### CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA



Fourteenth meeting of the Conference of the Parties The Hague (Netherlands), 3-15 June 2007

#### Interpretation and implementation of the Convention

Species trade and conservation issues

TOOTHFISH: REPORT OF CCAMLR

1. This document has been submitted by the Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR).

#### Introduction

2. This document has been submitted by the CCAMLR Secretariat pursuant to Resolution Conf. 12.4 on Cooperation between CITES and the Commission for the Conservation of Antarctic Marine Living Resources regarding trade in toothfish, which, in particular, "ENCOURAGES CCAMLR to maintain a permanent flow of information to the Parties to CITES through the Conference of the Parties and requests that the Secretariat in turn transmit to the Secretariat of CCAMLR any information available on illicit trade in these species".

#### Background

- 3. At CCAMLR-XXI held in 2002, the Commission considered a proposal to list toothfish (*Dissostichus* spp.) in CITES Appendix II.
- 4. After considering the proposal, the Commission concluded the following (CCAMLR, 2002, paragraph 10.73):
  - *a)* CCAMLR is the body with primary competency for managing the conservation and rational use of toothfish in the Convention Area.
  - b) The Scientific Committee of CCAMLR is the pre-eminent scientific body with respect to the biology of toothfish, its role in the Antarctic marine ecosystem, and the assessment of sustainable harvest levels.
  - c) CCAMLR will continue to take enhanced measures to address IUU fishing.
  - *d)* The CCAMLR Catch Documentation Scheme for Dissostichus spp. (CDS) is recognised as the appropriate trade documentation for the trade of toothfish.
  - e) CCAMLR will encourage greater adoption and use of the CDS by non-CCAMLR Members and, in this regard, would urge CITES Parties to require a CCAMLR CDS document on all toothfish imports.
- 5. The Commission considered it was essential to cooperate, if appropriate, with present and future Regional Fisheries Management Organizations (RFMOs) in assisting with the conservation and

rational use of toothfish. It noted CCAMLR's Article XXIII in this respect, and concluded that further cooperation with CITES would be welcome (CCAMLR, 2002, paragraph 10.74).

6. Besides Resolution Conf. 12.4, the Conference of Parties to CITES also adopted at its 12th meeting (CoP12, Santiago, 2002) Decisions 12.57 to 12.59 on Trade in toothfish as follows:

# Directed to Parties

12.57 Parties should, by the end of 2003, report to the Secretariat their use of the Dissostichus Catch Document used by CCAMLR, and their verification requirements for such Catch Documents.

#### Directed to the Secretariat

- 12.58 The Secretariat shall compile the information on the use of and verification requirements for Dissostichus Catch Documents provided by Parties and send this information to CITES Parties and to CCAMLR yearly, and report on this at the 13th meeting of the Conference of the Parties.
- 12.59 The Secretariat shall invite CCAMLR to consider, at its 22nd Commission meeting, how further cooperation between CITES and CCAMLR could be progressed.
- 7. Pursuant to the above mentioned Resolution and Decisions, Parties to CITES involved in legally catching, and trading in, toothfish were requested to apply CCAMLR's CDS procedures. They were also required to report on application of such procedures to the CITES Secretariat so that information can be communicated to CCAMLR (CCAMLR, 2003, paragraphs 14.1 and 14.2).
- 8. Taking into account the Decisions 12.57 to 12.59, CCAMLR later requested that the CITES Secretariat provide information on implementation of the CDS by CITES Parties. All the reports received by CITES and submitted to CCAMLR during 2003 were from CCAMLR Contracting Parties.
- 9. The adoption of Resolution Conf. 12.4 in 2002 has not resulted in any new CITES Parties, which are not Parties to the CAMLR Convention, acceding to the CAMLR Convention or cooperating voluntarily with the Commission's conservation measures, particularly the CDS. No information has been submitted to CCAMLR pursuant to Resolution Conf. 12.4 with regard to international trade in toothfish.

#### CCAMLR CDS and its achievements

- 10. The CDS is undoubtedly a major CCAMLR achievement in combating the IUU fishing for toothfish. Not only is the Scheme unique in its scope and application, it became fully operational within a relatively short period (less than two years after it was first introduced in May 2002). The electronic, web-based version of the CDS (E-CDS) has made its operation even more secure and effective. The current version of the CDS and the CCAMLR Policy to Enhance Cooperation between CCAMLR and non-Contracting Parties are attached (Annexes 1 and 2 respectively).
- 11. The CDS has a mechanism for participation in the Scheme by non-Contracting Parties which are engaged in fishing and/or trade in *Dissostichus* spp. Most importantly, CCAMLR has expanded the role of 'Port' and 'Market' States in its effort to discourage trade in IUU-caught toothfish. Without diminishing Flag State responsibilities, CCAMLR's efforts have brought into focus the need for other States to assume greater responsibility for combating trade in toothfish taken in a manner which undermines CCAMLR conservation measures. This development is the key to improving CCAMLR's ability to combat IUU fishing directly.
- 12. The CDS has drawn in a number of CCAMLR Non-Contracting Parties (NCPs) and its overall coverage now extends to more than 90 % of the global trade in toothfish (see Table 1 and Fig. 1).
- 13. Using the CDS, participating Port and Market States have been able to deny toothfish landings and/or shipments in the absence of the required documents. Such absence provides a creditable basis to trigger enforcement action. The CDS has also improved estimates of global toothfish catch

levels and brought to light incidents of misreported and fraudulent catch documentation. Given the evidence that the introduction of the CDS has made trading in IUU-caught fish less profitable, it appears to be having the desired effect of restricting unfettered market access to IUU-caught product.

- 14. The CDS has largely enhanced CCAMLR's set of both traditional and innovative regulatory measures aimed at the elimination of IUU fishing. Consequently, the estimated total IUU catch in the Convention Area was reduced from more than 30,000 tonnes in 1996/97 to about 3,000 tonnes in the past three seasons (Table 2).
- 15. Despite such a dramatic reduction in IUU catches achieved by CCAMLR, the Commission continues to be seriously concerned with the remaining small but persistent level of IUU fishing and has increased its efforts to eliminate it.
- 16. Since the beginning of the 2004/05 season, most reports on IUU activities come from fishing grounds located at about 55° and 60° S in the Indian Ocean Sector of the Convention Area (CCAMLR/FAO Statistical Divisions 58.4.1, 58.4.3 and 58.4.4) (see Fig 2).

# The need for coordinated international effort

- 17. The CDS has provided CCAMLR with an opportunity to promote multilateral cooperation to combat IUU fishing for toothfish. In contrast to other CCAMLR measures, the CDS is applicable globally, in that it is not restricted only to the Convention Area and to CCAMLR Contracting Parties. Furthermore, its implementation is consistent with many of the provisions of UNFSA Articles 7, 8 and 17<sup>1</sup>.
- 18. Non-Contracting Party Flag States whose vessels are currently involved in IUU fishing in the CCAMLR Convention Area and which are Parties to CITES are Equatorial Guinea and Togo.
- 19. Since the introduction of the CDS in May 2000, and based on information collected on toothfish landings and trade, CCAMLR has invited a number of non-Contracting Parties to participate in the CDS. Namibia, Mauritius and the People's Republic of China have subsequently become CCAMLR Contracting Parties. Other invited Parties and territories include Singapore, Indonesia and the People's Republic of China in respect of the Hong Kong Special Administrative Region (SAR). All of them are Parties to CITES.
- 20. Singapore voluntarily cooperates with CCAMLR in the implementation of the CDS. However, it does so only partially, in that it authorises re-exports of toothfish shipments which have been declared by their owners for export outside of that country. It does not exercise any control over landings of toothfish in its ports. Indonesia, from time to time, provides port facilities for landings of toothfish and the servicing of toothfish fishing vessels. Despite several invitations received from CCAMLR and continued bilateral diplomatic demarches by CCAMLR Members, Indonesia has not yet decided to formally cooperate with CCAMLR in the implementation of the CDS.
- 21. Hong Kong SAR continues to decline CCAMLR's invitation to voluntarily implement the CDS. In so doing, Hong Kong SAR has reiterated its position that it has no authority to control landings, imports and exports of toothfish since the species is not covered by CITES. In late 2006, the People's Republic of China became a Contracting Party to CCAMLR. During the most recent CCAMLR meeting in November 2006, the People's Republic of China advised CCAMLR that it would give positive consideration to initiate internal consultation on the participation of Hong Kong SAR in the CDS (CCAMLR, 2006, paragraph 8.1).
- 22. The partial participation of Singapore in the CDS and continued non-participation in the CDS of Indonesia and Hong Kong SAR represent a potential loophole for IUU operators because their ports and territories could be used for landings and/or trade in undocumented toothfish. Based on CDS

<sup>&</sup>lt;sup>1</sup> UN UNFSA, Agreement for the Implementation of the United Nations Convention on the Law of the Sea of 10 December 1982 Relating to the Conservation of Straddling Fish Stocks and Highly Migratory Fish Stocks. (Division for Ocean Affairs and Law, United Nations, New York, 1998). p. 7-37.

information, reports from Hong Kong SAR, Indonesia and Singapore and other verifiable sources, a summary of reported exports/imports of toothfish across their territories is presented in Table 3. It should be noted that these figures do not include information on undocumented and unreported landings and export/import operations. Although such information is not readily available and often comes from unverifiable sources, it indicates that the total volume of landings and trade in these territories could be much higher. This could be evaluated and verified only when Hong Kong SAR, Indonesia and Singapore exercise full control over toothfish landing and trade operations in accordance with the CDS requirements.

- 23. Therefore CCAMLR particularly wishes to draw the attention of the Conference to Equatorial Guinea and Togo, the Flag States of IUU fishing vessels currently operating in the CCAMLR Convention Area, as well as to the People's Republic of China in respect of Hong Kong SAR, Indonesia and Singapore in respect of their participation in and full implementation of the CDS requirements.
- 24. CCAMLR believes that the Conference would be in a position to request the Parties mentioned above to specifically report their position in respect of implementing Resolution Conf. 12.4, in particular on the implementation of the CDS.
- 25. CCAMLR further believes that the Conference would be in a position to draw the attention of all Flag States of IUU fishing vessels that are Parties to CITES to the fact that their actions seriously undermine the attainment of CCAMLR's objectives in the conservation of Antarctic marine living resources. All States that are interested in research or harvesting activities in relation to Antarctic marine living resources are encouraged to accede to the Convention.

#### Conclusion

- a) CCAMLR's CDS has proven to be an effective tool in combating toothfish IUU fishing.
- b) The overall level of IUU fishing in the CCAMLR Convention Area has been reduced to about one 10th of the level in 1996/97.
- c) The elimination of a remaining small but persistent level of IUU fishing in the CCAMLR Convention Area requires more coordinated international effort.
- d) In particular, CCAMLR would like to bring to the attention of the Conference the following:
  - i) Vessels flagged to Equatorial Guinea and Togo, both Parties to CITES, are currently involved in IUU fishing in the CCAMLR Convention Area;
  - ii) Singapore, a Party to CITES, continues to implement the CDS only partially;
  - iii) Hong Kong SAR has stated its position that it has no authority to control landings, import and export of toothfish since the species is not covered by CITES;
  - iv) Indonesia, a Party to CITES, has not yet decided to implement the CDS.
- e) CCAMLR recommends that the Conference:
  - request the CITES Parties mentioned above to specifically report their position in respect of implementing Resolution Conf. 12.4 and that such reports be made available to CCAMLR for consideration at its next annual meeting in October-November 2007;
  - draw the attention of Flag States that are Parties to CITES and whose fishing vessels are engaged in IUU fishing for toothfish in the CCAMLR Convention Area, to the fact that their actions seriously undermine the attainment of CCAMLR's objectives in the conservation of Antarctic marine living resources; and

iii) re-enforce one of the provisions of Resolution Conf. 12.4 by "requesting that all Flag and Market States that are Parties to CITES and that capture toothfish or that trade in toothfish products, and which have not yet done so, to adhere to the Convention for the Conservation of Antarctic Marine Living Resources and, in any case, to cooperate voluntarily with its conservation measures", particularly the CDS.

# COMMENTS FROM THE SECRETARIAT

- A. The Secretariat acknowledges CCAMLR's concern that some Parties have not adhered to the spirit of Resolution Conf. 12.4 and invites those Parties to consider its urgent implementation in light of the recommendations contained in this document.
- B. The Secretariat notes that the implementation of Resolution Conf. 12.4 is seriously hampered by the fact that the species concerned are not included in CITES Appendix II.

#### References

CCAMLR, 2002. Report of the Twenty-First Meeting of the Commission, CCAMLR, Hobart, Australia

CCAMLR, 2003. Report of the Twenty-Second Meeting of the Commission, CCAMLR, Hobart, Australia

CCAMLR, 2006. Report of the Twenty-Fifth Meeting of the Commission, CCAMLR, Hobart, Australia

# Table 1: Participation in the CCAMLR Catch Documentation Scheme (CDS) for Dissostichus spp. (2000-2006)

| Participating and non-participating Parties to the CDS                      | Vessel Flag<br>State | Port/Export<br>State | Import<br>State |  |  |  |  |  |
|---|----------------------|----------------------|-----------------|--|--|--|--|--|
| Contracting Parties   |                      |                      |                 |  |  |  |  |  |
| Argentina   | ✓                    | $\checkmark$         | ✓               |  |  |  |  |  |
| Australia   | ✓                    | $\checkmark$         | ✓               |  |  |  |  |  |
| Brazil  |                      | ✓                    | ✓               |  |  |  |  |  |
| Canada  |                      |                      | ✓               |  |  |  |  |  |
| Chile   | ✓                    | ✓                    | ~               |  |  |  |  |  |
| People's Republic of China  | ✓                    | $\checkmark$         | ✓               |  |  |  |  |  |
| European Community  |                      | ✓                    | ✓               |  |  |  |  |  |
| Spain   | ✓                    | ✓                    | ✓               |  |  |  |  |  |
| France (overseas territories)   | ✓                    | ✓                    | ✓               |  |  |  |  |  |
| India   |                      |                      |                 |  |  |  |  |  |
| Japan   |                      | ✓                    | ✓               |  |  |  |  |  |
| Korea, Republic of  | ✓                    | $\checkmark$         | ✓               |  |  |  |  |  |
| Mauritius   |                      | $\checkmark$         | ✓               |  |  |  |  |  |
| New Zealand   | ✓                    | $\checkmark$         | ✓               |  |  |  |  |  |
| Namibia   |                      | $\checkmark$         | ✓               |  |  |  |  |  |
| Norway  |                      |                      | ✓               |  |  |  |  |  |
| Peru  | ✓                    | $\checkmark$         |                 |  |  |  |  |  |
| Poland  |                      |                      |                 |  |  |  |  |  |
| Russian Federation  | ✓                    |                      | ✓               |  |  |  |  |  |
| South Africa  | ✓                    | $\checkmark$         |                 |  |  |  |  |  |
| Ukraine   | ✓                    |                      |                 |  |  |  |  |  |
| United Kingdom of Great Britain and Northern Ireland (overseas territories) | ✓                    | ~                    | ~               |  |  |  |  |  |
| United States of America  |                      |                      | ✓               |  |  |  |  |  |
| Uruguay   | ✓                    | $\checkmark$         | ✓               |  |  |  |  |  |
| CDS Participating non-Contracting Parties                                   |                      |                      |                 |  |  |  |  |  |
| Seychelles (since 2002 no longer flags toothfish fishing vessels)           | -                    | -                    | -               |  |  |  |  |  |
| Singapore (partial implementation)  |                      | ✓                    | ✓               |  |  |  |  |  |
| Non-Contracting Parties not participating in the CDS                        |                      |                      |                 |  |  |  |  |  |
| Reported fishing vessel Flag States   |                      |                      |                 |  |  |  |  |  |
| Cambodia <sup>1</sup>   | ✓                    |                      |                 |  |  |  |  |  |
| Equatorial Guinea <sup>1</sup>  | ✓                    |                      |                 |  |  |  |  |  |
| Honduras  | ✓                    |                      |                 |  |  |  |  |  |

| Participating and non-participating Parties to the CDS    | Vessel Flag<br>State | Port/Export<br>State | Import<br>State |
|---|----------------------|----------------------|-----------------|
| Korea, Democratic People's Republic of Korea <sup>1</sup> | ✓                    |                      |                 |
| Panama <sup>1</sup>                                       | ✓                    |                      |                 |
| Togo <sup>1</sup>   | ✓                    |                      |                 |
| Reported trading States/Entities                          |                      |                      |                 |
| Columbia  |                      |                      | ✓               |
| Hong Kong SAR, People's Republic of China                 |                      |                      | ✓               |
| Indonesia   |                      | ✓                    | ✓               |
| Malaysia  |                      | $\checkmark$         | ✓               |
| Mexico  |                      |                      | ✓               |
| Philippines   |                      |                      | ✓               |
| Taiwan, Province of China                                 |                      |                      | ✓               |
| Thailand  |                      |                      | ✓               |
| Vietnam   |                      |                      | ✓               |
| <sup>1</sup> Reported in 2005 and 2006                    |                      |                      |                 |

Table 2Estimations of IUU toothfish catches (tonnes) in the CCAMLR Convention Area in the<br/>1996/97 to 2005/06 fishing season (from SC-CAMLR-XXIII, 2004, Annex 5; Table 8.1; SC-<br/>CAMLR-XXIV, Annex V, Table 3.2 and SC-CAMLR-XXV, Annex V, Table 2).

| Fishing season*  | Estimated IUU catch | Reported catch by<br>licensed vessels | IUU as % to reported<br>catch |  |  |  |
|--|---------------------|---------------------------------------|-------------------------------|--|--|--|
| 1996/97  | 32673               | 45130                                 | 72.4                          |  |  |  |
| 1997/98  | 15106               | 25518                                 | 53.0                          |  |  |  |
| 1998/99  | 5868                | 19531                                 | 30.0                          |  |  |  |
| 1999/00  | 7644                | 25214                                 | 30.3                          |  |  |  |
| 2000/01  | 8802                | 22598                                 | 39.0                          |  |  |  |
| 2001/02  | 11857               | 27198                                 | 43.6                          |  |  |  |
| 2002/03  | 10097               | 26877                                 | 37.6                          |  |  |  |
| 2003/04  | 2477                | 15929                                 | 15.6                          |  |  |  |
| 2004/05  | 2513                | 16250                                 | 15.5                          |  |  |  |
| 2005/06**  | 3080                | 13704                                 | 22.5                          |  |  |  |
| * Current definition of the CCAMLR fishing season is from 1 December to 30 November of the following year. |                     |                                       |                               |  |  |  |

\*\* IUU catch estimates for the period up to 1 September 2006

| Export/Import by year (tonnes) |               |           |               |  |  |  |
|--------------------------------|---------------|-----------|---------------|--|--|--|
|                                | Hong Kong SAR | Singapore | Indonesia     |  |  |  |
| 2000                           | 67            | 86        | 14            |  |  |  |
| 2001                           | 2,159         | 904       | none reported |  |  |  |
| 2002                           | 1,281         | 1,298     | none reported |  |  |  |
| 2003                           | 1,298         | 922       | none reported |  |  |  |
| 2004                           | 946           | 901       | none reported |  |  |  |
| 2005                           | 421           | 1,125     | none reported |  |  |  |
| 2006                           | 710           | 1,240     | none reported |  |  |  |
| Total                          | 6,882         | 6,476     | 14            |  |  |  |

Table 3A summary of toothfish export/import across the territories of Hong Kong SAR, Singapore<br/>and Indonesia for the period 2000-2006.

Fig.1 The *CCAMLR Catch Documentation Scheme's* geographic area of application, 2000-2006 (blue -CCAMLR Contracting Parties, green - non-Contracting Parties participating in CDS, red - non-Contracting Parties engaged in fishing and/or trade in toothfish but not participating in CDS

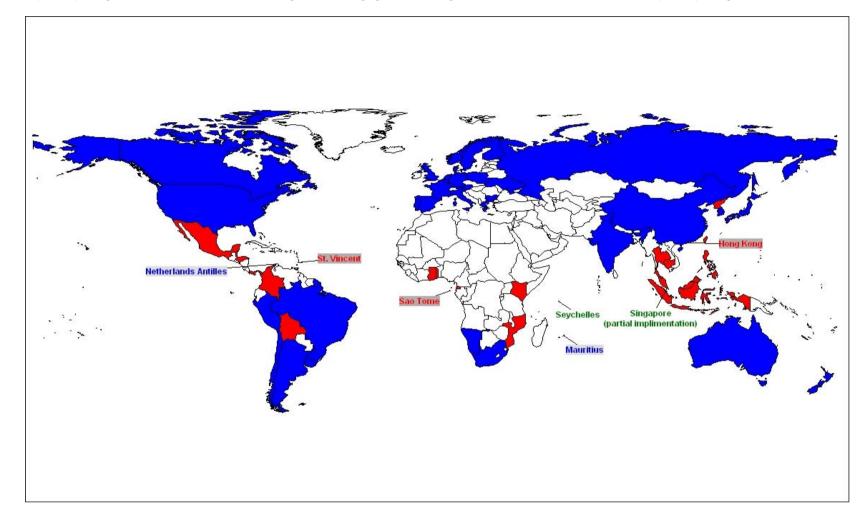
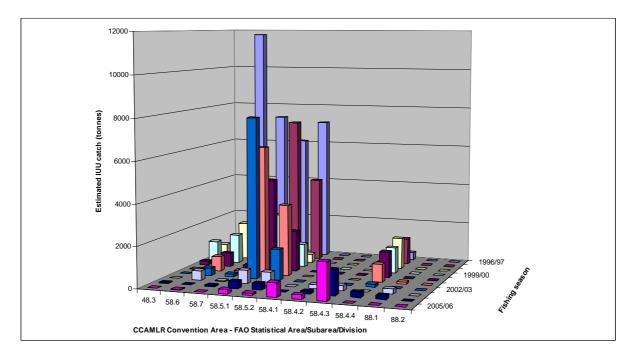


Fig 2 Estimated IUU catch of toothfish in the CCAMLR Convention Area, by area and fishing season (1997-2006).



# ANNEX 10-05

#### CONSERVATION MEASURE 10-05 (2006) Catch Documentation Scheme for *Dissostichus* spp.

| Species | toothfish |
|---------|-----------|
| Area    | all       |
| Season  | all       |
| Gear    | all       |

The Commission,

- <u>Concerned</u> that illegal, unreported and unregulated (IUU) fishing for *Dissostichus* spp. in the Convention Area threatens serious depletion of populations of *Dissostichus* spp.,
- <u>Aware</u> that IUU fishing involves significant by-catch of some Antarctic species, including endangered albatross,
- Noting that IUU fishing is inconsistent with the objective of the Convention and undermines the effectiveness of CCAMLR conservation measures,
- <u>Underlining</u> the responsibilities of Flag States to ensure that their vessels conduct their fishing activities in a responsible manner,
- <u>Mindful</u> of the rights and obligations of Port States to promote the effectiveness of regional fishery conservation measures,
- <u>Aware</u> that IUU fishing reflects the high value of, and resulting expansion in markets for and international trade in, *Dissostichus* spp.,
- <u>Recalling</u> that Contracting Parties have agreed to introduce classification codes for *Dissostichus* spp. at a national level,
- <u>Recognising</u> that the implementation of a Catch Documentation Scheme for *Dissostichus* spp. (CDS) will provide the Commission with essential information necessary to provide the precautionary management objectives of the Convention,
- <u>Committed</u> to take steps, consistent with international law, to identify the origins of *Dissostichus* spp. entering the markets of Contracting Parties and to determine whether *Dissostichus* spp. harvested in the Convention Area that is imported into their territories was caught in a manner consistent with CCAMLR conservation measures,
- Wishing to reinforce the conservation measures already adopted by the Commission with respect to *Dissostichus* spp.,

Inviting non-Contracting Parties whose vessels fish for Dissostichus spp. to participate in the CDS,

hereby adopts the following conservation measure in accordance with Article IX of the Convention:

- 1. The following definitions are intended only for the purposes of the completion of CDS documents and shall be applied as stated regardless of whether such actions as landings, transhipments, imports, exports or re-exports constitute the same under any CDS participant's customs law or other domestic legislation:
  - (i) Port State: The State that has control over a particular port area or free trade zone for the purposes of landing, transhipment, importing, exporting and re-exporting and whose authority serves as the authority for landing or transhipment certification.

- (ii) Landing: The initial transfer of catch in its harvested or processed form from a vessel to dockside or to another vessel in a port or free trade zone where the catch is certified by an authority of the Port State as landed.
- (iii) Export: Any movement of a catch in its harvested or processed form from territory under the control of the State or free trade zone of landing, or, where that State or free trade zone forms part of a customs union, any other member State of that customs union.
- (iv) Import: The physical entering or bringing of a catch into any part of the geographical territory under the control of a State, except where the catch is landed or transhipped within the definitions of 'landing' or 'transhipment' in this conservation measure.
- (v) Re-export: Any movement of a catch in its harvested or processed form from territory under the control of a State, free trade zone, or member State of a customs union of import unless that State, free trade zone, or any member State of that customs union of import is the first place of import, in which case the movement is an export within the definition of 'export' in this conservation measure.
- (vi) Transhipment: The transfer of a catch in its harvested or processed form from a vessel to another vessel or means of transport, and, where such transfer takes place within the territory under the control of a Port State, for the purpose of effecting its removal from that State. For the avoidance of doubt, temporarily placing a catch on land or an artificial structure to facilitate such transfer shall not prevent the transfer from being a transhipment where the catch is not 'landed' within the definition of 'landing' in this conservation measure.
- 2. Each Contracting Party shall take steps to identify the origin of *Dissostichus* spp. imported into or exported from its territories and to determine whether *Dissostichus* spp. harvested in the Convention Area that is imported into or exported from its territories was caught in a manner consistent with CCAMLR conservation measures.
- 3. Each Contracting Party shall require that each master or authorised representative of its flag vessels authorised to engage in harvesting of *Dissostichus eleginoides* and/or *Dissostichus mawsoni* complete a *Dissostichus* catch document (DCD) for the catch landed or transhipped on each occasion that it lands or tranships *Dissostichus* spp.
- 4. Each Contracting Party shall require that each landing of *Dissostichus* spp. at its ports and each transhipment of *Dissostichus* spp. to its vessels be accompanied by a completed DCD. The landing of *Dissostichus* spp. without a catch document is prohibited.
- 5. Each Contracting Party shall, in accordance with their laws and regulations, require that their flag vessels which intend to harvest *Dissostichus* spp., including on the high seas outside the Convention Area, are provided with specific authorisation to do so. Each Contracting Party shall provide DCD forms to each of its flag vessels authorised to harvest *Dissostichus* spp. and only to those vessels.
- 6. A non-Contracting Party seeking to cooperate with CCAMLR by participating in this scheme may issue DCD forms, in accordance with the procedures specified in paragraphs 8 and 9, to any of its flag vessels that intend to harvest *Dissostichus* spp.
- 7. The procedure regarding cooperation with CCAMLR in the implementation of the CDS by non-Contracting Parties involved in the trade of *Dissostichus* spp. is set out in Annex 10-05/C.
- 8. The DCD shall include the following information:
  - (i) the name, address, telephone and fax numbers of the issuing authority;
  - (ii) the name, home port, national registry number and call sign of the vessel and, if issued, its IMO/Lloyd's registration number;

- (iii) the reference number of the licence or permit, whichever is applicable, that is issued to the vessel;
- (iv) the weight of each *Dissostichus* species landed or transhipped by product type, and
  - (a) by CCAMLR statistical subarea or division if caught in the Convention Area; and/or
  - (b) by FAO statistical area, subarea or division if caught outside the Convention Area;
- (v) the dates within which the catch was taken;
- (vi) the date and the port at which the catch was landed or the date and the vessel, its flag and national registry number, to which the catch was transhipped;
- (vii) the name, address, telephone and fax numbers of the recipient(s) of the catch and the amount of each species and product type received.
- 9. Procedures for completing DCDs in respect of vessels are set forth in paragraphs A1 to A10 of Annex 10-05/A to this measure. The standard catch document is attached to the annex.
- 10. Each Contracting Party shall require that each shipment of *Dissostichus* spp. imported into or exported from its territory be accompanied by the export-validated DCD(s) and, where appropriate, validated re-export document(s) that account for all the *Dissostichus* spp. contained in the shipment. The import, export or re-export of *Dissostichus* spp. without a catch document is prohibited.
- 11. An export-validated DCD issued in respect of a vessel is one that:
  - (i) includes all relevant information and signatures provided in accordance with paragraphs A1 to A11 of Annex 10-05/A to this measure;
  - (ii) includes a signed and stamped certification by a responsible official of the exporting State of the accuracy of the information contained in the document.
- 12. Each Contracting Party shall ensure that its customs government authorities or other appropriate government officials request and examine the documentation of each shipment of *Dissostichus* spp. imported into or exported from its territory to verify that it includes the export-validated DCD(s) and, where appropriate, validated re-export document(s) that account for all the *Dissostichus* spp. contained in the shipment. These officials may also examine the content of any shipment to verify the information contained in the catch document or documents.
- 13. If, as a result of an examination referred to in paragraph 12 above, a question arises regarding the information contained in a DCD or a re-export document, the exporting State whose government authority validated the document(s) and, as appropriate, the Flag State whose vessel completed the document are called on to cooperate with the importing State with a view to resolving such question.
- 14. Each Contracting Party shall promptly provide by the most rapid electronic means, copies to the CCAMLR Secretariat of all export-validated DCDs and, where relevant, validated re-export documents that it issued from and received into its territory and shall submit annually to the Secretariat a summary list of documents issued from or received into its territory in respect of transhipments, landings, exports, re-exports and imports. The list shall include: document identification numbers; date of landing, export, re-export, import; weights landed, exported, re-exported or imported.
- 15. Each Contracting Party, and any non-Contracting Party that issues DCDs in respect of its flag vessels in accordance with paragraph 6, shall inform the CCAMLR Secretariat of the government authority or authorities (including names, addresses, phone and fax numbers and email addresses) responsible for issuing and validating DCDs.

- 16. Notwithstanding the above, any Contracting Party, or any non-Contracting Party participating in the CDS, may require additional verification of catch documents by Flag States by using, *inter alia*, VMS, in respect of catches<sup>2</sup> taken on the high seas outside the Convention Area, when landed at, imported into or exported from its territory.
- 17. If, following an examination under paragraph 12, questions under paragraph 13 or requests for additional verification of documents under paragraph 16, it is determined, after consultation with the States concerned, that a catch document is invalid, the import, export or re-export of *Dissostichus* spp. being the subject of the document is prohibited.
- 18. If a Contracting Party participating in the CDS has cause to sell or dispose of seized or confiscated *Dissostichus* spp., it may issue a Specially Validated *Dissostichus* Catch Document (SVDCD) specifying the reasons for that validation. The SVDCD shall include a statement describing the circumstances under which confiscated fish are moving in trade. To the extent practicable, Parties shall ensure that no financial benefit arising from the sale of seized or confiscated catch accrue to the perpetrators of IUU fishing. If a Contracting Party issues a SVDCD, it shall immediately report all such validations to the Secretariat for conveying to all Parties and, as appropriate, recording in trade statistics.
- 19. A Contracting Party may transfer all or part of the proceeds from the sale of seized or confiscated *Dissostichus* spp. into the CDS Fund created by the Commission or into a national fund which promotes achievement of the objectives of the Convention. A Contracting Party may, consistent with its domestic legislation, decline to provide a market for toothfish offered for sale with a SVDCD by another State. Provisions concerning the uses of the CDS Fund are found in Annex 10-05/B.

<sup>&</sup>lt;sup>2</sup> Excluding by-catches of Dissostichus spp. by trawlers fishing on the high seas outside the Convention Area. A by-catch shall be defined as no more than 5% of total catch of all species and no more than 50 tonnes for an entire fishing trip by a vessel.

### ANNEX 10-05/A

- A1. Each Flag State shall ensure that each *Dissostichus* catch document form that it issues includes a specific identification number consisting of:
  - (i) a four-digit number, consisting of the two-digit International Standards Organization (ISO) country code plus the last two digits of the year for which the form is issued;
  - (ii) a three-digit sequence number (beginning with 001) to denote the order in which catch document forms are issued.

It shall also enter on each *Dissostichus* catch document form the number as appropriate of the licence or permit issued to the vessel.

- A2. The master of a vessel which has been issued a *Dissostichus* catch document form or forms shall adhere to the following procedures prior to each landing or transhipment of *Dissostichus* spp.:
  - (i) the master shall ensure that the information specified in paragraph 7 of this conservation measure is accurately recorded on the *Dissostichus* catch document form;
  - (ii) if a landing or transhipment includes catch of both *Dissostichus* spp., the master shall record on the *Dissostichus* catch document form the total amount of the catch landed or transhipped by weight of each species;
  - (iii) if a landing or transhipment includes catch of *Dissostichus* spp. taken from different statistical subareas and/or divisions, the master shall record on the *Dissostichus* catch document form the amount of the catch by weight of each species taken from each statistical subarea and/or division and indicating whether the catch was caught in an EEZ or on the high seas, as appropriate;
  - (iv) the master shall convey to the Flag State of the vessel by the most rapid electronic means available, the *Dissostichus* catch document number, the dates within which the catch was taken, the species, processing type or types, the estimated weight to be landed and the area or areas of the catch, the date of landing or transhipment and the port and country of landing or vessel of transhipment and shall request from the Flag State, a Flag State confirmation number.
- A3. If, for catches<sup>3</sup> taken in the Convention Area or on the high seas outside the Convention Area, the Flag State verifies, by the use of a VMS (as described in paragraph 1 of Conservation Measure 10-04), the area fished and that the catch to be landed or transhipped as reported by its vessel is accurately recorded and taken in a manner consistent with its authorisation to fish, it shall convey a unique Flag State confirmation number to the vessel's master by the most rapid electronic means available. The *Dissostichus* catch document will receive a confirmation number from the Flag State, only when it is convinced that the information submitted by the vessel fully satisfies the provisions of this conservation measure.
- A4. The master shall enter the Flag State confirmation number on the *Dissostichus* catch document form.
- A5. The master of a vessel that has been issued a *Dissostichus* catch document form or forms shall adhere to the following procedures immediately after each landing or transhipment of *Dissostichus* spp.:
  - (i) in the case of a transhipment, the master shall confirm the transhipment obtaining the signature on the *Dissostichus* catch document of the master of the vessel to which the catch is being transferred;

<sup>&</sup>lt;sup>3</sup> Excluding by-catches of Dissostichus spp. by trawlers fishing on the high seas outside the Convention Area. A by-catch shall be defined as no more than 5% of total catch of all species and no more than 50 tonnes for an entire fishing trip by a vessel.

- (ii) in the case of a landing, the master or authorised representative shall confirm the landing by obtaining a signed and stamped certification on the *Dissostichus* catch document by a responsible official of the Port State of landing or free trade zone who is acting under the direction of either the customs or fisheries authority of the Port State and is competent with regard to the validation of *Dissostichus* catch documents;
- (iii) in the case of a landing, the master or authorised representative shall also obtain the signature on the *Dissostichus* catch document of the individual that receives the catch at the port of landing or free trade zone;
- (iv) in the event that the catch is divided upon landing, the master or authorised representative shall present a copy of the *Dissostichus* catch document to each individual that receives a part of the catch at the port of landing or free trade zone, record on that copy of the catch document the amount and origin of the catch received by that individual and obtain the signature of that individual.
- A6. In respect of each landing or transhipment, the master or authorised representative shall immediately sign and convey by the most rapid electronic means available a copy, or, if the catch landed was divided, copies, of the signed *Dissostichus* catch document to the Flag State of the vessel and shall provide a copy of the relevant document to each recipient of the catch.
- A7. The Flag State of the vessel shall immediately convey by the most rapid electronic means available a copy or, if the catch was divided, copies, of the signed *Dissostichus* catch document to the CCAMLR Secretariat to be made available by the next working day to all Contracting Parties.
- A8. The master or authorised representative shall retain the original copies of the signed *Dissostichus* catch document(s) and return them to the Flag State no later than one month after the end of the fishing season.
- A9. The master of a vessel to which catch has been transhipped (receiving vessel) shall adhere to the following procedures immediately after each landing of such catch in order to complete each *Dissostichus* catch document received from transhipping vessels:
  - the master of the receiving vessel shall confirm the landing by obtaining a signed and stamped certification on the *Dissostichus* catch document by a responsible official of the Port State of landing or free trade zone who is acting under the direction of either the customs or fisheries authority of the Port State and is competent with regard to the validation of *Dissostichus* catch documents;
  - (ii) the master of the receiving vessel shall also obtain the signature on the *Dissostichus* catch document of the individual that receives the catch at the port of landing or free trade;
  - (iii) in the event that the catch is divided upon landing, the master of the receiving vessel shall present a copy of the *Dissostichus* catch document to each individual that receives a part of the catch at the port of landing or free trade zone, record on that copy of the catch document the amount and origin of the catch received by that individual and obtain the signature of that individual.
- A10. In respect of each landing of transhipped catch, the master or authorised representative of the receiving vessel shall immediately sign and convey by the most rapid electronic means available a copy of all the *Dissostichus* catch documents, or if the catch was divided, copies, of all the *Dissostichus* catch documents, to the Flag State(s) that issued the *Dissostichus* catch document, and shall provide a copy of the relevant document to each recipient of the catch. The Flag State of the receiving vessel shall immediately convey by the most rapid electronic means available a copy of the document to the CCAMLR Secretariat to be made available by the next working day to all Contracting Parties.
- A11. For each shipment of *Dissostichus* spp. to be exported from the country of landing, the exporter shall adhere to the following procedures to obtain the necessary export validation of the

*Dissostichus* catch document(s) that account for all the *Dissostichus* spp. contained in the shipment:

- (i) the exporter shall enter on each *Dissostichus* catch document the amount of each *Dissostichus* spp. reported on the document that is contained in the shipment;
- (ii) the exporter shall enter on each *Dissostichus* catch document the name and address of the importer of the shipment and the point of import;
- (iii) the exporter shall enter on each *Dissostichus* catch document the exporter's name and address, and shall sign the document;
- (iv) the exporter shall obtain a signed and stamped validation of the *Dissostichus* catch document (including the attachments if provided) by a responsible official of the exporting State.
- (v) the exporter shall indicate the transport details as appropriate:

if by sea

container(s) number(s) if appropriate, or vessel name, and bill of lading number, date and place of issue;

if by air

flight number, airway bill number, place and date of issue;

if by other means (ground transportation)

truck registration number and nationality, railway transport number, date and place of issue.

- A12. In the case of re-export, the re-exporter shall adhere to the following procedures to obtain the necessary re-export validation of the *Dissostichus* catch document(s) that account for all the *Dissostichus* spp. contained in the shipment:
  - (i) the re-exporter shall supply details of the net weight of product of all species to be reexported, together with the *Dissostichus* catch document number to which each species and product relates;
  - (ii) the re-exporter shall supply the name and address of the importer of the shipment, the point of import and the name and address of the exporter;
  - (iii) the re-exporter shall obtain a signed and stamped validation of the above details by the responsible official of the exporting State on the accuracy of information contained in the document(s);
  - (iv) the re-exporter shall indicate the transport details as appropriate:

if by sea

container(s) number(s) if appropriate, or vessel name, and bill of lading number, date and place of issue;

if by air

flight number, airway bill number, place and date of issue;

if by other means (ground transportation)

truck registration number and nationality, railway transport number, date and place of issue.

(v) the responsible official of the re-exporting State shall immediately transmit by the most rapid electronic means a copy of the re-export document to the Secretariat to be made available next working day to all Contracting Parties.

The standard form for re-export is attached to this annex.

| DISSOSTICHUS CATCH DOCUMENT V 1.5  |   |                                    |                         |                 |        |                               |                              |  |
|--|---|------------------------------------|-------------------------|-----------------|--------|-------------------------------|------------------------------|--|
|  | ument Number Flag State Confirmation Number |                                    |                         |                 |        |                               |                              |  |
| PRODUCTION SECTION 1. Issuing Authority of Document  |   |                                    |                         |                 |        |                               |                              |  |
| Name   | Authority o                                 | rDocument                          | Address                 |                 |        |                               | Tel:                         |  |
| Name   |   |                                    | Addiess                 |                 |        |                               | Fax:                         |  |
|  |   |                                    |                         |                 |        |                               |                              |  |
| 2. Fishing V   | /essel Nam                                  | ne                                 | Home                    | e Port & Regis  | tratio | on Number                     | Call Sign                    |  |
|  |   | I                                  |                         |                 |        |                               | 1                            | (if issued)                                |
| 3. Licence   | Numbor (if                                  | iccuod)                            |                         | Fich            | ing (  | datas for catch               | n under this docum           | opt  |
| J. LICETICE  | Number (ii                                  | issueu)                            |                         |                 | rom:   |                               | 5. T                         |  |
| 6. Descript  | ion of Fish                                 | (Landed/Tranship                   | ped)                    |                 |        | 7. Description                |                              |  |
| Species  | Туре  | Estimated                          | Area                    | Verified        |        | Net Weight                    | Recipient name,              | address, telephone, fax and                |
|  |   | Weight to be                       | Caught*                 | Weight          |        | Sold (kg)                     | signature.                   |  |
|  |   | Landed (kg)                        |                         | Landed (kg)     | )      |                               | Recipient Name:              |  |
|  |   |                                    |                         |                 |        |                               | Signature:<br>Address:       |  |
|  |   |                                    |                         |                 |        |                               | Address.                     |  |
|  |   |                                    |                         |                 |        |                               | Tel:                         |  |
|  |   |                                    |                         |                 |        |                               | Fax:                         |  |
|  |   | ichus eleginoides,                 |                         |                 |        |                               |                              |  |
|  |   |                                    |                         |                 |        |                               |                              | tailed; OTH Other (specify)                |
|  |   |                                    |                         |                 |        |                               |                              | ect. If any <i>Dissostichus</i> spp.       |
| measure  |   | Convention Area                    | , i certify tr          | iat it was tak  | en ir  | n a manner w                  | mich is consistent           | with CCAMLR conservation                   |
|  | of Fishin                                   | g Vessel or                        | Authorise               | ed Signature    | and    | Date Land                     | ing/Transhipment             | Date of                                    |
|  |   | n block letters)                   |                         | en enginatare   |        |                               | and Country/Area             | Landing/Transhipment                       |
|  |   |                                    |                         |                 |        |                               | -                            |  |
| 9. Certifica<br>Master of F  | te of Trans<br>Receiving V                  | hipment: I certify<br>essel Sig    | that the abo<br>gnature |                 |        | complete, true<br><b>lame</b> | and correct to the Call Sign | best of my knowledge.<br>IMO/Lloyds Number |
|  |   |                                    |                         |                 |        |                               |                              | (if issued)                                |
|  |   |                                    |                         |                 |        |                               |                              |  |
|  | ent within a                                | Port Area: count                   | -                       | by Port Author  | ity i  |                               |                              |  |
| Name   |   |                                    | Authority               |                 |        | Sig                           | nature                       | Seal (Stamp)                               |
|  |   | l.                                 |                         |                 |        | 1                             |                              | 1  |
| <b>10. Certificate of Landing:</b> I certify that the above information is complete, true and correct to the best of my knowledge. |   |                                    |                         |                 |        |                               |                              |  |
| Name   |   |                                    |                         | Address         | Te     |                               |                              | of Landing Seal (Stamp)                    |
|  |   | -                                  | -                       |                 |        |                               |                              |  |
|  |   |                                    | 51/50.51                |                 |        |                               |                              |  |
| If here as a fait  |   | Cantainan mumb                     |                         | T SECTION -     | IRA    | NSPORT DETA                   | AILS                         |  |
| If by sea/ai   | r:  | Container numb<br>(if more than or |                         | ct)             |        |                               |                              |  |
| lf no co   | ntainer:                                    | Vessel name; O                     | _                       | 31)             |        |                               |                              |  |
|  |   | Flight number;                     |                         |                 |        |                               |                              |  |
|  |   | Bill of lading/air                 |                         | ber; AND        |        |                               |                              |  |
|  |   | Date and place                     |                         |                 |        |                               |                              |  |
| If ground tr   | ansport:                                    |                                    | ration nu               | imber and       |        |                               |                              |  |
|  |   | nationality; OR                    | ort number: /           |                 |        |                               |                              |  |
|  |   | Railway transpo<br>Date and place  |                         |                 |        |                               |                              |  |
| 11. Descrip  | tion of Fis                                 |                                    |                         | ter Declaration | : I ce | ertify that the               | above information            | is complete, true and correct              |
| · · ·  |   |                                    |                         | t of my knowle  |        |                               |                              | P,   |
| Species  | Product                                     | Net Weight                         | Name                    |                 | Α      | ddress                        | Signature                    |  |
|  | Туре  |                                    | _                       |                 | 1      |                               | I                            | (if issued)                                |
|  |   |                                    |                         |                 |        |                               |                              |  |
|  |   |                                    |                         |                 |        |                               |                              | e above information is                     |
|  |   |                                    |                         | true and corre  |        |                               |                              |  |
|  |   |                                    | Name/Title              | e Sig           | natu   | ire                           | Date                         | Country of export seal                     |
|  |   |                                    | 4                       | I.              |        |                               | I                            | (Stamp)                                    |
|  |   | -                                  |                         |                 |        |                               |                              |  |
| 14. IMPOR  |   | 1                                  | - محام ۵                |                 |        |                               |                              |  |
| Name of Im<br>Point of Un  | •   |                                    | Address<br>Address      |                 |        | State                         | e/Province Cour              | atry                                       |
|  | aung.                                       |                                    | City                    |                 |        | Sidle                         |                              |  |

\* Report FAO Statistical Area/Subarea/Division where catch was taken and indicate whether the catch was taken on the high seas or within an EEZ.

| DISSOSTICHUS RE-EXPORT DOCUMENT V1.2   |   |                             |                              |   |  |  |
|--|---|-----------------------------|------------------------------|---|--|--|
| RE-EXPORT SECTION Re-exporting Country:  |   |                             |                              |   |  |  |
| 1. Description of Fis  | sh  |                             |                              |   |  |  |
| Species  | Type of Product                               | Net Weight<br>Exported (kg) |                              | <i>tichus</i> Catch Document<br>Number Attached |  |  |
|  |   |                             |                              |   |  |  |
|  |   |                             |                              |   |  |  |
|  |   |                             |                              |   |  |  |
|  |   |                             |                              |   |  |  |
|  |   |                             |                              |   |  |  |
|  |   |                             |                              |   |  |  |
|  |   |                             |                              |   |  |  |
|  |   |                             |                              |   |  |  |
|  |   |                             |                              |   |  |  |
|  |   |                             |                              |   |  |  |
| -  | stichus eleginoides, TOA                      |                             |                              |   |  |  |
| •••  | HAG Headed and gutte                          |                             | d tailed; <b>FLT</b> Fillet; |   |  |  |
| HG1 Headed   | , gutted, tailed; OTH Oth                     |                             |                              |   |  |  |
|  |   | ORT – TRANSPORT             | DETAILS                      |   |  |  |
| If by sea/air:   | Container number                              |                             |                              |   |  |  |
| If no container.   | (if more than one – atta                      | ach list)                   |                              |   |  |  |
| If no container:   | Vessel name; OR<br>Flight number; AND         |                             |                              |   |  |  |
|  | Bill of lading/airway bill                    |                             |                              |   |  |  |
|  | Date and place of issue                       |                             |                              |   |  |  |
| If ground  | ·   |                             |                              |   |  |  |
| transport:   | Truck registration number and nationality; OR |                             |                              |   |  |  |
|  | Railway transport numl                        | ber: AND                    |                              |   |  |  |
|  | Date and place of issue                       | è                           |                              |   |  |  |
| <b>2. Re-Exporter Certification:</b> I certify that the above information is complete, true and correct to the best of my knowledge and that the above product comes from product certified by the attached <i>Dissostichus</i> Catch Document(s). |   |                             |                              |   |  |  |
| Name   | Address                                       | Signature                   | Date                         | Export Licence                                  |  |  |
| Name   | Audress                                       | Signature                   | Date                         | (if issued)                                     |  |  |
|  |   |                             |                              |   |  |  |
| 3. Re-Export Government Authority Validation: I certify that the above information is complete, true, and correct to the best of my knowledge.   |   |                             |                              |   |  |  |
| Name/Title   | Signature                                     |                             | Date                         | Seal (Stamp)                                    |  |  |
|  |   |                             |                              |   |  |  |
|  |   |                             |                              |   |  |  |
| 4. IMPORT SECTION  |   |                             |                              |   |  |  |
| Name of Importer   |   | Address                     |                              |   |  |  |
| Point of Unlading:   | City  | State                       | Province                     | Country   |  |  |

#### ANNEX 10-05/B

#### THE USE OF THE CDS FUND

- B1. The purpose of the CDS Fund ('the Fund') is to enhance the capacity of the Commission in improving the effectiveness of the CDS and by this, and other means, to prevent, deter and eliminate IUU fishing in the Convention Area.
- B2. The Fund will be operated according to the following provisions:
  - (i) The Fund shall be used for special projects, or special needs of the Secretariat if the Commission so decides, aimed at assisting the development and improving the effectiveness of the CDS. The Fund may also be used for special projects and other activities contributing to the prevention, deterrence and elimination of IUU fishing in the Convention Area, and for other such purposes as the Commission may decide.
  - (ii) The Fund shall be used primarily for projects conducted by the Secretariat, although the participation of Members in these projects is not precluded. While individual Member projects may be considered, this shall not replace the normal responsibilities of Members of the Commission. The Fund shall not be used for routine Secretariat activities.
  - (iii) Proposals for special projects may be made by Members, by the Commission or the Scientific Committee and their subsidiary bodies, or by the Secretariat. Proposals shall be made to the Commission in writing and be accompanied by an explanation of the proposal and an itemised statement of estimated expenditure.
  - (iv) The Commission will, at each annual meeting, designate six Members to serve on a Review Panel to review proposals made intersessionally and to make recommendations to the Commission on whether to fund special projects or special needs. The Review Panel will operate by email intersessionally and meet during the first week of the Commission's annual meeting.
  - (v) The Commission shall review all proposals and decide on appropriate projects and funding as a standing agenda item at its annual meeting.
  - (vi) The Fund may be used to assist Acceding States and non-Contracting Parties that wish to cooperate with CCAMLR and participate in the CDS, so long as this use is consistent with provisions (i) and (ii) above. Acceding States and non-Contracting Parties may submit proposals if the proposals are sponsored by, or in cooperation with, a Member.
  - (vii) The Financial Regulations of the Commission shall apply to the Fund, except in so far as these provisions provide or the Commission decides otherwise.
  - (viii) The Secretariat shall report to the annual meeting of the Commission on the activities of the Fund, including its income and expenditure. Annexed to the report shall be reports on the progress of each project being funded by the Fund, including details of the expenditure on each project. The report will be circulated to Members in advance of the annual meeting.
  - (ix) Where an individual Member project is being funded according to provision (ii), that Member shall provide an annual report on the progress of the project, including details of the expenditure on the project. The report shall be submitted to the Secretariat in sufficient time to be circulated to Members in advance of the annual meeting. When the project is completed, that Member shall provide a final statement of account certified by an auditor acceptable to the Commission.
  - (x) The Commission shall review all ongoing projects at its annual meeting as a standing agenda item and reserves the right, after notice, to cancel a project at any time should it decide that it is necessary. Such a decision shall be exceptional, and shall take into account progress made to date and likely progress in the future, and shall in any case be preceded by an invitation from the Commission to the project coordinator to present a case for continuation of funding.
  - (xi) The Commission may modify these provisions at any time.

#### ANNEX 10-05/C

# PROCEDURE REGARDING COOPERATION WITH CCAMLR IN THE IMPLEMENTATION OF THE CDS BY NON-CONTRACTING PARTIES INVOLVED IN THE TRADE OF *DISSOSTICHUS* SPP.

- C1. Each year, the Executive Secretary shall contact all non-Contracting Parties which are known to be involved in the trade with *Dissostichus* spp. to urge them to become a Contracting Party to CCAMLR or to attain the status of a non-Contracting Party cooperating with CCAMLR by participating in the Catch Documentation Scheme for *Dissostichus* spp. (CDS) in accordance with the provisions of Conservation Measure 10-05. In doing so, the Executive Secretary shall provide copies of this conservation measure and any related resolutions adopted by the Commission.
- C2. Any non-Contracting Party that seeks to be accorded the status of non-Contracting Party cooperating with CCAMLR by participating in the CDS shall apply to the Executive Secretary requesting such status. Such requests must be received by the Executive Secretary no later than ninety (90) days in advance of an annual meeting of the CAMLR Commission in order to be considered at that meeting.
- C3. Any non-Contracting Party requesting the status of a non-Contracting Party cooperating with CCAMLR by participating in the CDS shall fulfil the following requirements in order to have this status considered by the Commission:
  - (i) Information requirements:
    - (a) communicate the data required under the CDS.
  - (ii) Compliance requirements:
    - (a) implement all the provisions of Conservation Measure 10-05;
    - (b) inform CCAMLR of all the measures taken to ensure compliance by its vessels used for the transhipments of *Dissostichus* spp. and its operators, including *inter alia*, and as appropriate, inspection at sea and in port, CDS implementation;
    - (c) respond to alleged violations of CCAMLR measures by its vessels transhipping *Dissostichus* spp. and its operators, as determined by the appropriate bodies, and communicate to CCAMLR the actions taken against operators.
- C4. An applicant for the status of a non-Contracting Party cooperating with CCAMLR by participating in the CDS shall also:
  - (i) confirm its commitment to implement Conservation Measure 10-05; and
  - (ii) inform the Commission of the measures it takes to ensure compliance by its operators with Conservation Measure 10-05.
- C5. The Standing Committee for Implementation and Compliance (SCIC) shall be responsible for reviewing requests for the status of non-Contracting Party cooperating with CCAMLR by participating in the CDS and for recommending to the Commission whether the applicants should be granted such status.
- C6. Annually the Commission shall review the status granted to each non-Contracting Party and may revoke this status if the Non-Contracting Party concerned has not complied with the criteria for attaining such status established by this measure.

### POLICY TO ENHANCE COOPERATION BETWEEN CCAMLR AND NON-CONTRACTING PARTIES

#### (as adopted at CCAMLR-xviii and amended at CCAMLR-xxv)

The Commission, in order to:

- ensure the effectiveness of CCAMLR conservation measures;
- enhance cooperation with non-Contracting Parties, including those implicated in fishing which undermines the effectiveness of those measures (hereafter referred to as illegal, unreported and unregulated fishing (IUU) fishing); and
- eliminate IUU fishing, including that by non-Contracting Parties,

hereby adopts the following policy:

- I. The Executive Secretary is requested to develop a list of non-Contracting Parties implicated in IUU fishing and or trade either after the adoption of this policy or during the three years prior, which has undermined the effectiveness of CCAMLR conservation measures.
- II. The Chairman of the Commission shall write to the Minister for Foreign Affairs of each non-Contracting Party included in the abovementioned list explaining how IUU fishing undermines the effectiveness of CCAMLR conservation measures. The letter, as appropriate, will:
  - (a) invite and encourage non-Contracting Parties to attend as observers at meetings of the Commission in order to improve their understanding of the work of the Commission and the effects of IUU fishing;
  - (b) encourage non-Contracting Parties to accede to the Convention;
  - (c) inform non-Contracting Parties of the development and implementation of the CCAMLR Catch Documentation Scheme for *Dissostichus* spp. and provide them with a copy of the conservation measure and the explanatory memorandum;
  - (d) encourage non-Contracting Parties to participate in the CCAMLR Catch Documentation Scheme and draw their attention to the consequences for them of not participating;
  - (e) request non-Contracting Parties to prevent their flag vessels from fishing in the Convention Area in a manner which undermines the effectiveness of measures adopted by CCAMLR to ensure conservation and sustainably managed fisheries;
  - (f) if their flag vessels are involved in IUU fishing, request non-Contracting Parties to provide information to the CCAMLR Secretariat on their vessels' activities, including catch and effort data;
  - (g) seek the assistance of non-Contracting Parties in investigating the activities of their flag vessels suspected of being involved in IUU fishing, including inspecting such vessels when they next reach port;
  - (h) request non-Contracting Parties to report to the CCAMLR Secretariat on landings and transhipments in their ports in accordance with the format specified in Attachment A; and

- (i) request non-Contracting Parties to deny landing or transhipments in their ports for fish harvested in CCAMLR waters not taken in compliance with CCAMLR conservation measures and requirements under the Convention.
- III. Parties shall individually and collectively take all appropriate efforts to implement or assist in the implementation of this policy; such efforts may include taking concerted action on joint demarches on non-Contracting Parties to complement correspondence from the Chairman.
- IV. The Commission will annually review the effectiveness of the implementation of this policy.
- V. The Executive Secretary will regularly inform non-Contracting Parties concerned of new conservation measures adopted by CCAMLR.

# ATTACHMENT A

#### SUBMISSION OF INFORMATION BY NON-CONTRACTING PARTIES ON LANDINGS AND TRANSHIPMENTS OF TOOTHFISH (DISSOSTICHUS SPP.) IN THEIR PORTS

To the extent possible the required information should be submitted in the following format:

- (i) whether the vessel is a fishing or cargo vessel; if it is a fishing vessel, what type of vessel (trawler/longliner);
- (ii) the name, international call sign and registration number of the vessel;
- (iii) the flag and port of registration;
- (iv) whether an inspection had been conducted by the Port State and, if so, its findings, including information on the fishing licence of the vessel concerned;
- (v) the species of fish involved, including the weight and form of catch, and whether it was landed or transhipped;
- (vi) if a fishing vessel, the location(s) in which it had operated according to the vessel's records and where it reported the catch as having been taken (CCAMLR or non CCAMLR); and
- (vii) the nature of any matters requiring further investigation by the Flag State.

# ATTACHMENT B

#### CCAMLR COOPERATION ENHANCEMENT PROGRAM

#### Objectives

The aim of this Cooperation Enhancement Program is to encourage and build the capacity of non-Contracting Parties to cooperate with CCAMLR. The ultimate desired outcome is more countries working with CCAMLR to combat illegal, unreported and unregulated (IUU) fishing on the water and in their ports.

Cooperation between non-Contracting Parties and CCAMLR may be through:

- exchange of information about IUU fishing with CCAMLR;
- participation in key CCAMLR initiatives, such as the CDS, through implementation of conservation measures;
- acceding to the Convention and/or joining the Commission, as appropriate.

#### **Guiding Principles**

The Cooperation Enhancement Program has the following attributes:

- a focus on technical cooperation;
- flexibility to tailor cooperation to meet the needs of both the Commission and the recipient State on a case-by-case basis;
- a partnership model involving the CCAMLR Secretariat, experienced CCAMLR Member(s) as sponsors and the recipient States(s);
- matching of sponsors and recipients based on expertise, historical relationships between States and proximity;
- central repository of information and training material by the CCAMLR Secretariat.

#### Resourcing

CCAMLR Members will initially fund their own costs of delivery and participation in cooperation enhancement exercises. The Commission should investigate other sources of funding, including the establishment of a special fund to which Contracting Parties can contribute. CCAMLR Members can develop their own training materials at any time as required.

To encourage consistency and ensure effective use of Members' resources, CCAMLR Members will actively share training materials. This will be facilitated by the Secretariat maintaining a central repository of relevant materials and information on the CCAMLR website. CCAMLR conservation measures will always form the basis of technical and training cooperation. CCAMLR will fund the development of a package of standing training materials for the Catch Documentation Scheme that will be available to all members.

#### Selecting Countries for Capacity Building

The Commission will agree a priority list of countries that may benefit from technical cooperation and update this list as required. The list will be developed from information submitted by members, including reports on the activity and movement of IUU fishing vessels and their interactions with non-Contracting Parties.

Inclusion of countries on the list will be guided by the following criteria:

- The country is a key flag and/or port State for toothfish, and its cooperation would assist the Commission to better control IUU fishing and trade of fish caught in an IUU manner and/or achieve the objective of the Convention.
- The country is open to change and there is genuine political will to cooperate with CCAMLR and combat IUU fishing, but the country does not do so because it lacks the resources or expertise.
- With some training and technical assistance over time, the country would eventually be able to implement relevant conservation measures on their own.
- The country has appropriate government structures to commit the necessary time and resources to allow it to effectively participate in technical cooperation and is prepared to make a commitment to such cooperation (for example, by nominating a competent authority for implementation of the CDS).

### Reporting

CCAMLR Members are encouraged to report on the nature and outcomes of their technical cooperation. This reporting is at the discretion of Members, but could take the form of a Commission circular or a presentation at the Commission meeting