



## ANNEX 2<sup>1</sup>

### Template for the Implementation Report of the SPRFMO Conservation and Management Measures

SPRFMO Secretariat

#### Number of obligations per CMM

CMM	Conservation and Management Measure	Nº of Obligations
01-2019	<i>Trachurus murphyi</i>	18
02-2018	Standards for the Collection, Reporting, Verification and Exchange of Data	8
03-2019	Bottom Fishing in the SPRFMO Convention Area	29
03a-2019	Deepwater Species in the SPRFMO Convention Area	5
04-2019	Establishing a List of Vessels Presumed to have Carried Out IUU Activities in the SPRFMO Convention Area	12
05-2019	Establishment of the Commission Record of Vessels Authorised to Fish in the SPRFMO Convention Area	10
06-2018	Establishment of the Vessel Monitoring System in the SPRFMO Convention Area	23
07-2019	Minimum Standards of Inspection in Port	19
08-2019	Gillnets in the SPRFMO Convention Area	6
09-2017	Minimising Bycatch of Seabirds in the SPRFMO Convention Area	20
10-2019	Establishment of a Compliance and Monitoring Scheme in the SPRFMO Convention Area	2
11-2015	Boarding and Inspection Procedures in the SPRFMO Convention Area	15
12-2018	Regulation of Transshipment and Other Transfer Activities	10
13-2019	Management of New and Exploratory Fisheries in the SPRFMO Convention Area	4
14a-2019	Exploratory Fishing for Toothfish by NZ-Flagged Vessels in the SPRFMO Convention Area	27
14b-2019	Exploratory Potting Fishery in the SPRFMO Convention Area	20
14c-2019	Exploratory Fishing for Toothfish by EU Vessels in the SPRFMO Convention Area	34
15-2016	Vessels without Nationality in the SPRFMO Convention Area	1
16-2019	The SPRFMO Observer Programme	19
17-2019	Fishing Gear and Marine Plastic Pollution in the SPRFMO Convention Area	4
<b>TOTAL</b>		<b>286</b>

#### To be filled out by the Member/CNCP

Reporting Member/CNCP: United States

Reporting period to which this report refers: 1 October 2018 – 30 September 2019

Date report prepared: 7/11/2019

<sup>1</sup> Annex 2 has been amended by the Secretariat as per paragraph 5b of CMM 10-2019 (CMS).



## CMM 01-2019 *Trachurus murphyi*

### General Provisions

**Para 1:** Do your flagged vessels fish for *T. murphyi* in, or adjacent to, the Convention Area?

YES  *If yes, complete the following tables and questions on this CMM*

NO  *If no, skip to the next CMM*

**Table 1: Effort Management (Para 4)**

Gross Tonnage (GT) Limit	GT of active fishing vessels	Nº of vessels actively fishing for CJM	Nº of vessels only engaged in transshipment(s)

Enter n/a if not applicable.

**Table 2: Catch Management (Paras 5, 9)**

CJM catch limit	CJM catch limit taking into account any catch transfers	Provisional CJM catch total

**Table 3: Data Collection and Reporting (Paras 11, 16, 18, 22)**

Nº of monthly reports provided	Age-length and/or survey information provided to SC?	List of authorised vessels provided?	Annual report provided to SC?	Observer coverage level
	YES <input type="checkbox"/> NO <input type="checkbox"/>	YES <input type="checkbox"/> NO <input type="checkbox"/> Partial <input type="checkbox"/>	YES <input type="checkbox"/> NO <input type="checkbox"/>	

**Para 8:** Do you have additional measures that limit the amount of *T. murphyi* available to your vessels to an amount less than that specified in Table 2 above?

YES  *If yes, please elaborate*  
*Enter relevant details here*

NO

**Para 20:** Did you conduct any research or stock assessments for *T. murphyi* during this past year?

YES  *If yes, please answer the question below*

- Were they submitted to the Scientific Committee?  
YES  NO

*Enter relevant details here*

NO

**Para 21:** Did any vessels land or tranship *T. murphyi* within your ports and did you take measures to verify those catches?

YES

NO



### Cooperation in respect of fisheries in adjacent areas under national jurisdiction

**Para 23:** Is any part of your national jurisdiction area adjacent to the Area to which CMM 01-2019 (*T. murphyi*) applies?

YES  *If yes, please answer the questions below*

- Have you decided to apply the measures described in CMM 01-2019 (*T. murphyi*) paragraphs 11-22 within your national jurisdiction areas?

YES  NO  Partial

- Have you submitted measures in effect for *T. murphyi* within your national jurisdiction areas to the Secretariat (e.g. TAC resolutions)?

YES  NO

*Enter relevant details here*

NO



## CMM 02-2018 Standards for the Collection, Reporting, Verification and Exchange of Data

**Table 4: Participation in SPRFMO fisheries during the past year (Para’s 1e, 2a)**

**Response:** The United States did not have any vessels participating in SPRFMO-managed fisheries. Thus, the questions in this section are not applicable.

Fishing method	Activities undertaken?	Main species caught?	Nº of vessels	Activities observed? (Yes/No)
Demersal Drop/dahn line	YES <input type="checkbox"/>			
Demersal Longline	YES <input type="checkbox"/>			
Demersal Potting	YES <input type="checkbox"/>			
Demersal Trawl	YES <input type="checkbox"/>			
Pelagic Purse seine	YES <input type="checkbox"/>			
Pelagic Trawl	YES <input type="checkbox"/>			
Squid jigging	YES <input type="checkbox"/>			
Transshipment	YES <input type="checkbox"/>			
Landings	YES <input type="checkbox"/>			
<i>Other fishing methods or data (rows can be added if needed)</i>	YES <input type="checkbox"/>			

**Para 1e:** Were you able to meet the data collection requirements described in CMM 02-2018 (Data Standards) paragraphs 1(b), 1(c) and 1(d)? (Being information on fishing activity, non-target species impacts and transshipments/landings).

YES

NO

Partial

*Enter relevant details here*

### Observer Data

**Para 2a:** Do you have a national observer programme?

YES  *If yes, please answer the questions below*

- Have you submitted an annual observer implementation report (para 2d) to the Secretariat?

YES  NO

NO

*Enter relevant details here*

### Data verification

**Para 4:** Please describe the systems you use to verify your SPRFMO fishery data.

*Enter relevant details here*



## CMM 03-2019 Bottom fishing in the SPRFMO Convention Area

### Definitions

**Para 2:** Do you engage (or propose to engage) in “bottom fishing” activities in the Convention Area?

YES  *If yes, continue to complete the questions in this CMM*

NO  *If no, skip to the next CMM*

### General provisions

**Para 10:** Have you prohibited your vessels from participating in bottom fishing activities in the Convention Area, except when in accordance with this CMM together with CMM 03a-2019 (Deepwater species)?

YES

NO

**Para 11:** Were all of your vessels that engaged in bottom fishing activities duly authorised and listed in the SPRFMO record of Vessels in accordance with CMM 05-2019 (record of Vessels)?

YES

NO

**Para 12:** Under which provision have you authorised your vessels to engage in bottom fishing activities in the Convention Area? *(mark all that apply)*

- **Para 20(d)(i)** The activity was authorised by the Commission (post 2019), after it considered an SC review of the Member conducted Bottom Fishery Impact Assessment

YES

NO

- **Para 21** You have previously engaged in bottom fishing consistently with the previous iterations of CMM 03 (effective for 2019 and 2020 seasons only)

YES

NO

- The activity has been approved by the Commission under CMM 13-2019 (Exploratory fisheries)

YES

NO

### Bottom fishing Management Areas

**Para 14:** Did all your bottom fishing in the Convention Area occur within the three defined Management Areas and in accordance with the terms of this CMM?

YES

NO



**Para 16:** Did you ensure that all your vessels complied with the following 3 provisions?

a) Bottom trawling shall only occur in a bottom trawl Management Area;

YES

NO

b) Midwater trawling shall only occur in a midwater trawl Management Area or a bottom trawl Management Area;

YES

NO

c) Bottom lining shall only occur in a Management Area.

YES

NO

### Marine mammals, seabirds, reptiles and other species of concern

**Para 18:** Did you implement seabird mitigation measures in accordance with CMM 09-2017 (Seabirds)?

YES

NO

Did you report annually on bycatch rates and total bycatch estimates in accordance with CMM 02-2018 (Data Standards)?

YES

NO

Did you report annually on bycatch rates and total bycatch estimates in accordance with the Guidelines for Annual National Reports to the SPRFMO Scientific Committee?

YES

NO

### Assessment of proposed bottom fishing

**Para 20a:** During this reporting period, did you submit to the Scientific Committee a Bottom Fishery Impact Assessment that met the appropriate standard (SPRFMO BFIAS) and included consideration of cumulative impacts and proposed mitigation measures to prevent such impacts?

YES

NO

**Para 22:** Have you ensured that a proposed assessment meeting the requirements contained in paragraph 20(a) is submitted to the Scientific Committee and Commission at least every 3 years, and also when a substantial change in the fishery has occurred such that it is likely that the risk or impact of the fishery may have changed?

YES

NO



## Encounters with potential VMEs

**Para 28:** Did any of your vessels trigger the VME encounter protocols by encountering VME indicator taxa above the specified thresholds?

YES  *If yes, continue to answer questions below*

- How many Encounters occurred during this reporting period?

*Enter relevant details here*

- In each case, did the vessel cease bottom fishing immediately within the encounter area?

YES

NO

- In each case, did the vessel report the encounter immediately in accordance with the Guidelines for the preparation and submission of notifications of encounters with potential VMEs, contained in Annex 7?

YES

NO

NO

**Para 31:** Did you ensure that your vessels have not bottom fished in any officially notified Encounter Area pending any related Commission decision?

YES

NO

**Para 32:** During this reporting period, did you submit any detailed descriptions of VME Encounters to the Scientific Committee (including suggested management actions) as a result of a temporary suspension pursuant to paragraph 28?

YES

NO

**Para 35:** During this reporting period, did you submit an annual report of all benthic bycatch data from your vessels, consistent with CMM 02-2018 (Data Standards)?

YES

NO

## Monitoring and control of bottom fishing activities

**Para 39a:** Did you ensure that your vessels participating in bottom fishing:

- are equipped and configured so that they can comply with all relevant SPRFMO CMMs?

YES

NO

- act in accordance with CMM 06-2018 (Commission VMS), polling once every 30 minutes for the duration of the trip?

YES

NO

- report tow or set start and end position to 1/100<sup>th</sup> degree resolution - decimal format?

YES

NO



## Observer coverage

**Para 40:** What was your observer coverage level (during this reporting period) for:

- Vessels using bottom trawl?  
*Enter relevant details here*
- Vessels using mid-water trawl gear?  
*Enter relevant details here*
- Vessels using bottom line gear (expressed as the percentage of observed hooks)?  
*Enter relevant details here*





## CMM 03a-2019 Deepwater Species in the SPRFMO Convention Area

### Interpretation

**Para 2:** Do you engage in “bottom fishing” activities in the Convention Area?

YES  *If yes, complete the table below*

NO  *If no, skip to the next CMM*

**Table 5: CMM 03a-2019 (Deepwater Species): Catch Limits and Monitoring (Paras 10, 13, 15 & 17)**

Species - Area	2019 Catch Limit	2019 Catch Limit after applying transfers	Provisional 2019 Catch Total
Orange Roughy – Tasman Sea			
Orange Roughy – Louisville Ridge			
Orange Roughy – Westpac Bank			
Orange Roughy – South Tasman Rise (HS)			
All other target and non-target species			
Number of Monthly reports provided in this reporting period (Oct – Sept)			



## CMM 04-2019 Vessels presumed to have carried out IUU fishing activities in the SPRFMO Area

### Information on alleged IUU Fishing activities

**Para 2:** Did you transmit a list of presumed IUU fishing vessels to the Secretariat?

YES  *If yes, continue to answer Para 4*

- **Para 4:** Did you inform the relevant flag State before, or at the same time as, transmitting the list?

YES

NO

*Enter relevant details here*

NO

### Draft IUU Vessel List

**Para 5:** Were any of your flagged vessels on the draft IUU Vessel List?

YES  *If yes, answer the following question (Para 7)*

- **Para 7:** Did you notify vessel owners and inform them about the potential consequences?

YES

NO

*Enter relevant details here*

NO

### IUU Vessel List

**Para 15:** Were any of your flagged vessels on the final IUU Vessel List?

YES  *If yes, answer the questions below*

- Did you notify the vessel owners and inform them about the consequences of inclusion?

YES

NO

- What measures were taken to eliminate these IUU activities and was the Commission informed of these actions?

YES

NO

*Enter relevant details here*

NO

**Para 16:** Did enforce any of the measures described in paragraph 16 of CMM 04-2019 (IUU)?  
(9 bullet points, beginning with withdrawal of fishing authorisations ...)

YES  *If yes, elaborate below*

NO

*Enter relevant details here*



### Modification of the IUU Vessel List

**Para 21:** Did you request the removal of one of your vessels from the IUU Vessel List, during the most recent intersessional period?

YES  *If yes, elaborate below*

NO

*Enter relevant details here*

### Action against nationals involved in IUU fishing activities

**Para 25:** Did you take any measures against your nationals that have been identified as engaged in, responsible for, benefiting from, or supporting the activities of any vessel engaged in IUU fishing activities in the SPRFMO Convention Area?

YES  *If yes, elaborate below*

NO

*Enter relevant details here*

**Para 28:** Did you take any other actions and/or measures in accordance with this CMM that have not previously been reported in this section?

YES  *If yes, elaborate below*

NO

*Enter relevant details here*

### Information indicating a change of circumstances of vessels appearing on the current IUU Vessel List

**Para 29:** Did you transmit information which indicated a change of name and/or an International Radio Call Sign (IRCS) of a vessel appearing on the SPRFMO IUU Vessel List to the Secretariat during this reporting period?

YES  *If yes, elaborate below*

NO

*Enter relevant details here*



## CMM 05-2019 Commission Record of Vessels authorised to fish in the Convention Area

**Response:** The United States did not have any vessels participating in SPRFMO-managed fisheries. Thus, the questions in this section are not applicable.

**Para 2:** Describe how you take into account the vessel and operator compliance history when considering whether or not to authorise a particular fishing vessel  
*Enter relevant details here*

**Para 3:** Describe the measures you have taken to ensure that you are able to take effective enforcement actions against the owners of vessels flying your flag should the need arise  
*Enter relevant details here*

**Para 4:** Do you maintain your own register of fishing vessels for the SPRFMO Area?  
 YES  *If yes, answer the following question (Para 5)*  
**Para 5:** Does it contain all the necessary information?  
 (as described in Annex 1 of CMM 05-2010 [Record of Vessels]).  
 YES   
 NO   
 NO

**Table 6: Vessel data submission summary (Para’s 6, 7, 8)**

Current number of vessels authorised to fish in the SPRFMO	Nº of new vessels authorised within reporting period	Nº of revoked, relinquished or invalid authorisations within reporting period	Authorisation details submitted to Secretariat?	Nº. of Active fishing vessels	Nº of vessels only engaged in Transhipments(s)
			YES <input type="checkbox"/> NO <input type="checkbox"/>		



## CMM 06-2018 VMS in the SPRFMO Convention Area

### Definitions

**Para 2:** Did any of your vessels fish in the SPRFMO Area during the reporting period?

YES  *If yes, continue to answer the following questions on this CMM*

NO  *If no, skip to the next CMM*

### Applicability

**Para 4:** Are you ensuring that your vessels that are on the SPRFMO Record of Vessels are continuously reporting their movements and activities to your FMC and the Commission VMS (either via your FMC or simultaneously to both the Secretariat and your FMC) in order to support the implementation of SPRFMO CMMs?

YES

NO

*Enter relevant details here*

### Nature and Specification of the Commission VMS

**Para 9:** What means of automatically reporting VMS data have you chosen for your flagged vessels?

(a) To the Secretariat via your FMC; or

(b) Simultaneously to both the Secretariat and your FMC

**Para 10:** If you have ticked option (a) above, then does your FMC automatically forward VMS reports to the Secretariat at intervals of not less than 1 hour?

YES

NO

**Para 11:** Do all your flagged vessels that are required to report to the Commission VMS use a functioning ALC that complies with the Commission's Minimum Standards as specified in Annex 1, CMM 06-2018?

YES

NO

### Procedure for Manual Reporting

**Para 13:** Did you receive any VMS data from the Commission VMS during the assessed period?

YES  *If yes, answer the question below*

- Did you adhere with all the Security and Confidentiality requirements specified in Annex 2 of CMM 06-2018?

YES

NO  *If no, please elaborate below*

*Enter relevant details here*

NO



## Measures to Prevent Tampering with ALCs

**Para 14:** Did any of your vessels experience a failure of automatic VMS reporting during the assessed period?

YES  *If yes, answer the question below*

- Was the manual reporting procedure specified in Annex 3, of CMM 06-2018 applied?

YES

NO

- Have any of your vessels failed to re-establish automatic reporting within 60 days after the commencement of manual reporting?

YES  *If yes, please answer the questions below*

NO  *If no, please skip to the next question (Par 15 and 16)*

- Were they ordered to cease fishing and return immediately to port

YES

NO  *If no, please elaborate below*

- Please provide the names of any vessels that failed to re-establish automatic reporting within 60 days.

*Enter relevant details here*

NO

**Para 15 and 16:** Do you have reasons to suspect that any SPRFMO reporting ALC does not meet the requirements specified in Annex 1 of CMM 06-2018?

YES  *If yes, answer the question below*

- Did you notify the Secretariat (and the Member or CNCP concerned)?

YES  *If yes, please answer the questions below*

NO

- Did you also communicate the actions taken (including any investigative outcomes) to the Commission?

YES

NO

NO

**Para 17:** Have you ensured that vessels flying your flag install and use ALCs which fulfil the conditions specified in Annex 4 of CMM 06-2018?

YES

NO

**Para 18:** Please list the methods used to prevent tampering

*Enter relevant details here*

**Para 19:** Please provide the following information for each vessel flying your flag and reporting to the SPRFMO VMS (*note that it is perfectly acceptable to provide a separate file*)

Vessel Name	Vessel IMO	Call sign	ALC Brand	ALC model	ALC identification	Security features



## Use and Release of VMS Data not Requiring the Consent of the Member or CNCP

**Para 24:** Did you receive any VMS data from the Commission VMS for the purposes of planning or conducting active surveillance operations and/or inspections at sea?

YES  *If yes, answer the question below*

- Did you delete VMS data within 24 hours of the conclusion of the operation?

YES

NO  *If no, please answer the questions below*

- If the VMS data was retained for longer than 24 hours, have you informed the Secretariat about the purpose and expected timing of the additional period of data retention?

*Enter relevant details here*

NO

**Para 26:** Did you receive any VMS data from the Commission VMS for the purpose of conducting active surveillance operations and/or inspections at sea?

YES  *If yes, answer the question below*

- Was the Secretariat provided with a report that included the name of the vessel or aircraft on active surveillance and/or inspection activity?

YES

NO

NO

**Para 27:** Did you request VMS data for supporting search and rescue activities undertaken by a competent MRCC?

YES  *If yes, answer the question below*

- Did you ensure that the data was only used for that purpose?

YES

NO

NO



## CMM 07-2019 Minimum Standards of Inspection in Port

### Points of Contact

**Para 5:** Have you transmitted the names(s) and contact information for your Points of Contact to the Secretariat?

YES

NO

### Scope

**Para 1:** Are your ports expected to receive SPRFMO-managed species?

YES  *If yes, continue to answer the following questions on this CMM*

NO  *If no, skip to the next CMM*

**Table 7: Implementation of Port Standards (Para's 9, 11, 13, 15, 17, 19)**

Designated port list provided to Secretariat?	Nº of foreign fishing vessels <sup>1</sup> seeking to use port services	Nº of foreign fishing vessels denied port services	Nº of inspections	Percentage of foreign landings /transhipments inspected
YES <input type="checkbox"/> NO <input type="checkbox"/>				

### Designated Ports

**Para 8:** Do you have sufficient capacity to conduct inspections in every designated port?

YES

NO

*Enter relevant details here*

### Prior Notification

**Para 11:** Do you require foreign fishing vessels to provide information prior to any landing or port transhipment?

YES  *If yes, answer the questions below*

- Does that information comply with paragraph 11 of CMM 07-2017 (Port Inspection)?

YES

NO  *If no, please answer the question below*

- Did you, in your capacity as a port State, promptly inform the Secretariat of any request for port services made under this CMM?

YES

NO

*Enter relevant details here*

NO

**Para 12:** Is the notification period for a foreign fishing vessel's port request different than 48 hours?

YES  *If yes, elaborate below*

NO

*Enter relevant details here*

<sup>1</sup> Limited to foreign fishing vessels carrying SPRFMO species caught within the SPRFMO Area





## Port Inspections

**Para 16a):** Did you receive any requests from other Members, CNCPs or relevant RFMOs to inspect a particular vessel?

YES  *If yes, elaborate below*

NO

*Enter relevant details here*

## Inspection Procedure

**Para 20:** Did you encounter any difficulties with the inspection procedures described in paragraphs 20-25 of CMM 07-2019 (Port Inspection)?

YES  *If yes, elaborate below*

NO

*Enter relevant details here*

## Procedure in the Event of Infringements

**Para 26:** Did any of your inspections discover evidence that a foreign fishing vessel has committed a breach of the SPRFMO CMMs?

YES  *If yes, elaborate below*

NO

*Enter relevant details here*

**Para 27:** Did any of your inspections discover a breach that you (as a port State) took action against in accordance with your domestic laws?

YES  *If yes, elaborate below*

NO

*Enter relevant details here*

**Para 28:** Did you, as a result of a port inspection, refer any alleged infringements to the relevant flag State so that they may promptly investigate?

YES  *If yes, elaborate below*

NO

*Enter relevant details here*

**Para 29:** Were you authorised by another flag State to undertake an investigation in relation to alleged infringements detected as a result of your port inspection?

YES  *If yes, elaborate below*

NO

*Enter relevant details here*

## Requirements of developing Members and CNCPs

**Para 31:** Have you provided (or received) any assistance as described under Paragraph 28 of CMM 07-2017 (Port Inspection)? (Being the development of capacity, facilitation of participation and assessment of requirements for developing Members and CNCPs)

YES

NO

*Enter relevant details here*



## CMM 08-2019 Gillnets in the SPRFMO Convention Area

### Gillnets

**Para 1:** Have you prohibited your vessels from using large scale pelagic driftnets and all deepwater gillnets in the SPRFMO Convention Area?

YES

NO

**Response:** The United States prohibits its vessels from conducting large-scale driftnet fishing (see 16. U.S.C. 1857(1)(M)). In addition, the United States has no vessels in the Convention Area fishing for SPRFMO-managed species.

**Para 2:** Have any of your vessels transited the Area while carrying gillnets?

YES  *If yes, answer the questions below*

• **Para 2a):** Was 36 hours advance notice given?

YES

NO

Partial

• **Para 2b):** Did the vessels operate a VMS?

YES

NO

Partial

• **Para 2c):** Were VMS reports submitted?

YES

NO

Partial

• **Para 2d):** Were any Gillnets lost and/or abandoned overboard?

YES

NO

*Enter relevant details here*

NO



## CMM 09-2017 Minimising bycatch of seabirds in the SPRFMO Convention Area

### General Provisions

**Para 1 and 2:** Are your vessels required to implement appropriate seabird mitigation measures while fishing in the Convention Area?

- YES  *If yes, continue to answer the following questions on this CMM*  
NO  *If no, skip to the next CMM*

**Annex 1, para 1b) ii:** Have you maintained and temporally appropriate observer coverage for the previous 5 consecutive years at levels greater than 10% and recorded a seabird mortality rate less than 0.01 birds/1000 hooks?

- YES  *If yes, continue to answer questions below*
- Are any of your demersal **longline** vessels only required to apply one of the three specified mitigation measures (i.e. line weighting, bird scaring, setting at night)?  
YES   
NO
  - During the recent reporting period have you maintained a minimum of 10% observer coverage over your demersal **longline** fleet?  
YES   
NO
- NO

**Annex 1 para 2:** Have any of your demersal **longline** vessels exceeded a mortality rate of 0.01 birds/1000 hooks?

YES  *If yes, answer the question below*

**Annex 1, para 2a):** Please list those vessels and state if, after the mortality event(s), whether these vessels applied at least one additional measure?

*Enter relevant details here*

NO

**Annex 2, para 2:** Have you maintained 100% observer coverage for the previous 5 consecutive years with less than 1 recorded mortality per vessel per year within your SPRFMO **trawl** fisheries?

YES  *If yes, continue to answer questions below*

- Have you exempted any of your vessels from applying the specified mitigation measures (bird scaring lines, responsible discharge management, net cleaning, surface time minimisation)?

YES  *If yes, please list the vessel(s) and identify the fisheries concerned*

*Enter relevant details here*

NO

- During the recent reporting period did any mortality events occur?

YES  *If yes, please list the vessels concerned and stipulate whether, after the mortality, these vessels applied appropriate mitigation measures*

*Enter relevant details here*

NO

NO



**Para 3:** Do you have any **trawlers** which are exempt from applying seabird mitigation measures because they discharge no biological material?

YES  *If yes, please list those vessels and stipulate when these vessel exemptions were last reviewed*  
*Enter relevant details here*

NO

**Para 7:** Do you require your observers to record data on seabird interactions?

YES  *If yes, continue to answer the questions below*

- **Para 8:** Are the records in accordance with CMM 02-2018 (Data Standards)?

YES

NO

- Have you reported data on seabird observations within your annual national report?

YES

NO

NO

**Table 8: Seabird mitigation measures in Demersal Longline (Para 9 & Annex 1 para 1)**

Biological discharge during shooting/hauling prohibited?	List of Seabird mitigation measures used in SPRFMO Area?	Observer coverage level <sup>1</sup> ?	Nº of Seabird interactions	Approx. Seabird mortality rate (per 1000 hooks observed)
YES <input type="checkbox"/> NO <input type="checkbox"/>				

**Table 9: Seabird mitigation measures in Trawl Fisheries (Para's 3,9 & Annex 2 para 1, 2)**

Nº of vessels that do not discharge Biological material?	No. of vessels discharging Biological material?	List of seabird mitigation measures used in SPRFMO Area	Observer coverage level <sup>2</sup>	Nº of seabird interactions	Approx. seabird mortality rate (per tow observed)

<sup>1</sup> Provided as a percentage of number of hooks, for the current calendar year

<sup>2</sup> Provided as a percentage of number of tows for the current calendar year



## CMM 10-2019 Compliance Monitoring Scheme

### Purpose

**Para 1b:** Please identify any areas in which you feel technical assistance or capacity building may be needed to assist Members and CNCs to achieve compliance.

*Enter relevant details here*

**Para 1c:** Please identify any aspects of CMMs which you feel may require improvement or amendment to facilitate or advance their implementation.

*Enter relevant details here*



## CMM 11-2015 Boarding & Inspection Procedures

**Para 1:** The Commission's procedures on at sea inspection in the SPRFMO Convention Area shall be those contained in Articles 21 and 22 of the [1995 Agreement](#) (*Agreement for the Implementation of the Provisions of the United Nations Convention on the Law of the Sea of 10 December 1982 relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks*).

**Response:** The United States did not have any vessels participating in SPRFMO-managed fisheries. Thus, the questions in this section are not applicable.

**Para 2:** Are any of your flagged vessels fishing in the SPRFMO Area?

YES  *If yes, please answer the questions below*

- Have you designated, and publicised through SPRFMO, an appropriate authority to receive Boarding and Inspection related notifications as described in Article 21.4 of the 1995 Agreement?

YES

NO

- Have you ensured that vessel masters comply with stipulations (a) through to (f) under Article 22.3 of the 1995 Agreement?

YES

NO

NO

**Para 2:** Were any of the vessels flying your flag inspected by a SPRFMO Contracting Party?

YES  *If yes, please answer the questions below*

- Were there any cases in which there were clear grounds for believing that a vessel has engaged in any activity contrary to the CMMs of the SPRFMO?

YES  *If yes, please answer the question below*

- If yes, how were the procedures described under Article 21.6 and 21.12 addressed? Did you encounter any problems?

YES  NO

*Enter relevant details here*

NO

NO



**Article 21.3:** Have you conducted any at-sea inspections during the recent reporting period?

YES  *If yes, please answer the questions below*

- **Article 21.4:** Have you informed the SPRFMO Secretariat of the form of identification issued to your duly authorised inspectors?

YES  NO

- **Article 21.4:** Are your vessels used for boarding and inspection clearly marked and identifiable as being on government service?

YES  NO

- How do you ensure that your inspectors observe all provisions under Articles 21.10 and 22.1 of the 1995 Agreement?

*Enter relevant details here*

- How many at-sea inspections did you conduct?

*Enter relevant details here*

- **Article 21.5:** Following a boarding and inspection, have you had clear grounds for believing that a vessel has engaged in any activity contrary to the CMMs of the SPRFMO?

YES  NO  *If yes, please list all cases below and answer the following 2 questions*

*Enter relevant details here*

- **Article 21.8:** In any of these cases, did you have clear grounds for believing that a vessel has committed a serious violation in accordance with Article 21.11 of the 1995 Agreement?

YES  NO

*Enter relevant details here*

- **Article 21.9:** Did you secure evidence and promptly notify the flag State of the alleged violation and the results of any further investigation?

YES  NO

- Did you encounter any problems?

YES  NO  *If yes, please provide details below*

*Enter relevant details here*

NO



## CMM 12-2018 Transshipment and Other Transfer Activities

Have any of your vessels conducted transshipments or other transfer activities during the reporting period?

YES  *If yes, complete the following tables and questions on this CMM*

NO  *If no, skip to the next CMM*

### General Provisions for all Vessels Engaged in Fishing in the Convention Area

**Paras 2 and 3:** Were all transshipments and/or other transfer activities conducted between authorised vessels (i.e. on the Commission Record of Vessels at the time of the activity)?

YES

NO

### Table 10: Transshipments of *T. murphyi* caught in the Convention Area (Para's 4, 5, 8)

Nº of transshipments in which your vessels unloaded <i>T. murphyi</i> catch	Nº of transshipments in which your vessels received <i>T. murphyi</i> catch	How many of the <i>T. murphyi</i> transshipments were observed?

Please list the vessels that conducted transshipments of *T. murphyi* during the reporting period

*Enter relevant details here*

### Table 11: Transshipments of demersal species<sup>1</sup> caught in the Convention Area (Para's 4, 5, 8)

Nº of transshipments in which your vessels unloaded demersal catch	Nº of transshipments in which your vessels received demersal catch	How many of the demersal transshipments were observed?

Please list the vessels that conducted transshipments of *demersal species* during the reporting period

*Enter relevant details here*

<sup>1</sup> *Demersal species* generally live on or near the ocean floor. Jumbo flying squid in SPRFMO is not considered a demersal species.





## CMM 13-2019 New & Exploratory Fisheries

### Interpretation

**Para 4:** Are any of your vessels currently permitted to fish in SPRFMO exploratory fisheries?

YES

NO

### Requirements for Exploratory Fisheries

**Para 5:** Are you seeking to permit a vessel that flies your flag to fish in an exploratory fishery?

YES  *If yes, answer the following questions*

- **Para 5a:** Have you submitted an application to the Commission in respect of these activities?

YES  NO

- **Para 5b:** If have you submitted a Fisheries Operation Plan to the Scientific Committee in respect of these activities?

YES  NO

NO



## CMM 14a-2016 Exploratory Fishing for Toothfish by New Zealand-Flagged Vessels in the SPRFMO Convention Area

*(The obligations listed under this CMM are only applicable to New Zealand; all other Members and CNCPs can skip to the next CMM).*

### Details and Specification of Exploratory Fishing Activities

**Para 6:** How many exploratory toothfish fishing trips were completed during 2019?

*Enter relevant details here*

NIL  If "nil" then skip to the next CMM

**Para 5:** Was all of the exploratory toothfish fishing conducted within the four exploratory strata (refer L, M, N and O in Table 1)?

YES

NO

**Table 12: Total Allowable Catch (Paras 8, 9a, 9f and 9i)**

Vessel	Exploratory fishing Strata	Post spawning Catch (Aug - Oct)	Non-post spawning Catch
<i>San Aspiring</i>	L		
	M		
	N		
	O		
<i>Janas</i>	L		
	M		
	N		
	O		

**Table 13: Total Allowable Catch (Paras 9a and 9b)**

Exploratory fishing Strata	Total number of Sets	Number of Clusters
L		
M		
N		
O		

**Table 14: Management Measures (Para's 9, 17 and 19)**

Protocol	Value	Reference
Number of clusters composed of more than 5 lines		Para 9c
Number of clusters within 10nm of another cluster? (within the same voyage or fishing season)		Para 9d
Number of lines beginning, or ending, deeper than 2,200 m?		Para 9e
Number of lines with more than 6,900 hooks?		Para 17a)ii
Number of clusters with more than 17,250 hooks?		Para 17a)iii
Number of tooth fish tagged		Para 17b
Minimum overlap tagging statistic		Para 17b
Number of occasions where over 250 kg of Deepwater sharks (class Chondrichthyes) were caught within a cluster of lines?		Para 19



### Marine Mammals, Seabirds, Turtles, and other Species of Concern

**Para 22:** Was there any occasion when any of the mitigation methods described in paragraphs 22a) to g) were not employed as appropriate?

YES  *If yes, describe below*  
*Enter relevant details here*

NO

**Table 15: Marine Mammals, Seabirds, Turtles, and other Species of Concern (Para 23)**

Paragraph 23 information	Value	Reference
Number of Seabird/Marine mammal abundance counts taken during setting		Para 23a
Number of Seabird/Marine mammal abundance counts taken during setting		Para 23a
% of hooks hauled that were observed		Para 23c
Number of captures of Marine Mammals		Para 23e
Number of captures of Seabirds		Para 23e
Number of captures of Turtles		Para 23e
Number of captures of other Species of Concern		Para 23e

### Monitoring

**Para 25:** Was a New Zealand government observer onboard during the exploratory fishing?

YES  *If yes, answer the following question*

- Was there a dedicated assistant available?  
 YES  NO

NO

**Para 26:** Has recorded footage of each voyage showing all hauled lines and hooks been provided to the New Zealand Ministry for Primary Industries?

YES

NO



## CMM 14b-2019 Exploratory Potting Fishery in the SPRFMO Convention Area

(The obligations listed under this CMM are only applicable to the Cook Islands;  
all other Members and CNCPs can skip to the next CMM).

### Objectives

**Para 1:** Did your vessels conduct exploratory pot fishing for lobster or crab during the reporting period?

YES

NO  If "no" skip down to para 27

### Details and Specification of Exploratory Fishing Activities

**Para 5:** Did all the fishing use the bottom potting method?

YES  If yes, answer the following question

- Was it all conducted within the box specified in Table 1<sup>1</sup> of this measure

YES

NO

NO

**Table 16: Details and Specification of Exploratory Fishing Activities (Para 6)**

Paragraph 6 information	Value	Reference
Number of research trips conducted during the period July 2018 – June 2019		Para 6a
Number of research trips conducted during the period July 2019 – June 2020		Para 6b
Number of fishing days per trip (maximum)		Para 6c
Maximum number of lines set in a single day		Para 6c
Maximum number of lines hauled in a single day		Para 6c
Maximum number of traps per line		Para 6c
Total number of Seamounts (or other features) fished		Para 6c

**Para 7:** Did any fishing occur during the July - September period?

YES

NO

**Para 8:** What was the total tonnage of lobster and crab (combined) caught during the first fishing year (July 2018 – June 2019)?

*Enter relevant details here*

**Para 9:** What was the current tonnage of lobster and crab (combined) caught during the second fishing year (July 2019 – June 2020)?

*Enter relevant details here*

**Para 12a:** At any time during the exploratory fishing did the stock indicators show sustainability concerns?

YES

NO

<sup>1</sup> Table 1: boxed positions for the exploratory fishing

Exploratory area	latitude	longitude
Foundation	31'00 S	100'00 W
Sea mount chain	40'00 S	134'00 W



### Authorised Vessels

**Para 15:** Which vessel(s) were authorised and undertook the exploratory potting?

*Enter relevant details here*

### Marine mammals, seabirds, turtles, and other species of concern

**Para 21:** Were all the mitigation methods specified in paragraph 21 implemented during the exploratory fishing?

YES

NO

**Para 22:** Was the information described in paragraph 22 relating to marine mammals, seabirds, turtles, and other species of concern collected?

YES

NO

### Monitoring & Data Collection

**Para 24:** Was there a Cook Islands Government observer (and a dedicated assistant) on board the vessel during the exploratory fishing?

YES

NO

**Para 25:** Was there a video monitoring and recording system installed and was the footage provided to the Cook Islands Government at the end of each voyage?

YES

NO

**Para 27:** Did the Cook Islands present a full and comprehensive amended exploratory fishing proposal to the 7<sup>th</sup> meeting of the SPRFMO Scientific Committee as described in para 27 (including a–d)?

YES

NO



## CMM 14c-2016 Exploratory Fishing for Toothfish by European Union Vessels in the SPRFMO Convention Area

*(The obligations listed under this CMM are only applicable to the European Union; all other Members and CNCPs can skip to the next CMM).*

### Duration, catch and effort limits

**Para 6:** How many exploratory toothfish fishing trips were during completed 2019?

*Enter relevant details here*

NIL  *If "nil" then skip to the next CMM*

**Para 5:** Was all of the exploratory toothfish fishing conducted within the five research blocks (refer A, B, C, D and E in Table 1)?

YES

NO

### Table 17: Duration, catch and effort limits

Limit	Value	Reference
Length of trip		Para 6
Greenweight catch of Toothfish (tonnes)		Para 7
Maximum hooks per single set		Para 8
Maximum sets in a single research block		Para 8
Total number of sets within the trip		Para 8
Minimum depth fished		Para 10
Maximum depth fished		Para 10

### Management Measures

**Para 12:** Were all hooks uniquely marked indicating the vessel and fishing campaign?

YES

NO

### Authorised Vessels

**Para 13:** What was the name of the vessel that was authorised to undertake fishing pursuant to this CMM?

*Enter relevant details here*

### Table 18: Data collection (Para 17)

Limit	Value	Reference
Number of tooth fish tagged		Para 17
Overlap tagging statistic		Para 17

### Marine Mammals, Seabirds, Turtles, and other Species of Concern

**Para 19:** Was there any occasion when any of the mitigation methods described in paragraphs 19a) to m) were not employed as appropriate?

YES  *If yes, please describe*

*Enter relevant details here*

NO



**Table 19: Mitigation measures (Para 19)**

Protocol	Value	Reference
Was the trigger level of 0.01 birds per/1000 hooks exceeded?	YES <input type="checkbox"/> NO <input type="checkbox"/>	Para 19g
Were any turtles sighted in the area?	YES <input type="checkbox"/> NO <input type="checkbox"/>	Para 19h
Was there any seal or cetacean bycatch?	YES <input type="checkbox"/> NO <input type="checkbox"/>	Para 19i
Was the move-on provision relating to sharks triggered?	YES <input type="checkbox"/> NO <input type="checkbox"/>	Para 19j
Was a move-on provision relating to skates and rays triggered?	YES <input type="checkbox"/> NO <input type="checkbox"/>	Para 19k, 19l
Was a move-on provision relating to <i>Macrourus</i> spp. triggered?	YES <input type="checkbox"/> NO <input type="checkbox"/>	Para 19m

**Table 20: Data collection for marine mammals, seabirds, turtles, and other species of concern (Para 20)**

Paragraph 20 information	Value	Reference
Number of Seabird/Marine mammal abundance counts taken during start of an event		Para 20a
Number of Seabird/Marine mammal abundance counts taken during middle of an event		Para 20a
Number of Seabird/Marine mammal abundance counts taken during end of an event		Para 20a
% of hooks hauled that were observed for marine mammal, seabird and turtle interactions		Para 20b
Number of captures of Marine Mammals		Para 20c
Number of captures of Seabirds (excluding collisions)		Para 20c
Number of captures of Turtles		Para 20c
Number of captures of other Species of Concern		Para 20c
Number of Seabirds collisions		Para 20c
Number of Seabirds released alive		Para 20c
Number of dead birds retained		Para 20d

**VME**

**Para 22:** Was evidence of a VME is encountered during fishing activities?

YES

NO

**Monitoring**

**Para 23:** Was a scientific observer onboard during the exploratory fishing?

YES  *If yes, please answer the question below*

- Was there a dedicated assistant available?
 

YES  NO

NO



### CMM 15-2016 Vessels without Nationality

**Para 3:** During the reporting period did you take any actions, in accordance with international law, against vessels without nationality? (e.g. by prohibiting landing, transshipment or access to port services).

YES  *If yes, please provide additional details*

*Enter relevant details here*

NO





## CMM 16-2019 the SPRFMO Observer Programme

### Evaluation of observer programmes

**Para 24:** Did you pursue accreditation under the SPRFMO OP during the recent reporting period?

- YES  *If yes, please indicate when you intend to begin the accreditation process?*
- within the forthcoming year*
  - within the 2 forthcoming years*
  - within the forthcoming 2-5 years*
- NO  *We have no plans to deploy observers in the SPRFMO Area.*

### General Rules

**Para 2:** Did you deploy any observers in order to facilitate the collection of verified scientific data and additional information related to fishing activities in the Convention Area?

- YES
- NO  *If no, skip to the next CMM*

**Para 5:** Have you ensured that that observers from your national observer programmes perform the duties described in Annex 1 of the CMM?

- YES
- NO

**Para 6:** Have you ensured that your owners and fishing operators, vessel captains, officers and vessels crews:

- respect the rights of observers set out in Annex 1 of the CMM?  
YES   
NO
- comply with the standards and duties set out in Annex 2 of the CMM?  
YES   
NO

*(Para 7: Will be assessed by the SPRFMO Observer Programme Accreditation Evaluator)*

### Deployment of Observers

**Para 9:** Were all the observers you deployed sourced from SPRFMO accredited programmes?

- YES
- NO

**Para 10:** Did you deploy any observers on board vessels flagged to another Member or CNCP?

- YES  *If yes, please list the others Members/CNCPs involved*  
*Enter relevant details here*
- NO

**Para 11:** Did any of your observers refuse a deployment onboard a fishing vessel during the recent reporting period?

- YES
- NO



Table 21: Levels of Coverage (Para's 4/12)

Fishery/method	Coverage level	Metric	Reference
Jack mackerel ( <i>Trachurus murphyi</i> )			Para 22, CMM 01-2019
Bottom Trawl			Annex 8, CMM 03-2019
Mid-water Trawl			Annex 8, CMM 03-2019
Bottom line gear			Annex 8, CMM 03-2019
Approved exploratory fishery			CMM 14a, b, c
Other fishery (please specify)			Para 4, CMM 16-2019
Other fishery (please specify)			Para 4, CMM 16-2019

### Levels of Coverage

**Para 13:** Did any of your scientific research vessels fish for research purposes in the Convention Area during this reporting period?

YES  *If yes, please provide details below*

NO

*Enter relevant details here*

### Reporting

**Para 15/44:** Did you include a brief overview of your national observer programmes (or service providers) as a component of your Annual National Report submitted to the Scientific Committee?

YES  *If yes, please answer the question below*

- Did you document the methods used to allocate observers on fishing vessels in order to meet observer coverage requirements?

YES  NO

NO



## CMM 17-2019 Fishing gear and Marine Plastic Pollution in the SPRFMO Convention Area

Response: The United States did not have any vessels participating in SPRFMO-managed fisheries. Thus, the questions in this section are not applicable.

### Retrieval of abandoned, lost or otherwise discarded fishing gear

**Para 1:** Please detail the methods you have employed to ensure that paragraphs 1a to 1f are implemented by your vessels:

*Enter relevant details here*

**Para 2:** Did any of your vessels abandon, lose or otherwise discard any fishing gear?

YES

NO

Did any of your vessels retrieve any abandoned, lost or otherwise discarded fishing gear?

YES

NO

### Marine plastic pollution

**Para 3:** Are vessels flying your flag prohibited from discharging into the sea all plastics, including but not limited to synthetic ropes, synthetic fishing nets, plastic garbage bags and incinerator ashes?

YES

NO

*Enter relevant details here*