

CMM 04-2020

Conservation and Management Measure Establishing a List of Vessels Presumed to Have Carried Out Illegal, Unreported and Unregulated Fishing Activities in the SPRFMO Convention Area (Supersedes CMM 04-2019)

The Commission of the South Pacific Regional Fisheries Management Organisation,

RECALLING that the FAO Council adopted on 23 June 2001 an International Plan of Action to prevent, to deter and eliminate illegal, unreported and unregulated fishing (IPOA-IUU). This plan stipulates that the identification of the vessels carrying out illegal, unreported and unregulated (IUU) fishing activities should follow agreed procedures and be applied in an equitable, transparent and non-discriminatory way;

CONCERNED by the fact that IUU fishing activities in the Convention Area diminish the effectiveness of SPRFMO Conservation and Management Measures (CMMs);

DETERMINED to address the challenge of an increase in IUU fishing activities by way of counter-measures to be applied in respect to the vessels, without prejudice to further measures adopted in respect of flag States under the relevant SPRFMO instruments;

NOTING that efforts to prevent, deter and eliminate IUU fishing must be addressed in the light of all relevant international fisheries instruments and in accordance with other relevant international obligations, including the rights and obligations established under the World Trade Organization (WTO) Agreement;

RECALLING Article 27 of the Convention, which calls on Members to address IUU fishing activities and to establish appropriate cooperative procedures for effective monitoring, control and surveillance of fishing and to ensure compliance with the Convention;

ADOPTS the following CMM in accordance with Articles 8 and 20 of the Convention:

Definition of IUU Fishing Activities

1. For the purposes of this CMM, the fishing vessels flying the flag of a non-Member, or a Member or a Cooperating non-Contracting Party (hereafter CNCP), are presumed to have carried out IUU fishing activities in the Convention Area, inter alia, when a Member or a CNCP presents evidence that such vessels:
 - a) engage in fishing for fishery resources and are not registered on the SPRFMO list of vessels authorised to fish in the Convention Area;
 - b) engage in fishing for fishery resources whose flag State has exhausted or has no quotas, catch limit or effort allocation, including, if applicable, those received from another Member or CNCP under relevant SPRFMO CMMs;
 - c) do not record and/or report their catches or catch related data made in the Convention Area, or make false reports;
 - d) take on board, tranship or land undersized fish in a way that undermines SPRFMO CMMs;
 - e) engage in fishing during closed fishing periods or in closed areas, without or after exhaustion of a quota or beyond a closed depth, in contravention of SPRFMO CMMs;
 - f) use prohibited or non-compliant fishing gear in a way that undermines SPRFMO CMMs;
 - g) tranship with, or participate in joint operations such as re-supply or re-fuelling vessels included in the IUU Vessel List;



- h) are without nationality and engage in fishing for fisheries resources in the Convention Area; and/or
- i) engage in fishing activities contrary to any other SPRFMO CMMs.

Information on alleged IUU Fishing activities

2. Members and CNCPs shall transmit every year to the Executive Secretary at least 120 days before the annual meeting, their list of vessels presumed to be carrying out IUU fishing activities in the Convention Area over the past two years¹, accompanied by suitably documented evidence concerning the presumption of IUU fishing activity.
3. This list shall be based, *inter alia*, on reports by Members and CNCPs relating to SPRFMO CMMs in force, trade information obtained on the basis of relevant trade statistics such as Food and Agriculture Organization of the United Nations (FAO) data, statistical documents and other national and international verifiable statistics, as well as any other information obtained from port States and/or gathered from the fishing grounds that is suitably documented. Information from Members and CNCPs should be provided in the SPRFMO Reporting Form of Illegal Activity (Annex 1).
4. Before or at the same time as transmitting a list of presumed IUU vessels to the Executive Secretary, the Member or CNCP shall notify, either directly or through the Executive Secretary using the Reporting Form in Annex 1, the relevant flag State of a vessel's inclusion on this list and provide a copy of the pertinent suitably documented information. The flag State shall promptly acknowledge receipt of the notification.

Draft IUU Vessel List

5. On the basis of the information received pursuant to paragraph 2 and/or any other suitably documented information at his/her disposal, the SPRFMO Executive Secretary shall draw up a Draft IUU Vessel List. This list shall be drawn up in conformity with Annex 2. The Secretary shall transmit it together with the current IUU Vessel List, including any inter-sessional amendments, as well as all the supporting evidence provided, to Members and CNCPs whose vessels are included on these lists at least 90 days before the annual meeting.
6. Members and CNCPs, shall transmit their comments, as appropriate, including evidence showing that the listed vessels have neither fished in contravention to SPRFMO CMMs, nor had the possibility of fishing for fishery resources in the Convention Area, at least 30 days before the annual meeting of SPRFMO.
7. The Commission shall request the flag State to notify the owner of the vessel of its inclusion in the Draft IUU Vessel List and of the consequences that may result from its inclusion being confirmed in the IUU Vessel List adopted by the Commission.
8. Upon receipt of the Draft IUU Vessel List, Members and CNCPs shall closely monitor these vessels included in the Draft IUU Vessel List in order to determine their activities and possible changes of name, flag and/or registered owner.

Provisional and current IUU Vessel List

9. On the basis of the information received pursuant to paragraphs 5 and 6 the Executive Secretary shall re-circulate to the Members and CNCPs two weeks in advance of the Commission meeting the Draft IUU Vessel list and the current IUU Vessel List, including any intersessional modifications to the current IUU Vessel List in the sense of paragraphs 21-23, together with all suitably documented information provided pursuant to paragraph 6.

¹ Beginning with the entry into force of this CMM



10. Members and CNCPs may at any time submit to the Executive Secretary any additional information which might be relevant for the CTC to discuss the Draft IUU Vessel List. The Executive Secretary shall circulate the information to the official contacts together with all the evidence provided.
11. The Compliance and Technical Committee of the SPRFMO (CTC) shall examine each year the Draft IUU Vessel List and current IUU Vessel List.
12. The CTC shall remove a vessel from the Draft IUU Vessel List if the flag State demonstrates that:
 - a) the vessel did not take part in any IUU fishing activities described in paragraph 1, or
 - b) effective action has been taken in response to the IUU fishing activities in question, including, *inter alia*, prosecution and/or imposition of sanctions of adequate severity. Members and CNCPs will report any actions and measures taken to promote compliance by their flagged vessels with SPRFMO CMMs.
13. Following this examination of the Draft and current IUU Vessel List, the CTC shall:
 - a) Adopt a Provisional IUU Vessel List in conformity with Annex 2 following consideration of the Draft IUU Vessel List. The Provisional IUU Vessel List shall be submitted to the Commission for approval.
 - b) Recommend to the Commission which, if any, vessels should be removed from the current IUU Vessel List adopted at the previous SPRFMO annual meeting, following consideration of that List and after assessing whether the requirements of paragraph 21 are met.

IUU Vessel List

14. At its annual meeting the Commission shall review the Provisional IUU Vessel List, taking into account any new suitably documented information related to vessels on the Provisional IUU Vessel List, and any recommendations to amend the current IUU Vessel List made by CTC pursuant to paragraph 13 above, and adopt a new IUU Vessel List.
15. On adoption of the list, the Commission shall request Members, CNCPs and non-Members, whose vessels appear on the IUU Vessel List:
 - a) to notify the owner of the vessel identified on the IUU Vessel List of its inclusion on the List and the consequences which result from being included on the List, as referred to in paragraph 16;
 - b) to take all the necessary measures to eliminate these IUU fishing activities, including if necessary, the withdrawal of the registration or of the fishing licenses of these vessels, and to inform the Commission of the measures taken in this respect.
16. Members and CNCPs shall take all necessary non-discriminatory measures, under their applicable legislation and international law:
 - a) to remove or withdraw any fishing authorisations for fisheries resources under the competence of SPRFMO granted to vessels on the IUU Vessel List and not to grant fishing licenses, permits or licenses to those vessels;
 - b) so that the fishing vessels, support vessels, refuelling vessels, the motherships and the cargo vessels flying their flag do not assist in any way, engage in fishing processing operations or participate in any transshipment or joint fishing operations with vessels included on the IUU Vessel List;
 - c) so that vessels on the IUU Vessel List are not authorised to land, tranship, re-fuel, re-supply, or engage in other commercial transactions in their ports, except in case of *force majeure*;
 - d) to prohibit the entry into their ports of vessels included on the IUU Vessel List, except in case of *force majeure*;
 - e) to prohibit the chartering of a vessel included on the IUU Vessel List;
 - f) to refuse to grant their flag to vessels included in the IUU Vessel List, except if the vessel has



changed owner and the new owner has provided sufficient evidence demonstrating the previous owner or operator has no further legal, beneficial or financial interest in, or control of, the vessel, or having taken into account all relevant facts, the flag Member or CNCP determines that granting the vessel its flag will not result in IUU fishing;

- g) to prohibit the imports, or landing and/or transshipment, of species covered by the Convention from vessels included in the IUU Vessel List;
- h) to encourage the importers, transporters and other sectors concerned, to refrain from transaction, transshipment and processing of species covered by the Convention caught by vessels included in the IUU Vessel List;
- i) to collect and exchange with other Members and CNCPs any appropriate information with the aim of searching for, controlling and preventing false import/export certificates regarding species covered by the Convention from vessels included in the IUU Vessel List.

17. The Executive Secretary will take any necessary measure to ensure publicity of the IUU Vessel List adopted by SPRFMO, in a manner consistent with any applicable confidentiality requirements, and through electronic means, by placing it on the SPRFMO web site. Furthermore, the Executive Secretary will transmit the IUU Vessel List to the FAO and to appropriate regional fisheries organisations for the purposes of enhanced co-operation between SPRFMO and these organisations in order to prevent, deter and eliminate IUU fishing.
18. Upon receipt of the final IUU vessel list established by another Regional Fisheries Management Organisation (RFMO), and any other information regarding the list, including its modification, the Executive Secretary shall circulate it to the Members and CNCPs and shall place it on the SPRFMO web site.
19. Measures referred to in paragraph 16 shall apply *mutatis mutandis* to fishing vessels included in the final IUU list established by another RFMO and operating in the SPRFMO Convention Area.
20. Without prejudice to the rights of flag States and coastal States to take proper action consistent with international law, including applicable WTO obligations, Members and CNCPs shall not take any unilateral trade measures or other sanctions against vessels provisionally included in the Draft and Provisional IUU Vessel List, pursuant to paragraphs 5 and 13, or which have been already removed from the IUU Vessel List, pursuant to paragraph 14 or paragraphs 21-23, on the grounds that such vessels are involved in IUU fishing activities.

Modification of the IUU Vessel List

21. A Member, CNCP or non-Member whose vessel appears on the IUU Vessel List may request the removal of this vessel from the list, including during the intersessional period, by providing to the Executive Secretary suitably documented information demonstrating that:
 - a) it has adopted measures so that this vessel conforms with SPRFMO CMMs; and
 - b) it is and will continue to assume effectively its responsibilities with respect to this vessel in particular as regards the monitoring and control of the fishing activities executed by this vessel in the SPRFMO Convention Area; and
 - c)
 - i. it has taken effective action in response to the IUU fishing activities in question including prosecution and/or imposition of sanctions of adequate severity; and/or
 - ii. the vessel has changed ownership and that the new owner can establish the previous owner no longer has any legal, financial or real interests in the vessel or exercises control over it and that the new owner has not participated in IUU fishing.
22. On the basis of the information received in accordance with paragraph 21, the SPRFMO Executive Secretary



will transmit electronically the removal request, with all the supporting information to the official contacts of each member within 15 days following the notification of the removal request. The intersessional decision on the request to remove the vessel shall be made electronically in accordance with Rule 7, paragraphs 8 to 11 of the Rules of Procedure. In the event that a member objects to the removal request, the decision will be taken at the subsequent annual meeting of the Commission.

23. The Executive Secretary will communicate the result of the decision to all Members and CNCPs.
24. The Executive Secretary will take the necessary measures to remove the vessel concerned from the IUU Vessel List, as published on the SPRFMO web site. Moreover, the Executive Secretary will forward the decision of removal of the vessel to the FAO and appropriate regional fisheries organisations.

Action against nationals involved in IUU fishing activities

25. Without prejudice to the primacy of the responsibility of the flag state, Members and CNCPs shall take all appropriate measures, subject to and in accordance with their domestic laws and regulations, with regard to their nationals, and any other natural or legal person subject to their jurisdiction, identified as engaged in, responsible for, benefiting from, or supporting the activities of any vessel engaged in IUU fishing activities in the Convention Area. Nothing in this paragraph shall preclude the rights of Members and CNCPs to apply additional or more stringent measures.
26. For the purpose of paragraph 25, nationals and any other natural or legal person subject to the jurisdiction of the Members and CNCPs include operators, effective beneficiaries, owners, logistics and service providers, including property insurance providers and other financial service providers.
27. Members and CNCPs shall cooperate, including by seeking reciprocal and cooperative arrangements for exchange of information, for the purpose of implementing this CMM. To this end, relevant agencies of Members and CNCPs should designate a contact point through which information on reported activities described in paragraph 25, including information regarding vessel identification, ownership including beneficial ownership, crew and catch, as well as information regarding relevant domestic legislation and the results of actions taken with regard to the implementation of this CMM can be exchanged.
28. To assist with the implementation of this CMM, Members and CNCPs shall include in their Implementation Reports the actions and measures taken in accordance with this CMM.

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

29. A Member or CNCP with information indicating a change in the details of a vessel appearing on the SPRFMO IUU Vessel List shall, as soon as practicable, transmit such information to the Executive Secretary. The Executive Secretary shall communicate such information to all Members and CNCPs and, after verification², update the current IUU Vessel List on the SPRFMO website to reflect such information.

² If the Secretariat, after reasonable efforts, is unable to verify the information submitted by the Member or CNCP the vessel details will not be updated.



ANNEX 1

SPRFMO Reporting Form for Illegal, Unreported and Unregulated Fishing Activity

Recalling SPRFMO CMM 04-2020 (IUU Vessel List) on *Establishing a list of vessels presumed to have carried out illegal, unreported and unregulated fishing activities in the SPRFMO Convention Area*, attached are details of IUU fishing activity recorded in

1. Details of Vessel

- a) Name of vessel and previous names, if any;
- b) Flag of vessel and previous flag, if any;
- c) Name and address of owner of vessel and previous owners, including beneficial owners, if any, and owner's place of registration;
- d) Operator of vessel and previous operators, if any;
- e) Call sign of vessel and previous call sign;
- f) IMO number;
- g) Unique Vessel Identifier (UVI), or, if not applicable, any other vessel identifier;
- h) Photographs of the vessel;
- i) Date vessel was first included on the IUU Vessel List;
- j) Position of alleged IUU fishing activities
- k) Summary of alleged IUU fishing activities (more detail in section 2)
- l) Summary of any actions known to have been taken in respect of the alleged IUU fishing activities
- m) Outcome of actions taken

2. Details of Elements Contravened

(Indicate with an "X" the individual elements of CMM 04-2020 (IUU Vessel List) contravened, and provide relevant details including date, location, source of information. Additional information can be provided in an attachment, if necessary, and listed under section 3).

Item	Definition	Indicate
a	Engage in fishing for fishery resources and are not registered on the SPRFMO list of vessels authorised to fish in the SPRFMO Convention Area	
b	Engage in fishing for fishery resources, whose flag State has exhausted or has no quotas, catch limit or effort allocation, including, if applicable, those received from another Member or CNCP, pursuant to an agreement notified to the Executive Secretary under relevant SPRFMO CMMs	
c	Do not record and/or report their catches or catch related data made in the Convention Area, or make false reports	
d	Take on board, tranship or land undersized fish in a way that undermines SPRFMO CMMs	
e	Engage in fishing during closed fishing periods or in closed areas, without or after exhaustion of a quota or beyond a closed depth, in contravention of SPRFMO CMMs	
f	Use prohibited or non-compliant fishing gear in a way that undermines SPRFMO CMMs	
g	Tranship with, or participate in joint operations such as re-supply or refuelling vessels included in the IUU Vessel List	
h	Are without nationality and engage in fishing for fishery resources in the SPRFMO Convention Area	
i	Engage in fishing activities that are contrary to any other SPRFMO CMMs	



3. Associated Documents

(List here the associated documents that are appended e.g. boarding reports, court proceedings, photographs).

4. Recommended Actions

Item	Recommended actions	Indicate
a	Notification to SPRFMO Executive Secretary only. No further action is recommended	
b	Notification of IUU fishing activity to SPRFMO Executive Secretary. Recommend notification of activity to flag State	
c	Recommended for inclusion on SPRFMO IUU Vessel List	



ANNEX 2

Information to be Included in all IUU Vessel Lists (Draft, Provisional and Final)

The Draft IUU Vessel List, as well as the Provisional and Final IUU Vessel Lists shall contain the following details, where available:

- a) Name of vessel and previous names, if any;
- b) Flag of vessel and previous flag, if any;
- c) Name and address of owner of vessel and previous owners, including beneficial owners, if any, and owner's place of registration;
- d) Operator of vessel and previous operators, if any;
- e) Call sign of vessel and previous call sign;
- f) IMO number;
- g) Unique Vessel Identifier (UVI), or, if not applicable, any other vessel identifier;
- h) Photographs of the vessel;
- i) Date vessel was first included on the IUU Vessel List;
- j) Summary of activities which justify inclusion of the vessel on the List, together with references to all relevant documents informing of and evidencing those activities.