



**SPRFMO**

**6<sup>th</sup> Meeting of the Commission**  
**Lima, Peru, 30 January to 3 February 2018**

**COMM 6 – PROP 06**

Proposal to Amend CMM 10-2017 on the Compliance and Monitoring Scheme  
*European Union*

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## Conservation and Management Measure for the Establishment of a Compliance and Monitoring Scheme in the SPRFMO Convention Area

### The Commission of the South Pacific Regional Fisheries Management Organisation;

*RECALLING* the relevant provisions of the Convention on the Conservation and Management of High Seas Fishery Resources in the South Pacific Ocean, in particular Articles 24, 25 and 26;

*NOTING* that Article 24 of the Convention requires each Member of the Commission to implement any Conservation and Management Measures (CMMs) adopted by the Commission;

*MINDFUL* of the rights and obligations of Members of the Commission in promoting the effective implementation of CMMs adopted by the Commission;

*NOTING* that in accordance with international law, Members have responsibilities to exercise effective control over their flagged vessels and their nationals;

*RECOGNISING* the importance of introducing a robust compliance review mechanism by which the compliance of each Member is examined in depth on a yearly basis;

*ADOPTS* the following CMM to establish a SPRFMO Compliance and Monitoring Scheme (CMS):

#### I. PURPOSE

1. The purpose of the SPRFMO CMS is to ensure that Members and Cooperating Non-Contracting Parties (CNCs) implement and comply with obligations arising under the Convention and CMMs adopted by the Commission. The CMS is designed to:

- a) Assess implementation by Members and CNCs of their obligations under the Convention and/or CMMs;
- b) Identify areas in which technical assistance or capacity building may be needed to assist Members and CNCs to achieve compliance;
- c) Identify aspects of CMMs which may require improvement or amendment to facilitate or advance their implementation. These findings and subsequent actions shall not necessarily replace any review procedure established in accordance with Article 30 of the Convention;
- d) Recommend action against inadequate or unsatisfactory implementation of the Convention and/or CMMs through preventive and remedial options that should include a range of possible responses that take into account the reasons for and degree of inadequate or unsatisfactory implementation, as assigned in accordance with paragraph 13 (a).

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<sup>1</sup> CMM 10-2017 (CMS) supersedes CMM 4.10 (CMS; 2016) and previously 3.03.

II. SCOPE AND APPLICATION

2. At each annual meeting, with the assistance of the Compliance and Technical Committee (CTC), the Commission shall evaluate Members' and CNCPs' compliance with their obligations arising from the Convention, in particular Articles 24, 25 and 26, and CMMs adopted by the Commission included in Annex II of this measure. The assessment should cover the period 1 ~~October of the previous year till 30 September of the current~~ year.

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3. The Commission shall also review Implementation Remedies, Action Plans by Members or CNCPs, recommendations on compliance adopted by the Commission and follow-up actions committed by Members and CNCPs, in accordance with this CMM, in previous years' Final Compliance Reports in order to assess how they have been implemented by the concerned Members and CNCPs, ~~the CTC or the Commission~~.

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4. Each year, the Commission shall consider and identify whether compliance with additional CMMs should be evaluated annually or on another basis.

III. ANNUAL MEMBER AND CNCP REPORTS

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5. a) At least 75 days before the start of the CTC meeting Members and CNCPs should provide the Secretariat with their Annual Reports as required by Article 24 (2) of the Convention and any other relevant CMMs on the basis of the template at Annex II.

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b) The Secretariat shall amend the template in Annex II as soon as practicable after the Commission meeting to incorporate obligations from new or amended CMMs adopted by the Commission.

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IV. DRAFT IMPLEMENTATION REPORT

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6. Prior to the annual meeting of the CTC, the SPRFMO Secretariat shall compile information received from Members and CNCPs including their Annual Reports, data collection programmes of the Commission and, where appropriate, any suitably documented information provided by other relevant sources, and shall prepare the Draft Implementation Report using the template in Annex III.

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7. The SPRFMO Secretariat shall provide to each Member and CNCP its respective section of the Initial Draft Implementation Report no later than 60 days before the annual CTC meeting.

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8. Each Member and CNCP shall comment on the Draft Implementation Report providing any additional information it deems suitable to the Secretariat no later than 30 days before the annual CTC meeting. This information shall, as appropriate:

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- a) provide additional information, clarifications, amendments or corrections necessary to address the potential compliance issues identified or respond to any other request for additional information;
- b) identify any particular causes of the potential compliance issues or difficulties with respect to implementation of the obligation in question, or circumstances which may mitigate the potential compliance issues;
- c) identify technical assistance or capacity building needed to assist Members and CNCPs to address potential compliance issues.

9. The SPRFMO Secretariat shall compile a revised Draft Implementation Report which shall include all information, clarifications and comments provided by Members and CNCPs in response to the initial Draft Implementation Report, as described in paragraph 8 above.

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10. The SPRFMO Secretariat shall circulate to Members and CNCPs the revised Draft Implementation Report no later than 14 days before the annual CTC meeting, by making it available on the non-public section of the Commission website. As soon as practicable after posting it, the Secretariat shall notify Members and CNCPs of its availability.

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**V. PROVISIONAL IMPLEMENTATION REPORT**

11. At its annual meeting, the CTC shall consider the Draft Implementation Report, and may take into account any additional information provided during the meeting of the CTC by Members, CNCPs and other observers, including non-governmental organisations and other organisations concerned with matters relevant to the implementation of the Convention. CTC shall identify any potential implementation issues for each Member and CNCP.

12. On the basis of the information provided, the CTC shall develop a Provisional Implementation Report, based on the issues identified in respect of that Member or CNCP and using the criteria and considerations for the assessing the implementation review set out in Annex I. The Provisional Implementation Report shall include Implementation Remedies for recommendation to the Commission, Action Plans by Members or CNCPs and other recommendations on implementation issues adopted by the Commission and follow-up actions committed by Members and CNCPs in accordance with Annex I. The Provisional Implementation Report shall be forwarded to the Commission for consideration at the annual meeting.

**VI. FINAL IMPLEMENTATION REPORT**

13. The Commission shall consider the Provisional Implementation Report provided by the CTC, and adopt a Final Implementation Report at its annual meeting, which shall include:

- a) A review for each Member and CNCP with respect to the implementation of their obligations under the Convention and CMMs, and recommendations for any corrective action needed, based on compliance issues identified with respect to that Member or CNCP;
- b) Amendments or improvements to existing CMMs to address implementation difficulties experienced by Members and CNCPs;
- c) Obstacles to implementation identified by Members and CNCPs including capacity building requirements;
- d) Additional obligations that should be reviewed under the CMS;
- e) Any other action the Commission shall deem appropriate to address insufficient responses to non-compliance noted in the Final Implementation Report or to promote compliance with the Convention, CMMs and other obligations reviewed in the CMS, including Implementation Remedies prescribed by the Commission and Implementation Action Plans by Members or CNCPs which may be amended as determined by the Commission.

14. The Final Implementation Report shall also contain an executive summary setting out any recommendations or observations from the Commission regarding the issues listed in paragraph 13 of this measure.

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 13. The Provisional Compliance Report will include an Executive Summary that includes recommendations regarding:  
 <#>Where appropriate, proposals to amend or improve existing CMMs; ¶  
 <#>Identified obstacles to implementation including capacity building requirements;¶  
 Provisions of CMMs

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VII. OTHER RULES

15. All the relevant information arising from the SPRFMO CMS procedure shall be subjected to the relevant applicable SPRFMO rules and procedures regarding the use of information and transparency. Therefore, the Draft and Provisional Implementation Reports shall not constitute public domain data, but the Final Implementation Report and the executive summary shall be public domain data.

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16. The Commission shall take a graduated response to insufficient responses to non-compliance, taking into account the type, severity, degree and cause of the non-compliance in question. The Commission should develop, as a matter of priority, a process to complement the CMS that identifies a range of specific responses to non-compliance events that may be applied by the Commission through the implementation of the CMS. This shall include penalties and any other actions as may be necessary to promote compliance with the Convention, CMMs and other obligations included in the CMS.

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17. This CMM shall be reviewed at the regular meeting of the Commission in 2021.

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**Annex I:  
Implementation Review**

For the purposes of this CMM, “Incident” refers to the existence of a possible infringement of the provisions of the Convention, in particular Articles 24, 25 and 26 and of the CMMs listed in Annex II of this measure. “Members, CNCPs and Commission responses” takes account of Members’ and CNCPs’ responses and corrective actions to address compliance issues identified.

<u>Incident</u>	<u>Criteria</u>	<u>Members, CNCPs and Commission responses and corrective actions</u>
<u>No infringement</u>	No <u>infringement</u> identified with respect to the relevant obligations.	None
<u>Minor infringement</u>	<u>Infringement</u> due to actions or omissions which constitute a minor infringement of relevant obligations.	<ul style="list-style-type: none"> <li>• <u>Adequate</u>: The Member or CNCP demonstrates that it has <u>already taken appropriate response and no further action is required</u>;</li> <li>• <u>Insufficient</u>: The Member or CNCP must address the <u>insufficient response by the next time of assessment</u>;</li> <li>• <u>And/or other responses as determined by the Commission</u>: <u>other responses and corrective actions, including, reviewing CMMs or procedures, addressing technical challenges preventing implementation, recommending technical assistance, etc</u></li> </ul>
<u>Infringement of moderate nature</u>	<u>Infringement</u> due to actions or omissions which constitute a <u>moderate infringement of relevant obligations</u>	<ul style="list-style-type: none"> <li>• <u>Adequate response</u>: The Member or CNCP <u>demonstrates that it has already taken appropriate action and no further action is required</u>;</li> <li>• <u>Action Plan by the Member or CNCP</u> to <u>address an insufficient response by the Member or CNCP, or to improve future the implementation of relevant obligations, including with the assistance of the Secretariat, where appropriate, and amended as determined by the Commission when applicable</u></li> </ul>
<u>Infringement of serious nature</u>	<u>Infringement</u> due to: <ul style="list-style-type: none"> <li>- <u>action or omissions that constitute a serious infringement of relevant obligations; and/or</u></li> <li>- <u>infringements that undermine the effectiveness of the Convention or CMM; and/or</u></li> <li>- <u>failure to comply with previous recommendations adopted by the Commission, after sufficient time and assistance has been provided.</u></li> </ul>	<ul style="list-style-type: none"> <li>• <u>Implementation Remedy prescribed by the Commission</u> to address instances of <u>persisting insufficient responses by the Member or CNCP, which have not been resolved even after sufficient time through an Action Plan</u>.</li> </ul>
<u>Serious and persistent infringement</u>	<u>Infringement</u> due to: <ul style="list-style-type: none"> <li>- <u>action or omissions that constitute a repeated serious infringement of relevant obligations; and/or</u></li> <li>- <u>repeated non-compliance that undermines the effectiveness of the Convention or CMMs; and/or</u></li> <li>- <u>repeated failure to comply with</u></li> </ul>	<ul style="list-style-type: none"> <li>• <u>Implementation Remedy prescribed by the Commission</u> to address instances of <u>persisting insufficient responses by the Member or CNCP, which have not been resolved even after sufficient time through an Action Plan</u>.</li> </ul>

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	previous Compliance Action Plans after sufficient time and assistance has been provided.	
<b><i>Not assessed</i></b>	Proven ambiguity of relevant obligations	<del>The Commission shall review and clarify obligation and, if necessary, amend relevant provisions</del>
<b><i>No review undertaken</i></b>	<u>Cases of emergency relating to the safety of a ship and those on board or saving life at sea which resulted in an issue of non-compliance</u>	<u>No action required</u>

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**ANNEX II:**

**Template for the Annual Report of the SPRFMO Conservation and Management Measures**

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Reporting Member/CNCP: [Click here to enter text.](#)  
 Reporting Period: **31 October year-1 to 30 September year ...**  
 Date report prepared: [Click here to enter a date.](#)

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**CMM 01-2017 *Trachurus murphyi***

**Para 1:** Do your vessels fish for *T. murphyi* in, or adjacent to, the Convention Area? YES  NO .  
 If yes, then please complete the following tables and questions:

**Table 1: CMM 01-2017 (*T. murphyi*): Effort Management**  
**31 October to 31 December of the previous year**

Gross Tonnage (GT) Limit	GT of active fishing vessels	No. of vessels actively fishing for CJM	Of which fish carriers

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**1 January to 30 September of the current year**

Gross Tonnage (GT) Limit	GT of active fishing vessels	No. of vessels actively fishing for CJM	Of which fish carriers

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**Table 2: CMM 01-2017 (*T. murphyi*): Catch Management**  
**31 October to 31 December year of the previous year**

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

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**1 January to 30 September of the current year**

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

**Table 3: CMM 01-2017 (*T. murphyi*): Data collection and reporting**

No. of Monthly reports provided	VMS implemented and data provided?	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"/>	YES <input type="checkbox"/> NO <input type="checkbox"/>	

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**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 (refer to CMM 01-2017 (*T. murphyi*) paragraph 8)? YES  NO .  
 If so, please elaborate

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**Para 20:** Did you conduct any research or stock assessments for *T. murphyi* since the last implementation report? YES  NO .

Were they submitted to the Scientific Committee? YES  NO .

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**Para 21:** Did any of your vessels land or tranship *T. murphyi* within your ports? YES  NO  and, if so, did you take measures to verify those catches? YES  NO .



**Para 23:** *Is any part of your national jurisdiction area adjacent to the Area to which CMM 01-2017 (T. murphy) applies?* YES  NO .

*If so, have you decided to apply the measures described in CMM 01-2017 (T. murphy) paragraphs 11 - 22 within your national jurisdiction areas?* YES  NO .

*Also, have you submitted measures in effect for T. murphy within your national jurisdiction areas to the Secretariat?* YES  NO .

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**CMM 02-2017 Standards for the Collection, Reporting, Verification and Exchange of Data**

**Table 4: Participation in SPRFMO fisheries during the past year**

Fishing method	Activities undertaken?	Main species caught?	Number of vessels	Activities observed? (Yes/No)
Demersal Drop/dahn line				
Demersal Longline				
Demersal Potting				
Demersal Trawl				
Pelagic Purse seine				
Pelagic Trawl				
Squid jigging				
Transshipment				

Were you able to meet the data collection requirements described in CMM 02-2017 (Data Standards) paragraphs 1(b) (c) and (d)? (Being information on fishing activity, non-target species impacts and transshipments/landings) YES  NO

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*Para 2a):* Do you have a national observer programme? YES  NO , and if so, have you submitted an annual observer implementation report to the Secretariat? YES  NO .

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*Para 3a)* Have you implemented systems to ensure that all of your vessels that fish in the Convention Area have an operational VMS system (that conforms to the requirements in CMM 02-2017 (Data standards) paragraphs 3(b) and 3(c)? YES  NO .

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*Para 5:* Please describe the systems you use to verify your SPRFMO fishery data.

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## CMM 03-2017 Bottom fishing in the SPRFMO Convention Area

**Para 2:** Do you fish in the Convention Area using bottom fishing methods? YES  NO .

If yes, then please complete the following tables and questions:

**Table 5: Management of Bottom Fishing and Fisheries**

**31 October to 31 December of the previous year**

<i>Bottom Fishing assessment submitted?</i>	<i>2002-06 Bottom fishing footprint submitted?</i>	<i>Bottom Fishing restricted to footprint?</i>	<i>2002-2006 Average annual catch (t)</i>	<i>Provisional catch total for last year<sup>1</sup> (t)</i>	<i>Observer coverage level (trawl)</i>	<i>Observer coverage level (other)</i>	<i>No. of VME encounters above the threshold</i>	<i>No. of monthly reports provided</i>
YES <input type="checkbox"/> NO <input type="checkbox"/>	YES <input type="checkbox"/> NO <input type="checkbox"/>	YES <input type="checkbox"/> NO <input type="checkbox"/>						

**1 January to 30 September of the current year**

<i>Bottom Fishing assessment submitted?</i>	<i>2002-06 Bottom fishing footprint submitted?</i>	<i>Bottom Fishing restricted to footprint?</i>	<i>2002-2006 Average annual catch (t)</i>	<i>Provisional catch total for last year<sup>2</sup> (t)</i>	<i>Observer coverage level (trawl)</i>	<i>Observer coverage level (other)</i>	<i>No. of VME encounters above the threshold</i>	<i>No. of monthly reports provided</i>
YES <input type="checkbox"/> NO <input type="checkbox"/>	YES <input type="checkbox"/> NO <input type="checkbox"/>	YES <input type="checkbox"/> NO <input type="checkbox"/>	_____	_____	_____	_____	_____	_____

**Para 8b):** Have you prohibited your vessels from participating in bottom fishing activities in the Convention Area, except when in accordance with this measure? YES  NO .

**Para 8f):** Have you established threshold levels for VME encounters? YES  NO .

If so what are they?

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**Para 8g):** Do you require your vessels to cease fishing operations within 5 nautical miles of any site where threshold levels are exceeded? YES  NO .

**Para 8h):** Have you divided your footprint into sub-areas for the purposes of preventing significant adverse impacts to VMEs? YES  NO . If so, please elaborate.

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**Para 9:** Do you have additional measures that apply to your bottom fishing vessels in the Convention Area? YES  NO . If so, please elaborate.

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**Para 23:** Have you identified any sites within the Convention Area where VMEs are likely to occur? YES  NO .

If so have you provided this information to the Secretariat? YES  NO .

Have you taken steps to ensure that your bottom fishing vessels are able to comply with all of the requirements detailed in CMM 03-2017 (Bottom Fishing) paragraph 24? YES  NO .

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**Para 26:** Are you aware of any non-Member (or non-CNCP) that has recently bottom fished in the Convention Area? YES  NO .

<sup>1</sup> The catch total for "last year" refers to the year to date (i.e. the 2015/16 report completed in November 2016 will refer to the total catch for 2016 as at the time the report was completed).

<sup>2</sup> The catch total for "last year" refers to the year to date (i.e. the 2015/16 report completed in November 2016 will refer to the total catch for 2016 as at the time the report was completed).

*And if so, did you communicate a request to them to cooperate and to consider participating in the work of SPRFMO as a matter of priority? YES  NO .*

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### CMM 04-2017 Vessels presumed to have carried out IUU fishing activities in the SPRFMO Area

Para 2: Did you transmit a list of presumed IUU fishing vessels to the Secretariat? YES  NO .

Para 3: If so, did you inform the relevant flag state before, or at the same time as, transmitting the list? YES  NO .

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Para 4: Are any of your flagged vessels on the draft IUU list? YES  NO .

Para 6: If so, did you notify vessel owners and inform them about the potential consequences? YES  NO .

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Para 13: Are any of your flagged vessels on the existing final IUU list? YES  NO .

If so, did you notify the vessel owners and inform them about the consequences of inclusion? YES  NO .

Para 13: What measures were taken to eliminate these IUU activities?

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Did you enforce any of the measures described under CMM 04-2017 (IUU List) paragraph 13, against vessels on the final IUU list?

YES  NO .

*If so, please elaborate.*

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**CMM 05-2016 Commission record of Vessels authorised to fish in the Convention Area**

*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.*

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*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.*

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*Para 4: Do you maintain your own register of fishing vessels for the SPRFMO Area?*

YES  NO .

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*Para 5: Does it contain all the necessary information (as described in Annex 1 of CMM 05-2016 (Record of Vessels)?)*

YES  NO .

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*If no, what are the reasons that this vessel information has not been collected?*

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**Table 6: Vessel data submission summary**

Current number of vessels authorised to fish in the SPRFMO Area?	No. of new authorisations <i>since the last Implementation period</i>	No. of revoked authorisations <i>since the last Implementation period</i>	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"/>		

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**CMM 06-2017 VMS in the SPRFMO Convention Area**

Para 4: Did any of your vessels fish in the SPRFMO Area during the reporting period? YES  NO   
If so, please complete the following questions:

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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 13: Do all of 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 06-2017? YES  NO

Annex 2, para 1: Did you receive any VMS data from the Commission VMS during the assessed period? YES  NO   
If so, did you manage the VMS data in accordance with all the Security and Confidentiality requirements specified in Annex 2, paragraphs 2 and 3 of CMM 06-2017? YES  NO . If not, please elaborate.

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Para 17: Did any of your vessels experience a failure of automatic VMS reporting during the assessed period? YES  NO .  
If so, was the Manual reporting procedure specified in Annex 3, of CMM 06-2017 applied? YES  NO .  
Have any of your vessels failed to re-establish automatic reporting within 60 days after the commencement of manual reporting? YES  NO . And if so, were they ordered to cease fishing and return immediately to port? YES  NO   
Please provide the names of any vessels that failed to re-establish automatic reporting within 60 days

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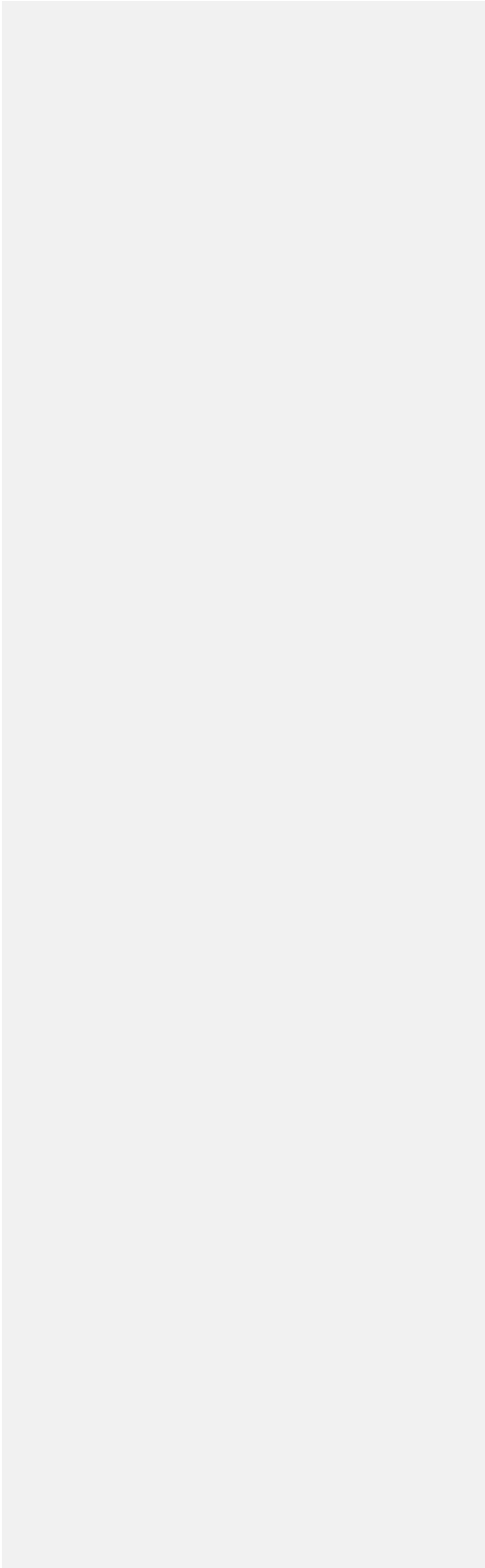
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Para 19: Did you or your vessels encounter any other difficulties reporting to the Commission VMS during the reporting period? YES  NO . If so, please elaborate.  
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**CMM 07-2017 Minimum Standards of Inspection in Port**

*Para 1: Please complete the following table and questions as applicable:*

**Table 7: Implementation of Port Standards**

Point of Contact transmitted to Secretariat?	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 entry	No. of inspections	Percentage of foreign landings /transhipments inspected
YES <input type="checkbox"/> NO <input type="checkbox"/>	YES <input type="checkbox"/> NO <input type="checkbox"/>				

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

YES  NO

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*Para 11: Do you require foreign fishing vessels to provide information prior to any landing or port transhipment? YES  NO*

*If so, does that information comply with paragraph 11 of CMM 07-2017 (Port Inspection)?*

YES  NO

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

YES  NO . If so, please elaborate.

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*Para 16 a): Did you receive any requests from other Members, CNCPs or relevant RFMOs to inspect particular vessels? YES  NO . If so, please elaborate.*

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*Did you undertake any inspections? YES  NO . If so, please complete the following questions as applicable:*

*Para 35: Did you encounter any difficulties with the inspection procedures described in paragraphs 18-22 of CMM 07-2017 (Port Inspection)? YES  NO .*

*If so, please elaborate.*

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*Para 24: Did any of your inspections discover evidence that a foreign fishing vessel has committed a breach of the SPRFMO CMMs? YES  NO . If so, did you encounter any difficulties with the infringements procedures described in paragraphs 24-27 of CMM 07-2017 (Port Inspection)?*

YES  NO

*If difficulties were encountered, then please describe the reasons relating to those difficulties.*

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*Para 28: 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 .*

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Deleted: Are your ports expected to receive SPRFMO-managed species? YES  NO <sup>1</sup>  
If so, please

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

### CMM 08-2013 Gillnets in the SPRFMO Convention Area

1. Members shall require that vessels flying their flag prohibit the use of large-scale pelagic driftnets and all deepwater gillnets in the Convention Area.

*Para 1: Please describe how this requirement has been implemented*

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*Para 2: Have any of your vessels transited the Area while carrying gillnets? YES  NO*

*Para 2 a): If so, was 36-hr advance notice given? YES  NO* ,

*Para 2 b): Did the vessels operate a VMS? YES  NO* ,

*Para 2 c): Were VMS reports submitted? YES  NO* ,

*Para 2 d) Were any Gillnets lost overboard? YES  NO* .

*(Refer to CMM 08-2013 (Gillnetting) paragraphs 2(a), (b), (c) and (d))*

*Additional information can be provided here:*

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

*Paras 1 and 2: Are your vessels required to implement appropriate seabird mitigation measures while fishing in the Convention Area? YES  NO .*

*Annex 1, para 1 b) ii.b: Do you have demersal longline vessels required to apply one of the three specified mitigation measures (i.e. line weighting, bird scaring, setting at night)?*

YES  NO . *If so, please list those vessels:*

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*Annex 1, para 1 b) ii: During the recent reporting period have you maintained a minimum of 10% observer coverage over your demersal longline fleet? YES  NO .*

*Annex 1, para 2: Have any of your vessels exceeded a mortality rate of 0.01 birds/1000 hooks? YES  NO .*

*Annex 1, para 2 a): If so, please list those vessels and state if, after the mortality, whether these vessels applied at least one additional measure?*

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*Annex 2, para 2: Do you have any trawl vessels exempt from applying the specified mitigation measures (bird scaring lines, responsible discharge management, net cleaning, surface time minimisation)? YES  NO .*

*During the recent reporting period did any mortality events occur? YES  NO .*

*If so, please list the vessels concerned and stipulate if, after the mortality, whether these vessels applied appropriate mitigation measures?*

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

*And if so, please list those vessels and stipulate when these vessel exemptions were last reviewed?*

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*Para 7: Do you require your observers to record seabird interactions? YES  NO .*

*Para 8: If so, are the records in accordance with CMM 02-2017 (Data Standards) and is the resulting data reported to the Secretariat? YES  NO .*

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**Table 8: Seabird mitigation measures in Demersal Longline**

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**

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 11-2015 Boarding & Inspection Procedures

For reference a link to “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” ([1995 Agreement](#))

Have you informed SPRFMO about your designated authority to receive notifications pursuant to [paragraph 1 of CMM 11-2015](#)? YES  NO .

**Paras 1 and 2:** Which measures have you taken to [implement paragraphs 1 and 2 of CMM 11-2015](#)?

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Were any of the vessels flying your flag inspected by a SPRFMO Member? YES  NO .

If yes:

- 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  NO .

If yes:

- How were the procedures described under Article 21.6 and 21.12 addressed? Did you encounter any problems?

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**Para 2:** Have you conducted any at-sea inspections during the recent reporting period? YES  NO . If yes:

- Have you informed the SPRFMO Secretariat of the form of identification issued to your duly authorised inspectors? YES  NO .
- 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?

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- How many at-sea inspections did you conduct?
- 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.

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- 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? If so, please provide details.

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- 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?

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**CMM 12-2017 Transhipment and Other Transfer Activities**

Have any of your vessels conducted transhipments or other transfer activities during the reporting period? YES  NO . If so, please complete the following questions and tables.

**Paras 2 and 3:** Were all transhipments 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: Transhipments of *T. murphyi* caught in the Convention Area**

Number of transhipments in which your vessels unloaded <i>T. murphyi</i> catch	Number of transhipments in which your vessels received <i>T. murphyi</i> catch	How many of the <i>T. murphyi</i> transhipments were observed?

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

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**Table 11: Transhipments of demersal species<sup>1</sup> caught in the Convention Area**

Number of transhipments in which your vessels unloaded demersal catch	Number of transhipments in which your vessels received demersal catch	How many of the demersal transhipments were observed?

Please list the vessels that conducted transhipments of demersal species during the reporting period:

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<sup>1</sup> Demersal species generally live on or near the ocean floor.

**CMM 13-2016 New & Exploratory Fisheries**

| Para 4: Are any of your vessels currently permitted to fish in SPRFMO exploratory fisheries?  
YES  NO .

| Para 5: Are you seeking to permit a vessel that flies your flag to fish in an exploratory fishery?  
YES  NO .

| Para 5 a): If so, have you submitted an application to the Commission in respect of these activities?  
YES  NO .

| Para 5 b): And if so, have you submitted a Fisheries Operation Plan to the Scientific Committee in respect of these activities? YES  NO .

**CMM 14-2016 Exploratory Toothfish Fishing (New Zealand only)**

**Para 3:** Did your vessels conduct exploratory fishing for toothfish during the reporting period?  
 YES  NO . (If “no” then please skip the remaining questions).

**Para 5:** Did all of the fishing use the bottom longline method? YES  NO . If so, was it all conducted within the boxes specified in table 1 of that measure? YES  NO .

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**Para 6:** Did the first trip occur during the period 1 July – 30 September? YES  NO .

How many lines were set during the first trip?

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On how many consecutive days did fishing operations occur during the first trip?

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**Para 8:** What was the total tonnage of toothfish caught during 2016?

**Paras 13 and 14:** Which vessel(s) were authorised and undertook exploratory fishing for toothfish?  
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**Para 15:** Was all of the exploratory fishing for toothfish in accordance with SC-03-DW-01\_rev2 “Proposal for exploratory bottom longlining for toothfish by New Zealand vessels outside the bottom lining footprint during 2016 and 2017: Description of proposed activities and impact assessment” YES  NO .

**Para 16 b):** How many toothfish were tagged during the exploratory fishing ( ) and what was the tagging overlap statistic?

**Para 20:** Were all of the mitigation methods specified in paragraph 20 implemented during the exploratory fishing? YES  NO .

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**Para 21:** Was the information described in paragraph 21 relating to marine mammals, seabirds, turtles, and other species of concern collected? YES  NO .

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**Para 23:** Was there a New Zealand government observer and a dedicated assistant on board the vessel during the exploratory fishing? YES  NO .

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**Para 24:** Was there a video monitoring and recording system installed? YES  NO . If so, was the footage provided to the New Zealand Ministry for Primary Industries? YES  NO .

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**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  NO .*

*If so, please provide additional details:*

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**ANNEX III:**

**Draft Implementation Report**

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**Reporting Member/CNCP:**

**Reporting Period to which this report refers: 2016/17 (being 1 November 2016 – 31 October 2017)**

**Date report prepared:**

The Conservation and Management Measures which have been assessed include:

- CMM 01-2017 (*T. murphyi*)
- CMM 02-2017 (Data Standards)
- CMM 03-2017 (Bottom Fishing)
- CMM 04-2017 (IUU List)
- CMM 05-2016 (Record of Vessels)
- CMM 06-2017 (Commission VMS)
- CMM 07-2017 (Port Inspection)
- CMM 08-2013 (Gillnetting)
- CMM 09-2017 (Seabirds)
- CMM 10-2017 (Compliance & Monitoring Scheme)
- CMM 11-2015 (Boarding and Inspection)
- CMM 12-2017 (Transshipment)
- CMM 13-2016 (Exploratory Fisheries)
- CMM 14-2016 (Exploratory Toothfish Fishing)
- CMM 15-2016 (Stateless Vessels)

The obligations under the Convention which have been assessed include:

- Obligations under Articles 24, 25 and 26 of the SPRFMO Convention

### CMM 3.01 *Trachurus murphyi* (example to be followed for all CMMs)

#### Effort management

##### Paragraph 4:

Members and CNCPs shall limit the total gross tonnage (GT) of vessels flying their flag and participating in the *Trachurus murphyi* fisheries in the Convention Area to the total tonnage of their flagged vessels that were actively fishing in 2007 or 2008 or 2009 in the Convention Area and as set out in Table 1 of CMM 1.01 (*T. murphyi*; 2013). Members and CNCPs may substitute their vessels as long as the total level of GT for each Member and CNCP does not exceed the level recorded in that Table.

**Table 1: Gross Tonnage limits as referred to in Paragraph 5 of CMM 2.01 (*T. murphyi*; 2014) compared with vessels actively fishing for *Trachurus murphyi* in the Convention Area during 2014 and any possible compliance issues.**

Member/CNCP	Gross Tonnage limit	Year X Active fishing Vessels	Year X-1 <u>Response and corrective action</u> (as agreed by the Commission)	Year X - Any possible <u>implementation issues?</u>
<b>Name of Member or CNCP</b>			[ <u>Adequate/Insufficient</u> ]	[Y/N]

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Note: Tonnage is GT unless otherwise stated.

#### Secretariat Assessment of Compliance and potential compliance issues

- Statement of Secretariat raising any potential compliance issues.

#### Member Comments on Potential Compliance Issues

Member	Comment
<b>Member/CNCP</b>	<i>This is the opportunity for members to comment on the secretariat's provisional assessment of potential compliance issues in relation to the obligation in this CMM that is being reviewed. This section should only be completed by a member if they have any issues with the provisional assessment or if there is any further information they wish to add for the CTC to consider.</i>

**Catch Management**

**Paragraph 7:**

...That Member or CNCP shall close the fishery for its flagged vessels when the total catch of its flagged vessels is equivalent to 100% of its catch limit. Such Member or CNCP shall notify promptly the Executive Secretary of the date of the closure.

**Paragraph 9:**

A Member may transfer to another Member all or part of its entitlement to catch up to the limit set out in Table 1, subject to the approval of the receiving Member. Before the transferred fishing takes place, the transferring Member shall notify the transfer to the Executive Secretary for circulation to Members and CNCPs without delay.

**Table 2: Catch Tonnages in 2014 for *T. murphyi* (t) referred to in paragraph 5 of CMM 2.01 (*T. murphyi*; 2014) and any possible compliance issues**

Member/CNCP	Year X Catch limit (Table 1 in CMM 2.01)	Effect of Catch Transfers	Preliminary Year X Catch Total*	Year X-1 Response and corrective action (as agreed by the Commission)	Year X - any possible implementation issues?
			<b>[total]</b>	<u>[Adequate/Insufficient]</u>	[Y/N]

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\*Data only available up to and including [Date and year]

**Secretariat Assessment of Compliance**

- Statement of Secretariat raising any potential compliance issues.
- 

**Member Comments on Potential Compliance Issues**

Member	Comment
<i>Name of member</i>	<i>This is the opportunity for members to comment on the secretariat's provisional assessment of potential compliance issues in relation to the obligation in this CMM that is being reviewed. This section should only be completed by a member if they have any issues with the provisional assessment or if there is any further information they wish to add for the CTC to consider.</i>

**Data Collection and Reporting**

**Paragraph 11:**

Members and CNCPs participating in the *Trachurus murphyi* fishery shall report in an electronic format the monthly catches of their flagged vessels to the Secretariat within 20 days of the end of the month, in accordance with the Data Standards CMM 2.02 and using templates prepared by the Secretariat and available on the SPRFMO website.

**Table 3: Assessment of compliance for year X Monthly Catch returns and any possible compliance issues**

Member/CNCP	Number of reports	% received within 10 days	Year X-1 <u>Response and corrective action (as agreed by the Commission)</u>	Year X - Any potential <u>implementation issues?</u>
Name of Member			[Adequate/ Insufficient]	[Y/N]

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**Secretariat Assessment of Compliance**

- Statement of Secretariat raising any potential compliance issues.

**Member Comments on Potential Compliance Issues**

Member	Comment
<i>Name of member</i>	<i>This is the opportunity for members to comment on the secretariat’s provisional assessment of their compliance status in relation to the CMM. This section should only be completed by a member if they have any issues with the provisional compliance assessment or if there is any further information they wish to add for the CTC to consider.</i>

**Paragraph 13:**

Except as described in paragraph 11 above, each Member and CNCP participating in the *Trachurus murphyi* fishery shall collect, verify, and provide all required data to the Executive Secretary, in accordance with the SPRFMO Data Standards CMM 2.02 and the templates available on the SPRFMO website, including an annual catch report.

**Paragraph 15:**

Members and CNCPs participating in the *Trachurus murphyi* fisheries shall implement a vessel monitoring system (VMS) in accordance with the SPRFMO Data Standards CMM 2.02 and other relevant CMMs adopted by the Commission. These VMS data shall be provided to the Executive Secretary within 10 days of each quarter in the format prescribed by the SPRFMO Data Standards CMM 2.02 and using the templates on the SPRFMO website.

**Table 4: Assessment of compliance for year X VMS data**

Member/CNCP	Number of reports	% received within 10 days	% using templates	Provided in prescribed format	Year X-1 <u>Response and corrective action</u> (as agreed by the Commission)	Year X - Any potential compliance issues?
Name of member/ CNCP					<u>[Adequate/ Insufficient]</u>	[Y/N]

When calculating %; nil reports are ignored.

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**Secretariat Assessment of Compliance and potential compliance issues**

- Statement of Secretariat raising any potential compliance issues.

**Member Comments on Potential Compliance Issues**

Member	Comment
<i>Name of member or CNCP</i>	<i>This is the opportunity for members to comment on the secretariat’s provisional assessment of their compliance status in relation to the CMM. This section should only be completed by a member if they have any issues with the provisional compliance assessment or if there is any further information they wish to add for the CTC to consider.</i>

**Paragraph 16:**

Each Member and CNCP participating in the *Trachurus murphyi* fishery shall provide the Executive Secretary a list of vessels (Fishing vessels as defined in Article 1(h) of the Convention) they have authorised to fish in the fishery in accordance with Article 25 of the Convention and shall provide data in respect of those vessels in accordance with paragraph 5 of CMM 2.05 and other relevant CMMs adopted by the Commission. They shall also notify the Executive Secretary of the vessels that are actively fishing or engaged in transshipment in the Convention Area within 20 days of the end of each month. The Executive secretary shall maintain lists of the vessels so notified and will make them available on the SPRFMO website.

**Paragraph 18:**

In order to facilitate the work of the Scientific Committee, Members and CNCPs shall provide their annual national reports, in accordance with the existing guidelines for such reports, in advance of the 2014 Scientific Committee meeting. Members and CNCPs shall also provide observer data for the 2014 fishing season to the Scientific Committee to the maximum extent possible. The reports shall be submitted to the Executive Secretary at least one month before the 2014 Scientific Committee meeting in order to ensure that the Scientific Committee has an adequate opportunity to consider the reports in its deliberations.

**Table 5: Assessment of compliance with CMM 2.01 (Data Standards; 2014) Paragraph 18 and any potential compliance issues**

Member/CNCP	Year X annual report provided	Received 1 month prior to SC01	Year X-1 observer data provided to SC01*	Year X-1 <u>Response and corrective action</u> (as agreed by the Commission)	2014 - Any potential compliance issues?
Name of Member/CNCP	[Y/N]	[Y/N]	[Y, N or n/a]	<u>[Adequate/Insufficient]</u>	[Y/N]

\*Observer data as defined in CMM 2.02 (Data Standards; 2013)

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**Secretariat Assessment of Compliance and potential compliance issues**

- Statement of Secretariat raising any potential compliance issues.

**Member Comments on Potential Compliance Issues**

Member	Comment
<b>Name of member or CNCP</b>	<i>This is the opportunity for members to comment on the secretariat’s provisional assessment of their compliance status in relation to the CMM. This section should only be completed by a member if they have any issues with the provisional compliance assessment or if there is any further information they wish to add for the CTC to consider.</i>

**Paragraph 19:**

In accordance with Article 24(2), all Members and CNCPs participating in the *Trachurus murphyi* fishery shall provide, at least 10 days before the meeting of the Compliance and Technical Committee (CTC), a report describing their implementation of this CMM.

**Secretariat Assessment of Compliance**

- Secretariat’s assessment of compliance.
- If the Secretariat is not able to assess compliance with this paragraph at the time of producing this report, Members and CNCPs may need to provide additional information.

**Member Comments on Potential Compliance Issues**

Member	Comment
<b>Name of member or CNCP</b>	<i>This is the opportunity for members to comment on the secretariat’s provisional assessment of their compliance status in relation to the CMM. This section should only be completed by a member if they have any issues with the provisional compliance assessment or if there is any further information they wish to add for the CTC to consider.</i>

**Paragraph 22:**

Until the Commission adopts an Observer Programme in accordance with Article 28 of the Convention, all Members and CNCPs participating in the *Trachurus murphyi* fishery shall ensure a minimum of 10 % scientific observer coverage of trips for vessels flying their flag and ensure that such observers collect and report data as described in the SPRFMO Data Standards CMM 2.02. In the case of the flagged vessels of a Member or CNCP undertaking no more than 2 trips in total, the 10% observer coverage shall be calculated by reference to active fishing days for trawlers and sets for purse seine vessels.

**Secretariat Assessment of Compliance**

- Secretariat’s assessment of compliance.
- If the Secretariat is not able to assess compliance with this paragraph at the time of producing this report, Members and CNCPs may need to provide additional information.

**Member Comments on Potential Compliance Issues**

Member	Comment
<b><i>Name of member or CNCP</i></b>	<i>This is the opportunity for members to comment on the secretariat’s provisional assessment of their compliance status in relation to the CMM. This section should only be completed by a member if they have any issues with the provisional compliance assessment or if there is any further information they wish to add for the CTC to consider.</i>