compliance Committee.	3. Modified documents are provided to the Executive Secretary in electronic format at least 4 weeks prior to the use of such documents and with proposed modifications clearly highlighted.

3.1 Catch Documentation System	
C. Obligations (Tagging )	Minimum performance requirements
x. 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 xv” below.	1. Operating systems and processes established and implemented to ensure that CCSBT Catch Tagging Program requirements are met, including: <ol style="list-style-type: none"> <li>a. ensuring all SBT tags meet the minimum specifications in paragraph 3 of Appendix 2 of the <a href="#">CDS Resolution</a>;</li> <li>b. recording the distribution of SBT tags to:               <ol style="list-style-type: none"> <li>i. entities authorised to fish for, or farm, SBT, and</li> <li>ii. where applicable, entities which received tags to cover exceptional circumstances outlined in “3.1 C xv” and “xvi”;</li> </ol> </li> <li>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 xv” apply);</li> <li>d. requiring tags to be attached to each fish as soon as practicable after the time of kill;</li> <li>e. requiring details for each fish to be recorded as soon as practicable after the time of kill including month, area,</li> </ol>
xi. 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.	
xii. Catch Tagging Form(s) must have been completed for all SBT on the Catch Monitoring Form.	

<b>3.1 Catch Documentation System</b>	
<b>C. Obligations (Tagging )</b>	<b>Minimum performance requirements</b>
	method of capture, as well as weight and length measurements carried out before the SBT is frozen.
xiii. A tagging programme shall meet the minimum procedural and information standards set out in Appendix 2 of the CDS resolution <sup>10</sup> .	<ol style="list-style-type: none"> <li>1. Operating systems and processes established and implemented to:               <ol style="list-style-type: none"> <li>a. meet procedural and information standards set out in Appendix 2 of the <a href="#">CDS Resolution</a>;</li> <li>b. identify any unauthorised use of SBT tags;</li> <li>c. identify any use of duplicate tag numbers;</li> <li>d. identify any whole SBT landed, transhipped, exported, imported or re-exported without a tag (except in the circumstance set out in obligations “3.1Cxv and xvi”;</li> <li>e. ensure that tags are retained on whole SBT to at least the first point of sale<sup>11</sup> for landings of domestic product;</li> <li>f. ensure a risk management strategy (including random or risk-based sampling) is in place to minimise the opportunity of illegal SBT being marketed.</li> </ol> </li> <li>2. Operating systems and processes established and implemented to:               <ol style="list-style-type: none"> <li>a. monitor compliance by operators with control measures in 1. a-f above;</li> <li>b. impose sanctions on operators where non-compliance is detected;</li> </ol> </li> </ol>
xiv. Members shall prohibit unauthorised use of SBT tags.	
xv. 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"> <li>a) in the case of farming operations, the SBT may be landed without a tag provided a tag is attached within 30 hours of kill;</li> <li>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;</li> <li>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.</li> </ol>	
xvi. 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, transhipment or export.	

<sup>10</sup>This includes minimum standards for the tag and requirements for tag related information.

<sup>11</sup>Tags should be retained on whole SBT as long as possible. In cases where the catching and processing are conducted by the same operator (or entity), the tags should be retained as long as the SBT remains whole. This is because, in this case, the first point of sale occurs later in a processed form.

<b>3.1 Catch Documentation System</b>	
<b>C. Obligations (Tagging )</b>	<b>Minimum performance requirements</b>
xvii. Members shall report any exceptional circumstances referred to in “3.1Cxb”, “xc)” or “xvi” 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 “3.1Cxvi” of this measure, the old (where known) and new tag number(s).	c. report any cases of whole SBT being landed without tags (due to exceptional circumstances in “3.1Cxb” and “xvi”) to the Executive Secretary, and minimise their occurrence in future.
xviii. 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.	

<b>3.1 Catch Documentation System</b>	
<b>D. Obligations (Validation )</b>	<b>Minimum performance requirements</b>
xix. The authority to validate CDS documents may be delegated to an authorised person by an official of the relevant State/fishing entity. Members/OSECs who utilise delegated person/s shall submit a certified copy of such delegation/s to the Executive Secretary. The individual who certifies a CCSBT CDS Document shall not be the same person who validates the Document.	1. Operating systems and processes established and implemented to: <ul style="list-style-type: none"> <li>a. authorise validators to validate Farm Stocking, Catch Monitoring and Re-Export/Export after Landing of Domestic Product Forms;</li> </ul>

<b>3.1 Catch Documentation System</b>	
<b>D. Obligations (Validation )</b>	<b>Minimum performance requirements</b>
<p>xx. Members/ OSECs shall provide to the Executive Secretary information on validation (including type of validation, name of the organisation which validates the documents, title and name and signature of officials who validate the documents, sample impression of stamp or seal, and a list of all persons holding delegated authority to validate CCSBT CDS documentation prior to those officials and persons exercising the authority). Members/OSECs shall inform the Executive Secretary of any changes in a timely fashion.</p>	<p>b. demonstrate that all persons with authority to validate CDS documents:</p> <ul style="list-style-type: none"> <li>i. are government officials or other individuals who have been duly delegated authority to validate</li> <li>ii. are aware of their responsibilities, including inspection, monitoring and reporting requirements</li> <li>iii. are aware of penalties applicable should the authority be mis-used</li> </ul> <p>c. appropriate individuals certify each CDS form type by each signing and dating the required fields;</p> <p>d. the same individual does not both certify and validate information on the same CDS form</p> <p>e. inform the Executive Secretary of:</p> <ul style="list-style-type: none"> <li>i. the details for all validators (including the information specified in obligation “3.1D xx”) and keep this information up to date</li> <li>ii. any individuals removed from the list of validators no later than the end of the quarter in which the removal occurred;</li> </ul> <p>f. ensure that no individual conducts validations</p> <ul style="list-style-type: none"> <li>i. prior to the Executive Secretary being fully informed of his/her current validation details, or</li> <li>ii. after that individual’s authority to validate has been removed.</li> </ul> <p>2. Operating systems and processes established and implemented to monitor performance (compliance and effectiveness) of validators.</p>
<p>xxi. The CCSBT CDS documentation must be validated (or signed in the case of transshipments at sea) as applicable by:</p> <ul style="list-style-type: none"> <li>• 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</li> <li>• 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</li> <li>• for all export of SBT, an official of the exporting Member; and</li> <li>• for all re-export of SBT, an official of the re-exporting Member/OSEC.</li> </ul>	

<b>3.1 Catch Documentation System</b>	
<b>D. Obligations (Validation )</b>	<b>Minimum performance requirements</b>
<p>xxii. Full or partial consignments of untagged whole SBT must not be validated or accepted for transshipment, landing of domestic product, export (including export after landing of domestic product), import or re-export (except where the tag is no longer required to be attached to the SBT because it has undergone processing such as filleting or loining and the SBT is no longer whole).</p>	<p>1. Operating systems and processes to ensure:</p> <ul style="list-style-type: none"> <li>a. CDS forms are only validated: <ul style="list-style-type: none"> <li>i. where all of the SBT listed on the form are tagged (except in cases where tags are no longer required due to processing having occurred)</li> <li>ii. in the case of farmed SBT, for SBT harvested from farms on a date that the farm was authorised on the CCSBT record of Authorised Farms</li> <li>iii. in the case of Wild Harvest SBT, for SBT taken by FVs on a date when that FV was authorised by the flag Member;</li> </ul> </li> <li>b. validated documentation accompanies all SBT consignments whether transhipped, landed as domestic product, exported, imported or re-exported;</li> <li>c. no SBT is accepted (for landing of domestic product, export, import or re-export) without validated documentation;</li> <li>d. validation does not occur where: <ul style="list-style-type: none"> <li>i. validator authorisation procedures were not correctly followed or</li> <li>ii. any deficiency or discrepancy is found with the CDS form.</li> </ul> </li> </ul> <p>2. Operating systems and processes established and implemented for a Member to validate SBT product against CDS documents, including:</p> <ul style="list-style-type: none"> <li>a. requirements to check accuracy of information by ensuring every CDS document is complete, valid and contains no obviously incorrect information by cross-checking data on the form being validated against:</li> </ul>
<p>xxiii. No Member/OSEC shall accept any SBT for transshipment, landing of domestic product, export, import, or re-export where any or all required documents do not accompany the relevant consignment of SBT, where fields of information required on the form are not completed, or where the form has not been validated as required by this resolution.</p>	
<p>xxiv. Members/OSECs shall not validate any CCSBT CDS document that is not complete, has obviously incorrect information, or has not been validated as required by this resolution.</p>	
<p>xxv. Members shall undertake an appropriate level of audit, including inspections of vessels, landings, and where possible markets, to the extent necessary to validate the information contained in the CDS documentation.</p>	

<b>3.1 Catch Documentation System</b>	
<b>D. Obligations (Validation )</b>	<b>Minimum performance requirements</b>
	<ul style="list-style-type: none"> <li>i. data on preceding CDS forms including the Catch Tagging Form</li> <li>ii. relevant lists of authorised farms, vessels or carriers</li> <li>iii. result of any physical inspection by the authority.</li> </ul> <p>b. notification of any inconsistencies or inaccuracies to the Member's enforcement authorities.</p>

<b>3.1 Catch Documentation System</b>	
<b>E. Obligations (Retention and submission of documents )</b>	<b>Minimum performance requirements</b>
xxvi. Members/OSECs shall retain all original CCSBT CDS Documents (or scanned electronic copies of the original documents) received by them. Members/OSECs shall also retain a copy of any CCSBT CDS Documents issued by them	1. Documents and/or scanned electronic copies stored in a secure location for a minimum of three years under conditions that avoid damage to the legibility of the documents or the data files.
xxvii. Copies of these CDS Documents shall be forwarded to the Executive Secretary on a quarterly basis.	1. Copies of all completed CDS documents issued by catching Members or received by importing or receiving Members, sent to Executive Secretary in accordance with the following timeframes:
xxviii. 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.	<ul style="list-style-type: none"> <li>a. documents issued or received in Jan-Mar - due 30 June</li> <li>b. documents issued or received in Apr-Jun - due 30 September</li> <li>c. documents issued or received in Jul-Sep - due 31 December</li> <li>d. documents issued or received Oct-Dec - due 31 March.</li> </ul> <p>2. Catch Tagging Form information shall be 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>

<b>3.1 Catch Documentation System</b>	
<b>F. Obligations (Verification of CDS documentation)</b>	<b>Minimum performance requirements</b>
<p>xxix. 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>	<ol style="list-style-type: none"> <li>1. Operating systems and processes established and implemented to:               <ol style="list-style-type: none"> <li>a. assign unambiguous responsibility to individuals or institutions for implementing verification procedures; and</li> <li>b. Ensure no verification procedure<sup>12</sup> is carried out for a CDS document by an individual who has validated or certified the same CDS document.</li> </ol> </li> <li>2. Operating systems and processes established and implemented for verification, including:               <ol style="list-style-type: none"> <li>a. selecting and inspecting, where appropriate, a targeted sample of vessels and export, import and market establishments based on risk. The intent of these inspections should be to provide confidence that the provisions of the CDS are being complied with;</li> <li>b. reviewing and analysing information from CDS documents at least once every 6 months, including:                   <ol style="list-style-type: none"> <li>i. checking the completeness of data on CDS forms and cross-checking the consistency of the data on CDS forms received with other sources of information</li> <li>ii. cross-checking data from the Executive Secretary's CDS six-monthly report</li> <li>iii. analysing any discrepancies;</li> </ol> </li> <li>c. investigating any irregularities suspected or detected;</li> </ol> </li> </ol>
<p>xxx. 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.</p>	
<p>xxxi. Each Member/OSEC shall, as soon as practicable, identify to the Executive Secretary and relevant Members/OSECs, any consignments of SBT where there are:</p>	

<sup>12</sup>Noting that verification is defined on page 3 of this document together with a list of processes that may form part of verification.

<b>3.1 Catch Documentation System</b>	
<b>F. Obligations (Verification of CDS documentation)</b>	<b>Minimum performance requirements</b>
<ul style="list-style-type: none"> <li>• doubts about the information contained in any associated CDS documentation; or</li> <li>• incomplete, missing or unvalidated CCSBT CDS documentation.</li> </ul>	<ul style="list-style-type: none"> <li>d. taking action to resolve any irregularities;</li> <li>e. notifying the Executive Secretary and relevant Members/OSECs, of any consignments of SBT whose CDS documentation is considered doubtful, or incomplete or unvalidated;</li> <li>f. notifying the Executive Secretary of any investigation into serious irregularities, in order to present these in an annual summary report to the Compliance Committee. Notifications should include reporting: <ul style="list-style-type: none"> <li>i. the commencement of an investigation if doing so will not impede that investigation</li> <li>ii. progress, within 6 months of starting the investigation if doing so will not impede that investigation and</li> <li>iii. the final outcome within 3 months of completing the investigation.</li> </ul> </li> </ul> <p>3. Ensure that no SBT is accepted (for landing of domestic product, export, import or re-export) without validated documentation attached.</p>
<p>xxxii. Each Member shall co-operate and take all necessary steps with relevant authorities, and within domestic law, to review, investigate and resolve any concerns identified in “3.1Fxxx” and “3.1Fxxxi” of this measure, and notify the Executive Secretary of the outcome of any such action for inclusion in its report to the Commission.</p>	
<p>xxxiii. Members/OSECs shall cooperate to ensure that CDS documents are not forged and/or do not contain misinformation.</p>	

<b>3.1 Catch Documentation System</b>	
<b>F. Obligations (Verification of CDS documentation)</b>	<b>Minimum performance requirements</b>
xxxiv. 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:** [https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_VMS.pdf](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_VMS.pdf)

**Notes:** These MPRs need to be updated. They currently refer to two VMS Resolutions (Resolution on the development and implementation of a Vessel Monitoring System 2006 and Resolution on establishing the CCSBT Vessel Monitoring System 2008) which were superseded by the consolidated Resolution on the CCSBT Vessel Monitoring System in October 2017.

3.2 Vessel Monitoring System	
Obligations	Minimum performance requirements
<p>i. Members shall develop and implement their satellite-linked Vessel Monitoring Systems for fishing vessels catching SBT and flagged to Members.</p>	<p>1. Operating systems and processes in place to:</p> <ul style="list-style-type: none"> <li>a. ensure all VMSs are tamper-resistant and meet the requirements in 3.2 ii(c);</li> <li>b. to ensure the VMS automatically transmits the following data:               <ul style="list-style-type: none"> <li>i. vessel identification</li> <li>ii. geographic position</li> <li>iii. date and time;</li> </ul> </li> <li>c. require, in the event of a technical failure of the VMS, the Master to report the required information; and</li> <li>d. monitor vessels' VMS reports.</li> </ul>
<p>ii. The Vessel Monitoring Systems shall include the following elements:</p> <ul style="list-style-type: none"> <li>a. Flag states/fishing entities shall monitor and manage their vessels equipped with vessel monitoring devices</li> <li>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</li> <li>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.</li> <li>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.</li> </ul>	

<b>3.2 Vessel Monitoring System</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
iii. Members shall implement a mandatory Vessel Monitoring System for fishing of SBT inside the Exclusive Economic Zone by 1 January 2008 for vessels above a specified size.	
iv. Members shall ensure their domestic regulations and rules enable them to act in accordance with the Vessel Monitoring System to be developed under paragraph “i” above.	
v. In addition to the above, Members shall adopt and implement satellite-linked Vessel Monitoring Systems (VMS) for vessels fishing for SBT in accordance with the requirements of the RFMO <sup>13</sup> (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.	
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: <ul style="list-style-type: none"> <li>a. investigate the incidents and provide details<sup>14</sup> of the investigation to the Member which requested VMS data; or</li> <li>b. provide VMS data<sup>8</sup> 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)</li> </ul>	

<sup>13</sup> The Resolutions/Measures of the other RFMOs that apply are specified in paragraph 1 and 2 of the CCSBT Resolution.

<sup>14</sup> Confidentiality provisions that apply to this information are specified in the Resolution.

### 3.3 Transhipment Monitoring Program (Resolution)

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

**Link:** [https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_Transhipment.pdf](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_Transhipment.pdf)

**Notes:**

- To enable interoperability between the CCSBT, IOTC and ICCAT transhipment monitoring programs, for the purpose of this measure, the IOTC/ICCAT Secretariat, observers, transhipment declarations and registration numbers may be treated as being the CCSBT equivalents provided that the presence of SBT is reported at each stage (from the initial observer deployment request through to the transhipment declaration).
- Section 2 of this Resolution relates to the establishment and maintenance of a record of authorised Carrier Vessels (Carrier Vessel means any vessel, except a container vessel, that receives SBT transhipped from a LSTLV) that are authorised to receive SBT at sea or in port 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.

3.3 Transhipment Monitoring Program	
A. Obligations (At-sea Transhipments)	Minimum performance requirements
<p>i. Transhipments by LSTLVs in waters under the jurisdiction of the Members are subject to prior authorisation from the Coastal State / Fishing Entity concerned. An original or copy of the documentation of Coastal State/Fishing Entity prior authorisation must be retained on the LSTLV and made available to the CCSBT Observer when requested.</p>	<p><b><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></b></p> <p>1. Operating systems and processes to ensure:</p> <ul style="list-style-type: none"> <li>a. the authorisation document(s) from the Coastal State Fishing Entity (where applicable) and/or Fishing State Entity, including details of the intended transhipment provided by the master or owner of the LSTLV, is/are available on the LSTLV prior to the transhipment occurring;</li> <li>b. any Carrier Vessel receiving the transhipped SBT is meeting its obligations to provide access and accommodation to</li> </ul>
<p>ii. Members shall take the necessary measures to ensure that LSTLVs flying their flag comply with the following conditions:</p> <ul style="list-style-type: none"> <li>a. LSTLVs are not authorised to tranship at sea, unless they have obtained prior authorisation from their Flag State / Fishing</li> </ul>	

<b>3.3 Transhipment Monitoring Program</b>	
<b>A. Obligations (At-sea Transhipments)</b>	<b>Minimum performance requirements</b>
<p>Entity. An original or copy of the documentation of prior authorisation must be retained on the LSTLV and made available to the CCSBT observer when requested.</p> <p>To receive prior authorisation, 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 transhipment:</p> <ul style="list-style-type: none"> <li>• Name &amp; CCSBT Registration Number of the transhipping LSTLV &amp; receiving Carrier Vessel;</li> <li>• Product to be transhipped;</li> <li>• Tonnage by product to be transhipped;</li> <li>• Date &amp; location of transhipment; and</li> <li>• Geographic location of the SBT catches,</li> </ul> <p>b. The LSTLV concerned shall complete and transmit to its Flag State / Fishing Entity, and, where applicable, the Coastal State/ Fishing Entity not later than 15 days after the transhipment, the CCSBT transhipment declaration<sup>15</sup>.</p>	<p>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> <p>2. Rules in place to ensure:</p> <ul style="list-style-type: none"> <li>a. all SBT transhipments receive prior authorisation;</li> <li>b. fishing vessels are authorised on the CCSBT authorised fishing vessel register on the date(s) the SBT are harvested, retained on board, transhipped and landed;</li> <li>c. Carrier Vessels are authorised on the CCSBT authorised; Carrier Vessel register on the date(s) any transhipments occur;</li> <li>d. a named CCSBT observer is on board the Carrier Vessel;</li> <li>e. no SBT transhipment occurs without an observer on board except in the case of ‘force majeure’ (as notified to the Executive Secretary);</li> <li>f. transhipment declarations are completed, signed and transmitted by the LSTLV and the Carrier Vessel, in</li> </ul>
<p>iii. The master of the receiving Carrier Vessel shall:</p>	

<sup>15</sup> As specified in Annex 1 of the Transhipment Resolution.

<b>3.3 Transshipment Monitoring Program</b>	
<b>A. Obligations (At-sea Transshipments)</b>	<b>Minimum performance requirements</b>
<p>a. complete and transmit the CCSBT transshipment declaration to the CCSBT Secretariat and the Flag Member/CNM of the LSTLV, along with its CCSBT Registration Number, within 24 hours of the completion of the transshipment; and</p> <p>b. no later than 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>accordance with paragraphs 15 and 18 of the <a href="#">Transshipment Resolution</a>, in particular that:</p> <p>i) The LSTLV shall transmit its CCSBT Registration Number and a completed CCSBT Transshipment Declaration to its Flag State / Fishing Entity, not later than 15 days after the transshipment.</p> <p>3. Operating systems and processes to:</p> <p>a. issue transshipment authorisations;</p> <p>b. verify the date and location of transshipments;</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 within 15 days of the event occurring;</p> <p>e. ensure observers can board the LSTLV (provided it is safe to do so) before transshipment takes place, and have access to personnel and areas necessary to monitor compliance with paragraph 6(a) of Annex 2 of the <a href="#">Transshipment Resolution</a>;</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 Program<sup>16</sup>.</p>	
<p>v. Vessels shall be prohibited from commencing or continuing transshipping at sea without a CCSBT regional observer on board, except in cases of ‘force majeure’ duly notified to the Executive Secretary.</p>	

<sup>16</sup> The CCSBT Regional Observer Program is described at Annex 2 of the Transshipment 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 before the transshipment, stating that SBT will be transhipped.

### 3.3 Transshipment Monitoring Program

#### A. Obligations (At-sea Transshipments)

#### Minimum performance requirements

- f. enable observers to report any concerns about inaccurate documentation or obstruction, intimidation, or influence in relation to carrying out their duties;
- g. monitor compliance with the control measures; and
- h. impose sanctions or corrective action programmes for any non-compliance detected.

3.3 Transhipment Monitoring program	
B. Obligations (In-port Transhipments)	Minimum performance requirements
<p>vi. For effective in-port inspections, Flag States of fishing vessels shall designate foreign ports of transhipment of southern bluefin tuna for their vessels, prohibit such transhipment at other foreign ports and communicate with those designated Port States to share relevant information required for effective monitoring.</p>	<p>1. Operating systems and processes in place to:</p> <ol style="list-style-type: none"> <li>a. provide a list of designated foreign ports where SBT transhipments are permitted to occur to the Executive Secretary on an annual basis before the annual meeting of the Compliance Committee.</li> </ol>
<p>vii. Members shall take necessary measures to ensure that the following conditions are complied with for in-port transhipments:</p> <p>a) Prior to transhipping, the Captain of the LSTLV must notify the following information to the Port State authorities, at least 48 hours in advance or immediately after the end of fishing operations if the time to the port is less than 48 hours:</p> <ul style="list-style-type: none"> <li>• The name of the LSTLV and its number in the CCSBT record of fishing vessels;</li> <li>• the name of the Carrier Vessel and its number in the CCSBT Record of Carrier Vessels,</li> <li>• the product to be transhipped;</li> <li>• the tonnage by product to be transhipped;</li> <li>• the date and location of transhipment;</li> <li>• the major fishing grounds of the SBT catches;</li> </ul>	<p>1. Rules in place to ensure:</p> <ol style="list-style-type: none"> <li>a. Port State authorities are notified at least 48 hours prior to (or immediately after) any pending in-port transhipment by the LSTLV master, and this notification includes key details about the intended transhipment;</li> <li>b. LSTLVs are authorised on the CCSBT authorised fishing vessel register on the date(s) the SBT are harvested, retained on board, transhipped and/or landed;</li> <li>c. Carrier Vessels are authorised on the CCSBT authorised Carrier Vessel register on the date(s) any transhipment/ transportation of SBT occurs;</li> <li>d. transhipment declarations are completed, signed and transmitted by the LSTLV and the Carrier Vessel, in accordance with paragraphs 25 and 28 of the <a href="#">Transhipment Resolution</a>, in particular that:</li> </ol>

3.3 Transhipment Monitoring program	
B. Obligations (In-port Transhipments)	Minimum performance requirements
<p>b) At the time of the transhipment, the Captain of the LSTLV must inform its Flag State/ Fishing Entity of the LSTLV of the following;</p> <ul style="list-style-type: none"> <li>- the products and quantities involved;</li> <li>- the date and place of the transhipment;</li> <li>- the name, registration number and flag of the receiving Carrier Vessel, and its number in the CCSBT Record of Carrier Vessels authorised to receive transhipments;</li> <li>- the geographic location of the SBT catches.</li> </ul>	<p>i) The LSTLV transmits a completed CCSBT Transhipment Declaration and its number in the CCSBT Record of Fishing Vessels to its Flag State / Fishing Entity, not later than 15 days after the transhipment occurs, or, if the SBT are being transferred temporarily to bonded cold storage, not later than 15 days from the date on which the SBT is transferred into the bonded cold storage facility.</p>
<p>viii. The Captain of the LSTLV concerned shall complete and transmit to its Flag State/ Fishing Entity the CCSBT transhipment declaration, along with its number in the CCSBT Record of Fishing Vessels, in accordance with the format set out in <b>Annex I</b> not later than 15 days after the transhipment<sup>17</sup>.</p>	<p>2. Operating systems and processes in place to:</p> <ul style="list-style-type: none"> <li>a. verify the date and location of transhipments;</li> <li>b. monitor compliance with the control measures; and</li> <li>c. impose sanctions or corrective action programmes for any non-compliance detected.</li> </ul>

<sup>17</sup> In the case where the SBT are being transferred temporarily to bonded cold storage before being transferred to the receiving Carrier Vessel, then the LSTLV shall complete and transmit the transhipment declaration to its Flag State/ Fishing Entity, and where applicable, the Coastal State/ Fishing Entity, not later than 15 days from the date from which the SBT is transferred into the bonded cold storage facility. In such cases, the receiving Carrier Vessel agent shall sign the transhipment declaration on behalf of the Carrier Vessel master.

### 3.3 Transshipment Monitoring program

#### B. Obligations (In-port Transshipments)

#### Minimum performance requirements

- ix. For in-port transshipments, the master of the Receiving Carrier Vessel shall:
- a. Not later than 24 hours before the beginning of the transshipment, inform the Port State authorities of the quantities of SBT to be transhipped to the receiving Carrier Vessel; and
  - b. Within 24 hours of the completion of the transshipment, complete and transmit the CCSBT transshipment declaration to the Port State authorities, the Flag Member/ CNM of the LSTLV, and the CCSBT Secretariat. A copy of this transshipment declaration shall be retained on board the receiving Carrier Vessel.
  - c. Following receipt of a transshipment including SBT, and after leaving the transshipment port, at least 48 hours before landing its transhipped SBT, complete and transmit a copy of the CCSBT transshipment declaration referred to in paragraph 27, to the competent authorities of the landing State/ Fishing Entity where the landing will take place.

**3.3 Transshipment Monitoring program**

**B. Obligations (In-port Transshipments)**

**Minimum performance requirements**

x. The Port State and the Landing State (where the transshipment in port occurred) shall make an effort to take the appropriate measures to verify the accuracy of the information received and shall cooperate with the work of the Flag Member or CNM of the LSTLV to ensure that reported catches, transshipments and landings are consistent with the reported catch amounts of each vessel. This verification shall be carried out so that the vessel suffers the minimum interference and inconvenience, and so that degradation of the fish is avoided.

3.3 Transhipment Monitoring program	
C. Obligations (General Provisions)	Minimum performance requirements
<p>xi. LSTLVs which tranship at sea or in-port shall be required to install and operate a VMS in accordance with paragraph 3 of CCSBT's <i>Resolution on the development and implementation of a Vessel Monitoring System (2006)</i>, and any successor Resolution, including any future revisions thereto.</p>	<p>1. Operating systems and processes and rules to ensure that LSTLVs are only to be authorised to conduct transhipments if:</p> <ul style="list-style-type: none"> <li>a) The LSTLV already has an operational VMS installed, or the LSTLV undertakes to install an operational VMS before any authorisation/ transhipments of SBT take place, and</li> <li>b) The VMS transmits at frequency sufficient to show transhipping operations, and</li> <li>c) The VMS will function effectively in the expected operating conditions.</li> </ul>
<p>xii. To ensure the effectiveness of the CCSBT conservation and management measures pertaining to the Catch Documentation System (CDS):</p> <ul style="list-style-type: none"> <li>a. In validating the necessary CCSBT CDS documentation, as required by the CDS, Flag Members and CNMs of LSTLVs shall ensure that transhipments are consistent with the reported catch amount by each LSTLV.</li> </ul>	<p>1. Operating systems and processes are in place to:</p> <ul style="list-style-type: none"> <li>a. identify and resolve any discrepancies between the LSTLV's reported catches, CDS documents, transhipment declarations and the amount of fish counted as transhipped,</li> <li>b. 100% supervision of all fish transhipped at sea.</li> </ul> <p>2. Operating systems and processes are in place to allow any CDS forms for domestically landed SBT that were transhipped at sea to be validated at the time of landing.</p>

<b>3.3 Transhipment Monitoring program</b>	
<b>C. Obligations (General Provisions)</b>	<b>Minimum performance requirements</b>
<p>b. The Flag Member or CNM of LSTLVs shall validate the necessary CCSBT CDS documentation for the transhipped fish, as required by the CDS, after confirming that the transhipment was conducted in accordance with this Resolution. If transhipped at sea this confirmation shall be based on the information obtained through the CCSBT Regional Observer Program.</p> <p>c. Members and CNMs shall require that SBT caught by LSTLVs, when imported into the territory of a Member or CNM, be accompanied by the necessary CCSBT CDS documentation validated for the vessels on the CCSBT Authorised Vessel List and a copy of the CCSBT transhipment declaration.</p>	
<p>xiii. All SBT landed or imported by Members and CNMs, 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 a signed Transhipment Declaration until the first point of sale.</p>
<p>xiv. The costs of implementing this program shall be financed by the Flag Members of LSTLVs wishing to engage in transhipment operations.</p>	

### 3.4 IUU Vessel List (Resolution)

**Title:** Resolution on Establishing a List of Vessels Presumed to have Carried Out Illegal, Unreported and Unregulated Fishing Activities for Southern Bluefin Tuna (SBT)

**Link:** [https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_IUU%20Vessel\\_List.pdf](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_IUU%20Vessel_List.pdf)

**Notes:** This Resolution includes Annexes I to III. Annex I includes a list of CCSBT IUU vessel list definitions; Annex II is a CCSBT Reporting Form for SBT Illegal Activity, and Annex III lists the information fields that need to be included in any draft, provisional or current CCSBT IUU Vessel Lists.

3.4 IUU Vessel List	
Obligations	Minimum performance requirements
<p>i. Members and CNMs shall transmit every year to the Executive Secretary at least 14 weeks before the annual meeting of the CC, a list of vessels presumed to be carrying out SBT IUU fishing activities during the current and/or previous year, accompanied by the suitably documented supporting evidence concerning the presumption of SBT IUU fishing activity.<sup>18</sup></p>	<p>1. Submit a list of alleged IUU vessels and supporting evidence electronically to:</p> <ul style="list-style-type: none"> <li>a. the Executive Secretary at least 14 weeks before the annual meeting of the Compliance Committee, and</li> <li>b. the Flag State/Fishing Entity concerned either at the same time as submitted to the Executive Secretary, or earlier.</li> </ul> <p>2. Operating systems and processes established and implemented to effectively monitor the activities of any vessels included on the circulated Draft CCSBT IUU Vessel List.</p>
<p>ii. Before or at the same time as transmitting a list of presumed SBT IUU vessels to the Executive Secretary, the Member or CNM shall notify the relevant Flag State or entity, either directly or through the Executive Secretary<sup>18</sup>, of a vessel's inclusion on this list, and provide that flag State or entity with a copy of the pertinent suitably documented information.</p>	
<p>iii. Upon receipt of the Draft IUU Vessel List, Members and CNMs shall closely monitor the vessels included in the Draft IUU Vessel List in order to determine their activities and possible changes of name, flag and/or registered owner.</p>	

<sup>18</sup> Using the CCSBT Reporting Form for SBT Illegal Activity included at Annex II of the Resolution

<b>3.4 IUU Vessel List</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
iv. Members, CNMs and NCNMs with vessels included on the Draft IUU and/or current CCSBT IUU Lists will transmit any comments to the Executive Secretary at least 6 weeks before the annual CC meeting, including suitably documented information showing that the listed vessels have not fished for SBT in a way that undermines CCSBT conservation and management measures.	1. Members/ CNMs with vessels on the Draft CCSBT IUU List to submit comments and suitably documented information electronically to the Executive Secretary at least 6 weeks before the annual meeting of the Compliance Committee as appropriate.
v. All Members, CNMs, and any NCNMs concerned may at any time submit to the Executive Secretary any additional information, which might be relevant for the establishment of the CCSBT IUU Vessel list.	
vi. Upon adopting the new CCSBT IUU Vessel List, Members, CNMs and NCNMs with vessels on the CCSBT IUU Vessel List are requested to: <ul style="list-style-type: none"> <li>a. Notify the owner of the vessel of its inclusion on the CCSBT IUU Vessel List and the consequences that result from being included on the CCSBT IUU Vessel List, and</li> <li>b. Take all the necessary measures to eliminate these IUU fishing activities, including, if necessary, the withdrawal of the registration or the fishing licenses of these vessels, and to inform the Extended Commission of the measures taken in this respect.</li> </ul>	<ul style="list-style-type: none"> <li>1. Members/ CNMs with vessels included on the CCSBT IUU Vessel List should have operating systems and processes in place to: <ul style="list-style-type: none"> <li>a. Immediately notify the owner of the vessel's IUU listing and advise of and take any appropriate punitive and sanction actions consistent with the Flag State's domestic laws and regulations; and</li> <li>b. Inform the Extended Commission of any measures taken.</li> </ul> </li> <li>2. Operating systems and processes established and implemented to identify, monitor and communicate with as appropriate, vessels listed on the CCSBT IUU Vessel List in order to:</li> </ul>
vii. Members and CNMs shall take all necessary non-discriminatory measures subject to, and in accordance with their applicable laws and regulations, international law and each Member's/ CNM's international obligations to: <ul style="list-style-type: none"> <li>a. Remove or withdraw any SBT fishing authorisations for the vessel or impose alternative sanctions consistent with domestic laws and regulations of the Flag State;</li> </ul>	

3.4 IUU Vessel List	
Obligations	Minimum performance requirements
<p>b. Ensure that the fishing vessels, flying their flag do not assist in any way, engage in fishing processing operations or participate in any transshipment or joint fishing operations with vessels included on the CCSBT IUU Vessel List;</p> <p>c. Ensure that vessels on the CCSBT IUU Vessel List are not authorised to land, tranship, re-fuel, re-supply, or engage in other commercial transactions in their ports, except in case of force majeure;</p> <p>d. Ensure that foreign flagged vessels included on the CCSBT IUU Vessel List do not enter into their ports, except in case of force majeure, unless vessels are allowed entry into port for the exclusive purpose of inspection and/or effective enforcement action;</p> <p>e. Ensure that a vessel included in the CCSBT IUU Vessel List is not chartered based on its license;</p> <p>f. Ensure that foreign-flagged vessels included in the CCSBT IUU Vessel List are not granted their flag, except if the vessel has changed owner and the new owner has provided sufficient evidence demonstrating the previous owner or operator has no further legal, beneficial or financial interest in, or control of, the vessel, or having taken into account all relevant facts, the flag Member or CNM determines that granting the vessel its flag will not result in IUU fishing;</p>	<p>a. Notify all fishing vessels flying its Flag to neither assist nor participate in fishing interactions with IUU-listed<sup>19</sup> vessels<sup>20</sup>;</p> <p>b. Ensure that IUU-listed vessels are not authorised to conduct commercial transactions in port, including landing and/or transshipping SBT<sup>20</sup>;</p> <p>c. Refuse port entry to IUU-listed foreign flagged vessels<sup>20</sup> except for the purpose of targeted inspection/ enforcement action;</p> <p>d. Ensure that IUU-listed vessels are not chartered;</p> <p>e. Ensure that IUU-listed foreign-flagged vessels are not granted the Member/ CNM’s Flag unless thorough checking has occurred to determine that this will not result in IUU fishing;</p> <p>f. Ensure that SBT sourced from IUU-listed vessels are not farmed, landed, transhipped or traded within its jurisdiction; and</p> <p>g. Detect and/or prevent the creation of false SBT trade documentation from IUU-listed vessels.</p>

<sup>19</sup> In this context, “IUU-listed” means that the vessel is listed on the CCSBT IUU Vessel List

<sup>20</sup> Except in the case of *force majeure*

<b>3.4 IUU Vessel List</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
<p>g. Ensure that SBT from vessels included in the CCSBT IUU Vessel List are not landed, farmed, transhipped and/or traded internationally and and/or domestically; and</p> <p>h. Collect and exchange with other Members and CNMs any appropriate information with the aim of searching for, controlling and preventing false CDS documents and/or false import/export certificates of SBT from vessels included in the CCSBT IUU Vessel List.</p>	
<p>viii. Each Member of the Extended Commission will examine the request to remove the vessel and notify the Executive Secretary in writing of their conclusion regarding either the removal from, or the maintenance of the vessel on the CCSBT IUU Vessel List within 21 days following the notification by the Executive Secretary.</p>	<p>1. Within 21 days of receiving a request for the removal of a vessel from the CCSBT IUU Vessel List from the Executive Secretary, provide advice in writing as to whether the removal request is supported.</p>

### 3.5 Minimum Standards for Inspection in Port (Resolution)

**Title:** Resolution for a CCSBT Scheme for Minimum Standards for Inspection in Port

**Link:** [https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_Minimum\\_Port\\_Inspection\\_Standards.pdf](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_Minimum_Port_Inspection_Standards.pdf)

**Notes:** This Resolution includes Annexes A and B. Annex A is a form for the information that needs to be provided in advance by vessels requesting port entry; Annex B is a form for reporting the results of inspections.

3.5 Minimum Standards for Inspection in Port	
Obligations	Minimum performance requirements
<p>i. Each Member wishing to grant access to its ports to foreign fishing vessels shall designate a point of contact for the purposes of receiving notifications. Each Member shall designate a point of contact for the purpose of receiving inspection reports. It shall transmit the name and contact information for its points of contact to the CCSBT Secretariat no later than 30 days following the entry into force of this Resolution. Any subsequent changes shall be notified to the CCSBT Secretariat at least 14 days before such changes take effect. The CCSBT Secretariat shall promptly notify Members of any such change.</p>	<p><b><i>Unless otherwise stated, Port Members/CNMs are required to meet the minimum performance requirements provided in this section (3.5) if they wish to consider granting port access to foreign Fishing or Carrier Vessels<sup>21</sup> equal to or greater than 12m LOA carrying SBT or fish products originating from SBT that have not been previously landed or transhipped in port:</i></b></p> <ol style="list-style-type: none"> <li>1. Submit to the CCSBT Secretariat:               <ol style="list-style-type: none"> <li>a) a designated point of contact for receiving port entry requests; and</li> <li>b) a list of designated ports to which foreign FVs/CVs may request entry.</li> </ol> </li> <li>2. Appoint a competent authority capable of carrying out the inspections in each designated port.</li> <li>3. Submit to the CCSBT Secretariat promptly and at least 14 days before any changes take effect:               <ol style="list-style-type: none"> <li>a) any updates to the designated point of contact for receiving port entry requests, and</li> </ol> </li> </ol>
<p>ii. Each Member wishing to grant access to its ports to foreign fishing vessels shall:</p> <ol style="list-style-type: none"> <li>a) designate its ports to which foreign fishing vessels may request entry pursuant to this Resolution;</li> <li>b) ensure that it has sufficient capacity to conduct inspections in every designated port pursuant to this Resolution;</li> <li>c) provide to the CCSBT Secretariat within 30 days from the date of entry into force of this Resolution a list of designated ports. Any subsequent changes to this list shall be notified to the</li> </ol>	

<sup>21</sup> Not including container vessels

<b>3.5 Minimum Standards for Inspection in Port</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
<p>CCSBT Secretariat at least 14 days before the change takes effect.</p>	<p>b) any updates to the list of designated ports.</p> <p>4. All Members/CNMs shall:</p> <p>a) submit to the CCSBT Secretariat, the name and contact information of a designated point of contact for the receipt of inspection reports<sup>22</sup>; and</p> <p>b) submit any subsequent changes to the designated point of contact for the receipt of inspection reports to the CCSBT Secretariat promptly and at least 14 days before such changes take effect.</p>
<p>iii. Each port Member wishing to grant access to its ports to foreign fishing vessels shall require foreign fishing vessels seeking to use its ports for the purpose of landing and/or transshipment to provide the required information<sup>23</sup>, at least 72 hours before the estimated time of arrival at the port.</p> <p>The port Member may also request other information as it may require to determine whether the vessel has engaged in IUU fishing, or related activities.</p>	<p>1. Submit to the CCSBT Secretariat any designated port entry prior notification times (in hours) that differ from the standard 72 hours.</p>
<p>iv. The port Member may prescribe a longer or shorter notification period, taking into account, inter alia, the type of fishery product, the distance between the fishing grounds and its ports. In such a</p>	

<sup>22</sup> These inspection reports will be for FVs/ CVs that were inspected by a Port Member/CNM for the purposes of this Resolution

<sup>23</sup> As a minimum standard, the information set out in Annex A

<b>3.5 Minimum Standards for Inspection in Port</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
<p>case, the port Member shall inform the CCSBT Secretariat, which shall publish the information promptly on the CCSBT website.</p>	
<p>v. After receiving the relevant information, as well as such other information as it may require to determine whether the foreign fishing vessel requesting entry into its port has engaged in IUU fishing, the port Member shall decide whether to authorize or deny the entry of the vessel into its port. In case the port Member decides to authorize the entry of the vessel into its port, the following provisions on port inspection shall apply.</p>	<p>1. Operating systems and processes established and implemented to:</p> <ul style="list-style-type: none"> <li>a) review and assess the port entry request information provided by any foreign FV/ CV carrying SBT and determine whether to authorise port entry;</li> <li>b) select which vessels to inspect based on risk-assessment profiles and any information received from other RFMOs; and</li> <li>c) schedule vessel inspections to achieve the target inspection rate of 5% of all landings/ transshipments involving SBT (or fish products originating from SBT) that occur in designated ports each calendar year.</li> </ul>
<p>vi. Inspections shall be carried out by a competent authority of the port Member.</p>	
<p>vii. Each year Members shall inspect at least 5 % of landing and transshipment operations in their designated ports as are made by foreign fishing vessels.</p>	
<p>viii. In determining which foreign fishing vessel to inspect, the port Member shall, in accordance with its domestic law, take into account, inter alia:</p> <ul style="list-style-type: none"> <li>a) Whether a vessel has failed to provide complete information;</li> <li>b) requests from other Members or relevant regional fisheries management organizations (RFMOs) that a particular vessel be inspected, particularly where such requests are supported by evidence of IUU fishing by the vessel in question;</li> <li>c) whether clear grounds exist for suspecting that a vessel has engaged in IUU fishing, including information derived from RFMOs.</li> </ul>	
<p>ix. Each inspector shall carry a document of identity issued by the port Member. In accordance with domestic laws, port Member inspectors may examine all relevant areas, decks and rooms of</p>	<p>1. Rules are in place to ensure that all inspectors are provided with appropriate identification which they must carry while undertaking inspections.</p>

3.5 Minimum Standards for Inspection in Port	
Obligations	Minimum performance requirements
<p>the fishing vessel, catches processed or otherwise, nets or other fishing gears, equipment both technical and electronic, records of transmissions and any relevant documents, including fishing logbooks, Cargo Manifests and Mates Receipts and landing declarations in case of transshipment, which they deem necessary to ensure compliance with the CCSBT conservation and management measures. They may also question the Master, crew members, or any other person on the vessel being inspected. They may take copies of any documents considered to be evidence of a possible infringement. The Port member shall ensure the operational confidentiality of such documents.</p>	<p>2. Operating systems and processes established and implemented to ensure that inspectors:</p> <p>a) are provided with an inspection manual that sets out the standards/ guidelines for conducting Port State inspections including:</p> <p style="margin-left: 20px;">i) how to check the relevant SBT product, as well as equipment and documentation on board, and</p> <p style="margin-left: 20px;">ii) an inspection report template which facilitates the recording of all of the relevant inspection information required by this Resolution, including any infringements detected; and</p> <p>b) Physically monitor the landing and/or transshipment of SBT.</p>
<p>x. Inspections shall involve the monitoring of the landing or transshipment and include a cross-check between the quantities of SBT notified in the prior notification message and held on board. Inspections shall be carried out in such a way that the fishing vessel suffers the minimum interference and inconvenience, and that degradation of the quality of the catch is avoided, to the extent practicable.</p>	
<p>xi. On completion of the inspection, the port Member inspector shall provide the Master of the foreign fishing vessel with the inspection report<sup>24</sup>. The Master shall be given the opportunity to add any comments or objection to the report and to contact the flag Member. The inspector and the Master shall sign the report</p>	<p>1. Operating systems and processes established and implemented to administer the completion of inspection reports including to:</p> <p>a) provide a mechanism to append notes on any practical problems encountered during the inspection such as safety concerns and/or lack of cooperation or intimidation by the</p>

<sup>24</sup> Including, as a minimum standard, the information set out in Annex B

<b>3.5 Minimum Standards for Inspection in Port</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
<p>and a copy of the report shall be provided to the Master. The Master's signature shall serve only as acknowledgement of the receipt of a copy of the report.</p>	<p>vessel master and/or crew;</p>
<p>xii. The port Member shall transmit a copy of the inspection report to the CCSBT Secretariat no later than 14 days following the date of completion of the inspection. If the inspection report cannot be transmitted within 14 days, the port Member should notify the CCSBT Secretariat within the 14 day time period the reasons for the delay and when the report will be submitted.</p>	<p>b) submit each completed inspection report to:</p> <ul style="list-style-type: none"> <li>i) the master of the inspected vessel upon completion, and</li> <li>ii) the CCSBT Secretariat no later than 14 days after the inspection completion date(s); and</li> </ul>
<p>xiii. Flag Members shall take necessary action to ensure that Masters facilitate safe access to the fishing vessel, cooperate with the competent authorities of the port Member, facilitate the inspection and communication and not obstruct, intimidate or interfere, or cause other persons to obstruct, intimidate or interfere with port Member inspectors in the execution of their duties.</p>	<p>c) notify the CCSBT Secretariat if an inspection report cannot be provided to the Secretariat within the specified 14 day time period, as well as the reason for the delay.</p>
<p>xiv. If the information collected during the inspection provides evidence that a foreign fishing vessel has committed an infringement of the CCSBT conservation and management measures, the inspector shall:</p> <ul style="list-style-type: none"> <li>a) record the infringement in the inspection report;</li> </ul>	<p>1. In cases where an infringement was detected, operating systems and processes established and implemented to:</p> <ul style="list-style-type: none"> <li>a) provide a copy of the inspection report containing the infringement(s) to the relevant Flag Member's inspection point of contact<sup>25</sup>;</li> </ul>

<sup>25</sup> The CCSBT Secretariat should already have been provided with a copy of the inspection report

<b>3.5 Minimum Standards for Inspection in Port</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
<p>b) transmit the inspection report to the port Member competent authority, which shall promptly forward a copy to the CCSBT Secretariat and to the flag Member point of contact and, as appropriate, the relevant coastal Member;</p> <p>c) to the extent practicable, ensure safekeeping of the evidence pertaining to such infringement. If the infringement is to be referred to the flag Member for further action, the port Member shall promptly provide the evidence collected to the flag Member.</p>	<p>b) collect and securely store any supporting evidence so that it can be provided to the Flag Member if required; and</p> <p>c) take legal action if appropriate, and notify the relevant Flag Member, coastal State Member and the CCSBT Secretariat (as applicable) within 14 days of that action being taken.</p>
<p>xv. If the infringement falls within the legal jurisdiction of the port Member, the port Member may take action in accordance with its domestic laws. The port Member shall promptly notify the action taken to the flag Member, the relevant coastal Member, as applicable, and the CCSBT Secretariat.</p>	
<p>xvi. Infringements that do not fall within the jurisdiction of the port Member, and infringements for which the port Member has not taken action, shall be referred to the flag Member and, as appropriate, the relevant coastal Member. Upon receiving the copy of the inspection report and evidence, the flag Member shall promptly investigate the infringement and notify the CCSBT Secretariat of the status of the investigation and of any enforcement action that may have been taken within 6 months of such receipt. If the flag Member cannot notify the CCSBT</p>	<p>1. All Members/CNMs have established and implemented operating systems and processes to:</p> <p>a) investigate any infringements by vessels flying their Flag notified to them by the Port State where the Port State did not take action; and</p> <p>b) notify the CCSBT Secretariat of the status of any such investigations including any enforcement action(s) taken within 6 months of receiving the infringement notice(s), or if a status update cannot be provided within 6 months, advise</p>

<b>3.5 Minimum Standards for Inspection in Port</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
Secretariat this status report within 6 months of such receipt, the flag Member should notify the CCSBT Secretariat within the 6 month time period the reasons for the delay and when the status report will be submitted.	the CCSBT Secretariat when an update will be given, as well as the reason for the delay.
xvii. Should the inspection provide evidence that the inspected vessel has engaged in IUU activities of fishing SBT, the port Member shall promptly report the case to the flag Member, and the relevant coastal Members, as applicable, and notify as soon as possible the CCSBT Secretariat, along with its supporting evidence, for the purpose of inclusion of the vessel in the draft IUU list.	1. Operating systems and processes implemented and established to report any evidence of IUU fishing activities to the Flag Member, relevant coastal Members, and the CCSBT Secretariat at least 14 weeks before the annual meeting of the Compliance Committee.

## 4. Science Measures

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

### 4.1 Scientific Observer Program Standards (Decision/Recommendation)

**Title:** CCSBT Scientific Observer Program Standards

**Link:** [https://www.ccsbt.org/userfiles/file/docs\\_english/operational\\_resolutions/observer\\_program\\_standards.pdf](https://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;
- Standardise scientific observer programs across fleets and fisheries among Members;
- Specify minimum standards for the development of a Scientific Observer Program for Members without a program; and
- To provide a minimum set of standards for collection of bycatch data, consistent with international recommendations, and where appropriate to assist in harmonisation of bycatch data collection across tuna Regional Fisheries Management Organisations.

4.1 Scientific Observer Program Standards	
Obligations	Minimum performance requirements
i. All Members are expected to adapt their respective programs to, at a minimum, meet these standards but noting that Members are encouraged to implement further requirements in their respective programs.	1. All Flag Members' programs meet the minimum standards for the <a href="https://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/observer_program_standards.pdf">CCSBT Scientific Observer Program</a> .
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, documented and implemented for the Scientific Observer Program to: <ol style="list-style-type: none"> <li>a. ensure the program applies to all the Member's CCSBT authorised fishing vessels, wherever SBT is targeted or are a significant bycatch;</li> </ol>
iv. The Program has a target observer coverage of 10% for catch and effort monitoring for each fishery. Observer coverage should be	

#### 4.1 Scientific Observer Program Standards

Obligations	Minimum performance requirements
<p>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.</p>	<p>b. set out procedures to meet the target observer coverage of 10% for catch and effort monitoring in each fishery, including:</p>
<p>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. Consideration should also be given to higher levels of coverage in some strata from time to time to address specific fisheries management questions (e.g. to better quantify non-fish and protected species bycatch where this is identified as a risk).</p>	<p>i. requiring observer coverage to be representative of the Member's range of SBT fisheries;</p> <p>ii. have a mechanism in place to consider and implement higher levels of observer coverage in some strata if required;</p> <p>c. set out how observers are assigned to vessels;</p> <p>d. analyse, at least once a year, the effectiveness of the actual assignment of observers in achieving 10% coverage across a representative range of the Member's SBT fisheries;</p> <p>e. 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;</p>
<p>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.</p>	<p>f. specify agency/agencies responsible for implementing each component of the Scientific Observer Program, including:</p> <p>i. checking that observers are adequately qualified, independent and have no recent serious criminal offences,</p> <p>ii. training, including with respect to tag recapture reporting,</p> <p>iii. assigning observers to vessels,</p>
<p>vii. The placement of observers should also encompass arrangements to ensure the independence and scientific integrity of the data.</p>	<p>iv. monitoring performance of assignments in relation to achieving target observer coverage,</p> <p>v. receiving and analysing observer information, and</p>

<b>4.1 Scientific Observer Program Standards</b>	
<b>Obligations</b>	<b>Minimum performance requirements</b>
viii. Observer plans and training programs should include specific provision for the role and responsibilities of observers for tag recapture reporting.	vi. forwarding information to the Extended Scientific Committee.
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: Qualifications 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, equipment 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, documented and implemented to: <ul style="list-style-type: none"> <li>a. confirm all selected fishing vessels can meet the minimum requirements for placing observers on board;</li> <li>b. advise a selected fishing vessel of its responsibilities while the observer is on board.</li> </ul>
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. <ul style="list-style-type: none"> <li>A. Details of the observed vessel, including its size, capacity and equipment.</li> </ul>	1. Operating systems and processes established, documented and implemented to: <ul style="list-style-type: none"> <li>a. ensure the required information/data is collected as specified in section 10 and Attachment 1 of the Scientific Observer Program Standards and, where necessary, the hierarchies to prioritise data collection are applied; and</li> <li>b. analyse information/data collected in 1.a above and report the information/data specified in Attachment 2 of the Observer Program Standards to the CCSBT Extended</li> </ul>

#### 4.1 Scientific Observer Program Standards

Obligations	Minimum performance requirements
<p>B. Summary of the observed trip, which will include information such as the observer name and identification number, degree of experience, dates of embarkation and disembarkation.</p> <p>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.</p> <p>D. Fishing methods and gear, including mitigation measures in use while fishing. The observer should record/describe mitigation measures, including the configurations that were in use during the observed period. This includes the details of mitigation measures and their use as described in Attachment 1 of the CCSBT Scientific Observer Program Standards. Where applicable, the absence of mitigation equipment should also be noted.</p> <p>E. 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.</p> <p>F. 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.</p>	<p>Scientific Committee (ESC) and the Ecologically Related Species Working Group (ERSWG).</p>

#### 4.1 Scientific Observer Program Standards

Obligations	Minimum performance requirements
<p>G. Information on SBT and ERS not retained should include counts by species and their life status (using the relevant codes as detailed in Attachment 1 of the SOPS).</p> <p>H. SBT tag recovery information, including, both tag numbers (actual tags also to be provided), date, location, length, weight, sex, details of samples taken (e.g. otoliths), and whether or not the tags were spotted during a period of fishing that was being observed.</p>	

## 5. Measures Relating to Ecologically Related Species (ERS)

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

- Alignment of CCSBT's Ecologically Related Species Measures with those of other tuna RFMOs (5.1)
- Recommendations to Mitigate the Impact on Ecologically Related Species of Fishing for Southern Bluefin Tuna (5.2).

### 5.1 Alignment of CCSBT's Ecologically Related Species Measures with those of other tuna RFMOs (Resolution)

**Title:** *Resolution to Align CCSBT's Ecologically Related Species measures with those of other tuna RFMOs (ERS Resolution)*

**Link:** [https://www.ccsbt.org/sites/default/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_ERS\\_Alignment.pdf](https://www.ccsbt.org/sites/default/files/userfiles/file/docs_english/operational_resolutions/Resolution_ERS_Alignment.pdf)

Relevant links to IOTC and WCPFC Resolutions/CMMs and ICCAT Recommendations for all ERS can be found on the bycatch mitigation page of the CCSBT website at <https://www.ccsbt.org/en/content/bycatch-mitigation>

**Notes:** At CCSBT 20, Members provided a commitment to adhere to the ERS rules in the IOTC, WCPFC and ICCAT Areas of Competence in which their vessels fish for SBT. This commitment was subsequently incorporated into CCSBT's binding ERS Alignment Resolution which was initially adopted at CCSBT25 in 2018.

**5.1 Alignment of CCSBT’s Ecologically Related Species measures with those of other tuna RFMOs**

Obligations	Minimum performance requirements
<p>i. Each Member and CNM shall ensure that all vessels flying its flag and fishing for SBT in an Area of Competence<sup>26</sup> comply with all ERS Measures described in Annex 1 of the ERS Resolution in force in that Area of Competence<sup>26</sup> (whether or not the Member or Cooperating Non-Member is a member of the tuna RFMO in which the ERS measures were adopted), except where Members/CNMs made a formal objection at WCPFC to an ERS measure in a relevant tuna RFMO and so are exempted from applying that ERS Measure when fishing for SBT in the applicable Area of Competence.</p> <p>ii. Where Areas of Competence<sup>26</sup> overlap, Members and CNMs shall elect which applicable ERS measures to apply.</p>	<p>1. Operating systems and processes established and implemented to comply with all measures listed in Annex 1 of the ERS Resolution to protect ecologically related species (including sea birds, sea turtles and sharks) set by the IOTC, the WCPFC or the ICCAT when fishing in their Areas of Competence<sup>26</sup>.</p>
<p>iii. When fishing outside Areas of Competence<sup>26</sup>, Members and Cooperating Non-Members shall use Tori lines in all long-line SBT fisheries below 30 degrees south.</p>	<p>1. Operating systems and processes established to require the use of tori lines when fishing for SBT below 30 degrees South and outside of the Areas of Competence of IOTC, WCPFC and ICCAT.</p>

<sup>26</sup> The Areas of Competence referenced by the ERS Alignment Resolution are the Area of Competence of the Indian Ocean Tuna Commission (IOTC), the Convention Area of the Western and Central Pacific Fisheries Commission (WCPFC) and the Convention Area of the International Commission for the Conservation of Atlantic Tunas (ICCAT)

**5.1 Alignment of CCSBT's Ecologically Related Species measures with those of other tuna RFMOs**

<b>Obligations</b>	<b>Minimum performance requirements</b>
<p>iv. Each Member and CNM shall ensure that effective action is taken in response to a vessel flying its flag that fails to comply with the obligations contained in the ERS Measures when fishing for Southern Bluefin Tuna in an Area of Competence. If a Member or Cooperating Non-Member of the Extended Commission undertakes fishing for Southern Bluefin Tuna in an Area of Competence of a Convention of which it is not a Member, that Member or CNM shall report, if any, such actions relating to the relevant ERS Measures to the Compliance Committee of the CCSBT, unless the compliance of that Member or CNM with such ERS measures is assessed in the appropriate body of that Convention.</p>	<p>1. Report to the CCSBT Compliance Committee on any actions taken with respect to any non-compliance with ERS measures within an Area of Competence of a RFMO of which it is not a Member, unless that Member's compliance with such ERS measures is assessed by that RFMO.</p>

## 5.2 Recommendations to Mitigate the Impact on Ecologically Related Species of Fishing for Southern Bluefin Tuna (Recommendation)

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

**Link:** [https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs\\_english/operational\\_resolutions/Recommendation\\_ERS.pdf](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Recommendation_ERS.pdf)

**Notes:** The paragraphs in this section are not binding on Members<sup>27</sup>, but Members are nevertheless expected to comply.

5.2 Recommendations to Mitigate the Impact of Ecologically Related Species of Fishing for Southern Bluefin Tuna	
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> <hr/>	<p>1. Operating systems and processes established and implemented to:</p> <ol style="list-style-type: none"> <li>a. As much as possible, successfully implement International Plans of Action (IPOAs) for seabirds and sharks, as well as guidelines consistent with those of FAO for reducing sea turtle mortality during all fishing operations involving SBT;</li> <li>b. Report ERS information/data to the CCSBT Extended Commission/ Compliance Committee (refer to section 6.5v. of these MPRs), and the Ecologically Related Species Working Group (refer to section 6.7 of these MPRs).</li> </ol>

<sup>27</sup> Unless they are binding under other RFMO's measures within those particular RFMOs' Areas of Competence

**5.2 Recommendations to Mitigate the Impact of Ecologically Related Species of Fishing for Southern Bluefin Tuna**

<b>Obligations</b>	<b>Minimum performance requirements</b>
ii. 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.	

## 6. Routine Reporting Measures

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

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

[https://www.ccsbt.org/sites/default/files/userfiles/file/docs\\_english/meetings/meeting\\_reports/ccsbt\\_12/report\\_of\\_ccsbt12.pdf](https://www.ccsbt.org/sites/default/files/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"> <li>1. Report submitted electronically to Executive Secretary no later than the last day of the month following fishing.</li> <li>2. Monthly and cumulative catch reported as whole weight in kilograms.</li> </ol>

## 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.

[https://www.ccsbt.org/sites/default/files/userfiles/file/docs\\_english/meetings/meeting\\_reports/ccsbt\\_13/report\\_of\\_CCSBT13.pdf](https://www.ccsbt.org/sites/default/files/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
<p>i. Members shall provide to the CCSBT Secretariat in a timely manner<sup>28</sup> information relating to:</p> <p>a) the yearly SBT quota and catch allocation arrangements for this fishery either by company, quota holder or vessel<sup>29</sup>; and</p> <p>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.</p>	
<p>ii. In the case where Members manage through an “Olympic” system members shall only be required to report details in (b).</p>	

<sup>28</sup> 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.

<sup>29</sup> 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:

[https://www.ccsbt.org/sites/default/files/userfiles/file/docs\\_english/meetings/meeting\\_reports/ccsbt\\_17/report\\_of\\_SC15.pdf](https://www.ccsbt.org/sites/default/files/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 Ecologically Related Species Data Exchange (Annual Decision)

**Title:** Ecologically Related Species Data Exchange

**Link:** Requirements for the 2015 onwards Data Exchange are at Attachment 7 of the ERSWG 11 report:

[https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs\\_english/general/ERSWG%20Data%20Exchange.pdf](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/general/ERSWG%20Data%20Exchange.pdf)

**Notes:** The ERS Data Exchange requirements are detailed and ERS data for the immediately preceding calendar year must be provided by 31 July of the current year (so data for 2016 are to be provided to the Secretariat by 31 July 2017).

6.4 Ecologically Related Species Data Exchange	
Obligations	Minimum performance requirements
i. Members will comply with the requirements of the ERSWG Data Exchange.	1. Operating systems and processes established, documented and implemented to annually collect and provide the data specified in the <a href="#">ERSWG Data Exchange</a> for the immediately preceding calendar year, and submit these data to the CCSBT Secretariat by 31 July of the current year.

## 6.5 Annual Reporting to the Compliance Committee and the Extended Commission (Suite of Decisions/Resolutions/Recommendations)

**Title:** Template for the Annual Report to the Compliance Committee and Extended Commission<sup>30</sup>

**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:-  
[https://www.ccsbt.org/sites/default/files/userfiles/file/docs\\_english/basic\\_documents/terms\\_of\\_reference\\_for\\_subsidary\\_bodies.pdf](https://www.ccsbt.org/sites/default/files/userfiles/file/docs_english/basic_documents/terms_of_reference_for_subsidary_bodies.pdf)
- ii. Paragraph 26 (and Attachment 5) of the CC7 report:-  
[https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/templates/Annual\\_CC-EC\\_Reporting\\_Template.docx](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/templates/Annual_CC-EC_Reporting_Template.docx)
- iii. Paragraph 5 (a) of the Resolution on establishing the CCSBT vessel monitoring system:-  
[https://www.ccsbt.org/sites/default/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_VMS.pdf](https://www.ccsbt.org/sites/default/files/userfiles/file/docs_english/operational_resolutions/Resolution_VMS.pdf)
- iv. Paragraph 31 of the Resolution on establishing a program for transshipment by large-scale fishing vessels:-  
[https://www.ccsbt.org/sites/default/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_Transhipment.pdf](https://www.ccsbt.org/sites/default/files/userfiles/file/docs_english/operational_resolutions/Resolution_Transhipment.pdf)
- v. Paragraphs 2 and 3 of the Recommendation to mitigate the impact on ecologically related species of fishing for southern bluefin tuna:-  
[https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs\\_english/operational\\_resolutions/Recommendation\\_ERS.pdf](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Recommendation_ERS.pdf)
- vi. Paragraphs 1 and 2 of the Resolution on Reporting all Sources of Mortality of Southern Bluefin Tuna  
[https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_Reporting\\_on\\_all\\_Sources\\_of\\_Mortality.pdf](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/docs_english/operational_resolutions/Resolution_Reporting_on_all_Sources_of_Mortality.pdf)
- vii. Paragraph 25 (and Attachment 5) of the CC7 report (best estimates of all sources of mortality):-  
[https://www.ccsbt.org/sites/default/files/userfiles/file/docs\\_english/meetings/meeting\\_reports/ccsbt\\_19/report\\_of\\_CC7.pdf](https://www.ccsbt.org/sites/default/files/userfiles/file/docs_english/meetings/meeting_reports/ccsbt_19/report_of_CC7.pdf)

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<sup>30</sup> The reporting template can be found at the following link: [https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/templates/Annual\\_CC-EC\\_Reporting\\_Template.docx](https://www.ccsbt.org/sites/ccsbt.org/files/userfiles/file/templates/Annual_CC-EC_Reporting_Template.docx)

## 6.5 Annual Reporting to the Compliance Committee and the Extended Commission

Obligations	Minimum performance requirements
<p>i. Each Member shall submit the above Annual Report to the Compliance Committee (CC) and Extended Commission (EC) in accordance with the agreed format for the template of the annual Report to the CC and EC<sup>30</sup> four weeks prior to the convening of the Compliance Committee meeting.</p>	<p>1. The report is submitted electronically to Executive Secretary at least 4 weeks before the annual meeting of the Compliance Committee. No sections of the template should be left empty. If the required information is not collected, this should be stated rather than leaving a section empty. Similarly, if a section is not applicable to a particular fishery, this should be stated instead of leaving that section empty.</p>
<p>ii. Each Member should continue to improve the detail in its report to the Compliance Committee and Extended Commission<sup>30</sup>, and the report should be kept up to date and submitted to future annual meetings of the Compliance Committee.</p>	
<p>iii. Members shall provide VMS summary reports in advance of the Compliance Committee meeting.</p>	<p>1. Complete section 2.2.4: VMS of the Annual National Report template.<sup>30</sup></p>
<p>iv. Members shall report the following to the Executive Secretary 4 weeks prior to the Annual Compliance Committee meeting:</p> <ul style="list-style-type: none"> <li>○ The quantities of SBT transhipped at sea and in port during the previous fishing season;</li> <li>○ The list of the LSTLVs registered in the CCSBT Authorised Vessel List which have transhipped at sea and in port during the previous fishing season, and</li> <li>○ 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 previous fishing season.</li> </ul>	<p>1. Complete section 2.4 of the Annual National Report template.<sup>30</sup></p>

## 6.5 Annual Reporting to the Compliance Committee and the Extended Commission

Obligations	Minimum performance requirements
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.	1. Complete sections Annex1, 2(a) – (c) of the Annual National Report template. <sup>30</sup>
vi. All Members will report complete and accurate data on the quantity of all sources of southern bluefin tuna mortality. If the Member is unable to provide complete and accurate data, it will report annually a best estimate of all sources of Southern Bluefin Tuna mortality including recreational catch and discards.	1. Complete sections 2.1.1, 2.1.2 and 2.1.3 of the Annual National Report template. <sup>30</sup>

## 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).	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.