

ACHIEVING TRANSPARENCY AND COMBATING IUU FISHING IN RFMOs

Reinforcing the EU's multilateral actions to promote
best practices

ANNEXES

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ANNEX 1: ICCAT, IOTC, GFCM and SIOFA current performance on transparency and anti-IUU measures

INDICATORS	ICCAT	Additional details	IOTC	Additional details	GFCM	Additional details	SIOFA	Additional details
IDENTIFICATION AND TRACKING OF VESSEL ACTIVITIES: POINT OF HARVEST								
Public disclosure of vessel registries and fishing authorisations								
Public vessel registry (including historical record information)		https://iccat.int/en/VesselsRecord.asp		http://www.iotc.org/vessels/current		Fleet register and authorised vessel list provided, but without historical record: http://www.fao.org/gfcm/data/en/		https://www.apsoi.org/mcs/authorised-vessels
Public information on the type of authorisation including target species or species groups)		https://iccat.int/en/VesselsRecord.asp		Not enough information provided on targeted species		Some information on targeted species is provided (e.g., small pelagics, as well as turbot in the Black Sea)		No information provided on targeted species
Public information on the authorised time (start and end dates, fishing area).		https://iccat.int/en/VesselsRecord.asp		http://www.iotc.org/vessels/current updated, as per new IOTC Resolution 19/04		Some information on fishing area is provided (e.g., some Fisheries Restricted Areas, Levant Sea, etc.)		https://www.apsoi.org/mcs/authorised-vessels
Public mandatory annual reporting of all private and public access agreements (including fishing related activities and chartering arrangements)		ICCAT Recommendation 14-07		Annual reporting of access agreements to the Secretariat is required but not published, as per IOTC Resolution 14/05.		*New Recommendation GFCM/43/2019/7 (First reporting expected in 2020)	NA	Mandate only for the high seas
Mandatory IMO numbers for all vessels above 12m		Reporting of IMO numbers is required for vessels above 20m only "if assigned", as per ICCAT Recommendation 13-13. In addition, due to the mutatis mutandis clauses in ICCAT Recommendations 16-05 and 18-02, data requirements in 13-13 are extended to vessels of all sizes that catch Bluefin tuna, albacore and swordfish.		Since 1 January 2020, IMO numbers are required and must be reported for all eligible vessels (currently above 12m authorised to operate outside waters of the flag State) as per Resolution 19/04 and in line with IMO Assembly Resolution A.1117(30).		IMO numbers required for vessels only above 24m but not a binding requirement, as per Resolution GFCM/41/2017/6. Reporting of IMO numbers required for vessels only "if applicable", as per Recommendation GFCM/33/2009/6.		Reporting of IMO numbers required for vessels only "if issued", as per SIOFA CMM 2019/07
Align all RFMOs with leading global standards in VMS		Vessels exceeding 24m as well as those above 15m authorised to fish in waters beyond jurisdiction of the flag CPC must be monitored by VMS and data must be shared between flag and coastal States, as per ICCAT Recommendation 18-10. In addition, VMS data for vessels over 15m fishing for eastern Atlantic and Mediterranean Bluefin tuna must be transmitted to the ICCAT Secretariat, as per ICCAT Recommendation 07-08. However, there is no regional centralised system for VMS.		Vessels 24m or above or in case of vessels less than 24m, those operating in waters outside the EEZ of the flag State fishing for species covered by the IOTC Agreement within the IOTC area of competence, must be monitored by VMS, as per IOTC Resolution 15/03. However, there is no regional centralised system for VMS and no requirement for data sharing between flag and coastal States.		Each CPC is required to implement a satellite-based VMS for its commercial fishing vessels exceeding 15m authorised to operate in the GFCM area of application, as per Recommendation GFCM/33/2009/7. However, this requirement is not fully implemented by all CPCs. There is also currently no requirement for data sharing between flag and coastal States, though Resolution GFCM/43/2019/3 provides for the piloting of a centralised VMS system.		No regional centralised VMS in place, however, SIOFA CMM 2019/10 states that "the Meeting of the Parties shall at the latest by its ordinary meeting in 2020 develop specifications and proposed rules and procedures for the establishment of a SIOFA VMS for consideration by the Meeting of the Parties".
Joint inspection schemes		Joint inspection schemes in place, as per ICCAT Recommendations 18-02, 16-05 and Resolution 19-17		No joint inspection scheme in place		*Joint inspection scheme in the Strait of Sicily, as per Recommendation GFCM/42/2018/6 and new Recommendation GFCM/43/2019/5 expanded the scope of joint inspections to new areas though further expansion is needed.		*New SIOFA CMM 2019/14
LANDING AND TRANSPORT OF FISH PRODUCTS								
Align port state measures with FAO's Port State Measures Agreement (PSMA)		Port state measures required, as per ICCAT Recommendation 18-09		Port state measures required, as per IOTC Resolution 16/11		Port state measures required, as per Recommendation GFCM/40/2016/1		Port state measures required, as per SIOFA CMM 2017-08, though they do not explicitly provide for information exchange.
Monitor and report 100% of transshipment activities or ban at sea		Transshipment activities are regulated, as per ICCAT Recommendation 16-15. However, this should be updated to require that carrier vessels are flagged to a CPC, that all document exchange occurs in near real-time, that notifications are given to the Secretariat when carrier vessels intending to transship enter the Convention area, and that all carrier vessels have on board observers that issue reports on all transshipment activity directly to the Secretariat.		*Revised Resolution 19/06 regulates transshipment activities, however, only for large-scale fishing vessels (above 24m).		Some rules in place but insufficient. Transshipments are monitored and regulated but only under GFCM MAPS, where transshipments are authorised in defined "designated landing ports" (with specific times/ places) and with 100% monitoring. However, currently GFCM has only 4 MAPS adopted with such provisions, therefore it covers a tiny part of its fisheries (namely Hake & DWR shrimp in Strait of Sicily; deepwater shrimps in Ionian Sea; deepwater shrimps in Levant Sea; turbot in the Black Sea).		*New measures adopted for regulating transshipment, as per SIOFA CMM 2019/10. However, this should be updated to require that all document exchange occurs in near real-time, and that both fishing and carrier vessels have on board observers that issue reports on all transshipment activity within 24 hours directly to the Secretariat.

INDICATORS	ICCAT	Additional details	IOTC	Additional details	GFCM	Additional details	SIOFA	Additional details
TRACEABILITY ALONG THE VALUE CHAIN: THE TRADE OF FISH PRODUCTS								
Use of e-CDS (included for all overfished species)		Appropriate e-CDS in place but limited to Atlantic Bluefin tuna, as per ICCAT Recommendation 18-13.		While IOTC's statistical programme for bigeye tuna incorporates elements of a CDS, it does not qualify as one.		*A new pilot CDS was adopted for turbot in the Black Sea, as per Recommendation GFCM/43/2019/3 and Mediterranean red coral, as per Recommendation GFCM/43/2019/4 but are paper-based.		No CDS in place
DETERRENT SANCTIONS AND IUU VESSEL LISTS								
Stop vessels and nationals engaged in IUU fishing								
Full accountability for vessels and nationals (including effective beneficiaries) engaging in or supporting IUU fishing		Although ICCAT Recommendation 06-14 requires CPCs to investigate and take action in response to the engagement of their nationals in IUU fishing, the scope of this requirement does not explicitly extend to nationals responsible for, supporting or benefiting from these activities.		Although IOTC Resolution 17/01 requires CPCs to investigate and take action in response to the engagement of their nationals in IUU fishing, the scope of this requirement does not explicitly extend to nationals responsible for, supporting or benefiting from these activities.		*New recommendation GFCM/43/2019/8		SIOFA CMM 2018/06
Transparent follow-up action on IUU vessel lists		No public information provided		No public information provided		Follow-up actions on IUU vessels are included in the Compliance Committee report.		Some information is contained in the Compliance Committee report.
Cross-listing (preferably automatic) of IUU vessel lists		ICCAT incorporates nine IUU vessel lists, including CCAMLR, CCSBT, GFCM, IOTC, IATTC, NAFO, NEAFC, SEAFO and WCPFC, as per ICCAT Recommendation 18-08.		IOTC incorporates seven of the IUU vessel lists, including CCAMLR, CCSBT, ICCAT, SEAFO, SIOFA, SPRFMO and WCPFC, as per IOTC Resolution 18/03.		GFCM incorporates most IUU vessel lists, as per Recommendation GFCM/33/2009/8.		SIOFA incorporates twelve IUU vessel lists including CCAMLR, CCSBT, ICCAT, IOTC, IATTC, GFCM, NAFO, NEAFC, NPFC, SEAFO, SPRFMO and WCPFC, as per SIOFA CMM 2018/06.
TRANSPARENT PROCEDURES								
Decision-making process								
Transparent objection procedures		*The revised ICCAT Convention text, which includes an improved decision-making process, was adopted in 2019 but has yet to enter into force pending ratification.		No transparent objection procedures		The objection needs to be public, but there is no need to respect any criteria for objecting as per the Agreement for the Establishment of the General Fisheries Commission for the Mediterranean.		No transparent objection procedures
Timely resolution mechanism		*The revised ICCAT Convention text, which includes an improved decision-making process, was adopted in 2019 but has yet to enter into force pending ratification.		No timely resolution mechanism		No timely resolution mechanism		No timely resolution mechanism
Open data policies and stakeholder inclusivity								
Participation of NGOs as observers in all meetings		NGOs permitted to attend all meetings		NGOs permitted to attend all meetings		NGOs permitted to attend all meetings		NGOs permitted to attend all meetings
Publication of the compliance report		While ICCAT does publish its compliance reports, this takes place with significant delay, often many months after the relevant meetings. The reports are then available online.		Publication of the compliance report typically occurs within a month after the relevant meeting.		Publication of the compliance report typically occurs within a month after the relevant meeting.		Publication of the compliance report typically occurs within a month after the relevant meeting.
Fully transparent reporting and cataloguing of operational incidents at sea and people involved		*ICCAT Recommendation 19-10 improves provisions on protecting the health and safety of observers, however it does not provide for transparent reporting of operational incidents at sea and for the crew members involved.		No reporting of operational incidents at sea		No reporting of operational incidents at sea		No reporting of operational incidents at sea
Compliance								
Ranking of non-compliance and reporting on actions taken by CPs		CPs report on actions taken in cases of non-compliance but follow-up and assessment by the Compliance Committee should be improved.		CPs report on actions taken in cases of non-compliance but follow-up and assessment by the Compliance Committee is very poor.		Recommendation GFCM/38/2014/2 and revised by new GFCM/43/2019/5 that creates Compliance Assessment Scheme.		CPs report on actions taken in cases of non-compliance but follow-up and assessment by the Compliance Committee is very poor.
Provisions on sanctions		ICCAT Recommendation 06-13 provides for prohibiting retention of catch when reporting obligations are not fulfilled. In addition, the history of corrective actions taken are publicly available and invoking trade measures is an option in instances of repeated non-compliance.		IOTC Resolution 18/07 provides for prohibiting retention of catch when reporting obligations are not fulfilled. However, CPs are not required to report on corrective actions taken nor to invoke trade measures in instances of repeated non-compliance.		Recommendation GFCM/38/2014/2 set up a general non-compliance mechanism, but it remains insufficient as there is no provision on corrective actions or sanctions taken against repeated cases of non-compliance such as trade measures. New 2019 Resolution paves the way for sanctioning scheme to be adopted in 2020.		SIOFA CMM 2018/11 sets out corrective actions in cases of critical non-compliance, but fails in providing an extended list of deterrent sanctions such as trade measures.

Scoring	
Yes	
Needs improvements or not fully implemented	
No	

* Improvement due to a measure adopted in 2019

ANNEX 2: Amended or adopted transparency and anti-IUU conservation and management measures in the 2019 RFMO Commission meetings

The General Fisheries Commission for the Mediterranean (GFCM) – November 2019:

- Recommendation GFCM/43/2019/3 amending Recommendation GFCM/41/2017/4 on a multiannual management plan for turbot fisheries in the Black Sea (geographical subarea 29)
- Recommendation GFCM/43/2019/4 on a management plan for the sustainable exploitation of red coral in the Mediterranean Sea
- Recommendation GFCM/43/2019/5 on a multiannual management plan for sustainable demersal fisheries in the Adriatic Sea (geographical subareas 17 and 18)
- Recommendation GFCM/43/2019/7 on information on access agreements in the GFCM area of application
- Recommendation GFCM/43/2019/8 amending Recommendation GFCM/33/2009/8 on the establishment of a list of vessels presumed to have carried out illegal, unreported and unregulated fishing in the GFCM area of application
- Resolution GFCM/43/2019/3 on the implementation of a vessel monitoring system and an electronic logbook in the GFCM area of application

The International Commission for the Conservation of Atlantic Tunas (ICCAT) – November 2019:

- Revised ICCAT Convention has been adopted. CPCs need to ratify the text.
- Recommendation 19-10 by ICCAT on protecting the health and safety of observers in ICCAT's regional observer programs
- Resolution 19-17 amending resolution 18-11 establishing a pilot program for the voluntary exchange of inspection personnel in fisheries managed by ICCAT
- Establishment of the WG on control and traceability measures for bluefin tuna

The Indian Ocean Tuna Commission (IOTC) – June 2019:

- Resolution 19/06 on establishing a programme for transshipment by large-scale fishing vessels
- Resolution 19/07 on vessel chartering in the IOTC Area of Competence (supersedes Resolution 18/10)

The Southern Indian Ocean Fisheries Agreement (SIOFA) – July 2019:

- CMM 2019/14 High Seas Boarding and Inspection Procedures
- CMM 2019/10 Conservation and Management Measure for the Monitoring of Fisheries in the Agreement Area (Monitoring)